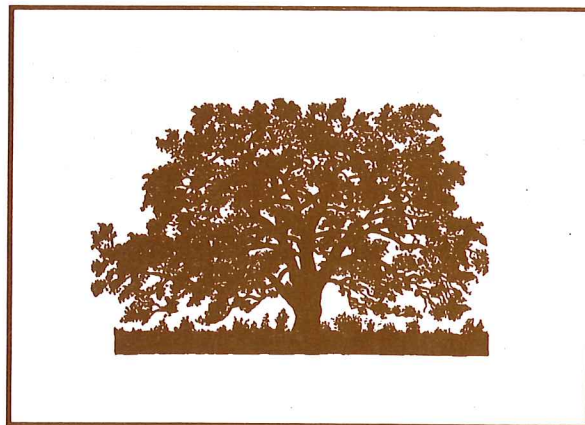


TRUSTEE RESPONSIBILITIES:

ENHANCING STAFF UNDERSTANDING

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AND
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Santa Barbara Botanic Garden



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**AMERICAN ASSOCIATION OF BOTANICAL
GARDENS AND ARBORETA**

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a resource guide. The views, opinions, and recommenda-
tions expressed in this volume are those of the panel par-
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TRUSTEE RESPONSIBILITIES

For Trustees

as they seek to improve service and leadership

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PREFACE

This text evolved from a panel presentation made at the 1998 annual meeting of the American Association of Botanical Gardens and Arboretum (AABGA) held at The Scott Arboretum on the campus of Swarthmore College in Swarthmore, Pennsylvania. The presentation was organized to highlight the importance of Trustee roles and responsibilities—for all members of the AABGA—garden staff, volunteers, and peer trustees—as well as others in non- and for-profit institutions. The presentation was built upon the premise that enhanced understanding of the trustee roles and responsibilities will impact the working relations among constituents as well as serve as a forum for trustees to share experiences and learn from each other.

Trustees are essential to the success of any non-profit organization. Collectively, they provide direction, access to resources, and credibility in the community, but they cannot achieve these important goals unless they are governed well and understand their roles. In the following pages are chronicled the perspective of four veteran trustees. This compilation is offered as examples from which others may better understand trusteeship and improve leadership to the organization they serve.

Richard B. Rogers, President of the Board

and

Edward L. Schneider, Ph.D., Executive Director
Santa Barbara Botanic Garden
Santa Barbara, CA 93105

SESSION FORMAT

Four panelists, each with distinguished service and leadership records, will make a 15-20 minute presentation of their experiences; most successful, but some less successful, and how these experiences have helped to shape their view of the important roles and responsibilities of governance in nonprofit botanical gardens and arboreta.

PANEL PARTICIPANTS

MODERATOR AND SPEAKER:

RICHARD B. ROGERS

President of the Board

Santa Barbara Botanical Gardens

SPEAKERS

TODD MORSE,

Board of Directors

The North Carolina Arboretum

NANCY THOMAS,

Trustee

Lady Bird Johnson Wildflower Center

WILLIAM H.T. BUSH

President of the Board

Missouri Botanical Gardens

Trustee Responsibilities Enhancing Staff Understanding

INTRODUCTION

MR. ROGERS:

Good afternoon. Welcome, panelists. I'm Richard Rogers, president of the board of the Santa Barbara Botanic Garden. I've been a trustee there for 10 years.

Our session today is entitled *Trustee Responsibilities, Enhancing Staff Understanding*. Our goal is to provide an inside view of the board's operations and decision-making process.

The session is no holds barred. We mean that. So, audience, get ready to fire away with your questions. The panelists are ready to reveal all.

Our panelists today, except perhaps myself, are a truly stellar group. They are massively overqualified. I will introduce them as they give their portion of the discussion. Our format will be as follows.

Each panelist will present 10 minutes on a particular responsibility and take up to five minutes of questions. Given that we have a huge topic to cover in a very short

time, I will be forced attempt to keep us on track.

After the panelists have presented their topics we will have an open session on questions. And at the end, if time permits, each panelist will have a minute or so to wrap up.

I will start out by describing the responsibilities of the boards of trustees as put forth by the National Center for Non-Profit Boards. I will name those that our panelists are going to discuss in depth and be a bit more thorough on the rest.

The first responsibility of non-profit boards is *determine the organization's mission and purpose*. Todd Morse is going to be describing this topic.

The second responsibility is *support and select the executive, and review his or her performance*. That will be in part discussed by Bucky Bush.

Approve and monitor the organization's programs and services, a third responsibility is a major role of the board. A non-profit organization carries out its mission by offering specific programs. The board administering those programs is responsible for deciding which programs among the many that an organization could offer are the most consistent with the mission.

In addition, the board is responsible for *monitoring the programs to ensure that their quality is as high as possible*. Such monitoring can be done, for example, by reviewing performance data, seeing the programs first-hand, conducting a survey of program participants, or retaining a consultant to carry out the evaluation.

Another major responsibility is *fundraising*. Enough said. We all know what that is. We don't necessarily know how to do it, but we all know what it is.

Ensure and practice fiscal management is also a responsibility. Ensuring the income is managed wisely is especially important for a tax—exempt non—profit that is operating in the public trust. The board should approve an annual operating budget and then monitor throughout the year the organization's ability to adhere to that budget. In addition, the board should require an audit once a year by an independent accountant to verify to itself and to the public that the organization is reporting accurately the sources and uses of its funds.

Engage in strategic planning. One of the most major contributions that a board can make to a non—profit organization is to consider that which the organization needs to accomplish over the next three to five years, and to recommend action to reach those goals.

Carefully select and orient new board members. I am

going to talk a little bit about that.

Understand relationships between the boards and the staff. Nancy Thomas will talk about that.

Enhance the organization's public image. Board members coming from various parts of the community—or nation even—can do much to develop the organization's image. If an organization is successful but its achievements have been kept secret—as is certainly the case of Santa Barbara Botanic Garden—it will not succeed in raising money, attracting new leaders for positions of responsibility on the board or staff, or, most important, serving a broad range of people.

Organize itself so that the board operates efficiently. Bucky Bush will be discussing this topic.

Ensure sound risk management policies. This has to do with making certain that all of the things where people can get in trouble in the garden have been looked after, from an insurance perspective, et cetera.



Determine the Organization's Mission and Purpose

Our first trustee responsibility to be discussed today is to determine the organization's mission and purpose. Our presenter will be Todd Morse.

Mr. Morse has a B.S. in business administration from the University of Missouri at Columbia. He holds a Master of Business Administration degree from Vanderbilt University. He is currently president and general manager of Chimney Rock Company and Chimney Rock Park. He is vice-president of the board of directors of the North Carolina Arboretum Society, where he is co-chairman of the strategic planning team and chairman of the planning and programs committee.

Mr. Morse.

MR. MORSE: Thank you for that kind introduction and I'm very glad to be here. I'm going to first talk a little bit about the importance of mission and purpose and also concepts of vision and values, about ways to develop a mission statement and also the vision and value statements, and then to wrap up, about how we're approaching it at the Arboretum.

I've got to, before I go on, give a little bit of a disclaimer. As Richard had said, right now we're in the middle of

our strategic planning process and actually in the middle of dealing with the same issues I'm going to be describing to you today.

Fortunately, within my own organization, I've been involved with this for the last several years and with a number of other organizations as well. And it's fun to do it, in case you haven't been a part of it. The evaluation, the self evaluation, talked about determining the mission, but I don't think you can really talk about mission alone. I think you've also got to talk about it with the related ideas of vision and values.

I think the mission tells you why the organization exists. It's generally a very active thing, talking about all the things that the organization is going to do. But the vision also adds what it's going to look like when we arrive at the where we want to go, the ideal state if you close your eyes and try to imagine what a wonderful place your institution will be in the future, what kind of place it would be to work, and what kind of place for your visitors as well.

And then the values, which tell you basically how you're going to get there, how you're going to operate on a daily basis in order to get to your mission.

The importance of mission and purpose I believe is pretty straightforward. Ken Blanchard, an author on manage-

ment, has made the quote: "The most important thing in life is to decide what's most important". And I feel that sums up why this idea of mission is so important to an organization.

The mission statement, the vision and values serve as a basis for direction, for focus, and also for effectiveness of the organization. It can help you in not only the day-to-day planning and decision making, but is very essential in long range planning. I think the best way to describe it is that it helps you figure out what you are and what you're not and gives you some parameters.

Another important element of a mission is that it's also a basis for developing commitment within your organization and alignment for the staff and the board of directors and all the constituent groups that you serve. The whole point of any institution is to try to get everybody moving in the same direction with the same kind of cause.

How many in this room have a mission statement and vision and values? That's pretty good.

How many of you would be willing to come up here and recite it? I don't see too many. A few brave souls. Good.

Now I'll go one further. How many of you would be

willing to take on the challenge of me leaving this room right now, calling your office, and, to whomever happens to answer the phone, saying "By the way can you tell me what your mission statement is", and feel that they'd be very comfortable with the answer? This is a brave group.

I first heard that challenge and the short hairs on the back of my neck stood up and definitely made me a little excited. That really is terrific that you have that much confidence.

And I didn't do that as a way to humiliate the folks in the audience, but as an important point. I think it's less important that you or your folks can actually recite that mission statement verbatim, but it's a sense of being able to live that and understand its essence.

And I asked you the question about calling your office because I think it's a very important thing that everyone in your office understands what that mission and vision and values are, and that they feel a part of that.

What does it take to develop the statements? I've thought "I'm going to stand up in front of this group and basically say I don't know", because the fact is that there's really no cookbook method of developing a mission statement.

A mission statement has to be unique to an organization

and reflect what you're all about. There's no easy way or simple way I can tell you how to make that happen.

Since a lot of associate organizations in this group have mission statements, I'm sure would be willing to share them with you if you're thinking about doing one. Sometimes that's good, to not have to reinvent the wheel. See what others are doing to try to understand some things that you can use in your own organization.

There is professional help available. I'm not talking about a therapist, however you might need one as a part of this process. But there are paid professionals that are out there who can help you facilitate and make the strategic planning come about. I'll explain a little bit about that because we're using one at the North Carolina Arboretum.

Some other things that are important are time and patience. I know they're scarce commodities for all of us. But I think it's important that you take the time and have the patience to see the strategic planning through and make it right. After all, this is not something that's a quick fix; it's something that's really going to be an important part of your organization and help everybody understand what's important for you.

So it's not one of those things you just discuss over cocktails one night at a board meeting. It's something that

takes a considerable amount of time to make it right.

The other issue is meaningful involvement or inclusion. That and trust, which I believe is a very critical part of the process.

Meaningful involvement just doesn't mean lip service to this whole program. It means deep involvement from all levels of the organization and from all the people who have an interest and stake in the success of the organization.

There's a statement: "No involvement, no commitment." And I don't feel you can really expect your staff, your board or your other constituents to feel a part of the organization unless somehow they have a say in what that mission and vision are, or unless they have a sense of ownership.

I think the best you can hope for is sense of compliance; you get good little foot soldiers following behind you, but not a real tie to the institution.

Empathy is another thing that I believe is important as a part of developing a mission statement. That's trying to truly understand another person's perspective as you get into this process; really being willing to listen.

I'm sure there are no really strong-willed people who

think they know what's best for the organization in this group. Of course, we don't have that here. But if that did happen to be the case, it's good to be able to step back and be open to the process and what may come out of it. Because, after all, the mission statement represents the whole institution and not just a particular person or part of it.

The Arboretum is nearing the completion of a master plan. The Arboretum has been in existence for about twelve years, and we've basically built the whole physical facility plan and are getting ready to open to the public. The entry road is going to be open, I believe, in July, or August, or will be completed in July and August. And the entry road opens up into the ramp of the Blue Ridge Parkway, which has roughly 20 million visitors a year.

I think things are about ready to change. I believe with that understanding, we knew that we were at a place where we needed to do some strategic planning and to look at where we are in light of all the changes.

Our director, George Briggs, asked our new development director and me to co-chair that effort so that we had a nice balance, an inside and outside perspective as part of the plan.

Then we set up a strategic planning team, which is composed of four board members, four staff members, three

volunteers, and one executive director, to work from the beginning all the way to the end of the strategic planning process.

During the first meeting, we immediately thought that we would be able to get right into the strategic planning. However, it was fairly obvious early on, when we started talking about the idea of mission, it was unclear to us what our mission was. We had a mission statement in place, but it had been in place for a number of years and we needed to look at changing in light of everything that was going on. So we decided to begin with this process of developing a vision, mission, and values.

We did a smart thing by hiring a facilitator to come in and help us—money well spent. As I mentioned, I think it's difficult for somebody close to the organization to be able to handle that role. Running this kind of process takes a lot of discipline, a lot of patience, and the ability to stay on task. Sometimes some of us may have a little difficulty with that, so it was nice to have an objective person on board.

I think the other advantage is it makes everybody a participant in the process, rather than having an executive director and board chair on the sidelines taking a different role. I think it helps reduce a little bit of cynicism as well. I'll talk about that in the next session on trust.

We then began a process of gaining input, which was important. We identified three key groups that we wanted to involve with in this whole vision, mission, and values statement development process.

We wanted to make sure that we included the staff first. The staff—because of the nature of their role with the organization, their day—in/day—out impact was an obvious choice to kick off this whole process. We then moved on to a session with the board of directors, and then another one with our society or membership board and volunteers.

The input sessions were wonderful. The one thing we started out with was trying to inform people about the process, what we were going to be doing—because a lot of these people weren't going to be involved on a day—to-day basis with us.

We spent the bulk of the time brainstorming, getting people in the room together, thinking about key concepts, what's important to the Arboretum in terms of vision, mission, and values. Then we tried to share with them that they have an opportunity for feedback.

Once that was completed, we reassembled our strategic planning team. And without getting all the details, we tried to integrate all the material, which was some project because there were volumes of notes.

But we were able to whittle through that and get at some of the key concepts, key phrases, key words, and be able to hone that down into some things we could use.

As I mentioned, we're not finished with this process, yet. We have about ninety-five percent confidence in our vision statements right now as we get ready to share them with the staff. We're arguing about words like "fun," if that tells you anything. So this is fun, actually.

And the mission statement is the next thing we're going to be working on, which will be toward the end of the month. Once those are in draft form, we will be reassembling staff and have a thorough input session with them to give them an opportunity to have feedback as well. We will also solicit feedback from the other constituent groups: the board members and, society members and volunteers as well.

Once that's done, we hope that we can come up with the proper wordsmithing to get good vision, mission, and values statements together, which we will submit to the executive committee and the board for final approval.

Before I wrap up, we're just about ready to get finished with the easy part. I feel that determining a mission, vision, and values is challenging work. It forces you to think about what's important. But once you've gotten

done with that, you've gotten past the easy part of the process.

The difficult part of the challenge is living it. Because, let's face it, we probably all know organizations that do this and in the beginning it sounds great; everybody is excited about it. It's framed nicely on somebody's mantel, and everybody says "Oh, isn't that a wonderful mission". But then nothing's really done about it. If that's your attitude, you probably should spend your time doing other things instead. It really defeats the whole purpose—it's a great trust destroyer.

There are some things that you can think about, ways to make the mission, vision, and values come alive. It's important to keep them in front of people as you move forward because this is what's going to help guide them, this is what's going to help them understand what you value in this organization, what you stand for.

We've done some positive things At our own company. my little up arrow signifies our vision. We have a vision "creating elevated experiences", and everybody on our staff wears the pin, which, forces people to ask us what it is—and that's a good thing—and forces us to really keep it on the top of our mind.

The rule of thumb is to be creative. Do something original. Don't just do something like everybody else. Look

for something that meets your needs, your own particular style.

The worst thing that can happen is that it can appear slogan-ish as if, it's the "slogan of the month" club. It's got to have deep meaning and these people, everybody involved in the organization, really have to believe and feel it.

The best way to make it come alive is to walk the walk. That's basically just living it. Particularly, as president of the company or the board, people are looking to me to see what I do; and they will do as I do. If I'm not following that, if I'm not doing what I'm saying I'm doing, there is no credibility in that statement. Unless you are doing it and making it happen and living it every day, it won't happen.

And just to finish, all of this is serving as a basis for our strategic planning. I think this process is a great springboard because to me, a strategic plan is all about how you are going to get to your vision. Now we're in the process of identifying that vision and we've taken a big step towards that.

MR. ROGERS: Any questions for Todd?

AUDIENCE: Has someone collected the statements together for the AABGA members? Is there some way to

reference those out?

MR. ROGERS: I just wrote down your suggestion to put together a book of AABGA membership vision and mission statements—that is a brilliant idea.

AUDIENCE: We have a start on that, and so we'd be happy to provide that to any of you. And then if your mission statement isn't included in our list, please send it to us.

MR. ROGERS: I think that's a great idea.

AUDIENCE: The list of mission statements is also in the plant collections.

AUDIENCE: On sale in the exhibit hall.

MR. ROGERS: The more we can get those around, the better.

AUDIENCE: Just a point of clarification. At your committee meeting, working on this, did you include board of trustee members?

MR. MORSE: Yes.

AUDIENCE: I know you said you were presenting it to the executive committee. But were there trustees

involved in formulating it along with staff?

MR. MORSE: Yes. We have four board members, four key staff people, and then volunteers and society members, and then our executive director.

AUDIENCE: I think that is key, to be sure that the staff, department heads, and the trustees are working together.

MR. MORSE: There has been a tradition in some companies that the management team, the board of directors, comes up with this vision, mission, and values, and from on high and they say "here, you go and live it". I think that's absolutely wrong.

AUDIENCE: Similar to mission statements, do we have templates for the by-laws formulation of boards of directors?

MR. ROGERS: That's another good question.

AUDIENCE: Give a couple examples of values as you defined them.

MR. MORSE: I like to think of values—and different companies or institutions look at them differently. Some of them use phrases. I like single words that are easy to remember. Values like integrity, how you're going to operate in your relationships with others; stewardship,

leadership.

We have growth as one. I think that represents an institutional commitment to the development of the staff. Also education—we try to come up with words in the process that have a lot of power and can mean a lot of different ideas. So as I said, it's probably different strokes for different folks. We like the idea of one, single word values.

AUDIENCE: Are those values then directly connected back to the mission?

MR. MORSE: We have not completed our mission, but I can speak to our organization. Our values are tied directly to the vision, because those values are the things that we're going to have to do day—in/day—out to get to the vision. I think those values are reflected in our vision at the Arboretum, at least the working draft of it.

MR. ROGERS: We're going to have to hold any more questions until the question session at the end. Thank you very much.

MR. MORSE: Thank you.



*Carefully Select and Orient
New Board Members*

MR. ROGERS: Perhaps I should introduce myself a little bit more thoroughly. I graduated from the U.S. Naval Academy at Annapolis, with a degree in electrical engineering, which is why I'm a plants person.

After a couple tours in Vietnam, I went to USC business school where I earned a Master's degree in business administration and finance. My business career started with IBM and meandered through investment management and finally into horticulture where I'm currently chairman of Pacific Earth Resources, which is a diversified horticulture company. We grow specimen trees, ground cover, shrubbery, turf grass, these kinds of things.

In addition to the Santa Barbara Botanic Garden my current activities include being a member of the California State board of forestry where I'm chairman of forest practice. I can assure you that being here is a great deal more fun than California forest policy. I can imagine that you've heard of such things as the spotted owl, the headwaters forest, easy things like that. Anyway, I'd much rather be here.

My topic today is "carefully select and orient new board members". This is a topic that is near and dear to my heart because it was my mission when I became president of the garden.

When I joined the garden, we had what one might call a social board. We've evolved into a board of exceptional strength and energy. The following is a short version of how we accomplished this metamorphosis.

We started by developing our own vision and mission statement. This sits in front of every board member every single time they come to a meeting (see appendix for vision/mission/summary strategic plan).

We've developed strategic planning and specific programs to accomplish our goals that are delineated in the mission & vision goals statement. This was done bottom up by our staff with our director organizing the process. Once done, it identified both staff and board skills that were necessary to accomplish those goals by each one of the programmatic issues.

When we divide up those skills as they relate to the board and to each board committee—and we have five committees—we were able to determine whether or not the board possessed the skills that were necessary for the institutional needs.

When we started looking at the board's skills and writing these skills on pieces of paper, this became an exceptionally confidential document, as is our judgment of people's skills. When we compared the board's skills to those required by our programs, we came up a little short on expertise from what we determined was needed.

Our next step was to select new board members. And the way we did that was: first a name was suggested, as normal, by board members, staff members, or people in the community. A resume was then put together by the proposer. The board membership committee is also the executive committee in our institution. This is because we have compressed the number of our committees we have as we want them to manage the garden. Instead of the board, we want the committees to manage the garden.

So we wanted good board members who are involved in the community. These people were hard to get and able to come to the garden every day or every week or even a couple times a month. As a consequence, we were careful about their time.

The executive committee, which also is the membership committee, evaluated the resume to see if there was a good match on the skills we had determined as our weaknesses.

We then approved for approach based on that and that alone. This is a very key point. A candidate was then invited to lunch at the garden. The executive director and two trustees known to the candidate carefully explained the duties and got the responses. The results were reported to the executive committee and voted upon. The vote on the new candidate is taken at the next board meeting.

Upon a successful vote the candidate was sent a letter of appointment and a complete set of documents that fully described the trustee's responsibilities, complete with how much time and money was going to be required, and actual committee assignments.

We always assign new trustees to our programs and collections committee; one of our five standing board committees; as well as to another committee assignment that pertains to their particular skill set, which was the main reason why we wanted that candidate in the first place.

We always assign programs and collections as a first assignment because that committee is virtually the heart of our garden. If you're on that committee for any period of time, you have the best exposure and best possibility of understanding of our garden, which is a quality we desperately need in all of our trustees.

Immediately after sending out this package, we invited the new trustee to a half-day orientation of all the garden's activities and facilities. Ed Schneider, our executive director, conducts the orientation. And the orientations are thorough and we keep at it until we're certain that the trustee understands what we're talking about. Do you have any questions about the process?

AUDIENCE: I attended your program last year and Ed mailed me some materials as followup. I have implemented those and trained my first class of board members, and I cannot say thank you enough.

MR. ROGERS: I'm glad they worked. The process has certainly worked for us. The tough part of it, though, is hanging in there. We all know that the worst part about being one of the board officers or being part of the membership committee is that you have these well meaning people giving you ideas for board members. And what protects you, this invisible shield between you and that problem, is the skills determination of what you. If we need a lawyer, we're going to do the following things, we need a public relations person, we're going to do the following things. We put somebody who understands planned giving on the board. And then they come along with this absolutely wonderful horticulturist, who is a dear, dear person and is known to every staff person you have, and you don't want them on your board because they do not fit the needs profile. That's a major

problem. So obviously you've got to be very tough and know your skill needs.

AUDIENCE: What about when the board has bought into it and everyone has agreed and then the board comes up with someone everyone loves and adores and they start immediately deviating. It's one thing for the staff. It's another matter when your board says yes, but this person knows about plants and knows all the events in town. Well, so what? You know what I mean. What do you do then? If you're the executive director, it's real hard to say "So what?"

MR. ROGERS: The executive director is in a tough position there.

AUDIENCE: Yes.

MR. ROGERS: The board principal or president has to be the purveyor of tough love. If the board president does not understand that the process is everything and is vital, you're doomed, you need a new board president. Did I say that strongly enough? Is your board president here? No, thank God. That person is banished from the room.

AUDIENCE: What happens after you go through this process and after you get the new board member on, they don't do what you're expecting?

MR. ROGERS: Discipline, discipline, discipline. Now we're getting back—these questions are good—to the crux of the matter. That is my worst problem. For example, this year I had to go nose to nose with a director and ultimately the director resigned from the board.

AUDIENCE: Director of development.

MR. ROGERS: No, staff hiring and firing is the responsibility of the CEO or executive director. This was a board director I'm referring to who was a problem and I went nose to nose with the person, and very politely, I thought, explained what we needed, things that we needed to get done. But the point of the matter is these institutions to which we all belong are not social events. We are losing our government funding. We are in a battle here for survival. We should run these institutions the way the captains of industry run theirs. You don't have any choice. I think the people who think they have more latitude are going to find out they don't in a very unfortunate circumstance.

AUDIENCE: Do you take into account their philanthropic intent at all?

MR. ROGERS: Absolutely. There are some places on our board for pure philanthropic intent. Part of our criteria for bringing somebody on, It's not only purely per-

formance oriented—I said I was going to be a meeting task master. We do it in loving grace, but we're tough. We believe that if we explain to a board member the needs of the institution and the board member does not buy into that, we need a new board member—because otherwise we're damaging the institution. We keep that in front of everyone, and if they can't live up to it, then we say to them in "could you come back when you can give us more time?"

AUDIENCE: Let's be clear about something. There's often times a conflict between selecting a board member who is truly mission—driven and a board member who is prominent in the community, very wealthy, but who may not be completely on board or completely understand the mission. Are you saying that where you come down is that they have to be on board with the mission first and foremost and everything else is secondary?

MR. ROGERS: No, Bob. Good question. Thank you for clarifying that. I believe that it's extremely difficult to find people in the community who are on board with your mission. If that had been my criteria at the Santa Barbara Botanic Garden, we would have very few board members. Because as you know, having been there, our garden was the best kept secret in the whole place. It was a jewel of the crown that was at the back of the crown. No one knew anything about it. So we had to get people on board and get them instilled in the mission, get

them pumped up about what we were doing for the community, what our mission really was. As we're doing such fun things in our gardens, getting board members enthusiastic isn't all that hard to do.

AUDIENCE: How do you ensure that they stay focused on that mission once they are on board if you're not sure they're there when they come on board?

MR. ROGERS: We keep tabs on everything our board members do. If they're tardy, etc. I'm being supercilious and flippant. It's not that bad. But what we do is make very certain that our board members, one, understand what's expected of them; and two, we give them report cards and they know beforehand they're going to get one. If they understand that the institution's viability is at risk, they tend to buy into the required performance.

AUDIENCE: To get started with that process, instead of selecting the new board members, if you're already entrenched with a board that has a way to go to get to the point where you're talking, that to me seems to be the overwhelming speed bump in the road.

MR. ROGERS: It is the overwhelming speed bump. It can dump the cart right over if you're not extraordinarily careful. That's exactly what we had when we started. I was chairman of the search committee that went out and found a good executive director who knew what he

was doing, and who had the same vision I did, which was to take the Santa Barbara Botanic Garden and make of it that which we all thought we could. Once you have those two people, the president of the board and the executive director, in place, then it's a lot easier. If you don't have those two elements in place, you've got a real problem.

AUDIENCE: I work for botanic gardens in South Africa, municipal gardens. Funds to run the garden are from the council. A trust was set up about six years ago. I presume one of the purposes of a trust, main purposes, is to raise money. Our problem was that they weren't raising money. Then a fringe organization was started to raise the money we couldn't raise with the trust, which is pretty ridiculous, because you have two organizations doing the same job. What recommendation can you make there?

MR. ROGERS: You know, I don't manage—I'm not part of a garden that has a financial component that has government in it at all, except pleading with IMS, as we all do, et cetera. So I don't really know what to say about that except in Los Angeles, we have several major gardens whose founding is suspicious at the moment. I would submit that a great number of us who think we have secure public funding, don't. It is always incumbent upon the garden to develop its independent set of fund raising and development directors.

AUDIENCE: Isn't it really the trustees who are the ones that should be raising the money?

MR. ROGERS: Absolutely.

AUDIENCE: It's ridiculous having two organizations because they start competing with each other and then they start competing with the gardens as well. I'm also a trustee and I started the fringe of the gardens. It becomes a problem because you have the trustees raising the money, one has to make the decisions in the gardens, one has to draw a fine line.

MR. ROGERS: I would agree.

AUDIENCE: As to how it is controlled.

MR. ROGERS: I would agree. I'm glad you're from South Africa because that virus doesn't need to get here. Keep it there, keep it there.

AUDIENCE: The best thing is what he just said: Find a good board president.

MR. ROGERS: And a good executive director, but you probably know one of those.



Understanding the Relationship Between the Board and the Staff

MR. ROGERS: Our next trustee responsibility that we're going to discuss today is "understanding the relationship between the board and the staff". Our presenter is Nancy Thomas.

Mrs. Thomas has an extensive track record in the horticultural world. She has held nearly a dozen offices in the Garden Club of America, including president, and is currently on the policy committee. She is a member of the board of trustees of the Houston Arboretum. She is on the board of the Center for Plant Conservation. She is vice chairman of the board of the American Horticultural Society. She is vice chairman of the board of the Lady Bird Johnson Wildflower Center. And she is on the advisory council of The Garden Conservancy. I'm amazed you're here, Nancy.

MS. THOMAS: Thank you, Richard. Does the phrase "the board is meeting here next week" cause anticipatory heart stoppage in your staff? Is the general feeling one that the micro managers are arriving? Is there dismay that the interruption of all constructive work is at hand?

Or does the staff view the upcoming board meeting as

an opportunity to display achievements and successes of the organization to an interested, informed, and dedicated board?

I hope the latter is a description of your staff's reaction to an upcoming board meeting. In serving as a trustee, both on a local community board as well as organizations with that of a national focus, I know that mutual trust and respect between the board members and the director CEO is imperative. The CEO must have authority and the responsibility to lead and to manage, and the board, which supports both.

There should be a clear job description that outlines his or her duties, and the expectations of the board should be clearly defined. Adequate policies for staff collection, training, promotion, and even grievances need to be in place.

Good communication. Now I suppose good communication is the answer to almost all of our problems. But with the CEO, it's essential to success. All the trustees should feel that they have a direct line to this executive and that it is a reciprocal arrangement.

Boards set policies and direction for an organization and support the programs. But if the best possible person has been selected to be in charge, hopefully that person will be allowed to run the show.

The entire board, not just the executive committee, has the responsibility for monitoring. And we've used that word a great deal, monitoring. There are many ways in which a board can do that: by reviewing data, observing programs, and watching the outcome of the programs. Strategic planning sessions are excellent for clarifying what is working and what needs changing.

Serving as a trustee of a local organization gives more opportunity for interaction with the staff as proximity finds them visiting the location more often.

A board with great geographic diversity serving a national organization's board who, except for the executive committee, possibly are there only two or maybe three times a year, must make a special effort to know the staff and appreciate their abilities.

Staff attendance and reports from them at board meetings are helpful. Board members must take the time to read and keep up with information sent to them between meetings. It's hard for board members to not leave and forget that their responsibilities are still in place; and it's most important for them to keep up through the information that's sent to them. That doesn't always happen. But they need to take the time to know what programs are being implemented and to determine if they are responsible to the stated mission.

A firsthand visit, which isn't always easy but is always helpful, to an ongoing project can be a rewarding experience. A trustee who finds the program does not live up to expectations can give some constructive feedback to the CEO—where the feedback belongs.

Words of praise for a job well done are also always welcome. If a board member chairs an individual committee responsibility and they are assigned a staff person with whom they will work, be sure that the trustee and the staff person share the same view of the job requirements.

When serving as president of an organization which had committees chaired by individuals and staff personnel—who were responsible to that individual for implementing the program of the committee—I asked the staff personnel to please write me a description of what they felt their job entailed, and I asked the committee chair to do the same. And believe me, sometimes they weren't talking about the same job. It's very important that each of them understand what their individual responsibilities are and implement them as required. Here again, good communication can overcome an awful lot of obstacles.

I think it's well to remember that written visions, missions, and goals are necessary and good. But they're not always as important as knowing what you're supposed to do when you show up in the morning. This is an impor-

tant element for which staff and the board can interact and come up with some good working conditions for everybody.

Understandably, my viewpoint, which is somewhat a philosophical one, is my own way of dealing with things. There are many ways that might work for other people and for the different organizations.

A trustee can establish good working relationships with the staff. It is also the responsibility of the staff to do their part to ensure successful interaction with the trustees.

MR. ROGERS: Thank you, Nancy. Any questions on that subject?

AUDIENCE: One that kind of crosses over between the two of you, I think one issue that comes into play here is the standing committees that you have and their role. What are your standing committees that you had mentioned earlier? They seemed like they were a little bit operations-oriented, from what I heard.

MR. ROGERS: Our standing committees are the executive committee and within that is board membership—that's one. The finance committee, which is not operational at all, is pure line finance. The outreach committee, which, as you might imagine, is kind of like marketing and development. Programs and collections, which is

absolutely direct control over the garden's operations. And facilities and buildings, which, when you're doing capital campaign—which is why we're organized in that manner—is also directly related to the garden's activities because our facilities plan is built from the bottom up with each square foot being accounted for by a program. That is directly related to the garden. It would be very easy for a building to be built—in fact it's probably happened to some of us—that didn't relate to the programs we were going to be running in it.

AUDIENCE: What is your reaction to this as a means of balancing the board? We disbanded our education committee, our facilities committee, every committee that had anything to do with operations, and substituted a special projects committee. When an operationally related item came up, like starting an outreach program, going out in the community, a task force was formed from that committee to do it and then go away. They worked with the staff, did the project, and then they went away until the next project.

MR. ROGERS: That's one very interesting way to do that. We've enjoyed a truly superb programs and collections committee chairman, he is vice chancellor of the University of California Santa Barbara. He is excellent, and understands not to interfere or micromanage.

Nancy, what's your experience with board members

who interfere?

AUDIENCE: If the solution is these committees that do a job and then go away when it's operational, they focus on the policy issues that relate to operations instead of the standing committees that tend to cause interference.

MR. ROGERS: You want to be certain that the board understands all of the specific actions that are in fact going on in the garden. Here's our goals. This is our 1997 annual report. We do this every single month. This has every goal from Goal 1, 1.1, all the way down to Goal 4, 4.4. We report to the board every single meeting on every single goal what was done in the garden. We do that so that the board understands that everything that is going on in the garden relates to the mission, vision, goals, and so on. Therefore, we're not doing anything in the garden that does not relate to where we all agreed that we're trying to go.

MS. THOMAS: There's another way of managing your committees, and that is to have them chaired by board personnel and staff but bring in people from the outside for that study at hand.

MR. ROGERS: Good point.

MS. THOMAS: And that way you keep ongoing information within your board's domain but you have the

experts who come in and help with the real questions.

MR. ROGERS: We had a problem with that at the Santa Barbara Botanic Garden when I first joined the board ten years ago. A couple of our trustees thought they owned the garden.

AUDIENCE: Non-board members on committees are also a good way to cultivate future board members.

MS. THOMAS: Yes, and it cultivates understanding, puts the word out.

AUDIENCE: To put a little lighter side on this, our president got kind of tired of people bringing up operational items that the director and staff should take care of. It was just so easy at a board meeting—we have a big board, about twenty-five, so there was always somebody that wanted to get into the nitty—gritty. So he bought a little wand with a bee on the top. He calls it the busy bee wand and he passes that around to the person that's getting off track and we all laugh.

MR. ROGERS: Ed, I just got another idea.

MS. THOMAS: It's important for the board not to micromanage. They need to take their thoughts and ideas to the director and let him or her do the directing.

AUDIENCE: What's the term limit? Where I work, it's been twenty-five years and there's no term limit.

MR. ROGERS: Twenty-five years? For a board member?

AUDIENCE: Yes.

MS. THOMAS: I think your by-laws need improving.

MR. ROGERS: My condolences.

AUDIENCE: What's average?

MS. THOMAS: I think a three-year term, and then possibility of another three years.

MR. ROGERS: That's what we do. Two three-year terms and then you're forced to leave the board for one year. When I first came aboard, I would not take the job as president without changing our by-laws to where the maximum amount the president could serve is two years with one more year in extremis and that had to be voted on by the board as extremis. We did not want these dynasties to keep going that squelch new ideas.

MS. THOMAS: You need to revitalize your board.

MR. ROGERS: However, the end of this year is my last

year as president. They're going to have to chase me out to get rid of me completely.

AUDIENCE: How does a staff person, without going through legal channels, prevent a board member who is terrorizing the staff in the operation by inappropriate behavior that is totally unacceptable, who has been on the board for twenty-five years?

MS. THOMAS: I think that Richard has answered just a while ago of going nose to nose with that board member.

AUDIENCE: Nobody has any guts. I'm being honest. I was in another meeting with somebody, they said we need rich members. I mean this is a real serious problem.

MR. ROGERS: That comes down to what we're talking about here.

MS. THOMAS: Do you not have term limits?

AUDIENCE: No term limits.

MS. THOMAS: Oh, that is bad.

MR. ROGERS: Have you thought of submitting your resume?

AUDIENCE: I have. On the goals as you pointed out, who's responsible for making sure the resources are there to implement the goals? Is that done hand in hand? We have this one list of goals for which there aren't the resources to implement them.

MS. THOMAS: If you don't include the people who have to implement the program in planning the program, you've got a real problem on your hands.

MR. ROGERS: All that is rolled up into a budget so that all the programmatic needs of the garden, whatever they are, are included. The executive director and the chief financial officer get together and develop a budget, so that nothing ends up being a goal that we can't afford to at least approach. No matter how systematic your approach, it doesn't keep you from getting people who say let's install a compactor in the herbarium that wasn't in the budget.

AUDIENCE: Are there financial expectations associated with both your cases of board appointments?

MS. THOMAS: Financial expectations? You mean on the part of the board?

AUDIENCE: Right.

MS. THOMAS: I don't think so.

\$9.99. We tell our board members that they're into it for a director club membership, which is a thousand dollars, right up front. Then we expect them to be participative in fund raising activities appropriate for their position and our goals. The biggest problem you can run into with acquiring directors is not letting them know what the game is. Of course, if they're already your director, what do you do? You have somebody who in all likelihood isn't going to be very effective.



Organizing Itself so that the Board Operates Efficiently

MR. ROGERS: Our final trustee responsibility to discuss is "Organizing itself so that the board operates efficiently". Our presenter is Mr. William Bush.

Mr. Bush received his B.A. degree from Yale University. He was executive vice-president of the Hartford National Bank and Trust Company. He was president and member of the board of Boatmans National Bank in Saint Louis. He is currently with Bush and O'Donnell, a St. Louis firm specializing in investment management and financial advisory services.

Mr. Bush is on a number of corporate boards and community service boards in St. Louis and elsewhere. He was chairman, of the Saint Louis University board of trustees. He is currently president of the board of Missouri Botanical Gardens. And, in addition, his family reunions are probably a great deal more interesting than most. Mr. Bush.

MR. BUSH: Thank you. I'm delighted to be here, especially to see Nancy Morin, who made a magnificent

contribution to the Missouri Botanical Gardens when she was there. We miss her every day, but she's doing great work as Executive Director of the AABGA and we're happy to see her.

My role here is to discuss organizing so that the board acquits its duties efficiently and responsibly. I can say at the outset what we do may not be applicable to what you do, but some of the basic principles apply.

One of our problems—and it's also sort of a nice opportunity—is that our particular charter emanates from the will of Henry Shaw. When he passed away in 1885, he established how the garden was going to be run in the future.

Over the years there have been some amendments to that trust, but it really hasn't changed that much in principle. We currently have a twenty-two-member directorate with ten term trustees who serve two four-year terms at Missouri Botanical Garden, if they choose to do so.

We also have eight ex—officio trustees: the mayor of the City of St. Louis, the county executor of St. Louis County, the presidents of Washington University, Saint Louis University, and the University of Missouri at Saint Louis; the head of the school board in St. Louis City; the president of the membership board or friends board; and,

oddly, the Episcopal bishop of Missouri. Henry, it seems, liked to hedge his bets.

All of the above, thirty in number, have the voting power, and, today the legal liability commensurate with directorships of this sort. We also have twenty-six trustees emeritus, many of whom are very active.

You know, I once asked my dad what "emeritus" meant. He said "Son, it comes from the Latin. 'E' is for out and 'meritus' is for you damn well deserve it". Some of our emeritus trustees are in that category. But many are very active, many serve as committee chairmen and so forth, and we're glad to have them on the team.

Some other facts that help us decide how we're going to organize to get the job done include the following. We have 35,000 members, 360 employees, and 900 permanent volunteers who fill the equivalent of 46 full—time jobs, and 735,000 visitors to the garden annually.

We have three sites in St. Louis: The garden itself has sixty-two acres of display gardens and buildings where most of the staff is housed.

A 2,500 acre arboretum west of town featuring a half mile of river and fourteen miles of hiking trails. There's also a fifty-acre tract of restored native prairie and a native wildflower garden of about ten acres in size.

Our last site, right in the middle of the heart of suburbia, is a thirty-three-acre display prairie.

Our horticulture division operates the St. Louis sites.

Our research division currently has fifty-six Ph.D.'s located in seventeen countries, primarily in Latin America and Africa; a huge publications commitment, and the second largest herbarium in the world.

The arboretum has its own team of managers fifty miles west of town.

The Center for Plant Conservation operates administratively at the garden but has their own policy and their own program, their own board and their own funding, independent from the Missouri Botanical Garden.

Finally, our education division has a broad mission of outreach teaching botany and ecology in the public schools as well as on site.

In his will Henry Shaw required that the director of the garden also be a professor of botany at Washington University. The Garden actually operates the graduate programs in botany for Washington University, Saint Louis University, and the University of Missouri at St. Louis.

The University of Missouri at St. Louis has established an international center of tropical ecology, which brings people studying plants to Saint Louis and we are the principal teacher of those folks. So close is our relationship with Washington University, they actually pay one third of Peter's salary.

All of the above translates into a \$21 million budget. We receive \$5 million a year from taxes, \$7 million from grants and other forms of income, and \$9 million from private philanthropy, including endowment income.

With all that as background, here's how we organized to get the job done. Our presiding officer is called the president, our CEO is the director, and both positions by design are strong ones. The president appoints all committees, sets agenda, supervises stewardship plans, and criticizes the performance of the director.

Those of you who know Peter Raven will understand that doing so is a little bit like criticizing God. The experience is a rewarding one, and occasionally it clarifies any misunderstandings between the director and the board and makes for a very smooth and efficient communication system.

The president must coordinate the director's compensation with the chancellor of Washington University, so he

has some clout in those discussions. And the president is also the person who's responsible to evaluate the needs of additional trustees on boards.

Incidentally, you might be interested in how we went about the performance review of the director. My predecessors had a system of calling around to key members of the board and key people in the community on a private, confidential basis, and getting together information that might be worthwhile as part of an overall criticism process. That seems to work well.

It's important that that be done. If there's one piece of information that you take from this session here, it would be that you have to have a formal, regular performance review of your chief executive officer so that that person knows exactly where he or she stands with the board at all times.

The president otherwise can focus on the committee work. Some presidents have been more active than others, but by working closely with the director and major committee heads, the workload can be equitable.

Our board meets as a whole eight times a year. The president runs the meetings. We have strong, active committees. Their reports to the board are supposed to be concise. This enables us to focus at the meeting on one or two opportunities or specific issues facing the garden,

and to hear a report from Peter on his activities, which generally is the highlight of the meeting anyway.

We have three work horse committees: finance, long range planning, and building and grounds.

The finance committee is comprised of folks who are comfortable with budgets, audits, pensions, allocation, and compliance matters. The controller, our chief financial officer, is staff to that committee. And the chair of this committee reports to the board meeting at each board meeting, but the finance committee meetings are long and sometimes arduous.

Seven of the eleven members of our committee have been CEOs of major companies. They review and approve the annual budget, quarterly reports, the annual audit and management matters, the results of ancillary activities such as the shop and the restaurant, and they get into such detail that the board can generally accept their reports as presented. There also is a subcommittee of the finance committee who reviews the performance of our investment and reserves.

Each year the planning committee is structured with very high-powered folks on it and focuses on the five-year plan and its annual renewal. I have never really had any real feedback from the staff on the five-year plan. But the sessions with the planning committee have been

among the most exciting I've had in the garden, because the division head comes in and makes a presentation about the future, and then that is monitored by the finance department and the folks from Peter's department going forward. And really they've got a wonderful system of heading off at the pass any plans that were ill-advised in the first place and somehow slipped through the cracks.

But it is that regular review of the long range plan and updating it every year for the next five years that matters.

A third major committee focuses on our physical plant and equipment. We have sixty buildings, ranging in age from 1833 to the present. All display garden, plant and capital expenditures come under their purview.

Having experienced real estate people as members of the board has been important for us because we are in the process of a property acquisition program to help solidify our neighborhood, which I will tell you more about later.

We're currently discussing whether we need a development committee, a fund raising committee *per se*. Currently the finance committee and long range committee planning together, have approved the needs. When we've gone to actually raise the money, like a capital drive, we establish a separate organization to do that.

We do have three organizations which raise annual funds: the membership or friends committee; we have a Henry Shaw Club for donors who give between 1 and 5 thousand dollars a year; and the new Peter H. Raven Society, which is an effort to entice people to commit to giving 10 to 25 thousand dollars a year for operating funds.

Incidentally at the end of our first full year of operation, the Raven Society membership gave over a million dollars, and it was actually double the amount that those families had given in prior years. So it goes to show you that if one has a beloved institution, people will be more generous than is expected, especially if you ask them to give the money in an intelligent way.

Our membership board or friends board has several activities per year which not only promote membership but raise upwards of \$200,000 above and beyond the dues and revenue created thereby.

At any moment in time board members will staff *ad hoc* committees to look at particular problems. This includes reviewing personnel procedures to lobbying. Many of us believe the trustees best serve when they are most urgently needed, and the board understands that working together as a team creates a job quicker and better.

We believe the garden board can respond with necessary

urgency to problems that from time to time arise. As magnificent as our garden is, it's located in a relatively blighted area. Or we hope someday we can say that it was.

Recognizing the problem, my predecessor initiated a program of buying property around the garden as it became available for sale. Last year Peter recruited from the University of Chicago a man to come down as deputy director experienced in managing the relationship between the city and a major urban educational institution.

As a result he's established bridges to neighbors, to politicians, to the schools, and has called upon active board members for help. Response has been enthusiastic and prompt, and we are already beginning to see a reversal of decay and a dawn of a new era in our neighborhood.

Before I take too much credit for what the board does, let me say without a true leader or CEO, none of the above can happen. His inclusive and competent style breeds enthusiasm for the job of being on the board of trustees at the Garden.

We also have under Peter, a team of division managers of superior talent, one of whom was recruited to run the AABGA. And we are very proud of our total management team, including our director.

The relationship was raised over here, the question about whether or not a trustee could harass a staff member with or without the president's knowledge. I don't think that really could happen twice. It might happen once, but it could never happen twice at the Garden, because the division managers feel strong enough in their role and in their place in the organization to blow the whistle without any fear of any kind of repercussion.

I think that the important thing in institutional governments, in institutional organizations, is for a board to put the talent on appropriate missions. That's the role of the president and board, to make sure that that happens. Thank you.

AUDIENCE: I'd like to ask the rest of the panel to comment on the subject Mr. Bush just talked about, that is, evaluating a CEO, and not just the process, but how do you as a board let the CEO know how he's going to be evaluated? It isn't just whether he's done a good job or not done a good job. It's always subjective, but how do you make it a little more objective?

MS. THOMAS: I think it's a difficult situation to have your director feeling that he is constantly behaving that way, but I suppose that programmatically he is being evaluated for all that's happening all the time. It must not be an easy role to have that.

AUDIENCE: But do you have a once-a-year process or —

MS. THOMAS: If you have guidelines and job descriptions that you anticipate being followed by your CEO, you certainly would use those in evaluating whether or not they were being adhered to and lived up to appropriately.

The person who's doing the evaluating would be the problem, and I suppose it must come from the president of the board to initiate that kind of evaluation.

MR. ROGERS: Absolutely. Todd, do you have anything specific on that?

MR. MORSE: With our executive director, Mr. George Briggs, sitting right in front of me, I think it would be a little difficult to answer that.

GEORGE BRIGGS: Should I leave the room?

MR. MORSE: That is probably something we really need to look at, too. I've been on the board about three years now. I'm aware that our board shared some sort of evaluation, but I'm not really aware of the process actually.

MR. ROGERS: We run Santa Barbara much like you would run a for-profit organization, with a human resources organization. I review Ed Schneider every year, very specifically set goals, immediate and long term targets for him, review them at the end of the year, and if there is any deviation at the end of the year, I talk to him. We're much more like true human resources.

AUDIENCE: As a non-profit organization you have different criteria.

MR. ROGERS: Oh, yes. All the goals that I set for Ed are all very specific, all written down, "do this", "these are the sorts of things I'd like you to work on", "here's where I think you're particularly strong", "this is great, etc". My sense of it is if you wake up in the morning and there's no mirror in your bathroom, how the heck are you supposed to know what you look like? It's not fair for the board to harbor concerns about a director and not explain them. Nor is it fair for a director to do the same with their department heads, or department heads with their staff. You have to have the guts to actually schedule regular employment reviews and go through those. No one likes to evaluate people. But you've got to do it. It just requires discipline.

AUDIENCE: We've gone to a written question review about the director for every board member. They can answer all or nothing. Some don't have the knowledge in

certain areas. But that's what we use. And then we correlate all that, and then the president goes in and discusses it based on what the board says.

MR. ROGERS: That's excellent.

AUDIENCE: Occasionally we've had a personality problem where we've just thrown out one of those things.

MR. ROGERS: We do have those.

AUDIENCE: The National Center Non—Profit Boards is very helpful for that. It also comes on disk so you can customize it.

MR. ROGERS: Good point. Thank you for bringing it up.

AUDIENCE: Do any of you institutionalize any of these principles written board policies, for example, the relationship of board to staff? Some of these other things that are working for you now and may be working for many of us, we want to make sure they continue to work. And as board members turn over, the staff is the constant. But board policies toward this end are also helpful.

MR. ROGERS: One of the problems that institutions have is succession. It's not only succession of leadership

but succession of the policies. Sometimes they'll die if they're not institutionalized. Bucky, do you do anything in that regard?

MR. BUSH: We don't have much—other than mission statements, which the board has for its role. But it's fairly brief and fairly general. Because the role of presidency at the garden board is so strong, he or she can literally change the committees, on that person's own recognition. The only reason it hasn't been changed is because it seems to be working pretty well on the theory that if it ain't broke, you don't fix it. It's just continued to operate, at least the last twenty years.

AUDIENCE: How do you ensure that issues that board members are concerned about, and perhaps discuss among each other informally, somehow get put on the agenda and actually dealt with and aired?

MR. BUSH: Any board member who wants to discuss anything can notify the corporate secretary at the garden. If it's a matter that, in the president's judgment should be discussed privately, then there are private sessions arranged. But if it's something that is of a broad interest to the other trustees, it's put on the agenda.

MR. MORSE: I think those things come up generally in the committee meetings. It funnels in if we've got something that really needs to be discussed. But I guess we're

missing all this juicy stuff. It runs very well at our institution.

MR. ROGERS: Don't miss it! At the Santa Barbara Garden we actually go so far as to have a trustees' comments period just before we adjourn. I put it there because no one will want to ramble on as they want to get out of the meeting. I ask for trustees' comments and I will lock eyes on every single board member. No one can feel they didn't have an opportunity to comment. Sometimes people raise things beforehand, and the corporate secretary issue is a good one. We use that too. We really want to institutionalize that. There was a sense in regimes past in our garden that there was a train coming down the track that was being run by the executive committee or someone in particular. We wanted to stop that. That's why we broke up the term of the presidency. We wanted new blood, new thinking. If we didn't get buy—in on every single individual trustee and they didn't feel as if they had buy—in, then they didn't feel as if they were part of the act. As a result we were not going to have succession.

AUDIENCE: Somebody brought up the idea of the trustees keeping check on the CEOs and the people, what they're doing. Shouldn't the CEOs and the people go to the trustees and tell them what they want?

MR. BUSH: We've never had a problem with that.

MS. THOMAS: I think he's going to ultimately—every director here is going to—become a much stronger person in order to fill this role that he has assumed.

MR. ROGERS: Maybe some directors need to get a little stronger.

MR. BUSH: It's a serious question. If the director is the CEO of the organization in the by-laws or in the charter or by custom, that person must act as a chief executive officer. If you have a matter that the management of that garden thinks is so important and the CEO wants something that the board isn't going to give him, it shows a certain lack of confidence if they have the ability to do it. Now, if it's a new building, a huge capital expenditure or something like that, it requires a much broader outreach because the directors aren't in a position of granting it. But if it's an organizational matter, or a piece of equipment here or there, or a new program to help enhance the reputation and outreach of the garden itself, the board must either second guess the chief executive officer or fall in behind his or her leadership and say "What can I do to help?". When the place is working well, when the CEO or the director, needs help, the board members are in behind him, pulling on the oars for a short period of time until they get across the river. They're not fighting the war; they're just getting the Army across the river. And that is really the relationship

that has to exist in order for the garden to move forward. Unfortunately, any institution has periods of time in its history where it moves ahead and when it holds—treads water for a while. Sometimes it even slips back a little bit. We had a problem: Peter's predecessor just didn't do anything for fifteen, twenty years—he just sat. It happens in universities, it happens in hospitals, it happens anywhere. The key is that the director—if he or she is strong, has to step up and take the leadership and demand that the trustees—in a nice way, of course—pull the oar. As I said in my talk, trustees serve best when they feel they're really needed. When they're sitting reading an audit report, everything is fine. All of a sudden you call them up and say I need some help, I've got to go to New York and talk to the McArthur foundation, come along with me and help me sell this situation. People are queued up to go.

MR. ROGERS: My experience is exactly the same. The best way to lose the board is keep sending all the financial data to them. They'll sit there, their head goes down while they attempt to assimilate. It is impossible to do so unless you have been tracking all along.

MR. BUSH: Weekly financial reports.

MR. ROGERS: Weekly, and we're going to have a quiz. They're absolutely awful. People love to be needed.

AUDIENCE: I need some deep-pocketed trustees for my board. How do you attract people like that to a board?

MR. BUSH: Where do you live?

AUDIENCE: Here in Germantown, Philadelphia.

MR. BUSH: I just was out at a magnificent garden in Wayne called Chanticleer. There is a lot of money in Philadelphia and there will be a lot more in the future because it's a growing business community here. I think what you need to do is to get one—find one person who actually has a garden and is not on the Longwood board and say "I really need some help, I've got a project I want to do, and I was hoping you were the one to help me do it." You don't want to ask them for a thousand bucks. Ask them whatever it is, \$250,000, and put them on your board. All of a sudden they'll see that will lead to another and another. If you're selling large donations from people who have gardens and love plants, who are rich, for a garden like ours or a garden like any of yours, it's nowhere near as tough as selling donations to art museums where they're only going to put pictures on somebody else's wall. It is something that people want to do because it's worthwhile. You're helping enhance a beautiful world for everybody, and it's a sale that I think you're going to find doable. You're going to fail a couple times. It doesn't happen the first time. You've got to find

them. That's the only way.

MS. THOMAS: When you have an organization that's so worthwhile and you do work in a community, that naturally supports their own organization, you're blessed because they have a loyalty built in already. You have a much more difficult problem when it's a national organization for which you have to create loyalty within your board. I think it's wonderful that local communities are so supportive of your wonderful gardens and institutions. It's a more negative situation with a national organization that doesn't have that community spin.

AUDIENCE: Having been a part of an organization that benefits from having term limits on the board and also having a lot of the bells and whistles you all have discussed today in place prior to my arrival, I would like to have someone help this poor person who is stuck with the 25-year. My experience is that if you get an outsider or one person on your board who agrees with you, you say "Here's what the Non-Profit Board says we should be doing." I would like to hear some comment on how you solve that huge problem this person has.

MR. BUSH: I think there's a difference between a problem whether you have term limits on the board or a board member harassing.

MR. BUSH: In the former, in the former case with term

limits, if it is determined that it's in the best interests of the organization to establish term limits, the leadership of the board is going to have to take some kind of active role in that. It's hard for an employed person to turn immediately to their employer and say "By the way, I sincerely hope you'll be out of here."

MR. BUSH: If a CEO is strong, that person has to go up to them and say I went to the AABGA, there was a committee on governance, they had four trustees up there and all of them said that term limits was a necessary component of their board of trustees, do you mind if I look into it and get a consultant in here and meet with the board members and really have a board policy as to this matter?

MR. BUSH: Any chairman worth his salt would say absolutely.

MR. ROGERS: My phone number and all of ours are in the brochure. I would take a call from any CEO who wanted to discuss that.

AUDIENCE: Another thing that has worked for organizations, if convincing your chairman of the board to call and talk to other chairmans of the board that understand these things so they hear it from a peer instead of just you.

MR. ROGERS: Absolutely. The only way we're going to get anywhere with this dialogue is to engage in that, get those trustees, get those CEOs, get those chairmen and presidents of the board, get them talking and get them all together. Now what I've got to do is get us untogether here. Thank you, panel. And thank you all.

Santa Barbara Botanic Garden

VISION STATEMENT

Our vision expresses what we aspire to be valued for and embodies our purpose.

Santa Barbara Botanic Garden is an educational and scientific institution. We foster stewardship of the natural world through inspired learning, rigorous scholarship, and premier displays.

MISSION STATEMENT

Our mission is what we do to achieve our vision.

Through an emphasis on plants native to California, we advance knowledge and understanding of plant life and provide a rewarding experience for our visitors.

1996 - 2000 GOALS

Our goals provide direction, inspiration, and a framework for developing strategic objectives.

- 1) Give new vigor and focus to core programs in science, education, and display.
- 2) Broaden excellence in all programs and operating environment.
- 3) Ensure long term viability of the Garden and its programs.
- 4) Serve and involve diverse audiences.

Adopted September 19, 1996

TRUSTEE RESPONSIBILITIES

Santa Barbara Botanic Garden 1996-2000 Strategic Plan

1.1 - Ensure that Garden collections serve as a valuable educational and scientific resource.

- A. Improve and conserve living collections.
- B. Preserve non-living collections.
- C. Maintain computerized records of Garden collections.
- D. Increase use of all Garden collections.
- E. Complete and implement Grounds Interpretation Plan.

1.2 - Disseminate knowledge acquired from collections and program activities.

- A. Develop an exhibits program.
- B. Increase publications.
- C. Improve educational opportunities for the public.
- D. Introduce at least five new cultivars to the horticulture industry in five years.

1.3 - Study and conserve rare, threatened and endangered species.

- A. Complete Conservation Policy with action items.
- B. Conduct research.
- C. Propagate rare or endangered plants.
- D. Develop cooperative ties with conservation organi-

TRUSTEE RESPONSIBILITIES

zations.

E. Expand programs to educate the public about native plant conservation.

1.4 - Maintain and strengthen partnerships and collaborative agreements.

- A. Develop and expand collaborative agreements.
- B. Increase co-sponsorship of Garden programs with local and regional educational partners and community organizations.

2.1 - Continue to strengthen the mutual commitment between institution and staff.

- A. Offer a salaries and benefits compensation package that is within the top 20% of comparable institutions.
- B. Provide essential tools, and adequate resources and staffing to maximize employee productivity.
- C. Improve staff communication.
- D. Create a training and professional development plan for each employee.
- E. Revise the evaluation process for staff and management.
- F. Strengthen relationships between staff and Trustees.

2.2 - Improve volunteer effectiveness.

- A. Improve communication between volunteers and staff.
- B. Improve volunteer job satisfaction.
- C. Create a written volunteer training and evaluation

TRUSTEE RESPONSIBILITIES

plan.

D. Maintain and improve volunteer recognition.

2.3 - Establish standards that will ensure quality programs.

A. Develop standards for individual programs of each department.

2.4 - Improve maintenance of facilities and grounds, and implement Master Plan for enhancements.

A. Improve safety and convenience of all Garden facilities.

B. Maintain current facilities as a priority over new facilities.

C. Improve maintenance of grounds and living collections.

D. Replace existing maintenance facility.

3.1 - Maintain an effective, comprehensive public relations program.

A. Develop public relations and marketing plans.

B. Broaden community involvement at SBBG.

C. Broaden SBBG involvement in the community.

3.2 - Expand development efforts.

A. Re-establish Development Department and reorganize current functions of Development Office staff.

B. Expand development efforts to fund existing programs, not only new ones, in all departments.

TRUSTEE RESPONSIBILITIES

C. Increase individual contributions

D. Increase membership income.

E. Establish a major gifts program.

F. Increase external support for Garden events.

3.3 - Increase earned income.

A. Increase income from admissions.

B. Increase income from events.

C. Increase earnings of Garden Shop by 3-8% per year.

D. Increase sales at the Garden Growers Nursery.

3.4 - Broaden involvement of Trustees and community leaders.

A. Enlist Trustees and Ironwood Council to help promote the Garden and involve community leaders.

B. Enlist Trustees and Ironwood Council to participate in and support fundraising efforts.

C. Review structure and recruitment of Board of Trustees.

4.1 - The Garden will promote diversity.

A. Expand programs and services to benefit diverse audiences.

B. Improve accessibility to grounds and programs.

C. Develop cultural events programs to attract new audiences with varied interests.

D. Increase diversity of Board of Trustees, staff, and volunteers (age, cultural, economic, etc).

Also Available

CEO's and Trustees: Building Working Partnerships (Part I), Schneider, Edward L., Editor. 96 pages. \$12, ISBN: 1-888310-00-6) Allen A. Knoll, Publishers, Santa Barbara, CA, 1998.

CEO's and Trustees: Building Working Partnerships (Part II), Schneider, Edward L. and Rogers, Richard B., Editors. 88 pages, \$12, ISBN: 1-888310-01-4, Allen A. Knoll, Publishers, Santa Barbara, CA, 1999.

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TRUSTEE RESPONSIBILITIES:

ENHANCING STAFF UNDERSTANDING Part II



RICHARD B. ROGERS,
EDITOR

Santa Barbara Botanic Garden

1999 AABGA TRUSTEE
RESPONSIBILITIES:
ENHANCING
STAFF
UNDERSTANDING
PART II

Richard B. Rogers, Editor
Trustee, Santa Barbara Botanic Garden

AMERICAN ASSOCIATION OF BOTANICAL
GARDENS AND ARBORETA
1999 ANNUAL CONFERENCE
A CENTURY OF PLANTS
Vancouver, British Columbia, Canada
June 30 - July 3, 1999



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Notice of Disclaimer

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For Trustees and Staff

*as they seek to improve community service,
communication, understanding and mission*

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PREFACE

This text evolved from a panel presentation made at the 1999 annual meeting of the American Association of Botanical Gardens and Arboretum (AABGA) held at The Hotel Vancouver, Vancouver, British Columbia, and hosted by The University of British Columbia Botanical Garden and the VanDusen Botanical Garden. The presentation was organized to highlight the importance of Trustee roles and responsibilities—for all members of the American Association of Botanic garden and Arboreta (AABGA)—garden staff, volunteers, and peer trustees—as well as others in non- and for-profit institutions. The presentation was built upon the premise that enhanced understanding of the trustee roles and responsibilities will impact the working relations among stakeholders as well as serve as a forum for trustees to share experiences and learn from each other. This booklet, the fourth and probably last in a series, is also offered in the hope that it will provide an opportunity for trustees to share their experiences and challenges as volunteer members of governing boards. Trustees are essential to the success of any non-profit organization, especially Botanical Gardens. Collectively, they provide direction, access to resources, and credibility in the community, but they cannot achieve these important goals unless they are governed well and understand their roles. In the following pages are chronicled the perspective of four veteran trustees. This compilation is offered as examples from which others may better understand trusteeship and improve leadership to the organization they serve. It is hoped that this booklet as the others before it, enhances the use and value of the AABGA Resource Center.

Richard B. Rogers, Trustee of the Board
Santa Barbara Botanic Garden
Santa Barbara, CA 93105

SESSION FORMAT

Four panelists, each with distinguished service and leadership records will make a 15-20 minute presentation of their experiences; most successful, but some less successful, and how these experiences have helped to shape their view of the important roles and responsibilities of governance in nonprofit botanical gardens and arboreta.

PANEL PARTICIPANTS

MODERATOR AND SPEAKER:

RICHARD B. ROGERS,
Trustee and Past-President of the Board
Santa Barbara Botanical Gardens

SPEAKERS

NANCY THOMAS,
Vice-Chair of the Board of Trustee
Lady Bird Johnson Wildflower Center

TODD MORSE,
Vice-President, Board of Directors
The North Carolina Arboretum

PHIL ASHMORE,
Past President of the Board
VanDusen Botanical Garden

Trustee Responsibilities Enhancing Staff Understanding Part II

INTRODUCTION

RICHARD ROGERS: Good afternoon. Our session today is entitled *Developing an Effective Board, Trustee and Staff Responsibilities*, a little bit different from our panel at last year's AABGA.

Our panel had its origins back in New York in 1997, where we discussed a similar subject. We did Act II and Act III in Philadelphia last year, and here we are in Vancouver, where, incidentally, my youngest daughter went to UBC, so I'm feeling a bit at home, and so here we are with Act IV.

We have once again assembled a cast of stellar panelists, who are ready to reveal the inner workings and hidden mechanisms that drive their boards and the institutions that they are now and have been involved with over the past.

The session is again no-holds barred. It said that in the announcement, and we really mean that. So, if a question occurs to you, ask away. For those of you who are staff, here's an opportunity to ask a trustee why they actually interfere so much and get away with it.

Three of our panelists are veterans of last year's session, one is a new kid on the block, and they're all massively overqualified, except perhaps myself, and I'll introduce them as they get up to give their portion of

the presentations.

Our format will be as follows: each panelist will present about ten minutes on a particular trustee responsibility that they have taken on, and they'll take about five minutes of questions after their formal presentation. There's a huge amount to cover here. We're only going to be covering just a few bits and pieces of this. We're going to at least say what the responsibilities are. If you have any ideas, please do interact—ask your question or make your comment.

I will start by naming the responsibilities of boards of trustees as put forth by the National Center for Nonprofit Boards. That is an absolutely wonderful document for those of who you have seen it, and if you haven't, I have a copy. While the panel has selected but four of these to discuss, they are all available for discussion.

The first trustee responsibility is to determine the organization's mission and purpose. Todd Morse is going to be discussing this subject since he has just lived it over the last year.

The second trustee responsibility is to select and support the executive and review his or her performance. Perhaps the most significant decision a board makes is whom to select as chief executive. An effective board will draft a clear job description that outlines the duties of the chief executive and will undertake a carefully planned search process whenever that position is vacant. In addition, the board will support its chief executive by providing that person with frequent, and hopefully constructive, feedback and by periodically conducting an

evaluation to help the chief executive strengthen his or her performance.

The third responsibility is to improve and monitor the organization's programs and services. The board is responsible for deciding which programs among the many that are available are the most consistent with the mission. In addition, the board must monitor the programs to ensure that their quality is as high as possible and that their messages remain consistent with the mission. This is a great deal more difficult than we tend to think.

The fourth responsibility is to raise money. I will present an overview of the currently-ongoing 75th anniversary campaign for the Santa Barbara Botanic Garden, as I have the dubious pleasure of having gone from being President of the Board to Chairman of the Capital Campaign. Phil Ashmore will also be discussing a little bit about financial implications in the sense of the joint-reporting problems that came up in last year's session, that were so interesting to many.

The fifth responsibility is to ensure effective fiscal management. The board should approve an annual operating budget and then monitor throughout the year the organization's ability to adhere to that budget. In addition, the board should require an audit over the year by an independent accountant and verify, to itself and to the public, that the organization is reporting accurately the sources and uses of its funds. Phil Ashmore is going to be touching on that subject, as well.

Another responsibility is to engage in strategic planning. One of the major contributions that a board

can make is to consider that which the organization needs to accomplish over the next three to five years and to recommend action to reach those goals. This is critical. At Santa Barbara, we were absolutely helpless until we finished our strategic plan, and now we're truly empowered.

The next responsibility is to carefully select and orient new board members. A good board is made up of individuals who have been selected to provide critically-needed skills, experience, perspective, wisdom and time to the organization. Once new members are selected, a board should orient new members to their responsibilities and the organization's activities. There should be a disciplined process to ensure each trustee's performance, and there should be a regular rotation of both the leadership of the board and the board itself, so as to promote energy and new ideas.

The eighth responsibility is to understand the relationship between board and staff. Nancy Thomas is going to be focusing on that subject. The ninth responsibility is to organize itself so that the board operates efficiently. Because meetings of the full board cannot always accommodate an in-depth discussion, and I'm sure we've all experienced this as trustees and staff, a lot of the board's business must be done offline in committees. Therefore, the selection of those committees, the leadership of those committees, the discipline of those committees, making certain that those committees are in fact doing that which is consistent with the mission, and the goals and the strategic plan, are all very, very critical. Once again, the focus is primarily on leadership, both at

the committee level and at the board president or chairman level, to ensure discipline.

The tenth responsibility is to enhance the organization's public image. The board should ensure the development of a marketing and public relations strategy that includes written and visual communications, such as annual reports and newsletters. Phil, in fact, is responsible for one of those. Public relations strategy also includes fact sheets and press releases. The word about the organization's programs needs to be spread. At Santa Barbara, we had a very significant problem in this regard. We never told anybody what we did, and thus we were the best kept secret in the community. You pay for that in the sense that you don't get recognition. People know you're there, but they don't really know what you are. So it's essential that you reach out, if you want the community's support. That was a quick run-through of a board's responsibilities. We can discuss, as I said, each one of these in depth, but there's virtually no way for us to do that in an hour and a half.

Our first panelist will discuss a board's mission and purpose, and our presenter will be Mr. Todd Morse. Mr. Morse is currently president and general manager of the Chimney Rock Company and Chimney Rock Park. He is vice-president of the Board of Directors of the North Carolina Arboretum Society, where he is co-chair of the Strategic Planning Team and Chair of Planning and Programs, and probably a great deal more, considering that he is one of our hosts for next year's AABGA meeting. Mr. Morse.



The Board's Mission and Purpose

TODD MORSE: I'm glad to be back here again this year to talk about something very important to any effective organization, and that's the whole idea of mission. I'm going to try to do a quick review of some of the points that I went over last year related to mission. Then I'll spend more of my time talking about how we developed our mission, vision and values, and incorporated them into strategic planning, which, as we've heard, is another important trustee responsibility.

When I was here last year, we were just beginning this process of brainstorming out our mission, vision and values. Now we've finished. While I don't believe this makes us experts, we've certainly come a long way in that year.

Last year we talked about the concepts of mission, vision and values and their importance to an organization. Mission, just simply address why the organization exists, or what is its purpose; and then two related concepts, vision and values, which I believe are really required to round out the whole strategic picture. Vision creates an image of what it will look like when we've arrived. When we create this ideal future for ourselves, what will that look like. And then values are how will we get there, the kinds of things that we will hold dear to our hearts that we'll need to do every day to make that vision and mission come alive. The importance of these statements is that they create focus and direction for the organization. Perhaps more subtly, they also serve as a basis for commitment and an alignment for staff, board

and volunteers.

We discussed some key elements in developing each of these statements. The first one was there is really no easy answer. There is no cookbook out there that says, "This is the way you create your mission." It's truly a unique process that each and every organization has to define for themselves. Time and patience are critical. Little did we know how much time and how much patience we'd need. As I mentioned, the twelve months that it took to get it just right was quite important.

Lastly, inclusion was a real necessity in this process. I believe that in order for these statements to truly serve the organization and be effective, there's got to be a broad base of interaction as part of their development. Inclusion is necessary as you move forward and need the trust that comes out of developing these statements.

A little bit of historical perspective: You saw this morning in the video a little bit of history and background on the Arboretum. The Arboretum has been around now for twelve years. During the first twelve years, a lot of time and energy had been spent building facilities and gardens, instituting a programmatic component, integrating staff and volunteers into the operation, and the culmination of, next year, creating a presence in the region and also the botanical world.

We felt that at that point the time was right to build on those successes and set a common and compelling focus for the future. George Briggs, our director, appointed me and our Director of Development, Linda Wilkerson, to co-chair our Strategic Planning Team,

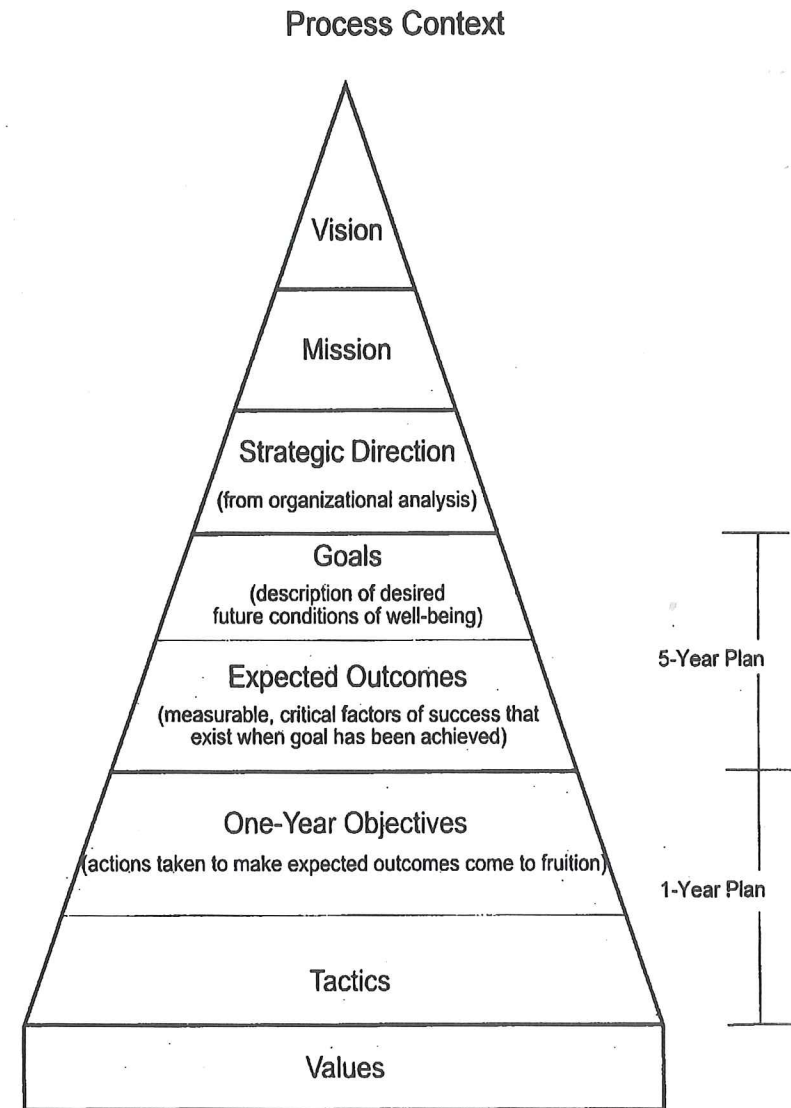
which was made up of four board members, four staff members, three volunteers and/or friends' members and our director. This was a terrific representation of the key participants needed for this process. It was a tremendous move, particularly now, looking back in hindsight, to appoint co-chairs. And I don't say that self-servingly, since I was one of the co-chairs, but, rather, because we did it with an internal and an external co-chair, which I feel provided some balance inside and out.

We then contracted with a consultant in the early stages of the process. It helped bring a lot of objectivity to the process, create less potential for cynicism and criticism further down the road, and freed up everybody to be able to participate, the key staff people, the director, and, as I mentioned, the board members. And we actually, surprisingly enough, did this on a pretty reasonable budget. I'm sure a lot of people when they hear "consultant" usually think big money, but that really wasn't the case in our case. I believe if you work at it and look hard enough you can certainly find good consultants that can do a good job of facilitating this process and keeping it on track.

The first thing that we discovered when we got into this process was that we lacked a well-defined, broadly-shared mission. (See Figure 1). This is a diagram of process context that our consultant brought to us. It shows that the very base of all of this process with strategic planning is this base of values, the things you do day in and day out that form the foundation of the organization. And moving up the ladder are strategic issues, the one-year objectives and the five-year plan that help you

FIGURE 1

The North Carolina Arboretum

"Shaping the Future — Roots and Shoots"

Leslie Anderson Consulting, Inc.

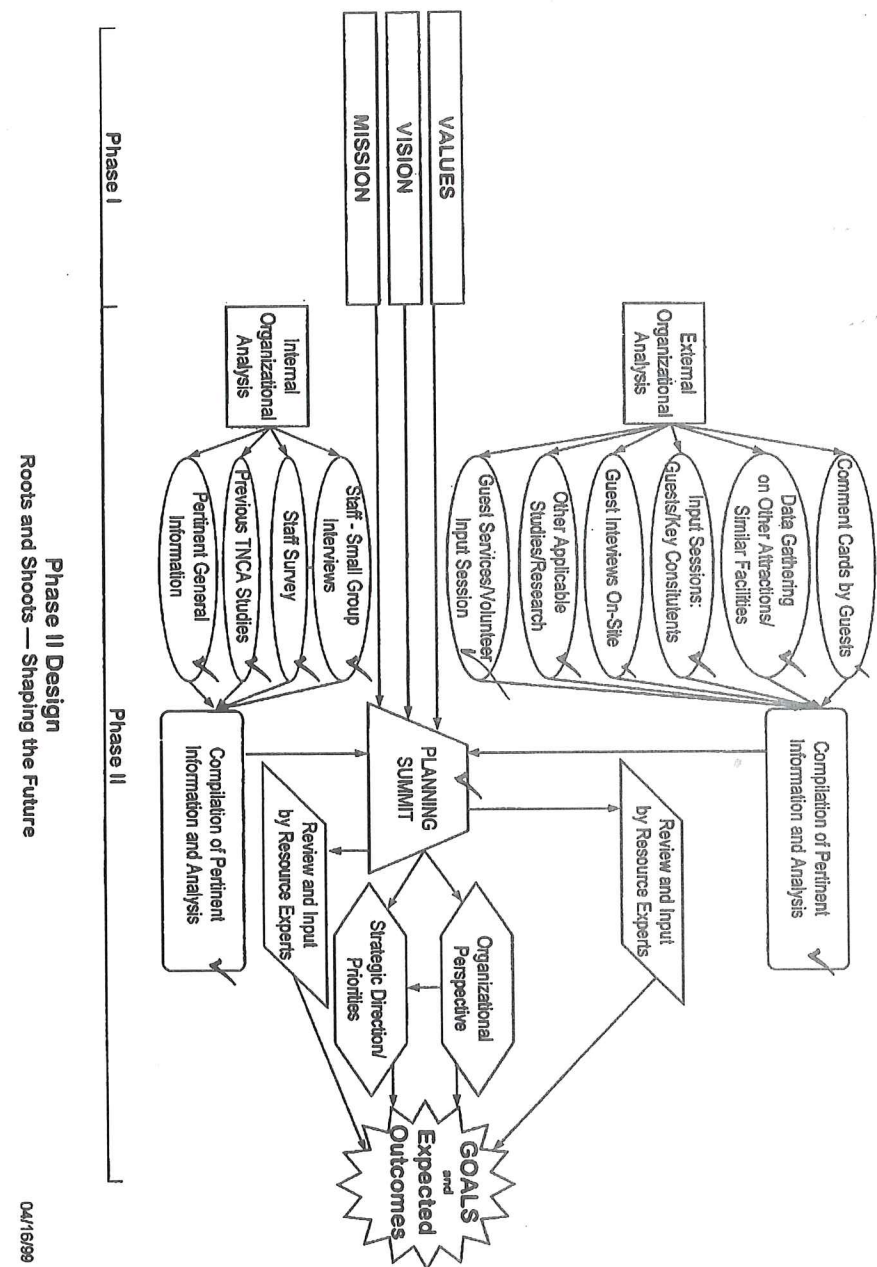
get toward the strategic direction and your vision and mission. I thought that it was a useful diagram that tied together why vision, mission and values are so important overall.

Rather than jumping into strategic direction development, our planning team chose to start the process with a proper foundation, which was the definition of vision, mission and values. We knew that correct identification of those would create the focus for the rest of the process.

Figure 2 points out how critical those concepts were to the process. This may look like the play that won the Super Bowl last year, but I even think we actually understand it, believe it or not. This is part of what you pay the consultants for, to come up with these really neat diagrams. It very simply, once you get in and examine it, shows how we approach this. It may not look very simple, but it is. You can see that vision, mission and values are the common threads that run all the way through the process.

We also discovered early on that we had a strong interest from various constituent groups in being part of the process. We began the whole process of soliciting input, first with staff—and I can't emphasize enough how important it is to get staff involvement first. Ultimately, the staff members are going to be the ones who will carry out the strategic plan, and it's so important to get their involvement in the process. We also involved our friends' board and volunteers, as well as the main overall governing board for the Arboretum. By the end of this process of developing the mission, vision and values, we

FIGURE 2



had received input from over a hundred people. It sounds pretty unwieldy, but it was quite valuable.

We took all the data that we received from these input sessions and compiled and synthesized them into common themes to help focus our intention a little bit more. Then we began the process of drafting each statement. Once those statements were completed, we had a staff feedback session. It was also rather important that we involved the staff as much as we could every step along the way to help them see what the strategic planning team had come up with in order to give them the opportunity to give feedback before we moved any further. And we got a lot of very valuable feedback and suggestions that we then worked to incorporate into our final statements.

So finally, (figure 3), the completed product. We talked about the importance of mission, vision, and values. Some people just do vision and mission statements; I'm a big believer in values, too. That's very important, particularly to the internal audience, as we've said, with staff.

Some quick observations about the process: As I mentioned earlier, it took a great deal of time getting the words right. The flow, the feel, the semantics of each statement or each concept were extremely important. Internally, there's an opportunity for more dialogue, but think about the audiences to whom you may potentially be sending these. In our case, it may have been state government, the university system, everybody or anybody within our region, as well as the staff. There were a lot of audiences that had to take a look at this and be able

The North Carolina Arboretum

"Shaping the Future — Roots and Shoots"



Values, Vision and Mission

Values:

- Beauty
- Excellence
- Fun
- Growth
- Harmony
- Innovation
- Integrity
- Knowledge
- Leadership
- Renewal
- Respect
- Service
- Stewardship

Vision:

The North Carolina Arboretum promotes the stewardship and enjoyment of the wealth of plant life within the Southern Appalachians through world-class gardens demonstrating cultivated and natural landscapes. A dedicated professional and volunteer staff creates innovative experiences, fosters regional and global partnerships, and stimulates economic opportunities. The Arboretum honors and preserves the unique cultural and natural heritage of the region.

Mission:

Located in the inspirational Southern Appalachian Mountains, the North Carolina Arboretum cultivates connections between people and plants through creative expressions of landscape stewardship, including:

- Conservation
- Research
- Education
- Garden Demonstration
- Economic Development

to make sense of it without the explanation. So semantics in this case are truly important.

On another note about getting the words right: We felt really good about our values, but we definitely wrestled over these, and the one that probably had the most wrangling was the word "fun". Imagine that! But it's an interesting point. I'm sure all of the organizations in this room consider themselves very serious mission-oriented organizations which is wonderful way to be. I think that our discussion reflected two ideas: One, having to do with what our visitors are coming here to do. (To have fun!) Two, we wanted the staff to have fun, too. Those were both important parts of being successful. So fun stayed! I was happy about that. Fun should be there!

The process of developing these statements, too, is very valuable. The obvious primary benefit is focus. Another benefit is the great relationship building that occurs during the development of these statements. Really, if we think back on it, we had a lot of interaction with various groups that don't get much of a chance to interact on a regular basis: different boards, staff, volunteers, people out in the community. It was a terrific process. And I mentioned the other more subtle, but very important benefit of trust building. And then the commitment that builds toward the vision by the simple fact of developing these statements and really believing in them is incredible. According to some staff reports, it's become pretty exciting to be operating in a mission-driven way now that these have been completed. The budget process is beginning to reflect more of the priority being given to mission issues and vision issues.

Internal problem-solving discussions consciously reflect strong consideration of the mission and vision. So it just doesn't end here; it goes on.

Where did we go from here, or where are we going? Where we went—and that's that previous diagram you may have seen—was that we had a planning summit. We used these statements as a springboard to begin that planning summit, which was held in April. A strategic direction was developed, as were goals, and now the staff is in the process of implementing them. I made the comment that once we got done with that, the easy part was finished. And we liked the process so much, and the results so much, we're going to do it again. I will be President of the Society or friends' fund-raising board this fall, and we're going to start it all over again with the Society Board. I'm looking forward to doing it. It may be a scaled-down version of it; it should be a little easier. But it was a very good process, and we're looking forward to carrying it forward.

QUESTION: Why do you feel you have to do that?

TODD MORSE: I think it's just a clarification. The big reason is that since the society board began, a lot has changed with the organization. For us, as an arboretum, we really, in many respects, have only been open to the public for a year. The world of the Arboretum is changing right now, and, if nothing else, it helps just drop back into a place where you rethink your focus. It may be just an affirmation of your current direction, but I think it's a good exercise to do every once in a while.

And that's a last point, maybe, that this doesn't just go away and die and sit on the shelf. If that's what happens, then it was, for us, a waste of twelve months. I know that in our case, that's not going to happen. This has to be a very living, moving set of statements in order to help the organization. But they do deserve review from time to time, to just test them and validate them, if nothing else.

And I'd be shirking my duties if I didn't invite you to join us next year in 2000. We're excited about hosting this group, and the other groups that are going to be a part of it, and also about sharing our vision with you. Thank you.

RICHARD ROGERS: Thank you, Todd. Are there any questions for Todd?

QUESTION: I guess this speaks of a real process-oriented board. What if you're on a board as a member, not an official, that is not—or you perceive not to be—process-oriented; how would you encourage them to embark on something like this?

TODD MORSE: That's a good question. We have a very process-oriented director, and my co-chair, Linda, was extremely process oriented. I think it's just a matter of continuing to pound the issue. If you feel that strongly about it, it's probably a matter of just sticking to it and enlisting the support of other members.

RICHARD ROGERS: Do any of the panelists have a

comment about that?

DR. PHIL ASHMORE: Don't you have access to this group, so that you could bring forward your point of view?

QUESTION: Yes.

DR. PHIL ASHMORE: Well, maybe if you did that strongly enough, I think they probably would wind up doing what Todd has described.

RICHARD ROGERS: I concur. At Santa Barbara, I joined the board twelve years ago, and we started moving in this direction six years ago. One tends to back into things like this. You really cannot insult a board of directors who have been there and, in their minds, been doing a constructive and dutiful job. What you have to do is slowly either educate them or replace them.

TODD MORSE: Is there a way that over time you can get into a leadership position to be able to push this forward? This type of a session, or sharing the same kind of experiences with others, just adds weight to your argument. So the more you can show that other organizations that are very successful are doing this and using this kind of a process, I think all the better.

QUESTION: What was the forum or the venue of—for the board evolving these statements? Was it retreats? Was it board meetings inside closed rooms? Could you

explain that a little bit?

TODD MORSE: The one common thread that ran throughout this process and also the strategic-planning process was this core group that I talked about. That was the body that worked through this. When we did input sessions, they took a number of different formats. The staff was a little different than the board versus the public, the volunteers, and so on. We did what we felt based on the group. We solicited some anonymous feedback, to the staff, because there was a concern about what would be the best way to get staff to be the most honest and feel the most comfortable in sharing their ideas. So we looked at it in a variety of ways. One was to pass out a questionnaire about what people thought was important. When we did the feedback sessions, those were done in small groups and as a big group. We varied the format throughout the process. The volunteer society or our fund-raising board were done as a large group and then broken up into small group processes. The board came to one of these sessions, as well. So there was a lot of large group discussion and also small group work.

RICHARD ROGERS: Santa Barbara was very similar. We were bottom-up staff-driven programatically.

QUESTION: What is a reasonable fee for the kind of help you got from the consulting firm?

TODD MORSE: It's hard to say. I can't remember just the portion of the mission/vision, because we also used

this consultant to do strategic planning with us, too. The size of your organization, where your organization is, the breadth of the group that you would like to have part of this, will be a factor that would affect the fees, but you might be looking at anywhere from \$1000, \$2000 to \$5,000, \$6,000, would be just a guess, and I'm sure you could go well above that if you'd like to.

RICHARD ROGERS: Nancy Thomas is our next presenter. She will discuss a combination of responsibilities, but focus on understanding the board/staff relationship. Mrs. Thomas is immensely experienced. She has held a dozen offices with the Garden Club of American, including president. She's a member of the Board of Trustees of the Houston Arboretum. She is on the board of the Center for Plant Conservation. She is vice-chair of the American Horticultural Society, vice-chair of the Ladybird Johnson Wild Flower Centre. She is also serving on the Advisory Council of the Garden Conservancy.



Understanding the Board/Staff Relationship

NANCY THOMAS: Thank you, Richard. It's wonderful to be here again. This is a great organization for horticultural networking, and I truly have enjoyed being a part of this community. It's a wonderful experience for me as a trustee.

My role is to discuss the relationship between the board and the staff of an organization for which each serves.

Does the phrase "The board is meeting here next week" cause anticipatory heart stoppage in your staff? Is the general feeling one that "The micro-managers are arriving"? Is there dismay that the interruption of all constructive work is at hand? And does preparation for a board meeting consume an inordinate amount of time on the part of the director and the staff? Do you have your staff spend a great deal of time, and is it a tremendous experience, getting ready for board meetings? Possibly, the staff use the upcoming board meeting as an opportunity to display achievements and successes of the organization to an interested, informed and dedicated board. I hope that this is the scenario that takes place in your organization prior to a board meeting. In serving as a trustee both on local community boards, as well as of organizations with a national focus, I know that mutual trust and respect between the board members and the Director/CEO and the members of the staff is imperative. A primary factor for good working relationships between board and staff is a clear differentiation between the board's governance role and the staff's management role. When these roles are defined and respected, the board and the staff are free from numerous distractions and the confusion of blurry lines of responsibility. They are also enabled to contribute their unique strengths towards the organization's mission. The CEO must have the authority and the responsibility to lead and to manage and a board which supports his or her efforts. There

should be a clear job description that outlines his other duties, and the expectations of the board should be clearly defined. Adequate policies for staff collection, training, promotion, and even grievances, should be in place. Boards set policies and directions for an organization and support the programs, but if the best possible person has been selected and put in charge, hopefully, that person will be allowed to run the show.

Good communication is another important factor in board relationships. I suppose good communication is the answer to almost all of our problems in all walks of life. With the CEO, it is essential to success, and the trustees should feel that they have a direct line to this executive and that it should be a reciprocal arrangement. I was delighted the other day to call the secretary of a board on which I serve, and having received the answer to my question from the secretary, I was still told that her CEO liked to speak to board members when they called. I was impressed and felt good that this director enjoyed talking to the members of his board when they called and that he was receptive to them.

If a board member chairs an individual committee responsibility and they are assigned a staff person with whom they will work, be sure that the trustee and the staff person share the same view of that job requirement. When serving as president of an organization which had committees chaired by individuals and staff personnel who were responsible to that individual for implementing the program of the committee, I asked the staff personnel to write for me a description of what their job entailed, and I asked the committee chair to do

the same. Sometimes you wouldn't have thought they were talking about the same job. It is important that each understand what their individual responsibilities are and implement them as required. Here again, good communication can overcome a great many obstacles. There is no secret recipe for learning to communicate well, but there are some basic concepts that can be mastered. Make communication a top priority. Be open to people. Create a receptive environment for good communication. Knowing the members of the staff of the organization on a more personal level gives a board member greater understanding of staff abilities and strengths. Serving as a trustee of a local organization gives more interaction time with the staff, as proximity finds them visiting the site more often. A board with a great geographical diversity, serving a national organization, which possibly is present at the physical plant of the group only one or two times a year, must make a special effort to know the staff and appreciate their talents. Staff attendance and reports from them at board meetings are helpful. Board members must take the time to read and keep up with information sent to them. That doesn't always happen, and sadly, there are a lot of board members who after leaving a meeting don't really give it a great deal of thought until the next time a meeting is called. But they are responsible for knowing what programs are being implemented and for determining if they are responsible to the mission of the organization. A firsthand visit to an ongoing project can be a rewarding experience for a trustee. They can give constructive feedback to the CEO, and that is where the feedback belongs. The entire

board, not just the executive committee, has the responsibility for being aware of the outcome and outreach of programs implemented by the staff. There are many ways in which a board can do this: They can review data, talk with the CEO, read the reports sent to them, talk with the staff. Strategic-planning sessions such as you've just heard about are excellent for clarifying what is working and what needs changing. Staff must be included in such sessions, for it is imperative to include in the planning those who must implement the plan. Structuring a regular review of the CEO's performance as it relates to the organization's stated goals and expected outcome is important. But it is equally important for the board to evaluate its own performance with self-assessments. It's well to remember that written visions, missions and goals are necessary and good, but they are not always as important as knowing what you're supposed to do when you show up in the morning. The staff must know what is expected of them at work, have the right materials and equipment to do the job correctly, and have someone who encourages their development. Words of praise from board members for a job well done are also essential. The continuity of the staff of the organization is vital. Board members come and go with much more rapidity than capable staff members, and a motivated, skillful staff is an essential element in the long-time excellence of an organization. My viewpoint is personal, based on my own experiences. There are many ways that might work effectively for other people and in other circumstances, as well as for organizations that might differ. These are constructive elements for trustees to utilize in develop-

ing and in having good working relationships with staff members. It is always equally the responsibility of the staff to do their part to ensure successful interaction with the trustees. Thank you.

QUESTION: One of the challenges from a staff perspective is when a board member also serves as a volunteer at the organization, like, hands-on, working side by side with the staff. How do you see that balancing out between that staff person almost having to give a board person direction in the day-to-day responsibilities and the operation of the organization?

NANCY THOMAS: When a person volunteers on a firsthand basis such as that, it's a wonderful opportunity for both them and the staff member to interact. You create a different type of working relationship. There's not usually a problem, because the volunteer is anxious to be there and to be helpful that they're happy to take direction from someone who knows a great deal that they can learn.

RICHARD ROGERS: Thank you, Nancy.

Our next presenter is the panel rookie,—he doesn't look it, but he is—Dr. Phil Ashmore. Phil is an actual native of Vancouver. He was a pediatric surgeon and chief of surgery at British Columbia Children's Hospital until his retirement in 1992. He has received numerous professional honors and has been a member of many professional societies. He joined the Board of the VanDusen Botanical Garden Association in 1991 and was

president of the board from 1995 through 1997. In addition to being still active on the board, he's editor of the VanDusen Bulletin. He will discuss joint reporting and related topics.



Dual Governance and Experiences

DR. PHIL ASHMORE: Thanks very much, Richard. I'm delighted to be considered a rookie at my age. It's an honor. I'm going to talk mostly about experiences, what I have learned in being involved with the botanical garden. You might ask, "What's a nice pediatric surgeon like you doing in a place like this?" and I think that's a good question. But because I've been on the board, I've been president of the association, vice-president, past president, and so on, I have learned a few things about this kind of an organization.

Mr. Bush, who was a panel participant last year, described in detail his background in the Missouri Botanical Garden, which I think has a budget of \$51 million a year. I will start off by putting my organization in context, because our budget is smaller than that. Quite a bit smaller.

I'd like to mention that we talk in our organization, and all of these organizations, about board training and education (fig. 4). Our projectionist today has been president of the VanDusen Botanical Garden Association, and she's still a member of the board, and now she's being trained as a projectionist. So we take this very seriously.

In our last bulletin from VanDusen, we had a picture of two of our board members shoveling manure at the manure sale, another part of our training program. I think it's good experience all around.

VanDusen Garden is not identical, in many respects, to the management structure of many of the gardens from which you people come. Our garden is supported by two different organizations. It started off that way, and it still is. On the left, you see the Vancouver Park Board is the owner of the Garden and supports the Garden and particularly supports maintenance and the general costs of running the Garden. The Botanical Garden Association, the nonprofit association of which I am involved, supports the more academic aspects of the Garden. It supports the educational aspect, it supports a library, the merchandising of the Garden, and also, with the Park Board, it jointly sponsors a number of fund-raising activities such as special events. These together work to function at VanDusen, both from direct grants from both organizations to the overall activities of the Garden, and from what we call returned revenue: gate receipts, shop sales, special-event income and so forth, that goes directly back to the Garden. While that actually comes into the coffers of the Park Board and then goes to the Garden, the VanDusen Botanical Garden Association, is involved in promoting that because we do the merchandising and so forth for the Garden.

I'd like to give you an idea of our budget, which is less than 51 million (fig. 5).

The total expenditure for VanDusen Garden in '97 was about \$2.5 million, and that covers the costs of

FIGURE 4

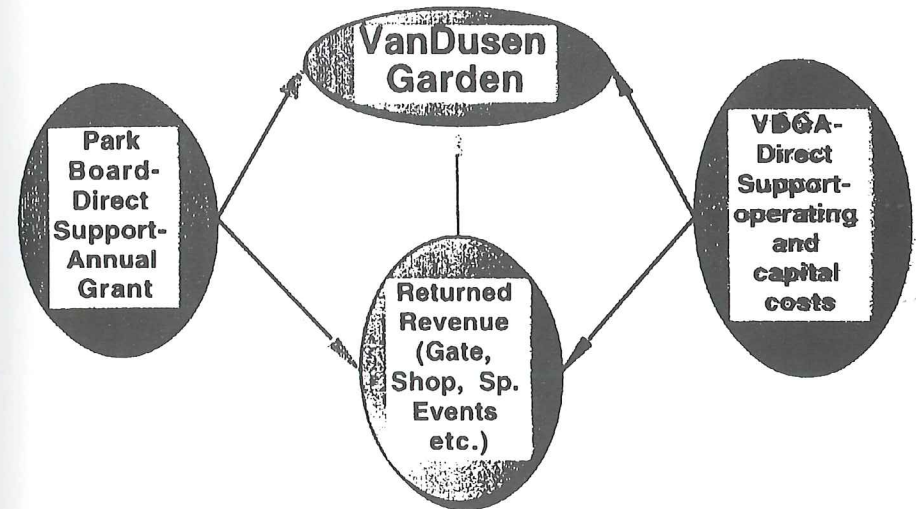
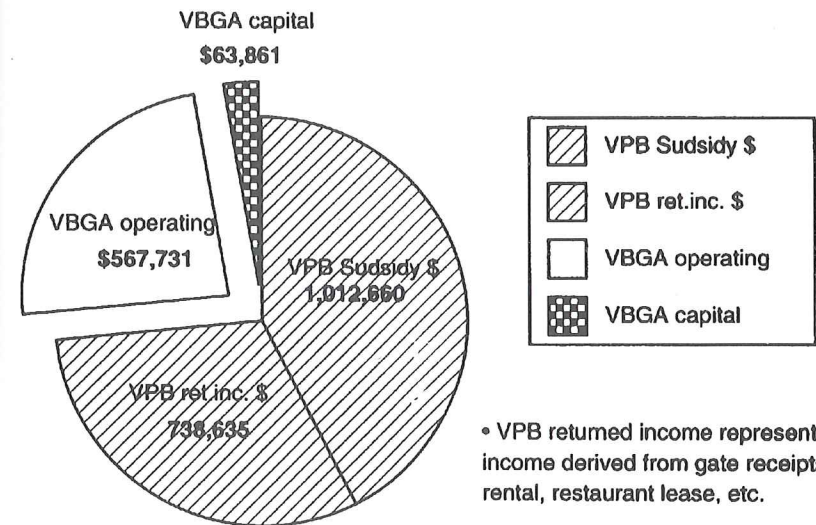


FIGURE 5

Funding Base - VanDusen Garden - 1997



Total expenditure in 1997 - \$2,402,907

the employees, the programs, everything we did, including capital costs, and it's divided so that about three-quarters of it comes from the Park Board directly, which, incidentally, the Vancouver Park Board gets its money from the City of Vancouver, and it's tax related. A good chunk of that is returned revenue, and then the non-profit, the VBGA portion, is about a quarter of it, which includes over half a million dollars in operating budget and about \$60,000 in capital costs.

Figure 6 shows the organization and chart of our organization. We have a board of about 20 people, an executive, which includes the president, past president, vice-president times two, treasurer and secretary, and then a variety of committees. I was horrified to find that I had missed two committees in putting this slide together. There's building and grounds, education, finance, fund-raising, development and marketing. We also have a membership committee and a volunteer committee that are very important. I'm spending a moment on this because the committee concept is important in an organization such as this.

Figure 7 shows the employees of the VBGA, the VanDusen Botanical Garden Association. We do not have a CEO. This is like saying that the Pope has resigned or something. Most people feel that an organization like ours should have a CEO. But I suspect that in this audience there are people representing gardens who also may not have that CEO.

The CEO of the VanDusen Botanical Garden Association is the president of the association. I mentioned that the Park Board runs our Garden, and they

FIGURE 6

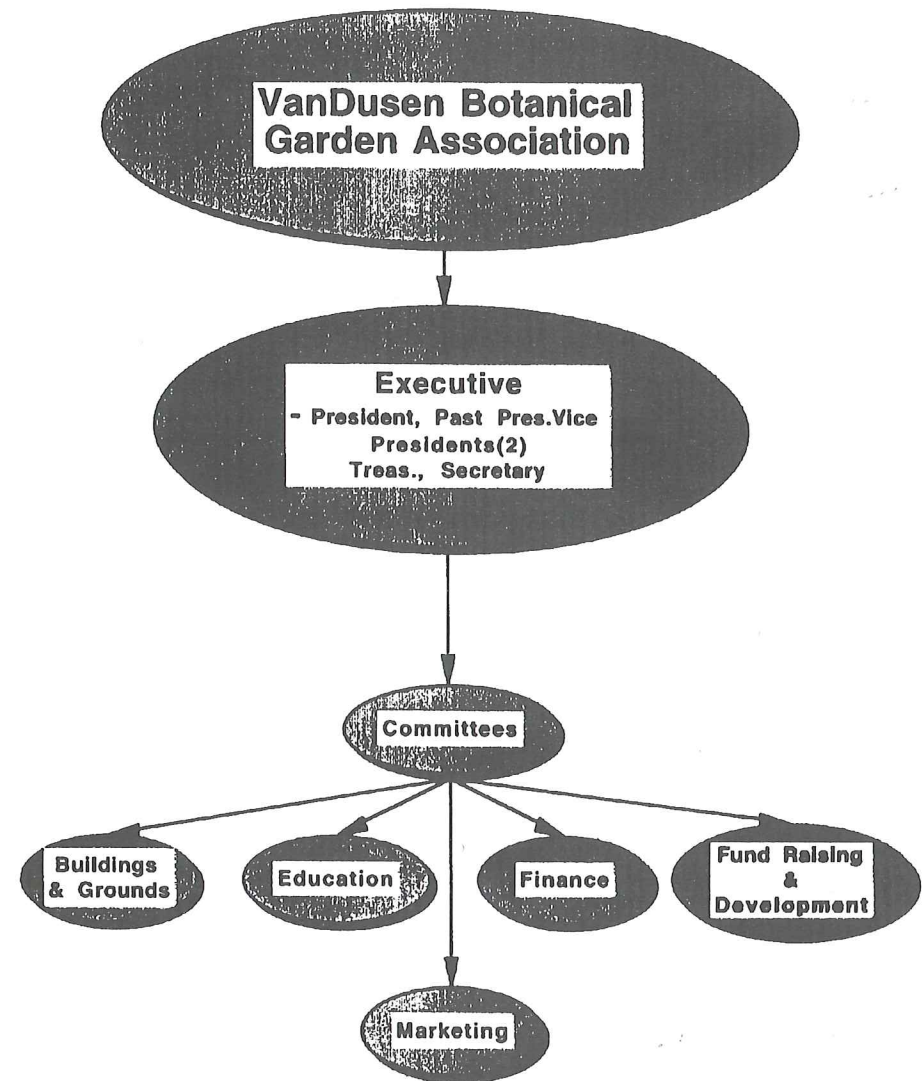


FIGURE 7

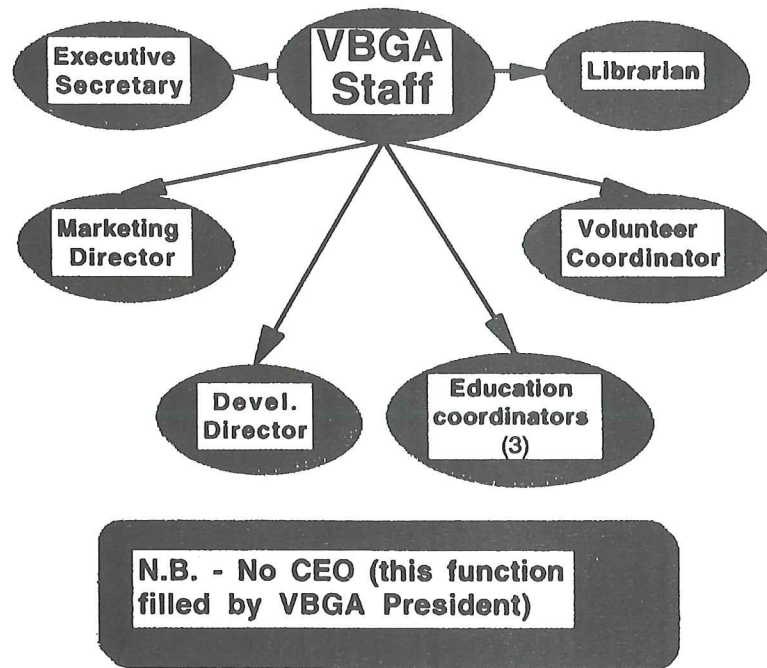


FIGURE 8

DEVELOPING AN EFFECTIVE BOARD -

Trustee and Staff Responsibilities

TRUSTEE (BOARD) CONSIDERATIONS

Orientation/Education:

- incoming trustees need orientation and should be assisted in getting it (informal discussion with President or experienced Board member - guided garden tour)
- Trustees should be familiar with various aspects of non-profit management (Home reading!! -many texts available - two worth reading - perhaps for different reasons - *"The Board Member's Book"* - Brian O'Connell and *"Boards that Make a Difference"* - John Carver)
- a board member who has been effective in the "for-profit" world may need to adjust to the "non-profit" environment eg. how to measure success - identifying "the bottom line"

do, and they have a director who works with the VBGA president. They also have, depending on the season, from 10 to 17 gardeners, 2 or 3 clerical staff, a person who manages the garden shop and so forth, whereas this is our little cluster of employees, and we are supposed to work together to run this Garden.

This has been a learning experience, and I want to share these things with you and argue about them, if necessary, or stress them, if necessary.

Figure 8—is the matter of “Trustee and Staff Responsibilities in Developing an Effective Board”, the title of this panel. Trustee Considerations. The first thing is orientation. Clearly the incoming trustees need to be oriented and should be assisted in getting it, getting the orientation, possibly from the president or experienced board members and guided garden tours. But I have been interested, in reflection, to realize that the people that get the best orientation in our Garden are the incoming volunteers. They come in and they spend almost a day with a variety of board members. When I was president, I spent a half an hour talking to them about the funding and who did what. They get a tour of the Garden, and that’s what an incoming board member should expect to receive. I don’t think we do it as well as we should.

The trustees should be familiar with various aspects of nonprofit management. I stress this, because I don’t think all of our board members are aware of some of the nuances of the nonprofit scenario. I gradually began to read some of the material that’s available on the subject, and as you probably know, there’s a ton of it, but

there are two volumes, two monographs that I particularly found useful. One was by Brian O'Connell, a book called *The Board Members Book*, which is full of sensible material. The other one is a book that may be more controversial, *Boards That Make a Difference*, by John Carver. Carver is known as a sort of guru in this field, and is sometimes controversial, but it's thought provoking, and every board member, certainly if they're going to become a committee chair or a member of the executive should do some homework and read some of this material. Many board members have come to our board not from a nonprofit scenario, but from a for-profit scenario, and there is a significant difference. Members of our board who have come from the business environment have trouble identifying the bottom line. It's not just a straightforward dollars and cents annual statement scenario. There are some real abstract things that come out of being on a board and being a botanical garden, including such things as customer satisfaction, education programs at work, et cetera. Those are things you need to reflect on when you come onto a board such as a botanical garden board.

We have a committee-based board, and it's important that a volunteer organization should have a committee set-up (fig. 9). The board members learn and contribute if they work in the committees, and most of them do before they become board members or while they're board members. Secondly, it's in the committees that most ideas are introduced and developed, and there is a role for the committees in the management of an organization such as a botanical garden. The committee mem-

**DEVELOPING AN EFFECTIVE BOARD -
Trustee and Staff Responsibilities**

TRUSTEE (BOARD) CONSIDERATIONS

Board Structure and Development:

Committee based Board - very important in the volunteer setting

- Board members learn and contribute in the Committee structure
- idea introduction and development and role in management
- committee members can become effective board members
- advisors or "resource individuals" can be brought on to committees on an ad hoc basis
- committee structure can attract and stimulate volunteers
- organization should allow for the creation of single issue ad hoc committees

Enhancing effective Board function

- timely provision of agendas and minutes (one week plus)
- provision of necessary background information - without creating an overwhelming torrent of paper (fine line!) - not all members of Board are expert in the subject to be discussed and do a much better job (and are more likely to be involved) if appropriate info is provided)
- provide the necessary financial information !!!!

bers can become more effective board members when they reach that peak of success.

Advisors or resource individuals can be brought on, and should be brought on, to the committees on an ad hoc basis. If you've got a special problem you're dealing with, there's no reason not to bring on an advisor on a temporary basis. The same thing is true of actually creating a single-issue committee on an ad hoc basis, which is then disbanded. Someone last year indicated that they had created a scenario—I bet they were on the staff—where they had eliminated all committees and only had

them when they wanted something special done; they'd create a committee, they'd do it, and then they'd get rid of the committee again. That may work, but it's not the way I would like to see this evolve, certainly in our scenario.

Timely provision of agendas and minutes a week ahead, if possible enhance effective board function. There's nothing worse than coming to a meeting and seeing the agenda for the first time on the table when you walk into the room. It doesn't work.

It's important to provide the necessary background information without creating a torrent of paper. This is a fine line, but it's important to try and get the board to know as much about a topic as they can before they have to discuss it. This can be enhanced by the executive taking the problem or topic that's going to be discussed, and putting together an information package as concisely as possible that will help board members who might not be familiar with the scenario, to make appropriate discussion and decision.

There are a couple of things that are important about board knowledge and board education, and this is a quote from Brian O'Connell—"One of the problems for both boards and staff is the need for several different kinds of financial statements." (fig. 10) When I started at VanDusen, I found out there basically was only one kind of financial statement, and that was the one at the end of the year. You could get more information, but it wasn't easy to do. You need the end-of-the-year statement, you do need additional statements in a format required by governmental bodies granting the organization, but you

FIGURE 10

Enhancing effective Board function

1) Financial statements:

To quote Brian O'Connell **"One of the problems for both boards and staff is the need for several different kinds of financial statements"**

- those that are required in the standards (end of year, auditor's report, etc.)
- those developed for managerial purposes
- additional statements in a format required by governmental bodies, granting organizations, etc.

Committee chairs in particular, but also other board members should be provided with reports that they can understand and use!

***** -make sure that your accounting system is flexible enough to do this!!!!**

2) Budget:

- the organization's budget should be realistic, and based on input developed by committees with their staff support
- the finance committee should provide guidance and suggest options but is not the final arbiter of the accepted budget - which is a board decision
- a budget concerns events that have not yet occurred - **it is a plan** (John Carver)- **and if necessary may be reviewed and revised during its life span**

also need statements that are developed for managerial purposes. Because of the technological advances in accounting programs and so on, it's possible to get that kind of material to be online for the committee chairs to get it when they want it, immediately, and it's not difficult to do as long as you have in your organization an accounting system that's flexible enough and responsive enough, and that's essential. A board member should know what is happening to the money, and if they don't know, they should know how to find out.

I have some thoughts about budgets. An organiza-

tion's budget should be realistic, based on input from committees and their staff. The finance committee should provide guidance and suggest options, but should not be the final arbiter of the accepted budget, which is a board decision.

John Carver makes a point; he says that "A budget concerns events that have not yet occurred. It is a plan and, as such, if necessary may be reviewed and revised during its lifespan." I don't like to think of programs that have been turned down, great ideas that come along during the year, and the board says, "Sorry, it's not in the budget." That's not the way it works in a botanical garden, anyway. I think you have to look at these things and see what you want to do next.

Strategic planning (fig. 11): We've heard from Todd an excellent discussion of strategic planning and how to do it. And I believe this aphorism: "Strategic planning when necessary, but not necessarily strategic planning." I don't think you need to prepare a strategic plan every year or every two or three years; what you need to do is get a strategic plan or a four or five-year plan, but then look at it from time to time to make sure that you are achieving the goals that were laid out in the plan.

Facilitators now are a growth industry, they're everywhere, and some of them are good, and with some of them you spend most of your time trying to teach what they're supposed to do, and many of them will take off on their own agenda, which I think is to be avoided. It's the execution of the plan and its components that is the real index of success, not simply the creation of addi-

Enhancing Effective Board Function

Strategic Planning

"Strategic planning when necessary - but not necessarily strategic planning"

- tendency to look on this activity as a magic bullet - a process that all organizations must go through on a regular basis
- "facilitators" - a growth industry - NB the amount of time needed to inform the facilitator
- must be kept on track
- must be planned very carefully - can become a "feel good" exercise that produces very little
- how often is a full scale strategic planning session needed in your organization?
- perhaps better to have a regular session (annual ?) to assess progress with previously designed plan, and have the full session every 3-5 years. **It is the execution of the plan and its components that is the real index of success**

Term Limits

- seemed to be universally supported at last year's AABGA conference on this subject
- not in practice at VanDusen - re-election to Board every two years if desired and there is a regular turnover of Board members
- "throwing the baby out with the bath water"

tional plans.

Term limits was brought up last year. Everybody seemed to say that if you didn't have term limits, you were prehistoric. We don't have term limits; we renominate and elect our members every two years, and with that technique, we have a good turnover on our board. We have certain people that we couldn't do without, and

I've mentioned here that sometimes when you get rid of a board member, it's like throwing the baby out with the bath water, because you get rid of the most useful people you have on the board. So I don't believe that term limits are essential. If you want to have them, go ahead. I believe they have them in such things as the presidency of the United States nowadays, and other little organizations like that. But I don't think they're essential. Ours seems to work without it.

Finally (fig. 12), staff expectations of the board. This is just to reinforce what Nancy Thomas already said. As well as general advocacy and support for the staff, it is the board's responsibility to provide the best working environment possible in terms of space and amenities and the best equipment possible for the staff. In the present day's state of technological sophistication, that sort of thing, computer software, phone services, is available at a reasonable cost, and if provided, will greatly enhance the productivity and job satisfaction of the staff.

This is another point of view: The staff has to realize that a lot of the people on the board come from successful backgrounds and successful enterprises, so they should not be surprised when board members get into what is referred to as micro-management. They shouldn't even be surprised when they try to get into macro-management, because sometimes, you know, if you've been a CEO of Weyerhaeuser or something for ten years, you're likely to have some ideas about management. The staff has to be patient about this. The board is responsible for the end result and the financial viability of the organization. Patience of the staff is an asset, but there must be

FIGURE 12

Staff expectations of the Board

These are many - but some are of particular importance

1. As well as general advocacy and support for the staff it is the Board's responsibility to provide the staff with the best working environment (space and amenities) and the best equipment as possible; in the present day's state of technological sophistication, appropriate office equipment (computers, software, phone services, etc.) is available at reasonable cost and if provided will greatly enhance the productivity and job satisfaction of the staff
2. The staff should realise that by and large Board Members have backgrounds in a variety of successful enterprises. So they should not be surprised when Board Members - singly or collectively - get into what is referred to as micro-management. It is, after all, the Board that is responsible for the end result, and the financial viability of the organization. Patience is an asset - coupled with a developed policy to deal with real "meddling" if it occurs.
3. A process for regular review and "feedback" should be in place - its precise nature probably varies with the management style of the CEO, President, or Committee Chair - but it should exist and be utilized.

a policy in place to deal with the board member if real meddling occurs, and that is possible.

The necessary procedure for regular review and feedback should be in place. It differs with different management styles, but the staff should know that you're interested in what they're doing. You should talk to them and review their progress on a regular basis every six months or so, not just in a pejorative sense to judge what they're doing, but to see if they could do it better if you did something for the staff that you're not doing. Thank

you.

QUESTION: Would you describe the relationship between the board and the board's president with the director of Parks, who is not a board employee?

DR. PHIL ASHMORE: How much time do you have? The question was: What is the relationship between the president of the nonprofit organization and the director of the Garden, who is not a staff member of the organization.

It varies, because the president of our organization changes every two years. Some presidents are better at this than others, with the necessary "People Skills." It requires constant work. We would like it, if we didn't have that two-headed monster. We have it. There's not much at this point that we can do about it. It would be better if we didn't. But the interrelationship between those two is important, and it comes down to leadership style and leadership understanding. How do you get what you want, from your counterpart on the associated organization.

RICHARD ROGERS: I'm a trustee of the Santa Barbara Botanic Garden, have been for about 12 years. I'm past president of the Board, and I'm currently the chairman of the Capital Campaign. I'm also Chairman of Pacific Earth Resources, which is a diversified ornamental horticultural company.



Raising Money

My topic today is raising money, and that's such a gigantic event that I'm only going to give you a brief rundown about the 75th anniversary capital campaign for our botanic garden.

We hadn't built a single building in 30 years, and so we had a tremendous facilities need that was driven by our existing programs.

We plodded through an enormous amount of work, building a strategic plan, doing all of the things that we've all talked about here, ending up deriving facilities, that were bottom-up program driven. We went through the architect selection process, identifying the capital needs and the phasings of the project.

We formed a Capital Campaign Committee about 18 months ago, but we still are not announced to the public and won't be here for another several months. I will list the steps that we came up with to accomplish what we're doing and just enumerate them as I go. There are a bunch of them. So bear with me; we can discuss them, as you wish, in open session.

The Capital Campaign Committee was a group of people who were both members of our Board of Trustees and people who were in the community and interested in advancing the garden's progress. We started out doing number one, which is approving the basic campaign fund-raising plan. In other words, what are we trying to accomplish? We alerted public relations immediately, because as soon as you start talking about something, the word is going to get out. As soon as people

even see people meeting together talking about things, things get out. So we alerted public relations to start talking up the needs of the garden. In our community the moment you start talking about bricks and mortar, the naysayers immediately start focusing. So the first thing you want out into the world is needs, needs, needs. We changed all of our outreach to being needs based, as soon as we knew that we were going to have to build a building. It sounds manipulative, but there's virtually no other way around that, because as we all know, we're all surrounded by naysayers.

We set up regular meetings for the campaign, and they had to be regular, because you have to have the discipline of reporting to one another. We recruited the Prospect Research and Evaluation Committee. Now, that's a powerful committee. They don't necessarily have to be on your board; they have to be people who are almost doyens in the community, people who know everybody and their wherewithal. We put together a great committee. We prepared, therefore, and rated, a list of the donor prospects. Talk about a sensitive list. I mean, you literally have people's names in our community with a rating, an amount rating, of what they could be expected to not necessarily give to the garden, but be asked to give to the garden. Two different things. This is the rated ask. You generally get something less than the rated ask. We wrote the case statement. We selected the campaign chair and other leaders. I was the last guy standing when the music stopped. We commenced garden events focused on the Garden needs. We started having breakfasts and dinners. We focused on showing people the

Garden's needs. At the breakfasts, we invited everyone of influence in our community. You can imagine. We had a series of these breakfasts. And they all came, which was terrific.

Upon completion of the research and evaluation of the donors, we mailed the case for support. We mailed it out to a whole bunch of people in the community and ask them what they thought of our project. This is not a solicitation. This is a solicitation of "What do you think about what we're thinking about?" When we received their responses, we significantly revised what it was we were thinking of doing, as there were a lot of strong comments, all very supportive, but which allowed us to sort of reorganize what we were thinking.

We prepared the gift and memorial opportunities brochure. We prepared the plan giving solicitations and lead gift solicitations. As to the lead gift, you only need a couple of those since these are the biggest gifts. We then commenced our foundation solicitation, which was immediately after lead gift, because those too can be very big.

We prepared our campaign kickoff events. We finalized all printed material so that everyone is on the same page. It is incredibly important to educate your board and to make certain that the entire staff is reading off the same page on the project. This is incredibly important.

We then commended leadership and major gift solicitation. Leadership for us is \$150,000 and above. Major is below that down to \$15,000. We then prepared the public launch. We began community outreach and

the PR phase. Once we give the launch, which will be in September, there's going to be phone, direct mail, and direct giving solicitations. Before the actual launch, nothing is sent in the mail to anybody. All of our solicitations are handed out personally. It's one-on-one or two-on-one. I'm a great believer in ganging up on people. Usually it is a good idea to have somebody to whom it's very difficult for that particular person to say no and then me, working on the prospect.

That's just a partial list of our activities. We're using 16 committees,—we like committees—and they are as follows: The board of trustees, of course; the capital campaign organizing committee; the capital campaign committee, which is different. The organizing committee was just all kinds of people from the community. The development staff, the campaign counsel. We hired a professional campaign counsel, and he has been important. The honorary committee, which are people who aren't involved in the day-to-day, but you're borrowing their names. Public relations committee, finance committee. This is the campaign finance committee. We went out and got the president of the local bank to be our campaign finance chair. We had the prospect research and rating committee, incredibly sensitive, but very important, and the Donor Appreciation Committee. And, last but not least, the kickoff event committee, which has to be really very special.

Some thoughts on this process. Pray a lot. Keep great records and great minutes. Know what you did, and what you asked people to do in the campaign. Know what you did not do. Be careful to select for the com-

mittees not just big name people but people who are genuinely compatible. The process must be, like Todd saying, fun. A lot of the people in your organization and the people you want to work on your committees are, by definition very busy. So, if it's not fun, they're not going to show up for the next time. It is important to engage them emotionally. Then, of course, stay focussed and keep it rolling. A stall on a campaign is death. That means your leadership has got to be really intense. Then perhaps, one of the most important things is make certain, before you start out on something like this, that you have enough staff expertise and bodies, either in-house or available to you. If you don't have this reservoir of talent, you're absolutely dead. If you're asking people who are already dancing too fast to add a couple of notes, they're not going to be able to. Your existing staff are already working as hard as they can, so if you're going to be putting on something like this, which is an overlay over the top of them, you're going to overload them and render them ineffective. So, we have added people in order to accomplish our campaign. How are we doing? Everyone knows the rules about officially announcing. We have a \$17 million campaign. We're phasing it. The first phase is \$9 million, and we are announcing on September 18th. That gives you a feeling as to how we're doing. We're excited about it. It looks to me like we're going to be able to get our project built.

Questions?

QUESTION: There's obviously a lot of different ways that your boards are structured. I'm curious about how

often each of your boards meet.

RICHARD ROGERS: We met monthly, but not during the summer, and we decided to go to every other month after a couple of years of building the committee structure. We decided to go back to monthly this year. We're doing so many complicated things, and there was not enough information content at the board meetings, and too much time would elapse between. If we have to go 60 days, it's too long. As a result, we decided to shorten that time period. It drove our staff crazy, because they were breathing a final sigh of relief that they didn't have to prepare for board members every 30 days.

DR. PHIL ASHMORE: We meet every month, and we didn't used to meet during the summer—we do now—and we try to confine the meetings to two hours. The executive meets for a similar period of time every month, as well, in between the board meetings.

NANCY THOMAS: The local board on which I serve meets every month, but the national organizations, which have a great geographical diversity—will meet from two to three times a year as a complete board, and the executive committees meet more often.

TODD MORSE: I think ours is three times a year, and we have an executive committee that also meets, I think, three times a year, as well.

RICHARD ROGERS: I'd strongly recommend that if

you say you're going to meet for two hours, meet for two hours, not two and a half. You've got busy people who will want to get out of there. And don't hold your meetings in the middle of the day; start them at 3:00 or 4:00. My wife is on a board in Santa Barbara, and they meet at ten o'clock in the morning. By scheduling their meetings at that time, they're saying that they don't want professionals on their board.

DR. PHIL ASHMORE: Well, retired people may still be in bed at ten o'clock.

RICHARD ROGERS: Well, there you go. Precisely.

QUESTION: How many staff did you add to the capital campaign group in —

RICHARD ROGERS: We're probably going to end up with three—

QUESTION: Full time?

RICHARD ROGERS:—but we're sitting at two. Yes?

QUESTION: I'm curious about a question that you initially raised, "What's 17 million among friends?" How many of these friends are on your board, or what percentage of that 17 million will be from your friends on the board?

RICHARD ROGERS: I suspect that about a third of it will be from the board. That's only a guess, given what I sense is the current dynamics. It may be less than that. We seem to have interested some very strong donors. Santa Barbara and Montecito tend to have some major donors as residents.

QUESTION: When you're setting those strategic planning goals, are you keeping in mind your upcoming budget and coinciding those two together, and are you using a rolling plan, between three and five years?

TODD MORSE: Well, as far as what we just went through, we were thinking about five years and beyond.

QUESTION: Switching subjects for a second, on not capital campaigns, but just ongoing life, as we say, doesn't it seem that driving the staff crazy preparing for a monthly meeting, versus less often meeting, especially if it's a committee-based board, and if it's in an advisory capacity, not an operational board, doesn't it sort of imply that the CEO and/or staff need to work rather than prepare for board meetings?

NANCY THOMAS: With national boards, you don't have as many meetings as you do with a local group. So the meetings would be shorter, the agendas would be more compact, in order to conduct business, as Richard is saying, in a two-and-a-half-hour timeframe, if possible.

You're right, the staff does have to spend an inordinate amount of time preparing for board meetings,

but when you have a board that meets once a month, you can condense that and not require as much staff time. So many times when a national organization has a meeting, it's not only the three days of meetings, but it's dinners, lunches and all of those things that go with a lengthy meeting, that make it much more complicated than for a local meeting.

RICHARD ROGERS: That's well said. In Santa Barbara, what we did when we were on monthly meetings, we went to a format. We have a strategic plan, and we have goals and objectives and etc. Everything that the garden does during the month is reported against one of our strategic goals. There is a format (fig. 13—*Monthly Operating Report*, see page 61). The format is easier. It doesn't have to be invented each meeting by staff.

We cut way back on the financial information. The financial information is presented on an as-needed basis. The finance committee keeps people as informed, but in overview, we don't delve into the minutia. We always have a Garden person, and we always do a surprise thing. The board always visits the herbarium, or they go and visit the lichen collection, or they go look through the electron microscopes, they do things like that to expand their garden knowledge. We have a little time period set aside where they do that. Everything else is very tightly orchestrated, so that the staff doesn't have to invent the program every time. We do always have a staff member make a presentation, because we like the visibility for the board, but we also like the visibility for the staff members.

QUESTION: Are any of you involved with board staff retreats on an annual basis or less often?

DR. PHIL ASHMORE: We've had retreats, and I've been involved with them. I think they are valuable, but they have to be very carefully planned, and I'm not so sure that you need them on an annual basis. I think you can do a lot of the reviewing of your progress on your five-year plan at a board meeting with staff in attendance. I'm sort of OD'd on retreats, having spent 20 years doing them. I think you do need them from time to time, but I don't believe you need them every year, at least not in that formal sense.

NANCY THOMAS: We just had strategic planning sessions that were something of a retreat, in which we did not have an actual board meeting, but not necessarily a staff and board retreat, which would be interesting.

TODD MORSE: The closest thing we've had to that was what we just did in strategic planning, where we not only brought in staff and board, but also some area leaders and so on, so there was a lot of participation from the community.

RICHARD ROGERS: Santa Barbara does them every year. We just finished one about six weeks ago.

We left on a Friday morning. This time we visited Rancho Santa Ana and the Huntington. We spent the night in a hotel down near the Huntington. We sched-

uled a free night Friday night, but had a wonderful, social gathering. It was terrific for the board. The next morning, we met for three or four hours before getting on a bus, to come back to Santa Barbara, and had a business meeting that was related to what we're currently facing. We like the dynamics of it, social dynamics, because the board often isn't intensely together for a protracted period. You avoid people looking at their watches and having to leave in a couple of minutes, and some people getting up in the middle of the board meeting, because they've got guests that evening. This time there was nothing, and we loved it. It was the best board retreat we've had ever.

QUESTION: How many members on your board?

RICHARD ROGERS: Where are we at 20. We're going to be building the board, but very carefully, only as the expertise set, if you will, of an individual respective trustee matches a missing set of needs that we have. We're in the middle of a building program and a capital campaign. There is some specific expertise that one needs on a board and you must have it, or you have to have it available in some way.

QUESTION: Would you care to speak to what you would consider optimal board size?

RICHARD ROGERS: I don't have any preconceived notions on that. What does anybody here think is optimal? One?

DR. PHIL ASHMORE: We have a room that's only so big, and we have about 20 people on our board.

QUESTION: If you get the board too big, do you get the feeling from staff that it's getting rubber stamped?

RICHARD ROGERS: That's my experience, but I don't know. I think it's not necessarily how big; it's how engaged a board is. I've seen big but engaged boards, where they were working through their committees, and it really worked. They ran board meetings in a very crisp fashion. I've been on a 30-person board, if you can imagine that, and they work.

NANCY THOMAS: How would you like to have an 89-person board? The only problem with that is getting a quorum.

DR. PHIL ASHMORE: As some of you perhaps know, Richard Rogers has just come back from three weeks in Spain, and I'm told by the group that's putting on the reception up at VanDusen later this afternoon that he has agreed to bring us up to date on some of the new flamenco steps, and I thought this might be an attraction for more of you to come up to the party, and we'll look forward to that.

RICHARD ROGERS: I'll have you know that my Indian Guide name was Chief Stumbling Moose, so I don't think that's going to happen. Thank you all.

Santa Barbara Botanic Garden
August 1999 Monthly Report

Goal 1: Give new vigor and focus to core programs in science, education and display.

Enhance the Scientific Quality of the Living and Non-Living Collections.

- **Library:**
 - Number of books accessioned: 50
 - Number of books catalogued: 40
 - Gifts received: 2
 - Patrons helped: 46
- **Herbarium:**
 - Number of specimens accessioned: 357
 - Number of database entries: 115
 - Number of visitors: 13
- Herbarium visitors included Dr. Philippe Clerc, Curator of the Cryptogamic Herbarium Conservatoire et Jardin Botaniques de la ville de Geneve, Switzerland, who studied lichen specimens in his area of specialty.

Living Collections: Number of accessions: 4

A number of old seed accessions were salvaged from inadequate storage and will be propagated in the coming year in an effort to both add new taxa to the living collections and determine their viability. Other taxa (mostly rare) were incorporated into our refrigerated seed bank.

1.2 Improve the Quality of Visitor Experiences.

Grounds maintenance activities:

Maintenance walks were conducted in the Arroyo and Meadow sections. The Head Gardener and the Plant Pathologist from the Agriculture Commissioner's Office investigated several plants in decline on the Porter Trail. Diagnostic work will hopefully provide definitive information on the problem(s).

Lawn Project: a new mower was purchased for maintenance of this display.

Sign Project: new public information labels (plant labels) were installed in the Desert Section. The Collections Committee decided that the Meadow Section should be the next area to receive new labels in 2000.

FIGURE 13

- The Librarian, with volunteer help, began a cataloging project to convert older catalog records into machine-readable ones. Machine-readable records will streamline incorporation into an online catalog planned for the Library.

Grounds Interpretation/Signage Project: 15 key employees, Trustees and volunteers met to discuss goals, objectives, visitor services, educational concepts, living collections displays, etc. as they relate to developing themes for the Garden's Grounds Interpretation Plan. The day-long session was facilitated by the consulting company *The Acorn Group*. Notes from the meeting and themes are under review by this committee.

1.3 Build the Garden's Effectiveness as an Educational and Scientific Institution.

Plant Introduction Program:

The Living Collections Manager created new databases and reports for tracking plants under consideration.

The Director of Horticulture met with our public relations consultant to discuss marketing strategies for the program.

The Director of Horticulture completed teaching the 5-part course, "The Native Flora – An Identification and Cultivation Workshop, Part I".

The Porter Trail Gardener conducted a tour of the grounds for several student interns from Descanso Gardens.

The Plant Propagator conducted a training on seed propagation for several high school students who will be growing native plants as part of a restoration project sponsored by the City of Santa Barbara's Housing Authority, Santa Barbara City College, and 4-H.

- **Education Programs – Number of patrons completing classes/lectures:**
 - One-session Adult classes: 36
 - Multiple-session Adult classes: 32
- Education staff have been in dialogue with Darrel Morrison concerning development of plans for the Children's Discovery Garden.
- The Garden's 1999-2000 School Programs Guide in Plant Science was prepared and distributed to all appropriate teachers within the county and to school administrators in surrounding counties.
- The Director of Education participated in Cycad 99, an international conference in Miami, Florida at which 20 countries were represented.

FIGURE 13

- The Education Program Coordinator:
 - began planning for the upcoming Halloween Harvest Day and Scarecrow Competition, to be held on October 30.
 - met with the Museum Educators' Roundtable and the city of Santa Barbara to negotiate the city's sponsorship of the MER's proposed Passport Program to begin in January, 2000. The city will sponsor passports to be used by K-8 school children from Montecito, Santa Barbara, Hope, and Goleta school districts during January through May, 2000. The Garden will allow one child and 1 accompanying adult to visit the Garden with free admission during the 5-month period.
- The Herbarium Curator:
 - presented a poster paper on "The vascular flora of San Nicolas Island, California" at the International Botanical Congress in St. Louis, Missouri.
 - assisted visiting researchers from the Geneva Botanic Garden, Idaho State University, Jepson Herbarium, Rancho Santa Ana Botanic Garden, and Santa Barbara County Flood Control District.
 - met with representatives from the Island Conservation and Ecology Group (University of California at Santa Cruz) to discuss conservation and educational activities on the islands of Baja California.
 - gave a tour of the Garden's island section for southern California teachers (Camp Internét).
 - presented a slide-illustrated lecture on "Plant Life of the Channel Islands" to an Elderhostel class.
- The Director of Research:
 - attended the International Botanical Congress in St Louis, and participated in meetings of the Council of the American Society of Plant Taxonomists and an ad hoc working group on the role of Botanical Gardens in the Convention of Biological Diversity.
 - completed a draft report on surveys of 3 rare species on Fort Hunter Liggett, through contractual support from the US Army Corps of Engineers.
 - served as a reviewer for the National Science Foundation.

Volunteer Director worked with the Education staff to train 36 teachers from the Camp Internet Summer Program.

Refine and Implement the Garden's Stewardship Philosophy.

The Garden began accepting coffee grounds from Santa Barbara Roasting Company. This organic by-product was being sent to the county landfill, and will now be added to our compost.

FIGURE 13

Goal 2: Broaden excellence in all programs and operating environment.

2.1 Strengthen Mutual Commitment between SBBG and employees.

Development Department began publishing the "Daily Doings" which provide event information as well as entertaining and educational Garden facts.

Safety: Fuel reduction pruning and clearing was conducted around the Director's residence.

Benefits: Renewed health benefits and planned for open enrollment.

Performance appraisals: Reviewed and modified forms for distribution in September.

Staffing: Recruited Temporary Capital Campaign Assistant.

Strengthen Volunteer Program.

Recruitment: recruitment is underway for fall plant sale, Night Music, a family Halloween event, and Winterfest.

Master Gardener Training: program is accepting applications – 60 inquiries to date.

Docent program: Recruitment: 20 inquiries received to date.

Graphics Coordinator completed the Fall Docent Training Ad.

Use Policies and Standards that Ensure Program and Operational Quality.

The Head Gardener completed writing new guidelines for planting on the grounds.

Maintain and Enhance Work Environment.

- The Registrar upgraded the Garden's registration software to a current version, and cross-trained the Education Assistant in its use.

Accounting Software Conversion: began using new system – still implementing many of the new features of the program.

Policies: Senior staff is reviewing the existing policies and procedures to prioritize review of all policies. Project is expected to take several months.

Computer network – Implementation of virus protection software system not yet complete. Added workstation in volunteer office. Master calendar project on hold until accounting conversion is completed.

Safety:

CPR & 1st Aid training conducted for 20+ employees.

FIGURE 13

Identified need to do further fire brush clearing at 1140 Tunnel Rd and that the large oak tree needs to be removed because of declining health.

Loss Control visit was conducted by Workers Comp Carrier.

Facilities maintenance:

Repairs: a major effort on renovating the Garden Growers was completed – replaced shade cloth, repaired benches, painted lathhouse and shade house. Major project completed at the Hort Unit for the Mist Bed Units – to keep them operating during power failures. Planned to replace flooring at 1140 Tunnel, purchased materials. Completed major painting project which included the North Wing, Main Building and Research Building – buildings had not been painted for over 10 years. Repaired leak in Structural Botany Lab.

Visitor Services Related projects: Trustee Christy Schulz planned and designed public restroom refurbishment with assistance of Trustee Virginia Gardener and Shop Volunteer Janet Larsen. Frames completed for the Garden "welcome" sign, admission fee sign and tour signs for the Visitor Services Kiosk.

Work area improvements: planned new shelves for Education Offices; completed moving Volunteers into new office.

Housing: repaired roof at 2460 Las Canoas, completed septic system at 2450 Las Canoas, began planning for carpet replacement at 1140 Tunnel,

Facilities enhancement project:

Lighting plan: complete.

Entrance project: Banners installed.

Grading plan: plan undergoing an additional review to minimize removal of trees.

Landscape plan: will be finalized when grading plan is finalized.

Neighborhood meetings: tours completed for all Board members of the Mission Cyn Association.

Architectural design: design completed

Application Status: Package to be submitted by September 23.

Fire and Vegetation Management Plan: under review by County Fire.

Water collection/treatment pond: pond being moved to west-side of Mission Cyn Rd.

Site Use: completed.

Goal 3: Ensure the long term viability of the Garden.

3.1 Enhance Leadership Roles of Trustees.

Increase Recognition of SBBG as an Important Regional, National, and International Resource.

- The Librarian:
 - attended a planning meeting for the Library of California, a statewide project to digitally link multi-type regional library systems.
 - attended the annual meeting and board meeting of the California Garden and Landscape History Society at Rancho Los Alamitos.

The Garden's Nature Camp received publicity in the Public Square page of the SB News-Press. The publicity was generated in part by the first place award won by the Education Program Coordinator's team at the *Amazing Maize Maze*.

The Director of Horticulture:

- Was interviewed about the Home Demonstration Garden for an upcoming article in the Sierra Club's Angeles chapter newsletter.
- Participated in the following meetings: Santa Barbara Street Tree Advisory Committee, South Coast Fire Safe Council, Santa Barbara Horticulture Consortium.

Several accessions of *Arctostaphylos* were given to Rancho Santa Ana Botanic Garden for their living collections.

Graphics & Communications completed the Fall Ironwood Quarterly/Program Guide.

The Shand Marketing Group began intensive interviews with staff and volunteers to develop marketing strategy for the next three to five years for the Garden.

3.3 Revitalize Membership Program and Increase Number of Members.

Renovations of the Garden Growers Nursery are almost complete, and everyone is thrilled with the improvements!

Development Division is constructing a Donor Recognition Wall to recognize top donors and Director Circle members

Membership and Events Manager:

- continued solicitations of members focusing on upgrading.
- and Development Assistant continue to streamline the Donor Perfect software.
- assisted with coordination of Night Music and other upcoming events.
- attended planning meetings with Dave Rogers for the upcoming Big Bugs exhibition.

Membership:

Director's Circle membership is \$20,000 ahead of goal for this year. membership is "up" 22% over last year at this time. sent out membership renewal and reminder notices for July-October 1999 within 2 weeks of receipt of application.

Director of Volunteer gave tour for potential donors to the Capital Campaign.

3.4 Increase Earned and Sponsorship Income.

Night Music:

corporate sponsorship income exceeded \$35,000 goal for this year. seven new corporate relationships obtained for Night Music.

Wells Fargo interested in Big Bugs.

Increase Philanthropic Income.

Capital Campaign:

luncheons held with Jack Broome and Bill Myers with total "ask" amount of \$3 million.

campaign pledges and gifts totaled \$3,023,802.

the Capital Campaign Major Gifts Committee met during the month to review campaign progress and to plan strategies for approaching potential campaign donors.

Travel Botanist Manager and the Development department distributed the Employee Contribution letters for the Capital Campaign. The goal is to have 100% participation by the staff.

held a Twilight Tour with wine and cheese with 9 potential campaign donors attending.

Community Relations:

gave the Mission Canyon Association behind the scenes tour to inform them of our development plans and gain their support.

published first Mission Canyon Newsletter to be sent to Mission Canyon residents about happenings at the Garden. The newsletter has special passes inviting residents to the Garden.

with Larry Crandell hosted the first Community Outreach luncheon.

Sixteen community leaders attended to hear about the development plans.

Goal 4: Serve and involve diverse audiences.

Improve Visitor Services.

Admissions signs: signs for the VSR area will be installed in September.

Staffing: Recruited another VSR – Visitor Services now fully staffed at 5, plus one substitute.

Visitor Services Committee: Reviewed stray dog procedures, on-site promotion of volunteer & educational programs, and grounds interpretation.

4.2 Broaden Access to Programs.

Finance & Operations and Development & External Relations staff met with docents about expanding the family pass program from the pilot program at Cleveland School.

4.3 Improve Physical Accessibility to Grounds and Programs.

4.4 Increase Diversity of Trustees, Employees, and Volunteers.

Miscellaneous Activities:

Development Department presented Garden friend, Marie Thornbury with a special gift of 100 chocolates on her 100th Birthday on behalf of the Garden.

Monthly Employee Status Report

Employee Status Number of Employees

Full-time (over 30 hours) 21
 Part-time 14
 Temporary 1
 Leave of Absence 1
 Instructors (paid for the month) 3
Total 46

Also Available

CEO's and Trustees: Building Working Partnerships (Part I), Schneider, Edward L, Editor. 96 pages. \$12, ISBN: 1-888310-00-6) Allen A. Knoll, Publishers, Santa Barbara, CA, 1998.

CEO's and Trustees: Building Working Partnerships (Part II), Schneider, Edward L. and Rogers, Richard B., Editors. 88 pages, \$12, ISBN: 1-888310-01-4, Allen A. Knoll, Publishers, Santa Barbara, CA, 1999.

Trustee Responsibilities: Enhancing Staff Understanding (Part I). Rogers, Richard B., Editor, 80 pages, \$12, ISBN: 1-888310-91-X, Allen A. Knoll, Publishers, Santa Barbara, CA, 1999

Other Titles from Allen A. Knoll, Publishers

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Southern California Gardens: An Illustrated History

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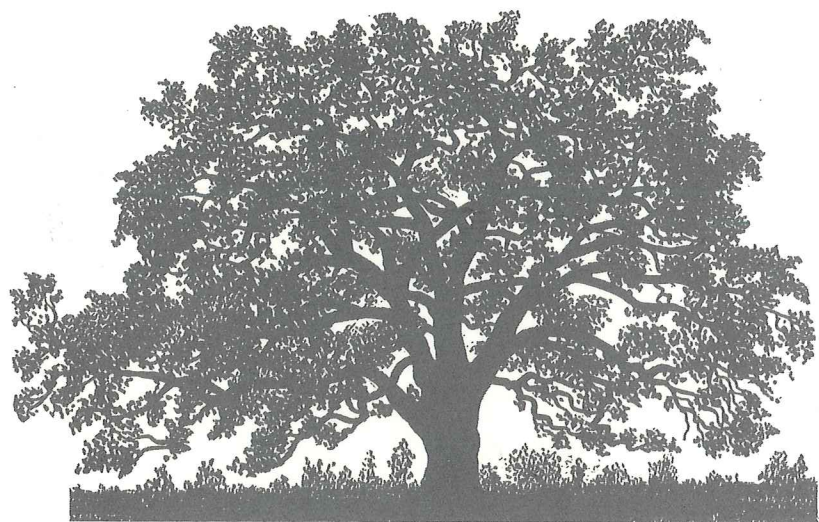
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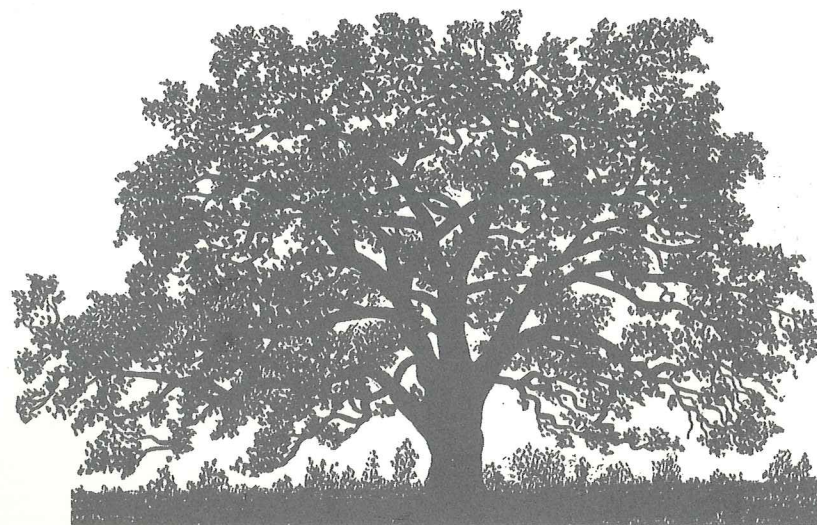
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CEOS AND TRUSTEES: BUILDING WORKING PARTNERSHIPS

CEOS AND TRUSTEES:



BUILDING WORKING PARTNERSHIPS

EDWARD L. SCHNEIDER, EDITOR
Santa Barbara Botanic Garden

ISBN 1-888310-00-6



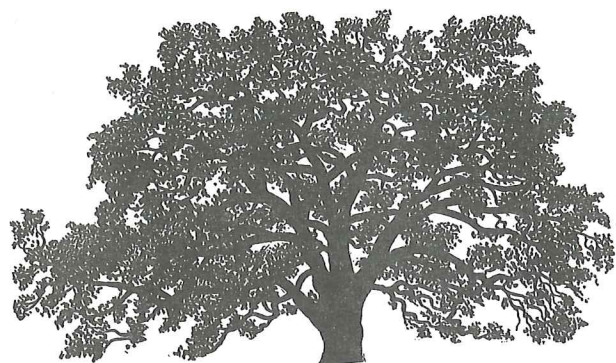
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Business/Management

CEOS AND TRUSTEES:



American Association of
Botanical Gardens and Arboreta
1997 Annual Conference
May 29, 1997
Millennium Hotel
New York, New York

BUILDING WORKING PARTNERSHIPS

EDWARD L. SCHNDEIDER, Ph.D.
Director, Santa Barbara Botanic Garden



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This publication of the 1997 American Association of Botanical Gardens and Arboreta (AABGA) session "CEOs & Trustees: Building Working Partnerships" serves as a resource guide. The views, opinions, and recommendations expressed in this volume are those of the panel participants and moderator, and do not necessarily represent the official views, opinions, or policy of the American Association of Botanical Gardens and Arboreta.

*For Directors and Trustees
as they seek to celebrate quality and excellence*

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PREFACE

This text evolved from a panel presentation made at the 1997 annual meeting of the American Association of Botanical Gardens and Arboretum held in New York City. The presentation was organized to highlight the importance of the working relationship between directors and their governing boards. The presentation was built upon the premise that working together as a team can accomplish more goals than individuals could ever reach.

While much has been written about the roles and responsibilities of each of these team members—directors and trustees—in practice, both are responsible (albeit in different ways) for museum governance, strategic planning, formulating vision and mission statements, and institutional operations.

Trustees and professional staff are essential bridges between the organization they lead and the communities they serve, and as nonprofits continue to find innovative ways to meet public needs and enrich lives, a working partnership must be nurtured among institutional leaders. In the following pages are chronicled four success stories, each intrinsically dependent upon a strong, trusting, effective partnership. This compilation of their successes is offered as examples from which others may learn or mold a working relationship to meet their own institutional challenges. These challenges are certainly numerous and often great, but so are the opportunities.

Ed Schneider, Ph.D.
Executive Director
Santa Barbara Botanic Garden
Santa Barbara, CA 93105

SESSION FORMAT

Four teams, each consisting of a CEO and trustee, will make a short presentation of how a successful Staff-board collaboration has worked in their organization. Questions from the audience will follow each team presentation and be monitored by Dr. Skotheim.

PARTICIPANTS

MODERATOR

Robert A. Skotheim, Ph.D.

Dr. Robert A. Skotheim has served as president of The Huntington Library, Art Collections, and Botanic Gardens since 1988. A history professor for ten years, followed by administrative experience as dean of faculty at Hobert and William Smith College and a thirteen year tenure as President of Whitman College, Dr. Skotheim has an active interest in governance and management issues in the private educational and cultural sectors. Bob also has vast experience on educational and corporate boards serving on the board of trustees, Albertson College of Idaho, board of overseers, Whitman College, and board of directors, Fintridge Preparatory School.

PANEL PARTICIPANTS
(CEO AND TRUSTEE TEAMS)

Judith Zuk

Judith Zuk has been the president and CEO of the Brooklyn Botanic Garden since 1990, previously serving as director of the Scott Arboretum. As CEO, she oversees a \$9.5 million operating budget facing the continued challenge of dealing with shrinking city and state funding, which has declined from 40% to 33% of the garden's budget. Ms. Zuk is immediate past president of AABGA, and the incoming chairman of the Cultural Institutions Group in New York City.

Ms. Lois Carswell

Lois M. Carswell is chairman of the board of the Brooklyn Botanic Garden. With a media background, she founded the development office of BBG in 1975 (as a volunteer) and served as co-chairman of the garden's \$25 million capital campaign in the 1980s. She also has been co-chairman of the spring benefit plant sale since 1968. She is founder and chairman of the Coalition of Living Museums, an advocacy organization composed of eighty-six zoos, botanical gardens, arboreta, aquaria, and nature centers in New York State.

Synopsis of Topic: Weathering the Winds of Change

Representing a major policy change, the Brooklyn Botanic Garden initiated an admission fee in 1996 for the first time in its 85-year history. Carswell and Zuk will discuss the strategy used by the board and management to work this significant change through the institution and the community.



Dr. David K. Northington

Dr. David Northington has served as executive director of the National Wildflower Research Center in Austin, Texas, since 1984, previously serving as professor of Botany at Texas Tech University from 1971-1984 and director of the Texas Tech Center at Junction, a 400-acre field station and campus for biological science studies. As CEO of the NWRC, he has taken the organization from its infancy to international recognition in a short thirteen years. His dedication to the Center's critically important mission of preserving and reestablishing native, indigenous wildflowers, shrubs, and trees in our landscapes has resulted in a new facility that has won numerous awards for natural resource conservation, environmentally sensitive construction, and architectural and landscape design. He is now with Dini Partners, a consulting group that helped with the creation of the new facility, with Deedie Rose.

Deedie P. Rose

Deedie Rose has served on the trustee executive committee of the National Wildflower Research Center for the past five years and presently is vice president elect. She chaired the building committee that was the board's oversight group for all the planning, design, and execution of the new \$10 million facility. Deedie also has vast experience on other boards including Texas Christian University, The Dallas Art Museum, Dallas Institute for the Humanities and Culture, and Dallas Women's Foundation.

Synopsis of Topic: The Earth-Friendly New National Wildflower Research Center

The National Wildflower Research Center successfully planned, designed, constructed, and opened to the public a new, \$9.7 million, ten-building native plant botanic garden that has won numerous awards. The team that made this an enjoyable and positive experience was composed of the executive director, chair of the building committee of the board of directors, the landscape/site designer, and the architect. A clear mission statement, a common team vision, clear roles, and communication were the keys to a successful project.



Richard H. Daley

Rick Daley has been the executive director of Denver Botanic Gardens since 1991 arriving during the middle of a new master planning process. He has led a new planning effort to involve staff and board in all planning efforts. Mr. Daley is on the boards of both AABGA and the Center for Plant Conservation.

D. Deane Hall, Jr.

Deane Hall has been a longtime trustee of Denver Botanic Gardens and chairman of the board's planning committee during the development of new long range plans. Mr. Hall has also been a trustee of the Vail Alpine Garden and the American Camellia Society as well as serving on other local and national cultural boards. With a marketing, public relations, and journalism background, he is currently in the desktop publishing business.

Synopsis of Topic: Board and Staff: Planning Together through Turbulence and Tranquility

Deanne Hall and Rick Daley will discuss how the board and staff have worked together to develop comprehensive operating plans and long range plans for Denver Botanic Gardens. They will also discuss how staff and trustees worked together during turbulent times over neighborhood issues.



Edward L. Schneider, Ph.D.

Ed Schneider serves as executive director of the Santa Barbara Botanic Garden, a position he has held since 1992. Formerly, he served as a professor of Botany, chairman of the Biology Department, and dean of the College of Sciences during his eighteen year tenure at Southwest Texas State University. He currently serves on the board of the International Water Lily Society and is a Council Member of the Botanical Society of America.

Richard B. Rogers

Richard Rogers has served as a trustee of The Santa Barbara Botanic Garden for eight years and is currently president of the board. He chairs the board membership committee which is responsible for the identification, recruitment, and retention of new trustees. Mr. Rogers is chairman of the board of Pacific Earth Resources, a diversified horticultural services company. He has a rich community service record including as a member of the California state board of forestry and chair of the forest practice committee. In addition, he has served on the boards of the Council for a Green Environment, the Los Angeles Men's Garden Club, and Los Angeles Beautiful.

Synopsis of Topic: Making the Transition from a Social to a Philanthropic Board

Selection of new, qualified trustees is vital to the health of any organization. Identifying the organization's needs, defining the process of recruitment as well as retention through peer mentorship, and evaluation are equal ingredients to success. Establishment of expectations for trustees should be stated in writing, endorsed by the standing board, and clearly communicated to prospective trustees during the recruitment phase.



CEOS AND TRUSTEES: BUILDING WORKING PARTNERSHIPS

INTRODUCTION

DR. SKOTHEIM: The largest context for our subject is the increasing importance of nonprofit institutions in our society. More people are served by them, more people are employed by them, more volunteers support them, and they are asked to do more than ever before. As government services diminish and as corporate community activities decline, nonprofit organizations try to offset the losses.

Peter Goldmark, president of the Rockefeller Foundation, recently said in a conference at Harvard that we have seen a period when the most creative contributors to society seem to come from government and from business, and he predicted that we are entering a period when the most imaginative contributions will come from nonprofits.

Less broadly viewed, nonprofits themselves are in a period of transition with respect to the way they govern and manage themselves, fund themselves, and create their expenses.

More narrowly still, the relations between nonprofit CEOs and their trustees are changing. Among cultural institutions, of which botanic gardens and arboreta comprise a segment, it's possible to characterize the traditional relationship from which we are moving away. The CEO, a learned man—and

he was generally a man—was a head curator or head scholar. The trustees might include a benefactor or two, but mainly they were honorific; they represented a social class appropriate to the institution which they graced by their presence.

Funding usually came from a legacy, a big donor, or dependable governmental subsidy. Social fund-raising defined the philanthropy of the trustees, generally speaking. In this “Golden Age”—CEO might be the acronym for Curatorial or Educational Officer, who preferred as little interference as possible with the execution of his academic subject matter duties. The relationship between CEO and trustee was one of maintaining respectful distance.

Today’s four case studies illustrate the changed—and changing—relationship of CEO and trustees, as they work together to solve problems of institutional health. Neither CEOs nor trustees abstractly desired to change the old relationship, but external and internal conditions caused responses institutionally which in fact did change those relationships. Distance diminished and partnerships were formed.

The first case, that of the Brooklyn Botanic Garden, concerns the imposition of a mandatory admission fee in place of formerly free access; the second case, that of the National Wildflower Center, focuses upon fund-raising to build a new facility; the third case, that of the Denver Botanic Gardens, deals with neighbor and community issues; and the last case, that of the Santa Barbara Botanic Garden, fea-

tures the building of the board of trustees.

We’ll start with the chair from the Brooklyn Botanic Garden, Lois Carswell.



*Weathering the Winds of Change:
The Brooklyn Botanic Garden*

MS. CARSWELL: I’m going to start with a bit of historical background about the Brooklyn Botanic Garden because it’s relevant to what went on during this process of instituting an admission charge.

The Garden was founded in 1910. It’s one of thirty-two primary cultural institutions in the city of New York, where the city owns the land and there is a private board. It was established as a public/private partnership for fundraising purposes. It is an urban garden, the fourth-most-visited cultural institution in the city following the Metropolitan Museum of Art, the Bronx Zoo, and the Museum of Natural History.

Our clientele is astonishingly culturally and economically diverse— from local residents, to foreign tourists, to garden clubs, to members of the AABGA. This diversity and our attendance of 750,000 a year is a source of pride to both the staff and the board. The Garden’s motto, since 1910, was “Always Beautiful, Always Free”.

When the subject of charging admission was

raised over the years it was met with great emotional opposition. "Over my dead body" was the general reaction—and I was known to be one of the people who said that.

But times changed. City support, envisioned in 1910 to be 50 percent of the operating budget, had steadily declined over the years. Competition for funding was tight. New York has five major botanical gardens. The board is ultimately responsible for the institution's financial integrity. And finally, we had to face up to reality: the need to develop new sources of regular, dependable income over time. An admission charge was an obvious avenue to explore.

None of what follows will make sense without some explanation of the unusual outlook of the garden's board, which made working the issue through the board more complicated.

There was a lot of emotion. People go on boards for many reasons. Most members of the garden's board are there for the right reasons: they love the institution, they want to serve the public—*all* of the public—to the very best of their ability. Because of this, many board members had reservations about whether an admissions policy would compromise the mission of the garden: our ability to serve everyone and maintain the diversity of which we were so proud.

After it was over, someone said to me, "I don't understand why you had all this trouble. With other boards that I've been to when this issue came up, all the board said was 'how much will an admis-

sion charge bring in?' and then they passed on to other issues". This was not the case with the Brooklyn Botanic Garden.

By 1995, all but three of the other major cultural institutions were charging, some of them pretty hefty fees. So, with some reluctance, but also with a feeling of inevitability, Judy and I agreed to go jointly to the board with a proposal to study the issue. This first decision was made together, and that as the issue moved first through the board and then to the other stakeholders it continued as a partnership. We were there for each other.

In April, Judy presented the issue to the executive committee with my recommendation to go forward. The executive committee agreed to the suggestion.

In May, the full board endorsed the formation of an exploratory committee. Both the executive committee and full board meetings were open and interactive. Every member was encouraged to express an opinion. Judy gave her recommendation. I supported her.

The proposal was very specific. The composition of the admission study team, as well as its timeframe and parameters, were clearly defined. This was a decision which, when and if it was made, had to be one of consensus.

The composition of the admission study team reflected all segments of the Garden community. There were representatives from the board, pro and con, old line and "young Turks"; there were key

staff and volunteers from different constituencies, all similarly divided in their opinions.

We were also fortunate to have available to us an experienced consultant who had advised non-profits across the country on this very issue and who contributed his services pro bono, out of love for the garden. In this case we got a lot more than we paid for.

The study team was formed in May. During the summer, the staff members gathered statistics and information from other institutions.

In September, the team met and took the information and a preliminary recommendation to the executive committee. The September meeting of the executive committee was not one that I am anxious to repeat. Rancorous is not describing it properly.

But in the end it was decided that the study team should go back to the drawing board and, taking into account the honest reservations and constructive suggestions of the trustees, do more research and report back in October.

By the time of the October executive committee meeting, a basic and very generous admission policy had been crafted by the team: a low-end fee of between \$2 and \$3 for adults, half-price for senior and students, 50 cents for children, and all school classes free. In addition, the committee recommended making available an annual community admission pass at \$15 for an individual and \$18 for a family. This very reasonable proposal carried the day. Each

member of the executive committee was polled and there was only one dissenter.

A special board meeting was called in November, our best-attended meeting ever, with about 10 days' notice. Normally, we can hardly get a quorum—that's an exasperation—but everybody showed up for this meeting. Again, the proposal was outlined by Judy, there was a general discussion, and then I asked each trustee in turn for an opinion. The dynamics were extremely interesting, and in the end the vote was almost unanimously in favor of a two-year trial. Only two trustees out of 38 were opposed, and each of them for different reasons.

Now the trustees were in the boat. Judy and I had done our first job. But selling the other stakeholders was critical, and Judy took the lead and the heat.

MS. ZUK: I had almost forgotten that executive committee meeting, which was indeed an open and interactive meeting. This was very much a partnership—first and foremost between Lois and myself, representatives of all the staff and the board of the Brooklyn Botanic Garden—because this was an issue that struck at our very hearts. We knew, if we felt so strongly about it, that our stakeholders within our staff and trustees had an equal depth of concern and conscience about making this monumental decision. So we had to be partners—and we were, without having to struggle to achieve that partnership.

Our job was, then, to try to get as many people as possible with us—or certainly, the fewest possible against us—in this whole endeavor. Throughout this whole process in working with our stakeholders we tried to involve as many as practically possible, in the examination and the decision-making process.

Lois mentioned the team that was pulled together to examine the facts and figures behind the admissions issue, and that was comprised of staff, volunteers, and trustees.

Our major stakeholders who are affected by this certainly are our visitors, but we didn't envision going out and taking a survey of our visitors saying, "Would you like to pay or would you like to continue to come in for free?" We pretty much knew the answer. But there are staff, there are volunteers, there are members, there are elected officials. These were just subsets of this broad constituency that we serve that would have some opinion; who would be affected by this decision. Staff and volunteers and members—our board are members as well as board members—were part of the group. Within our elected officials, specifically the city elected officials, we do have representatives on our board of trustees who serve *ex officio*, so they or their representatives from the mayor's Office, the city council, the controller's office, and the commissioner of cultural affairs are part of our board in an *ex officio* capacity. In several instances their direct representatives were part of the group voting on this issue or making

their preference known on this. We also communicate with them regularly via the mail and in conversations.

We selected key elected officials who were among the power brokers within our constituency to bring them on-board in a regular way. The Borough President is very important in Brooklyn for that reason, and the Chairman of the Brooklyn Delegation to the City Council. So we had more regular communication with them, bringing them up to the point where we needed to make this monumental decision.

Once it had been made, we had to communicate this to the public. We agreed that this needed to be a unified message, so we needed a controlled message. The major spokespeople for the institution would be Lois or myself or our Director of Public Affairs. That included going to the media—the *New York Times* ran an article; Lois was interviewed on television.

Beyond that, every person who came in through the door might stop a staff member of the Brooklyn Botanic Garden and engage them in their view on the thing. So we had staff meetings before the decision was made to let people speak out and examine in a group forum how they felt about this. We modified our decision based on some of those conversations that went on between staff and volunteers.

Once the decision was made, we got everybody together again several times to talk it through,

giving printed material, to try to get people to accept a unified message about why this was necessary, what we were doing, and why we had to do it now.

We also worked within the community board structure in the borough to go to meetings, to talk with constituent groups who were particularly affected—our nearest neighbors and other community groups we knew about or who emerged in this process once this became public knowledge.

It went reasonably well. With much pain and anguish, we took it to a certain point.

Then, out of the woodwork, emerged the New York Public Interest Research Group (NYPIRG), a group who had never come forward on any greening issue before. We weren't even thinking about communicating with them what we were doing. They emerged to take exception to this decision on the basis of environmental ethics, declaring it would be discriminatory against certain segments of a socioeconomic range, that the Brooklyn Botanic Garden was singularly now doing something that was uniquely problematic, that had not been a problem with the other thirty cultural institutions who had done this before. So this was a real lesson. You don't know in this whole process—you can talk with everybody and get everybody together and get everybody on-board, but you never quite know—where your next obstacle will come from.

In working through with NYPIRG, or trying to work with the groups that they were now engag-

ing in this dialogue, it was a partnership again between board and management. We called on key board members who lived in communities where there was the greatest dialogue being stirred up among these groups.

There was one instance where one of our trustees, who is the president of a local college, and highly regarded in that community, stood up and said from his heart how this had to be done. That certainly defused quite a lot of the thunder of the group's opposition. Having everybody enlisted in it from the very beginning at all levels helped us get through that obstacle, which was much higher and much more solid than we had ever envisioned would be put in our path in trying to get the public to embrace this dramatic change.

I couldn't have done it without Lois. There was more than one time I leaned on her more than just for moral support. But I think it's indicative of the way the Brooklyn Botanic Garden staff, management, and trustees have worked together.

In closing, one of the things that is indicative of how this partnership was so successful is that Lois, in addition to being the chairman of our board of trustees, is also the chairman of our plant sales. So it's not unusual for Lois to have lunch with a potential donor and then race down to the nursery, put on her blue jeans and pot a plant for the plant sale. For the members' opening, we're all prevailed upon to check out customers. Lois's husband, Bob, our vice president for horticulture, and Linda, our vice president

for external affairs, all check out plants. Customers are impressed that they have the executive check-out table.

Certainly, spirit helped us get through. This probably will prove to be among the most monumental decision and action to be taken.

QUESTION: Did you have to alter your hours of visitation as a result of charging admission?

MS. ZUK: No. We are open six days a week, closed on Mondays, and our hours remained the same. We did select Tuesday as the day that we would be open free to the public. We looked at our visitation on weekdays, and Tuesday was our busiest weekday, so we have selected that as the one that we would continue to keep as an open day. From an operational standpoint, that worked out quite conveniently, because of our admissions staff. Since we're closed on Monday it worked out nicely, giving people their two days off on Monday through Tuesday. But, we could back it up by saying that was our busiest weekday.

QUESTION: What did it do to total admission?

MS. ZUK: Last year our admission dropped by more than twenty percent. We were affected both by weather and by the admission fee, because last year all the outdoor attractions in this area were

experiencing drops in attendance—not as much as we did. We're up fifteen percent this year. We knew it would take at least two years for it to settle out.

We have four entrances, three for the public and one for business. We are on a cross-footpath going from one subway line to the next, so of our 800,000 visitors some were just actually using us as a pretty place to walk through. So people are making their decisions today: What do they want to pay for? What were they using us for before, what are they using us for now, and is it worthwhile for them to pay for that?

Our membership in the last year—we recently did a direct mail campaign, but before that—was 2,000 new members, because now when they have to make the decision—do I want to pay one way or the other—they join, and they're almost all new members from Brooklyn.

QUESTION: How much is the fee?

MS. ZUK: The admission fee is \$3.00 for adults, \$1.50 for seniors and students, .50 for children, and everyone under six comes in for free. And we maintained a free admission policy for all school groups, and we define school groups quite broadly. These are self-guided groups. If you wish to have a tour or be part of a program, there are fee structures. But we have over 100,000 children and some adults who can come in for free under that group policy.

QUESTION: What's your total membership?

MS. ZUK: The total membership is 19,000.

QUESTION: What is your membership fee structure?

MS. ZUK: The entry level is \$25 for an individual. It goes up to \$50 for a family/dual membership. There is a \$35 category that is a subscriber category. For our publications, we do have a proportionately large membership that is outside of our visitation area, and those are people who want to get the *Plants and Garden Handbook*. It goes up to \$1,200. If you have more than that, we'll create a category for you.

QUESTION: What happened to the \$15 and \$18 idea for passes?

MS. ZUK: It is still in place for the second year. We found that we had more than 2,000 people who elected to become community pass holders, and almost ninety-five percent of them were at the family level. We define "family" as two adults and the children in the household. It was, as Audrey, our finance representative, says, a "no brainer"—"I may as well buy a family pass"—because you can come with a friend. We don't question who's in your family. Almost all of those were \$18.

We did do a mailing this year. We had about

ten or fifteen percent of our members roll over their membership, and we're going to keep working on that.

QUESTION: What do the ticket-taking expenses cost and what are your revenues from that?

MS. ZUK: We anticipate for the first year—and we're pretty close to budget—to take in \$500,000 just from ticket sales. Our expenses were about \$50,000, if I remember correctly. We thought we'd have between \$400,000 and \$450,000. We staff three gates. It would be a lot easier if we only had one main entrance, but that's not how we are designed. It would be sending a negative message if we closed all but one, because each gate serves a different constituency. Because we're in a borough of 2.5 million people, one gate might be the cachement area for hundreds of thousands of people, and we didn't want to give out those messages.

QUESTION: The \$50,000 doesn't include your staff for ticket takers, does it?

MS. ZUK: It does—but maybe not. I'll have to check that.

QUESTION: How many ticket takers do you have?

MS. ZUK: I'm not sure. We use hourly

workers for all of our ticket sales. We give reduced admissions during the week in the winter time. We decided that visitation was so low that we'd only charge on weekends. We have one full-time manager, who also is our visitor services manager, who manages the volunteers as well as the whole admissions program, so his salary is split between several different lines.

I'm probably off by some number, but it's less than \$100,000, even when you roll in all the management fees for the ticket sales.

QUESTION: How does the admission charge relate to those of the other botanical gardens in New York?

MS. ZUK: [Another local institution is] \$4.00, and I believe the New York Botanical Garden is \$3.00 with some additional fees for the Conservatory and others. So we are in the lower range.

PARTICIPANT: I think you're the most reasonable.

MS. ZUK: We deliberately chose at the lowest end of the fees, in part to support our wish to be as accessible as possible. In contrast, the New York Aquarium is charging \$7.50 to come in, and they charge full groups—and they get 700,000 people to come and do that. So where there's a will there's a way.

QUESTION: Do you count people on your free days?

MS. ZUK: We do. We have turnstiles at all our entrances. People continue to go through the turnstiles.

QUESTION: Do you have any free hours on weekends?

MS. ZUK: No.



*The Earth-Friendly New
National Wildflower Research Center*

MS. ROSE: I will talk about the new headquarters that we built, which opened two years ago April 7th. The project itself started many years before that.

The first thing I want to emphasize is that it started with the mission of the institution. I think everything you do starts with a mission—or should—and I think very often in nonprofits it doesn't. The collaboration between board and staff started with a mission.

Years ago, David and the chair of the long-range planning committee went to different cities because our board has members from all across the country. They got input from board and staff about the mission. From the mission, of course, the long-range plan was developed.

One of the strategies in the plan was to build a new headquarters. The point of it was not that some donor came and said, "I have some money and would you put my name on a building?"; or a group of trustees didn't get together and say, "We need to be building so that we're out there in the eyes of the public." This building started so that we could accomplish our mission.

After we all agreed that we needed a new building, a site was given to us and a program was formed for the new building. An architectural selection committee was formed, twelve people who

happened to all be on the executive committee. The size of our board is much larger than I think many people's are. The building committee was twelve, the executive committee is twenty-four, and the board itself is ninety. It is a real task to manage this board and manage the process.

While discussing the role of the architectural selection committee, I want to stress my belief in the importance of the built environment. That might sound strange coming from someone in an organization whose job is the natural environment, but I believe very strongly that the built environment affects the way we live and work, and it affects the natural environment. So I want to emphasize the importance of this committee that's going to choose the architect. Who you choose is going to affect the way your mission is carried out.

We chose a group that we thought was great. We didn't want to choose just a nice local firm. We wanted to choose the best architect that we could get for this project.

We chose them for probably three reasons. First, we thought they would be sensitive to the region in which they would be building, both the built environment and the natural environment. They were extremely bright; they had the kinds of minds that could come up with creative solutions to whatever problems we might present them with. We also thought that they really believed in our mission. We didn't have to talk them into it. It wasn't lip service on their part. They had already demonstrated

that they believed in our mission in other projects they had worked on.

The first thing the architects did in the first meeting that David and I had with them was to come to us with a mission statement for the project. I've worked with a lot of other architects on other projects, and this is the first time that the architects themselves developed a mission statement for the project. It was a great thing to do, because it meant that we could always hold this mission statement in front of us and have it guide us in whatever decisions we were going to make.

The building committee was formed. My role, as chair of the building committee, in a way, is the same as the role of a board chair: it's to make sure that this board group works; that I funnel information about the process, about the design, about the budget, that I get that information out to them; that I listen to them and get their input, then filter it to the staff director of the project, David. He describes it kind of as an hourglass, in that he and I were the thin part of the hourglass, and then the board was over here in this huge balloon, and the staff was in this smaller balloon on the other side.

My real role on this project was to be a listener and an advocate for the project. What do I mean by that? By "listener," I needed to listen to board members, to what their concerns were, and I needed to listen to the design team—to the architects. I needed to help be an advocate for the project, particularly to the board. Inevitably, there are

conflicts between design excellence and budget issues—the mission of the project over here and budget issues over here—and usually it's the board that is concerned with the budget issues.

My role was to make sure that I knew this project inside and out, that I listened well and that I advocated to that board for the excellence of the project, that we not compromise the integrity of the project or the mission. David's and my roles overlapped in that. That's the single thing that we both cared about.

We had different constituencies that we had to tell that to and that we had to advocate that to. He had to work with the architects and contractors more in working on the budget. I had to work with the board on maintaining the excellence of the project.

In closing, I want to say that there probably are a couple of ways that you know when there has been good collaboration on a project between board and staff, between a board chair and an executive director.

One is that when the project is finished, whether it's a capital campaign project or, in this case a building project, it's completed successfully. In our case this headquarters was completed on time, on budget. It opened to critical acclaim from the architectural community, from staff and volunteers, from visitors, from patrons, from members. It has been a success in every way I would know how to measure it. When you come out with a project that's really

successful you pretty much know there has been a successful collaboration.

The second way is we had fun. That's the last thing I want to say about it. It was fun to work on. I think the way you keep more people involved and keep volunteers involved and keep good staff, is somehow you manage to have this collaboration where in the end it has been a lot of work—and yes, you haven't agreed on everything—but basically it was fun. This was.

DR. NORTHINGTON: The most important part of what I want to tell was the roles that we both played—Deedie alluded to those. The fact that there were roles and they were defined—and they had some overlap, and that was defined, and that they had some separation, and that was defined—that was the reason that we were able to work together in a very positive and supportive way and be successful.

When you have roles that are vague, one side or the other of the partnership is either too strong or too weak, then you have real problems. Anytime you have a major issue and you have a partnership to solve that issue, you don't need other problems that would come into and complicate the process.

So, you want to put together a team or a partnership; however you want to do it with as few people as possible in that narrow part of the hourglass—a small committee, one person if possible

being a point person on each side of that—and define your roles. If you can do that and you have an agreement before you start, then you have a real good chance of it working successfully.

We did that. Deedie's role was to deal with the board. I would get calls from the board, no doubt—from the chairman of the board, from the president of the board, from other committees, the individuals. I would get a lot of calls, and I would try to handle them as best I could. If it ever came to push and shove, I'd say, "You know, gee, I need to check with Deedie on that." Before they had a chance to redial, I had Deedie on the speed dial—"Deedie, you're going to get a call from Mrs. Gottrocks and she's not happy with something," and I explained every detail about it, and that was it for me. Deedie would take care of that. So, sweet and quiet and everything that she is, she took care of it.

Conversely, if Deedie called me and said, "We've got a problem. We've got a bunch on the board that are concerned about this item, this cost"—putting stone inside the auditorium instead of sheetrock, whatever the issue was, hardwood floors instead of tile, aluminum, or whatever—I had to deal with that. I had to sit down with the architects, the contractors, and we had to value-engineer that issue and come back to her with a viable solution that she could take to the board and say, "I've talked to David; I've talked to the designers; we've worked it out; here is the solution." If I didn't do that, if the designers weren't willing to do that, if the

contractors weren't willing to do that, then we couldn't provide her with what she needed to do her job.

So we had separate roles, but they were very much overlapping in the area of communication, openness, and dealing with issues according to what our ultimate goal was, and that was the mission of the organization and the mission statement of the project.

Fundraising. Of course, when you're building a multimillion-dollar facility—this turned out to be a \$10 million, forty-two-acre, brand-new facility and it was just a phenomenal end result—fundraising is always a major issue. You've got to raise money faster than you spend it. You've got to raise enough to build what the whole project called for, and that took a lot of coordination as well.

We had a team that included, again, very few people: the president of the board, who was very supportive and kind of helped everything; Deedie, who was chairman of the architectural search committee and the building committee; the man who was the chair of the capital campaign committee; along with about three key staff and the architect and landscape architect. That was pretty much the group that would meet and talk and work through things. Beyond that, you get eighteen to twenty people trying to resolve something and work through issues, no matter what the issues are, you get bogged down.

So again, as few people as possible with very

defined roles, agreed upon in advance, and able to work together and have a lot of respect for each other. That's the way it worked. It went very well and we have a wonderful facility.

Also the biggest issue for me was doing something this dramatic—we went from a nothing facility with a staff of about fourteen over a three-year period to a staff of almost thirty, more than double, and five to six times the facility and the budget and everything else. The word there is **CHANGE**, in capital letters. People are terrified of change because it's the unknown. You're headed somewhere wonderful you think, but it is still unknown, and people are afraid of the unknown.

So I spent a lot of my time with both board and staff dealing with change and how to work through that. I learned a lot. I learned that not everybody makes that trip successfully, but the ones that do end up being much stronger for it and do a better job for the organization. So don't be afraid of change, especially if you're the one that has to lead everybody else through it, because it's good for all of us.

QUESTION: I think we're all interested in the size of your board and executive committee. Can you tell us what the rationale is, and if it works being that big?

MS. ROSE: I can tell you why I think there are large boards. I went to this seminar at Harvard in

December, the first ever executive seminar for non-profit boards. It happened that I was representing the group which had the largest board represented in that group of maybe fifty different boards.

When you depend on the public for almost all of your operating support, you need a lot of different people to give you money every single year. You end up with big boards because that's what you need. The people on the board give you money. For fundraising purposes, that's why it happened.

Really, I don't know an answer to it, and that Harvard Business School group didn't know the answer to it either. I mean, the answer is endowment. Ed is going to talk probably about how he thinks he gets too much operating money from endowments, which is a problem I would love to have, so he doesn't need a very large board.

The Wildflower Center has almost no endowment and, therefore, because "national" is in its name, they need people from all around the country. Both of those things contributed to the size of the board. But then, the way I think a large board really works successfully is through committee groups.

DR. NORTHINGTON: My answer is it's way too large a board. It's very social. It's not as effective as it should be in raising all that money, although that's the reason that it's that large, or part of the reason, and it needs an overhaul. Probably any large board needs regular turnover at least—if not an

overhaul. Keep that in mind if you have a large board.

QUESTION: How national is your board? Is every state represented on it?

MS. ROSE: No.

QUESTIONER: Where are the most, in Texas?

MS. ROSE: Absolutely. Way more than half are from Texas. Half the membership is from Texas, but half is outside of Texas.

QUESTION: What is the size of an average board meeting?

DR. NORTHINGTON: We had a quorum twice in the last three years. Out of ninety, we would be real happy to get forty-five to forty-seven people. It was always just borderline.

QUESTION: Were all your meetings in Texas?

DR. NORTHINGTON: No. We move them around. For several years the spring meeting was in Texas, so it kind of followed the progress of the building. The fall meeting was somewhere else in the country. Moving them around helped. The

fall meetings were actually better attended than the spring meetings.

QUESTION: How often did the executive committee meet?

DR. NORTINGTON: Occasionally, our executive board calls a special meeting for some specific reason, but usually it's quarterly, and that's nationally. The executive committee of twenty-four is scattered all over the country.

MS. ROSE: A national board has a whole different set of problems than most other boards that I'm on which are local. This adds a dimension of difficulty that is not present on other boards. How do you really involve those people and get them brought into things? It's hard.

QUESTION: What's your mechanism for decision-making, by-laws, whatever, if you don't get a quorum, or where does that authority lie for your structure?

DR. NORTINGTON: Everything can be voted upon and done by the executive committee. That's in the by-laws. The executive committee represents the entire board—except for changes in the by-laws; those we have to go to the full board for. If there's not a quorum, it's done through the mail. There's an announcement in advance. They send it

out with a voting sheet for them to send back. That's legal.

QUESTION: So you do get a quorum for your executive committee meetings?

MR. NORTINGTON: Yes.

QUESTION: What marks would you give yourselves in terms of the clear set of expectations you would give a pending board member, in terms of giving, activity, etc.—a “before” picture versus the “reality” picture for a potential board member?

DR. NORTINGTON: We don't really ever have a chance to talk to potential board members except through who nominates them, and it's pretty scattered as to what information they get. What the chairman of the nominating committee asks them to provide that committee is very thorough, and once they're on the board their orientation is very thorough. However, it may be too late by then if they accepted nomination to the board based on incomplete expectations.

QUESTION: You said that you were on schedule and on budget. How much time and effort went into the approval of the board's processing, of getting that budget?

MS. ROSE: That was a long process. We

started the building without having all the funding in place, which is something that I would not normally recommend. In our case there were some extenuating circumstances.

The founder of the Wildflower Center is Lady Bird Johnson. Everyone wanted this to be built so that she would be there to see it open and enjoy it. So there was a reason for going ahead with the project even though we didn't have all the funding in place in advance. We didn't feel we could afford five years of fundraising and then start the project. A very important criteria for us was to go ahead and get it built in her lifetime. She'll probably outlive all of us, but at that time that pushed us forward.

The process of getting the budget approved took a long time. There was a lot of time spent on what the facility would look like and how much could we compromise it, were we willing to cut down, because we didn't have the money raised.

There were two specific instances, the auditorium and a large tower which houses a cistern. In Texas, water is very important. We wanted to visually demonstrate that containment of water, conservation of water, and how we did it was important, and we wanted to visually show that. That's what the tower did. There was a lot of pressure to eliminate that tower. There was a lot of pressure to eliminate the auditorium. In both instances had we done so the mission would have been greatly compromised. So even after the budget was approved, we still fought those battles.

QUESTION: When you said "the mission would have been compromised," were you referring to the mission of the project or the mission of the facility, of the garden?

MS. ROSE: Both.

DR. NORTINGTON: They were very much one and the same.

QUESTION: What percentage of the building's budget was donated by the board?

DR. NORTINGTON: Pretty good size. I would say about twenty-five to thirty percent. \$10 million was the overall figure.



*Board and Staff: Planning Together
through Turbulence and Tranquility*

MR. DALEY: Most of our handout (see appendix) is about the part of this that Deane will handle, which is how we work between the board and the staff on our operating and capital plans. Some of that you'll see by how we do it in conjunction with what David and Deedie were talking about on capital planning.

I'm going to talk about how we worked through some fairly difficult community issues.

We are a public/private partnership, not unlike what Lois described for the Brooklyn Botanic Garden. Our land is owned by the city, but we are run by a private nonprofit. That gives us a lot of the same kinds of issues, in fact, that Brooklyn had.

Over the past approximately four years, we've been in a big community process with our neighbors over some issues that have been very difficult to deal with. The way we dealt with them was through this kind of partnership between some of the board members and myself.

Several years ago, I put together a list of stakeholders in Denver Botanic Gardens. That list comprised about two single-spaced pages of groups that are stakeholders in some important fashion in the Botanic Gardens. Out of those fifty or seventy-five groups, you can spend all your time on any one of them.

One group on that list that we didn't spend

enough time with was our immediate neighbors. It's a very small group compared to all our other constituencies—school groups, schools, senior citizens, members, casual visitors, tour groups. We weren't spending enough time with our immediate neighbors, and we paid dearly for it, particularly in terms of the time that it has taken us to recover.

The issues that were before the community largely were what a lot of others of you have experienced: traffic, noise, and change. There were some other elements. Every one of our cases with our neighbors is different, but those are the biggest issues.

There was a real fear of the future. David talked about fear of change. One of the things that I think hurt us with our neighbors is we didn't realize how much resistance there would be to our proposed changes and how much fear there would be as we developed new facilities, new programs, broadened our audience, enlarged our audience—that they would start feeling like the world was coming down onto their neighborhood.

We are in a residential neighborhood. Part of our neighborhood is very affluent and part of it is a much more working class/middle class neighborhood, on different sides, one north of the gardens and one south of the gardens. On the east and west sides there is public land.

We didn't take into account as much as we should have some of this fear that the neighbors were going to have when we unveiled a master plan

and when we started enlarging our concerts and so on, how much that would affect them and how much it would affect them psychologically with their fear of the future. So we had to figure out how to deal with that.

We put together a partnership team of about three trustees—at times there were four trustees—and myself that really tried to do everything jointly and collectively when we met with the neighbors, when we worked through issues, when we negotiated with them. Our city was involved, our mayor was involved, city council members were involved. We tried to work as a team.

One of the strategies our neighbors used against us at times was to try to divide and conquer, and particularly divide the director from the board. There were many times when there were some rather personal onslaughts against me or the things that I was trying to change. Clearly the board was behind me, but they were trying to see if there were some holes in our armor so that they could say “the board’s not really behind Rick; he’s really too much out front.” The board did not let that happen. That was critical to our success.

Judy and Lois talked about how they were a team. The president of the board, I, and the other members of this negotiating team were very much together and simply did not allow that to happen. We were virtually at all of the meetings together.

We learned a lot of things. We learned about communication. We learned our communication, as

I said, wasn’t very good. I have a couple of suggestions for you.

We created a newsletter. It’s called *Community Update*. We are publishing this and distributing this now to about 25,000–40,000 households. It’s a bit expensive, but in the long run, it’s real cheap.

It concentrates on things we think will be of interest to the neighbors, like where we are in our planning process. Our planning process does involve our city because we’re on city land, so when we get approvals through the city we put one of these out. That’s what our issue is about.

We also use it to build our education program. We tell the neighbors—not all of them are members, of course—but we use this as a way to talk about our plant sales coming up or our next education classes. So we try to make it very positive and not defensive.

It has been very well received. We learned, as many of you have learned, that the neighbors that may rally against you at times represent a very tiny part of the constituency. What this allowed us to do was to talk to a much broader audience and build some real support and get rid of some of the rumors that were out there about what we were doing.

We have also tried to do some special things for neighbors. We’ve had a couple of pizza parties. Very popular. It was really incredible! We had hundreds of people. We invited all the neighbors in to come and talk, have some pizza, bring their kids. We also had models and demonstrations up of all our

upcoming projects. So the neighbors could come, have a slice of pizza, and talk to me or board members very informally. It worked great.

For several years we've had a chili supper at Christmastime, where we've invited just the neighbors. They pay three or four dollars which just covers the cost of it. Very popular.

We let our neighbors come in during our plant sales during our members-only time. They don't have to be members. We just send out a flyer to several blocks around us saying: "Sorry for the inconvenience. Come join us during the eight to ten a.m. period that's restricted for members." They love it. I get tremendous feedback on that from neighbors.

So we've learned to keep doing and looking for opportunities to do those small things, and I think it has helped really rebuild our relationship with our neighbors.

Now I'll turn it over to Deane Hall, who will talk about some of our general planning issues.

MR. HALL: I'm chair of the planning committee at Denver Botanic Gardens, and have been for eight years or so.

We have a board of approximately forty-five people, an executive committee of approximately ten, a staff of around one-hundred. The senior staff and the executive director number six. The planning committee, which includes the executive director and the senior staff, is nineteen people.

The board's planning committee looks at all of the programs at the Botanic Gardens in the operating plan process, which you see on the diagram on the first page of the handout.

Our operating plan is a three-year plan which is updated annually. You can see it in the sketch (see appendix: Operating Plan Process)

The operating plan is approved by the executive committee, and the full board after the planning committee, which is both trustees and staff, is involved in its formation. The staff, of course, has the greatest role in its formation. Where the board members play their greatest role in the formation of the operating plan is in looking at overall goals.

The facility's master plan and project planning process takes up most of the space in the handout (see appendix: Facilities Master Plan and Project Planning Process). The handout has been simplified to make it slightly more digestible, and has eliminated the city and neighborhood steps in the planning process because in our planning process for the master plan—which we actually don't call the "master plan," for legal reasons, regarding our contract with the city and county of Denver—we call it a "Concept Plan for the Year 2001." If it were a master plan, it would have to go through a whole other process involving the city, neighbors, and whatnot, so we've just called it a concept plan.

In the planning process and in the individual planning project process, which has city and neighborhood steps to it, those steps are missing, to make

it a little easier for you.

On both the concept or master planning process and on the project planning process, where the board as a whole has its major opportunity active and creative involvement, is on the step where the concept for whatever project it is—a new building or a new program—where those ideas are beginning to gel. We hold open sessions to which board members are invited. In some cases, if it's an item of particular interest to the board, we will hold several sessions to enable as large a number of board members to come at their own personal convenience to participate with the planning committee and with the staff in looking at what this project, whether it's a physical one or a programmatic one, should be.

The board has other checkpoints of reference and approval along the way, but we try—because we have a large board and a very interested and active board in most instances, they can't be involved in every step along the way. When we were a smaller institution, board members were involved in more things than they are and physically can be today because we had less staff. And so, as board members in the early growth of most nonprofit institutions, botanic gardens in particular, you get people who have real gardening interest, and they want to be involved in deciding what we're going to plant there or what this building over here should look like.

We have been able to bring most longer-term board members—not all of them, but most—to the point where they understand that they no longer can

really be involved at that level of detail. But if we have people with particular expertise or interest on the board who want to be involved in a project, they can continue that involvement beyond the normal board process by being active on the project committee for that particular project.

We have, for example, a new fragrance garden that is starting to go in this summer. We have one board member who for years and years has been actively trying to get the gardens to have a fragrance garden. He is a very talented gardener and he is one of the primary board members of the project planning committee which has been involved in the details of what that garden is going to be. But the board as a whole is not involved in that. They're involved only at a conceptual level.

There is a reference here to the design review committee. That is not a subject for discussion today. We do have a team of professional architects and landscape architects who are paid by the gardens to advise us on design issues. I'd be happy to talk with anyone who might be interested in that concept.

QUESTION: How do you define your neighbors? The ones who have immediately contiguous property? Obviously you sent out your newsletter to a far greater number than that.

MR. DALEY: It depends on the exact context it comes in. We define it differently. Because of all the processes we've been through, there is some

formal definition now incorporated into our contract with the city which allows us to operate, but we don't always use that definition. We have tried generally to enlarge the group. They tend to try to compress it because there is really a very small group that has a vital interest in what we are doing and generally is in opposition. We keep building that generally. So they would like it to be a couple of blocks either side of the gardens. We'd like it to be twenty or thirty blocks on either side of the gardens because those people we really think of as our neighbors. And then, we always try to balance that with our large public.

QUESTION: You talked about your relationship with your neighbors. Can you talk about your relationship with the city council, the mayor, or whatever the government is? What was their position on those things you talked about?

MR. DALEY: One thing that heated up our issue was there was a longtime city councilwoman who had been representing our district for many, many years, who was extremely supportive of the gardens, who resigned her council seat to take a position on the mayor's cabinet. That left that seat open for election. There was a fairly heated race for that seat. The person who won ran against growth in the district, against the gardens, against the hospital that was on another corner, and against a shopping center that was a few blocks away that's also talking

about expansion. He sided with the neighbors and was supported by them. He won overwhelmingly. They financed his campaign.

So it has taken quite a long time to bring the new councilman on-board. And yet, now basically he is on our side, but, in order to play both sides, he mostly stays out of it. I have lunch with him on a fairly regular basis. I know they talk to him. He is very good friends with a couple of our trustees, and that has helped. basically he has taken the position "I'm done."

MR. HALL: Four or five years ago we altered our contract with the city and county of Denver to give the board more authority in running the gardens and hiring the staff because prior thereto the staff was supposed to be wholly supplied by the city. The executive director was a city employee. All the other employees were supposed to be, but over the years, as city funding has been cut back and back and back, de facto, the Botanic Gardens Foundation—we're a 501(c)(3) organization—hired staff.

When we made this contract change with the city, we realized that we were going to need to get a political side to our board, which we had never really worried about or been concerned about before. We haven't done a terribly good job of that yet. We need to look at board people who are going to be well connected with the city mechanism so that we can build support there.



*Making the Transition from a Social
to a Philanthropic board*

MR. ROGERS: Our title is "Changing the Board from Social to Philanthropic". If you don't have to do that, don't bother. That would be the best way I think I could say that. The board meetings are a lot more fun when you're just social, and the parties are just great. That's enough.

The reason we did this is because we changed from a garden that was basically a display garden for a relatively small number of people, which did a great deal of research and education. Demands for more programs serving the needs of the community and a wider audience, as well as the need for newer facilities to support the enhanced programming, placed the board of directors in the position of needing to conduct much more fund raising. In fact, the board had previously little involvement in such an arena and the leadership of the board firmly believed that all trustees should share in this responsibility.

Considering that your board needs to reflect the mission of your garden, we made the change. In fact, we agree with Deedie Rose, that you need a mission statement. I brought mine (See appendix). At every meeting this mission statement is sitting in front of each trustee as a laminated placecard. This is our mission statement, our vision statement, and our goals.

The reason we place the mission statement in front of each trustee is that we have a logical process.

We need to make certain that every single thing we do, because that which we're doing is very complicated, relates very specifically to each goal that was the result of the mission and the vision and the goals. The mission just tells us what we want to be. The vision then points us very specifically and programmatically, but at a relatively high level in terms of what that ought to look like. And then, the goals are very, very specific programmatic tasks.

Once you end up with the goals of the institution, then you have to define very specific programs that relate to those goals. If a very particular form of education is something that you need to do in your institution, then you have to define what those classes are going to look like, everything, all the way down in terms of very minute specificity.

We need this specificity to be produced in a very carefully thought-out process. The process is staff-driven and monitored by a board committee—our programs committee—and is controlled by the CEO.

The process is a very difficult one, as you might imagine, because each department has its own views with respect to how things need to be done. The educational department has a tremendous stake in what the displays look like in the garden and what interpretation looks like in the garden. So there are lots of cross pollination problems, if you will, that occur.

In fact, one of the things that we did to help us address these concerns was use the Map III from

AAM. The Museum Assessment Program (MAP) is an enormously helpful process, and I really would recommend it to you. What the MAP III process results in is, once again, very specific activities listed by project within each goal that require support, time requirements, performance criteria, everything, built up so that you know precisely what it is you're trying to do.

Next, you take that list of activities and you determine the staff attributes and trustee attributes that are necessary to support the activities. You end up with a skills inventory. In other words, if we're going to—I can't resist a sports analogy—need a first baseman, you don't want to have a linebacker. What you're looking for, if you decide that you're playing a certain game, is very specific skills relating to the requirement of that game. You've got to inventory those skill requirements very carefully. And you've got to make certain that you don't first look at your staff or your trustees when you're doing that, that you look at the skills that are required by the program. You fit people to it later.

When you go to fit people to it, one of the most useful things I've seen is the trustee self-assessment from the National Center for Nonprofit Boards. This is another neat tool for helping you. Self-assessment allows you—focusing now on the board, which is what my problem is—to look at the skills inventory that the board is bringing to the table.

The process produces a matrix (see appendix:

Santa Barbara Botanic Garden Board Profile). The matrix has the skills inventory down one side and your board members across the top. Needless to say, this is a confidential document. This is not something that you even want to show the board except in summary form.

The executive must know about this document, however, because some of the skills assessments are very personal. The sorts of things that you need can have to do with communication skills, personality—how effective is this person in the community? There are a lot of people who think they're incredibly important and effective in their community who just really are not—not a shock to anyone here.

Once you determine the matrix and examine it relative to your needs, you find all kinds of interesting things. The resulting matrix can have a bunch of boxes checked in one area of expertise and things that are really missing, things that you've determined are really important with respect to how the board functions, and they're just not there. For example, if you mean to build something, which we are in the process of doing, you might look for board strengths in marketing, estate planning, deferred giving, public relations, major fund-raising capability, minor sorts of things like that. If you don't have a bunch of really strong check marks in those portions of the matrix, you've got a problem.

Now you're ready for the membership process because now you know the skills you need

on your board. If you don't do everything that I've just described, you cannot know who you want.

In Santa Barbara we have put the board membership committee into the executive committee, because in order to get really great trustees we've got to have great trustees to find those great trustees, and great trustees have a tendency to be really busy people and under intense demand. Our executive committee meets once a month, not once a quarter, so we are putting intense demand on these people. We couldn't have a board membership committee, which has to, by definition, be the long-ball hitters on your squad, meeting in addition at some other time. So we have had to put them together. That has worked very well for us.

Our process is that names come up to the committee—and they can come from any source, virtually anywhere. We discuss each candidate at the executive committee, which also serves as the board membership committee, and we focus upon those prospective trustees' skills. We focus first on the prospective trustee skills, then we compare those skills with those indicated by our matrix to be missing or in need.

It's here, in my opinion, that you make or break—I can't say that more strongly—the future of your organization. It's right there. If you're strong enough to adhere to your strategy, to in-fill the board's strengths that you've already determined logically that you need, then your board has a good chance of being a success. But you've got to do that.

Otherwise, you end up with a collection of friends and then we're back to good board meetings and fun parties. Now, there's nothing wrong with a collection of friends if, in fact, that's what your skills matrix tells you that you really ought to have.

It is hard to do this because, needless to say, for those trustees who have been in those meetings, you know what it's like. You get, "Oh, they're so nice, we really ought to have them on the board." How do you respond to that? How do you defend yourself? The best way to defend yourself is to point to the matrix, point to the holes in the matrix, and say, "How does this person fit with the skills that we have determined that we need?" It's a great defense, and the institution is the winner.

If this person is then okayed by the executive committee to be approached, we designate someone on the committee to conduct the approach. We set up a luncheon. A resume is looked at and formulated with respect to the skills. The resume is passed out to the attendees prior to the luncheon. The luncheon is headed by the CEO. There have to be at least two members of the executive committee present. If the prospective trustee then receives approval, that person's name is immediately "agendized" at the following full board meeting.

We add trustees throughout the year. We do not wait if we see somebody we want that fits our needs. Much of our community is an ex-pat community. The old joke is that Santa Barbara is the place where old people go to visit their parents. So,

we have to catch these new residents before the art museum does. If we wait a year, we're going to miss somebody who is very important to us. So we don't wait. That's a relatively recent change.

Once the candidate's name goes to the board, we have a very lively discussion at the board meeting. The candidate's resume has been sent out in the board's pre-meeting mailing, so everybody knows what we're talking about. If the candidate receives approval at the board meeting, we send out a letter under my signature that starts the board orientation process, which Ed Schneider is going to talk about.

If you have done all of this right—and I mean all the way from that mission statement to being very firm and very tough about those specific talents, those specific skills that you need on your board—then at least you've got a fighting chance to be successful. If you don't, you really are in trouble.

As the old saying goes, if you've got the right weapon and you're entering into a war, at least you have an opportunity to win the war.

DR. SCHNEIDER: They say that all great cities have great botanical gardens, but I can tell you that all great gardens must also have a great board and board leaders. As you can detect, Richard is one of those trustees who is committed to the institution and who's not afraid of "getting in the face" of his fellow trustees when needed to move the institution forward, so it has been a real pleasure working with him.

The trustees of the Santa Barbara Botanic Garden have a seventy year history of respected and dedicated institutional and community leadership. Importantly, they have respected this CEO's role in formulating the overall vision of the institution and, through effective working relations with staff, have assisted in crafting strategic plans that implement the mission and vision. I believe in the general paradigm that a partnership must be formed to create a time-honored vision, since CEOs, like trustees, come and go with time, although at times it seems that CEOs in the non profit sector have increasingly shorter tenures.

There are many topics that we could address in today's meeting; from having too large of an endowment—if such were possible (as Deedie mentioned)—in the sense that it puts a different tone to the board's urgency and need to fund raise, and places a heavy reliance on the micromanagement of annual operating funds, not to mention the diminished incentives to develop an ever widening community audience.

Today I wish to limit my comments to five subjects: 1) recruitment and retention of board members, 2) orientation and mentorship of new trustees, 3) establishing, and more importantly maintaining, functional committees of the board, 4) establishing the financial giving expectations of trustees—and getting presidential buy-in along with executive committee enforcement of those expectations, and 5) the annual performance assessment—

not of staff or CEO, but of the trustees themselves.

The recruitment, retention, orientation and mentorship of trustees should be an ongoing process. As Richard stated, the Santa Barbara Botanic Garden historically had an annual recruitment cycle, near the end of each calendar year. As far as can be determined from written and oral history, no formal orientation process existed prior to my arrival in 1992. In the Santa Barbara region, where there are about 600 nonprofits all competing from the same 250,000 population for the same philanthropic dollars, waiting until a particular time near the end of the calendar year to recruit just was not going to serve the financial and leadership needs of the institution. So we now recruit continuously year round. The Santa Barbara community is fortunate to have a dynamic flux of philanthropic individuals moving into the Santa Barbara community.

We have a structured half-day orientation, including lunch, designed in a one-on-one format unless more than one trustee is recruited at the same time. In the orientation they get a thorough overview of programs, operations, the budget, organizational chart, mission and vision statements, review of the strategic plan, a trustee handbook, introduction to staff and collections. During this process the CEO has the full attention of the new trustee. I have found this to be an important time for the new trustee and CEO to build a foundation for their future working relationship and purposefully do not invite other trustees to the orientation unless

they are to assume a direct mentorship role.

It's important to realize that our recruiting is designed to meet the needs of the next six-year period, which is the term limit of a trustee at the Santa Barbara Botanic Garden. While there are certainly longer-term needs, as well as short term needs, what we're looking at in the next few years is positioning the Garden for its first capital campaign, so we need to ensure that the board has sufficient leadership skills and financial strength for such an undertaking.

It is also important to remember that recruitment and orientation are only the first steps; retention is equally important. Retention is related not just to a trustee's interest in the mission of the institution, but to the expertise of the trustee and the need that the trustee is expected to fulfill in the board matrix referred to by Richard. We have been very successful in our retention. Only a few board members—one or two in the past five years—have left the board before completion of their term. This loss generally relates to a failure to adequately match a trustee's expertise with institutional needs.

I strongly recommend annual use of The National Center for Nonprofit Boards Self-Assessment document—also referred to by Richard. Trustees can take this document home and, in the quiet solitude, read and reflect about what their responsibilities are, assess themselves against national standards/benchmarks, and then at the end of the year come back and complete another evaluation to gauge their development/performance.

To ensure confidentiality, Richard tabulates each trustee's ranking of their self-assessment, placing the data into a common table. This "composite" self-assessment of trustees' performance, as viewed from their own collective perspectives, is then reviewed using an overhead projector at the annual meeting of the board, alumni trustees, and community stakeholders. It is, in reality, an address on "The State of the Garden". This process places a great deal of internal as well as external pressure on the trustees, but it is done in a very constructive manner that encourages increased board involvement and moves the board forward in completing strategic planning tasks and actions.

During this entire process it is important to place new trustees in committees where they can use their talents and expertise as determined in the matrix of needs and to be cognizant of creating an environment conducive of growing their leadership skills.

At the Santa Barbara Botanic Garden we have reduced from ten to five board committees. In this process we have strengthened the role and responsibility of each committee as well as the involvement of individual trustees; giving them more authority to make and implement decisions as compared to full board discussions on the details of programs, collections, research, etc. With this change in place we anticipate moving from monthly meetings to bimonthly meetings of the full board, which we believe will allow the institution to be more appeal-

ing in recruiting very busy community leaders—CEOs like Richard himself, who may find it a hardship to attend numerous committee meetings, several of which he may feel more comfortable leaving to trustees that have been recruited for their expertise.

Next, I will talk about setting expectations for individual trustees' giving and involvement.

There were no written expectations at the time of my arrival at the garden, and conversations with past officers and board members indicated that no expectations were communicated to trustees during the nomination, recruitment, or orientation process. Richard and I charged the marketing and development committee with drafting guidelines in this delicate area. The garden is very fortunate to have as the chair of the marketing and development committee and as vice-president of the board, a local attorney. He is a most articulate individual and he did a remarkable job at creating the first draft of Board Giving Expectations (See Appendix).

The expectation guideline document was brought before a full meeting of the board, thoroughly discussed, and unanimously approved. Although some board members may not have wanted to implement these guidelines, all knew that if the institution was to thrive as a community treasure it needed more leadership and more giving—giving of monies and time.

These expectations are now used during the recruitment process, and reinforced through the orientation. In a nutshell, the guidelines clearly define

the level of membership to which each trustee must subscribe as well as their level of involvement (time and dollars) in special events, programs, the annual fund drive, etc. Obviously, not every trustee fits in the same category. Trustees are recruited for different skills and strengths and therefore the level of giving and involvement will vary. Their involvement in routine events and activities and special fund-raising events is well documented and explained carefully to a trustee during the recruitment phase. Either they buy into these guidelines or they don't, and if they don't they are not invited onto the board. It's that simple. It takes a board's president as well as others on the board and a CEO willing to enforce these expectations. The institution clearly no longer embraces a social agenda. We believe that the transition to a philanthropic board is well underway. In this transition, existing trustees may need to be grandfathered as to their giving expectations, but we have found that most have "raised the bar" of their individual giving and involvement.

Lastly, a quick comment about conducting trustee performance evaluations (assessments): I believe, as the CEO, this is a critical part of the formula that leads to a fully functional and philanthropic board. Richard has done a magnificent job. We believe that the board can basically be strengthened in its performance by periodic self-assessment. Richard summarizes this, rather than showing individual reports, at the annual meeting. This process not only refreshes the board's understanding about its

role and responsibilities on a periodic (annual) basis, but it also identifies areas where board operations need improvement, and it measures the progress towards all of those goals. In the process it also clarifies the vision and mission and the sense of teamwork that is needed to accomplish the institution's strategic plan.

QUESTION: When you evaluate your board members do you remove some?

DR. SCHNEIDER: This is a new process, only implemented in the past two years, and existing trustees were grandfathered in. I have no doubt whatsoever that trustees will create enough peer pressure that removal will not be needed. However, not speaking for Richard, I know he stands ready to take termination actions if needed, and he will have the strong support of the board. We have just recently instituted a new rule that is somewhat related to trustee involvement; there now is a mandated meeting percentage attendance requirement (eighty percent). If they're not attending board and committee meetings, the board president will ask trustees to come back when they have more time to give.

MR. ROGERS: There are certain slots on the board—four of those currently—where we do not demand that percent of attendance. That is because the person has particular characteristics that are very important for us.

DR. SCHNEIDER: We do expect these people, if they're going to be on our letterhead and be given visibility as a trustee of the institution, to solicit or donate a major gift for the capital campaign—defined as a minimum of \$100,000.

QUESTION: Richard, I take it the executive committee serves as the nominating committee?

MR. ROGERS: That's correct. We had to do that because of everyone being so busy and having too many meetings.

QUESTION: Do your by-laws provide a three-year term?

MR. ROGERS: Yes. We have two three-year terms with one year off. I've been on the board for nine years, but on accepting the presidency we altered the time that the president can serve.

The president can serve only two years, with one more year if there are extraordinary circumstances. So we're trying to make sure we get new blood and new ideas. That puts, needless to say, a great deal of pressure on the building of the executive committee because our president has to come out of the executive committee. So if we don't have good presidential material—and everyone knows it's going to turn over in two years—then we've got problems.

QUESTION: Can you tell us a little bit more what your process is for board evaluations? Do you have face-to-face confrontation with them, or a committee, or what?

MR. ROGERS: The board evaluation after we have the board member?

QUESTIONER: No, before.

MR. ROGERS: That's difficult. We try to get a resume, if you will, prior to the discussion at the membership committee/executive committee meeting focusing on those strengths, that skills matrix that we're talking about. That's all we want to talk about. We force that discussion.

Some people, embarrassingly enough, don't know too much about the names they're proposing. If you have the resume and you have that skills matrix, you, the chairman of the board, can defend yourself against one of your best friends (come to think of it, by definition, we're all really good friends) and one of that person's best friends, where really he maybe doesn't know enough about them or has not carefully considered the institution's skill needs.

I think so much needs to be said about the atmosphere being one of seriousness when you bring a person in. It is not starting off with a social tone. It is starting off with an institution, its vision, its mis-

sion, its needs, and what we clearly expect, articulating at that point what you want from your trustees. I can't lay it on them after they're on the board. As I said in my comments, it's here that you're going to make or break the board.

QUESTION: What about the annual evaluation after they're on the board?

MR. ROGERS: We gather it for the annual meeting where I discuss the matrix and we talk about each member. We talk about performance in the general context and we use the self-assessment to help us do that. We do that at the end of every year.

If I've got a problem with a board member, I'm the guy who's goes one-on-one with that board member.

QUESTION: Do the board members know that they're being evaluated?

MR. ROGERS: Yes, absolutely. That's essential.

DR. SKOTHEIM: That discussion has to take place before they're coming on the board.

MR. ROGERS: That is a great motivator.

QUESTION: Do you actually meet with every board member every year in giving their

assessment, as an executive would with an employee?

MR. ROGERS: Only if I'm having problems.

QUESTION: How did the initial assessment process go within the existing board as you moved from social to more responsible, and particularly within the executive committee which became the board development committee? Obviously, there would have to be a lot of self-reflection among those who were going to be doing the choosing and gathering some consensus there.

DR. SCHNEIDER: That's an interesting question. In part, I think the institutional staff were way out in front of where the board felt they were with respect to understanding institutional needs. Once they realized there was a gap, a sense of urgency was created among the trustees; that staff are dedicated employees, they have real needs, that the institution must be more involved with the community, and on their own came to the realization that their institutional involvement needed to be in concert with their fiduciary responsibilities.

MR. ROGERS: Whenever you are effecting some sort of a change this profound within a tight social group—and our former board was an incredibly tight-knit social group—you have to have great deference and care because a lot of those people put

in wonderful volunteer time at the garden and you have to be extraordinarily sensitive to that.

So, like anything in politics—and this is pure politics—you end up sort of backing your way into it. Timewise, you have to be very careful, as Ed pointed out—where do we want to go and why do we want to do this? If you truly have instilled this into your board and they honestly understand it, a lot of them will perform. If they honestly understand it, then they're going to actually, amazingly, bootstrap themselves. It's remarkable the changes you get. We've had a profound metamorphosis.

MR. SKOTHEIM: Until and unless there is a felt need, it will not work, which means that the challenge for those of you who are heads of institutions in which you do not have a board feeling the need, you are at a preliminary step. You have some evenings of quiet rumination in which you must strategize how you manipulate a situation into which felt need can emerge.

QUESTION: What were the four committees that you condensed to?

DR. SCHNEIDER: We have an executive committee, programs and collections, outreach, and a buildings committee. I might also add that both trustees and staff are integrated, as well as key community leaders into these committees (except the executive committee). Community leaders add an

important dimension to these committees and many times these individuals actually prefer not to serve as a trustee.

QUESTION: Do those people serve on committees?

MR. ROGERS: That's correct.

QUESTION: Congratulations on what you've done. With regard to the norms you have established, I'm curious about those four seats you identified.

MR. ROGERS: Those are six-figure seats, by the way.

QUESTIONER: We know California. That's great. What I'm curious about, though, is whether putting these individuals into an advisory capacity would be as effective. Would you lose the synergy? Would you lose their name effectiveness on your letterhead?

MR. ROGERS: You've put your finger right on something that we've talked a lot about.

DR. SCHNEIDER: These individuals, through their own desire, choose to be on the board. We also have the same type of community leaders who do not want to be on the board but serve as

community “representatives” on the committees and strengthen the effectiveness of the committee. We feel that such diversity actually enhances the role of the committee.

MR. ROGERS: Some people really want their name on your letterhead. That’s worth something to them.

DR. SKOTHEIM: That question is also relevant to the earlier one about board size. There is more than one way, of course, to deal with such a large board. Historically in this country the board of overseers, from Harvard down, has been the classic way, a secondary board without the legal fiduciary responsibility.

MR. ROGERS: We’re seventeen, by the way, going to twenty-five.

QUESTION: How long has this process taken you, to get from your social board to where you are today, and what have been the greatest pitfalls in that process?

DR. SCHNEIDER: It started five years ago when I arrived as CEO of the Santa Barbara Botanic Garden. I began by stating the need(s)—the need(s) were not created, they were already there from the staff viewpoint, but they were not being communicated to the trustees or the community. It took

about a year, maybe two, of careful articulation, at board meetings, committee meetings, and to some extent in meetings with stakeholders, before the “awareness factor” began to take place—for the staff viewpoint to be heard. The change in presidency, bringing Richard with his dynamic capabilities onto the board in the critical leadership position, quickly brought about the trustee recognition for change. I should also note that we were wise in utilizing an outside consultant during an annual retreat of the board to discuss the rationale for change. Our consultant was Bob Skotheim.

MR. ROGERS: I was also chairman of the search committee that recruited Ed, so I was aware that he would be the stimulus to bring about this change. As a board member, several trustees were aware of the need to change, but we needed a CEO to spearhead this effort, together with a leadership change on the board.

QUESTION: I don’t know the environment there. Is there something about this that’s governmental? Do you have pressure to fill in various ethnic groups, racial groups, national groups?

MR. ROGERS: No, we do not, but that is some of our criteria.

QUESTIONER: Most of us have that pressure.

MR. ROGERS: That pressure exists on all of society today, no matter what. I think if the board truly represents your constituency, you have to be very careful in defining what the constituency is. In our community we have an enormous Hispanic constituency and we have, unfortunately, at this moment no Hispanic board members. One of the members that Ed referred to who left our board was a very prominent Hispanic who was very busy doing other things. He was on the board just before we got this thing going and so he missed it. We may get him again.

PARTICIPANT: One of the most common threads among all four of the presentations is the excellent communication between staff and board. I think a topic for discussion would be how do you get that communication going.

DR. SKOTHEIM: The comment being made is that the successful outcomes seem to entail successful communication between staff and board. So the question is how do you achieve that communication when it isn't there, since many would say that it's necessary.

I would make a final comment apropos of that—that I've headed institutions like this for more than twenty years, and one ordinarily finds oneself in a less-than-ideal case. So don't be discouraged. This is what we are shooting for.

Thank you very much.



Denver Botanic Gardens

Operating Plan Process

American Association of Botanical Gardens and Arboreta

Annual Conference Session: CEO's and Trustees: Building Working Partnerships
Thursday, May 29, 1997

Neighborhood and Community Issues in Planning

- Neighbors as special constituents
- Use of team approach
- Effective communication
- Use of special events to bring in the community

DBG Planning Committee

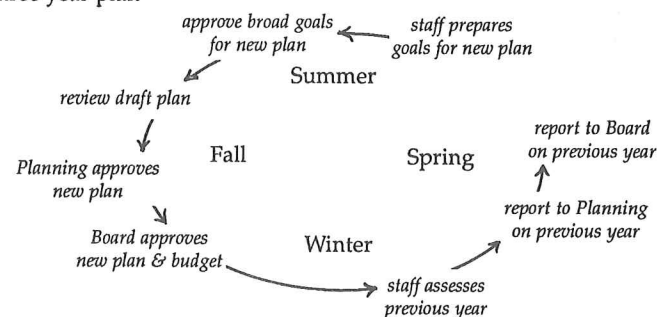
13 Trustees (including chair and vice-chair)

Executive Director

Senior Staff (heads of horticulture, education, finance & administration, development, marketing & PR)

Operating Plan Process (simplified flow for planning process)

a rolling three year plan



Facilities Master Plan and Project Planning Process

Concept Development (similar for Master and Project Plans)

- Staff proposes project to the Planning Committee
- Planning Committee invites Trustees to open meeting(s) to discuss the concept

- Design Review Committee meets to discuss concept and how it fits with the master plan
- Planning Committee reviews concept, and makes recommendation to the Board of Trustees for action
- Planning Committee chair and Executive Director appoint a Project Committee

Selection of Designer (similar for Master and Project Plans)

- Request for qualifications sent out
- Project landscape architect, architect, or team selected; selection committee consists of the Project Committee plus one member of the Design Review Committee
- Planning Committee chair advised of selection
- Contracts with designer(s) negotiated by staff
- Board advised of engagement of designer(s)

Conceptual Design (similar for Master and Project Plans)

- Designer(s) meet with Project Committee and member of Design Review Committee to discuss ideas
- Conceptual design completed by designer(s)
- Conceptual design reviewed by Project Committee with the assigned member of the Design Review Committee
- Conceptual design reviewed by Design Review Committee
- Conceptual design reviewed and approved by Planning Committee
- Conceptual design approved by Board of Trustees

Schematic Design (similar for Master and Project Plans)

- Schematic design completed by designer(s)
- Schematic design reviewed by Project Committee
- Schematic design reviewed by Design Review Committee
- Schematic design approved by Planning Committee
- Schematic design approved by Board of Trustees

Design Development (for Project Plans)

- Design Review Committee advises designer(s) as requested by the designer or staff during design development
- Designer(s) meet with Project Committee during design development
- Design development approved by Project Committee and Design Review Committee

Construction (for Project Plans)

- Staff assigned to project
- Construction manager engaged on largest projects
- Working drawings completed by designer
- Working drawings approved by staff
- Bid documents prepared
- Advertisement for bids
- Contractor selected by staff
- Contracts negotiated by staff
- Review and approval of contracts over \$100,000 by Board's

Construction Finance Committee

- Construction begins *and then continues with no problems*
- Periodic progress reports from staff to Planning Committee and

Board

- *Staff mails ribbon cutting invitations to Trustees*
- *Trustees attend and are duly impressed, thanking staff for a job well done [perfect cooperation!]*

For additional information, please contact:

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SANTA BARBARA BOTANIC GARDEN

Board Profile

Table 1: Skills

Area of Expertise/ Professional Skills	Current Board Members																New Board Candidates					
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	A	B	C	D	E	F
Academic																						
Business/Corporate																						
Community Leader																						
Executive Director																						
Finance:																						
Accounting																						
Banking & Trust																						
Investments																						
Foundation Representative																						
Fundraising																						
General Management																						
Government Representative																						
Grower/Agriculture																						
Legal																						
Human Resources																						
Marketing																						
Membership																						
Museum																						
Public Relations																						
Real Estate/Facilities																						
Recruiting																						
Strategic Planning																						
Special Program Focus																						
Board Committees:																						
Development																						
Executive																						
Finance																						
Nominations																						

Using the board profile: Fill in the names of your board members and board candidates, then fill in the appropriate columns for each individual on tables 1 and 2. After the profile is completed, you will quickly note areas of board weakness.

SANTA BARBARA BOTANIC GARDEN

Board Profile

	Current Board Members																New Board Candidates					
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	A	B	C	D	E	F
Demographics																						
Age:																						
Under 35																						
From 36 to 50																						
From 51 to 65																						
Over 65																						
Gender:																						
Women																						
Men																						
Race/Ethnic Background:																						
Asian																						
Black																						
Hispanic/Latino																						
Native American																						
Caucasian																						
Other																						
Geographic Location:																						
City																						
Suburbs																						
State																						
Country																						
Contribution in Kind (I)																						
Donation (D), Solicited (S)																						
>10K																						
5-10K																						
2-5K																						
1-2K																						
<1K																						
Length of Board Service:																						
Over 10 Years																						
5 to 10 Years																						
2 to 4 Years																						
Less than 2 Years																						
None																						
Attendance:																						
75-100%																						
50-74%																						
25-49%																						
<24%																						
Term of Expiration																						

MEMORANDUM

TO: Richard Rogers, President
 Santa Barbara Botanic Garden
 FROM: Gary W. Robinson, Chair
 Marketing and Development committee
 RE: Proposed Guidelines For Financial Support of
 Board Members
 DATE: May 9, 1996

One of the seven priorities established by the marketing and development committee for 1996 was to recommend to the board a set of guidelines or policies for determining the level of financial support reasonably expected of board trustees, both in terms of their own giving as well as solicitations of gifts from others. In doing this, the committee reviewed the Garden's Strategic Plan, and is now in the process of developing an action plan for ensuring the success of the Garden in meeting its long term funding goals. Given the Garden's expansion plans, these funding goals are quite significant and necessitate increased participation by the board of trustees in order for the Garden to be successful. Accordingly, the Marketing and Development committee is recommending the following guidelines to the board for its consideration:

A. Financial Contributions by board Trustees.

1. Garden Membership.

Presently, the Garden has only sixteen of its total membership (c. 3,000 members) who participate at the Director's Club level (\$1,000 per year). Only four of these are trustees of the Garden (20 trustees). The marketing and development committee has established a goal for 1996 of increasing this level of membership by twenty new members. Accordingly, all board trustees are urged to participate as a member of the Garden at the Director's Club level. If individual members feel they cannot contribute at the Director's Club level, then they are urged to participate at a level they feel they can afford. The board's membership committee has stated that in the future all new members will be told that membership on the board carries with it an expectation that they will participate at the Director's Club level.

2. Routine Events and Activities.

During the year, the Garden hosts numerous events and activities on a routine basis. These include: monthly trustee meetings, Staff/trustee Appreciation Day, the Annual Board Retreat, etc. It is our committee's recommendation that each board Member be asked to make a \$200 payment at the beginning of each calendar year to offset the cost of these routine events and activities. This annual fee will replace the practice of asking board members for repeated smaller payments during the year as these events occur.

3. Special Fund- Raising Events.

It is anticipated that each year the Garden will sponsor a limited number of special fund-raising events, such as last year's garden tour and barbecue, and prior years' "Art in the Garden". Board Members should be strongly encouraged to attend these events and pay whatever amount is charged to invitees. The difference between that paid and the value of the goods received would be considered a tax deductible donation to the garden.

4. Sponsorships.

During the year, the Garden offers various lectures, classes, and other educational opportunities to the public, such as internships, plant scholars, undergraduate and graduate research. Frequently, these activities are sponsored by an individual or corporate entity. To the extent board Members are able to help sponsor these activities by making a donation to the Garden, it would be greatly appreciated.

5. Major Gifts.

A major gift is considered to be an unrestricted donation of \$10,000 or more. It is certainly the hope that the Garden will be able to recruit among its trustees individuals who have the willingness and financial ability to make a major gift to the Garden.

6. Restricted Gifts.

In the past, individual trustees have given to the Garden with a request that the funds be used for a specific purpose. These types of restricted gifts are certainly welcome, however, the Garden would generally encourage board Members to consider unrestricted gifts.

B. Solicitations of Donations From Others.

In addition to helping the Garden reach its funding goals by making their own contributions to the Garden, trustees are urged to help in the effort to solicit donations from others by:

1. Providing names of potential major donors to the Garden's Director of Marketing and Development.
2. Contact potential donors and assist staff in obtaining annual donations and memberships.
3. Recruit at least five new members to the Garden each year, hopefully at a Patron level (\$500) or above.
4. Assist Garden staff in increasing the level of corporate support for the Garden.

The Marketing and Development committee recognizes that these proposed guidelines are a departure from the way in which trustees have been asked to contribute in the past. We also recognize that it will not be possible for all current trustees to participate at the financial levels indicated above. That is completely acceptable. We know that our trustees contribute in a variety of ways, not all of which are financial, but just as valued. Accordingly, this document is intended to provide guidance to current board members in terms of what this committee feels will be necessary in order for the Garden to reach its long-term funding goals. It is not intended to constitute a set of rules or requirements.

Santa Barbara Botanic Garden

VISION STATEMENT

Our vision expresses what we aspire to be valued for and embodies our purpose.

Santa Barbara Botanic Garden is an educational and scientific institution. We foster stewardship of the natural world through inspired learning, rigorous scholarship, and premier displays.

MISSION STATEMENT

Our mission is what we do to achieve our vision.

Through an emphasis on plants native to California, we advance knowledge and understanding of plant life and provide a rewarding experience for our visitors.

1996 - 2000 GOALS

Our goals provide direction, inspiration, and a framework for developing strategic objectives.

- 1) Give new vigor and focus to core programs in science, education, and display.
- 2) Broaden excellence in all programs and operating environment.
- 3) Ensure long term viability of the Garden and its programs.
- 4) Serve and involve diverse audiences.

Adopted September 19, 1996

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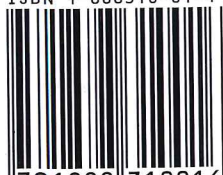
CEOS AND TRUSTEES:



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WORKING
PARTNERSHIPS
Part II

EDITORS:
EDWARD L. SCHNEIDER and RICHARD B. ROGERS
Santa Barbara Botanic Garden

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Ceo's and Trustees: Building Working Partnerships: Part II

**CEOS & TRUSTEES:
BUILDING WORKING
PARTNERSHIPS
PART II**

Edward L. Schneider, Editor

Director, Santa Barbara Botanic Garden

and

Richard B. Rogers, Editor

President of the Board, Santa Barbara Botanic Garden

AMERICAN ASSOCIATION OF BOTANICAL
GARDENS AND ARBORETA
1998 ANNUAL CONFERENCE
The Scott Arboretum, Swarthmore College
Swarthmore, Pennsylvania



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Ceo's and Trustees: Building Working Partnerships: Part II

*For Trustees and Directors
as they seek excellence and leadership*

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PREFACE

This text evolved from a panel presentation made at the 1998 annual meeting of the American Association of Botanical Gardens and Arboretum (AABGA) held at The Scott Arboretum on the campus of Swarthmore College in Swarthmore, Pennsylvania. The panel presentation was organized in the same fashion to a panel presentation on a similar subject (*Ceos and Trustees: Building Working Partnerships*. Edward L. Schneider, Ed. 1998 Allen A. Knoll, Publishers, ISBN 1-888310-00-6) to highlight the importance of the working relationship between Directors and their governing boards. The presentation was built upon the premise that working together as a team can accomplish more goals than individuals could ever reach. The presentation was organized for all members of the AABGA—garden staff, volunteers, and trustees—as well as others in non- and for-profit institutions.

While much has been written about the roles and responsibilities of each of these team members—directors and trustees—in practice, both are responsible (albeit in different ways) for museum governance, strategic planning, formulating vision and mission statements, and institutional operations.

Trustees and professional staff are essential bridges between the organization they lead and the communities

they serve and as nonprofits continue to find innovative ways to meet public needs and enrich lives, a working partnership must be nurtured among institutional leaders. In the following pages are the chronicles of four partnership experiences, each intrinsically dependent upon a strong, trusting, effective relationship. This compilation of their successes is offered as examples from which others may learn or mold a working relationship to meet their own institutional challenges. These challenges are certainly numerous and often great, but so are the opportunities.

Edward L. Schneider, Ph.D.
Executive Director

and

Richard B. Rogers,
President of the Board

Santa Barbara Botanic Garden
Santa Barbara, CA 93105

SESSION FORMAT

Four teams, each team with two panelists—an executive director teamed with a trustee—and each with distinguished service and leadership records will make a 15-20 minute presentation of their experiences; most successful, but some less successful, and how these experiences have helped to shape their view of the important roles and responsibilities of governance in nonprofit botanical gardens and arboreta.

PANEL PARTICIPANTS

MODERATOR:

JUDITH D. ZUK, President
Brooklyn Botanic Gardens

SPEAKERS

TODD MORSE, Board of Directors, The North
Carolina Arboretum

GEORGE BRIGGS, Executive Director, The North
Carolina Arboretum

ROBERT A. SKOTHEIM, President, The Huntington
Library, Art Collection, and Botanical Gardens

ROBERT WYCOFF, Trustee, The Huntington Library,
Art Collection, and Botanical Gardens

EDWARD L. SCHNEIDER, Executive Director, Santa
Barbara Botanic Garden

RICHARD B. ROGERS, President of the Board, Santa
Barbara Botanic Garden

D. DEANE HALL, Trustee/Chair of Planning, Denver
Botanic Gardens

RICHARD H. DALEY, Executive Director, Denver
Botanic Gardens



Introduction

MS. ZUK: Welcome to our session on board and staff relationship. This is actually a followup on last year's session, CEO and Trustees, Building Working Partnerships.

Last year we had the dynamic duo from the Santa Barbara Botanic Garden, Ed Schneider, the executive director, and Richard Rogers, the president of the botanic garden, who are with us again today for this session. I want to thank them both for last year's session and for taking the initiative and spurring us on to follow up this year.

How many people in the room are trustees of a garden or a public institution? That's a lot. Thank you all for coming.

This afternoon we have four teams of eminently qualified people to address issues that are of concern for trustees and CEOs, as well as other staff members in gardens.

Strategic planning as a trust and an empowerment device between staff and trustees

Our first team is from The North Carolina Arboretum in Asheville. The executive director, George Briggs, is no stranger to anyone here. He has served this organization for many years as a board member and officer, and he is the current past president of AABGA.

George has had a very distinguished career in public horticulture. He has a Master's of Landscape Architecture from University of Virginia, a Bachelor of Science in horticulture, and prior to coming to North Carolina, he was the director of the Nebraska Statewide Arboretum.

George serves on a number of boards in addition to AABGA, including the board of trustees of the National Center for Plant Conservation. So he has been on both sides of the table, as a volunteer trustee as well as the chief executive of an institution.

Joining him from the Arboretum is Todd Morse, the president and general manager of Chimney Rock Company, in North Carolina. This natural rock attraction is one of the largest tourist attractions in that part of the country. Four generations of the Morse family have shown extraordinary stewardship of that particular site.

Todd's business background includes a Master's of Business Administration from Vanderbilt University. Todd has been vice-president of the board of The North Carolina Arboretum Society since 1996, and currently serves as co-chairman of their strategic planning team.

His other civic responsibilities include the presidency of the Blue Ridge Parkway Association board of directors.

They will be addressing strategic planning as a trust and an empowerment device between staff and trustees.

MR. BRIGGS: Our goal today is to briefly discuss the subject of strategic planning, not so much in and of itself, but as a device for building trust in the organization.

We've come through Agenda 2000 at AABGA and we're now in the midst in North Carolina of going through our strategic planning process, which is considered not only a common sense of mission, of vision and of all value and of goals and objectives we're trying to create, but also as a device to build trust, communication, familiarity and common purpose in our organization.

Todd Morse, who is with me today, is a very instrumental part of our board. He has had experience in his company at Chimney Rock Park and also now at the arboretum leading that effort.

Most of the time when you're thinking about doing strategic planning, when we did Agenda 2000, we had a major goal of building communication and trust and a sense of confidence in the organization as well as the direction we were trying to go.

We didn't talk about that a lot, but we had that as a key purpose. I think today what we're trying to do is talk about the whole key issue of how to build trust in the organization.

What we try to do is to start out our strategic planning process by building an internal team, a leadership team, that includes both our board and our development director. Our development director is the other co-chair.

The philosophy is that a development person who comes into our organization involved in this role is going to be much more able to develop resources behind those things that come out of the plan.

We also believe that it's crucially important to have the staff at the center and forefront of the effort. So we work quite hard to have the staff give early input and key substantive involvement.

Our board has had involvement at various levels: we've had our volunteers, our members, and all those other

groups that are represented in what we call our planning team. Then we've had strategies to include the involvement and the perspective of all those groups along the way.

We're at the point now where we've developed our values and our vision statement collaboratively, and we're soon going to be embarking upon the mission statement collaboratively.

With that introduction, let me introduce at this point Todd, who is taking on the other part.

MR. MORSE: I'm going to talk about something George introduced in his comments. It's an important component in the strategic planning process but it usually doesn't get a whole lot of play, which I think is a great mistake. That's the whole issue of trust.

Everybody would probably agree that the quality of the relationships within an organization has a great impact on how effective that institution will be. Everybody would also agree that the single most important factor in determining the quality of a relationship is how much trust is present.

I'm sure we all have our own examples. Think quietly about relationships that you've had that had very little trust and how much of a barrier that represented.

Trust helps facilitate everything you do. It makes everything much easier. And as you work on a strategic plan, some natural trust issues have to come up. The first one arises just by the simple fact of what you're trying to accomplish. Namely, trying to balance multiple and diverse interests.

I know at the Arboretum we've got the challenge that not only are we dealing with staff, board, and members, but the state government. There are state issues, there are university system issues. There are also issues with the community and the region. Before long, you realize just how many relationships you're balancing and in which you're trying to maintain this trust.

The most critical relationship in all of this is the relationship between the staff and the board. The board is in an interesting position because they have responsibility for oversight of the whole organization and of the strategic plan.

But a lot of times boards aren't intimate with the institution that they're working with, which is a big mistake. You want board members who are very involved. And from a staff point of view, a board member who is not involved is highly suspect.

It's hard to develop trust with the staff when you're not

very connected to the institution involved. The board represents authority, but when you're not working closely with the staff, there is really no legitimacy to that relationship or that authority.

From the board's viewpoint, sometimes there's a feeling that the staff is too close to the problems to be helpful in planning. They're doing things day to day, so they can't pull back and see the big picture. Not saying that that's true in any of your organizations, but I think there's that natural tendency to have that be a factor.

Unlike strategic planning, where you can hire these great consultants to come in and help design fancy diagrams, great reports, and so on, you can't buy trust. Trust is something you have to earn, and it takes a considerable amount of energy and time to make it happen. But if you don't earn it, you will be paying for it in other ways.

At the Arboretum, we've done a number of things as part of the planning process that George touched on, that have been helpful in trying to build trust into this whole process.

The first one—and I think probably the most important—has to do with inclusion. If there is one thing you do in a planning process, that's to make sure you include everybody. That doesn't mean just the board of directors—it means everybody in the organization.

Unless you have involvement with the process, you can't possibly have commitment to the process; and it's difficult to develop trust.

Unfortunately, there's a down side to involvement. If you can involve everybody in the strategic planning process, chances are you wouldn't get a whole lot done. So that's where it's very important to balance the issue of inclusion with the ability to be able to get things done and create flow.

One of the things that we did on the Arboretum planning team which was very successful, was the design of the team itself. We had four board members that are on the strategic planning team, four key staff people, three people who are either members or volunteers, and our executive director that serves on it as well.

Another thing that helped with inclusion was the input process, which is talked about a little bit in the outline (see appendix: *Process for Gaining Input and Acceptance of a Common Direction*). We basically made a decision to identify three key groups that we would work with: the staff, the board, and then a group of members/volunteers.

We made another significant decision. That was to include the staff first and do the process with the staff first. After all, it's going to be the staff that's going to

make this thing happen on a daily basis, so it's important to make sure they were included right off the bat.

We are going to look at a way to broaden this and to create trust within the whole community, by including other constituents: regional leaders and other important people that would be interested in the Arboretum and the Arboretum's success.

The other consideration that we've built in, was an element of objectivity and fairness, which came in the form of a facilitator. Sometimes it's difficult to have a board chair or an executive director running the strategic planning process. There can be a trust issue that comes up with that and maybe some cynicism that, "Well, that person is just sort of ramrodding through their own program". It's difficult for that person to be able to pull themselves back and do what they need to in order to facilitate the process.

Nancy said communication could probably solve the whole world's problems. In strategic planning, that's true as well.

One of the things that can deteriorate trust, particularly between board and staff, is lack of information. Human nature tends to be that if there is a vacuum, a lack of information, people will fill the void. And it's probably not what you want them to fill the void with—assump-

tions and bad information that can absolutely destroy trust.

Another skill, one of those great ones that not too many people talk about, is listening. It's important, particularly for trustees and for key people on staff, as a way to build staff trust, because people most feel that when there's more trust in the relationship, the more they feel that their opinions are valued and listened to.

Another part of the communication process which is helpful is the built-in opportunities for feedback. We've done a number of those throughout the process to make sure that people have an opportunity, not just from the beginning, but all throughout to be able to participate and have meaningful impact.

One of the last things I'd like to mention is the follow-through on commitments. One of the destroyers of trust can occur once you've got the wonderful strategic plan done; you've got the vision, mission, and values done, and the people responsible for implementing that are not walking the walk—they're not doing what they said they would do. There's nothing that can kill trust more quickly than that. That's the big challenge.

Doing the vision, mission, and values, and even the strategic plan in a sense is really easy. It's easy to sit down and come up with all these wonderful ideas. The real

challenge comes in implementing them. That's where the real potential for sustaining and building trust is most challenging.

We as leaders, trustees, executives, key people in the organization have a particularly strong responsibility in this area. Because I will guarantee you—I know within my own organization, people are watching me. And people are watching you. Not Big Brother; people within your own organization, watching what you do and how you act. They will take their cues from you on how they should act and what they should do.

The strategic planning process has to be one of the greatest opportunities to build trust in an organization. You've got people who absolutely love the organization who are coming together to talk about its future. What a wonderful thing that is. But it can also be one of the things that can destroy trust. We've got a great obligation as executives, board members, and key members to make sure that doesn't happen.

AUDIENCE: Does the leadership team develop the plan or do they just guide the process?

MR. MORSE: In a sense they do develop the plan, because they're the body that's responsible for putting it together in all the stages. With all the input that we have built in, it's more facilitating the plan. All the input that

we're getting from everybody in the organization, our constituent groups, they have a share in the responsibility of developing it. It would be unwieldy to have everybody involved. There is definite participation.

AUDIENCE: So, instead of having a board planning session and from there developing the plan, somehow the board is different.

MR. MORSE: The board will come in at a later time. We're still in the process of finalizing our vision statement, and they will come in at that point. We thought it was important to not make this simply a board effort, which it certainly can be. We wanted to make sure it was made up of a good range of folks.

AUDIENCE: Would you elaborate on the role of the facilitator?

MR. MORSE: There are a lot of them out there that are good. We found ours through references. Wherever you are, just by asking around you can find one. There are a lot of people who specialize in doing strategic planning. It's very important that you get somebody that you feel really good about, someone you trust. This relationship is very important. You want to have a good rapport, you want to be in sync with them. You don't want to be fighting them.

AUDIENCE: Ultimately, who is the author of the strategic plan? Who is actually sitting down and writing the document?

MR. MORSE: You're right, somebody actually has to do the work. It's almost more clerical in nature, because as we've gone so far with the vision and values, that it's just somebody having to reduce it to writing. Then what comes out of it comes back to our planning team for further review, and we mark it up and get it to its final form.

AUDIENCE: Did you have to sell your board on not making it a board initiative or a board-dominated effort? Was there a long discussion about that issue? Or did the board see that it should come from the bottom up rather from the top?

MR. BRIGGS: I don't think we did. We have a culture involvement among all the parties that started the process. The board thought that these other components were instrumental in developing the plans. There wasn't much selling at all of that concept.

MR. MORSE: Our board is really fortunate to have a good trusting relationship with the executive director. It makes things so nice and easy.

AUDIENCE: What do you see as the difference between the vision, and the mission statement that you're devel-

oping from it?

MR. MORSE: To me the vision, mission, and values are a three-legged stool you have to have to be able to operate a business. The mission is more present oriented and active. It talks about why you exist at this moment and what you're trying to accomplish. The vision addresses where you want to go and what this ideal future state you'd like to some day arrive at looks like. And as far as the strategic plan goes, the mission helps you put a bit of blinders on and help you figure out what you are and what you aren't. The vision sets the target or the ultimate goal that you're shooting for, and you design the strategic plan to get you from where you are today to this wonderful vision of the future.



*Building a good board and building
the right relationship between
the trustee and the chief operating officer*

MS. ZUK: Our next team hails from the Huntington Library and Botanic Gardens in San Marino, California. We have with us Dr. Robert Skotheim, the president of Huntington Library since 1988 who brings to his position distinguished credentials as a professor of history and as the past president of Whitman College.

He is joined by Robert Wycoff, a trustee of the Garden with a wealth of experiences as a businessman and as a civic leader. He has his Bachelor's and Master's degree in mechanical engineering from Stanford University, which was followed by a forty year career working for ARCO, from which he retired as president and chief operating officer in 1993. He presently serves as president emeritus. He has served his alma mater, Stanford, as a trustee and serves on other professional and civic boards.

Together they will talk about building a good board and building the right relationship between the trustee and the chief operating officer.

DR. SKOTHEIM: I'm sensitive to repetition—I apolo-

gize for it. The happy face to put to that is that people who did not get together on their comments, if they do sound somewhat repetitive, you should take that seriously, because we must be speaking the truth if we keep repeating the same things.

If there is an overriding perspective or bias to be covered by the two of us in our remarks from the Huntington, it is partnership among many, rather than single-person leadership or management.

Although we will not explicitly use the word "trust", you will find implicitly the importance of trust in the partnerships that we talk about.

Whatever strengths the executives or board chairs may exercise, our contribution to this discussion today emphasizes the relationship and support offered by several individuals and/or groups to one another to benefit the institution. That's the perspective you will find in both of our comments.

Using the Huntington as an example, we will talk about several of these relationships. I want to begin by making generic observations about board building.

Ideally, a board should be composed of those persons capable of addressing all the needs the institution faces. One can assume that persons capable of financial analy-

sis will be needed. One can assume that persons capable of appointing, retaining, and terminating a CEO will be needed. One can assume that persons capable of being ambassadors or representatives will be needed. In addition it may be necessary to have philanthropists for fund raising. It may be desirable to have a diversity of backgrounds, age, ethnicity, and geography. Finally, there may be special circumstances requiring expertise or crisis management for a short term.

It is a much easier and more common thing to appoint people to things because they are friends or attractive. If needs or problems can be understood and resultant attributes isolated, then these characteristics can become criteria for board nomination and selection. Expertise in designated areas, philanthropic potential, philanthropic history, age, gender, ethnicity, geographic location potential, or demonstrated level of interest are all hypothetical criteria important for one board or another at some time.

The implementation of these introductory remarks sets in motion the board recruitment through a board membership committee, which is probably essential: interviews of potential candidate—essential; presentation of expectation for their participation, their election, and regular evaluations of their behavior.

Now, I won't discuss that process, but it's outlined very

nicely in the Rogers/Schneider section of the book, *CEO's and Trustees: Building Working Partnerships*. It is important to have an annual means of evaluation in some way that the board member can comment on how she thinks she has done, and then a board membership committee can review and make an evaluation and then do renewals on the basis of that evaluation.

Today institutions increasingly decide that they need to enlarge their governing or advisory board constituency in order to get more high-level involvement from supporters. And at this point let me switch from the generic to the particular.

The Huntington was such a case twenty-five years ago or more when it realized that its board of trustees was too small for the needs of the institution. This case is not limited to an initial small board insofar as most boards today feel a need to involve more no matter what that board size is.

Mr. Huntington created a five-person board of trustees in the 1919 trust indenture. And since the accompanying endowment fully supported the institution's activities until 1958, no need was felt to alter or supplement the board.

So for thirty years after his death and prior to that he paid for it out of his own pocket, it was not necessary to

ask anybody else for a dime. Almost fifteen years after deficits first appeared, a secondary advisory board was created in 1972, the board of overseers. Numbering thirty-five, it was seven times the trustees in size. Though nothing was said about raising money, fund raising was clearly the motive for creating the board of overseers.

Simultaneously the first Huntington membership group was formed, the Society of Fellows. By invitation only at that time with \$1,000 annual dues, 100 individuals or couples were invited, then 200, and so on.

This is the background to the situation I found ten years ago in 1988 when I arrived at the Huntington. There had been deficits two out of every three years for thirty years. The endowment was slightly over \$60 million for a budget of \$7-½ million.

The trustees covered the deficits by shifting reserves at the end of each fiscal year at the last regular trustee meeting.

The prestige of the institution was great because the collection of books, manuscripts, works of art in the botanical gardens comprised of internationally recognized materials and represented a unique resource for scholars in the public.

Without at least a potential appreciation for the greatness

of the Huntington's collections, the institutional turn-around would not have been so easily affected. But this is only a matter of scale. All cultural institutions have something to offer, teach, and therefore, value.

The aspect of the turn-around I wish to isolate is the role of the board of overseers as an activated de facto secondary governing board, enlarged from thirty-five to sixty now, drawn from a diverse constituency of people devoted to the daily workings of the institution. The overseers became the partners of the trustees in the government, oversight, policy direction, program committee advisory function, fund raising, and personal philanthropy for the Huntington.

Because five trustees are not enough to go around, each of the overseers serve on one program committee and one institutional committee. An example of a program committee would be the botanical gardens committee; the institutional committee would be the investment committee or budget and audit committee.

In addition, most serve on the current botanic fund raising initiative for \$35 million. This is the watering can, the logo seen in Los Angeles, inquired about curiously and admired by all who observe it; \$35 million of which the overseer themselves, this secondary board, advisory in its legal capacity only but functioning de facto as a secondary board. The overseers themselves have given \$13 mil-

lion of that \$35 million.

In recognition of the work done by overseers, trustees no longer meet separately, except for a trustee executive session prior to each meeting with the chairs of the overseer committees. They have absorbed the chairs of the overseers committee. Call it the overseer steering committee—it is officially the trustee advisory committee. All business which is not of a confidential nature and cannot be treated in a more open way, is treated in the joint trustee overseer meeting. The trustees have—and this is the importance then of the shift I'm describing—assimilated this board and joined into a partnership with it.

I realize I've given you only a teaser of this overseer partnership, but I want to give way now to Bob Wycoff, who is one of those five trustees who has participated in this broadening of governing responsibility at the Huntington which has in fact effected this turn-around. So instead of having five trustees, passive and social—in Richard Rogers' term honorific—now there are the five fiduciaries legally responsible for what is, in effect, a sixty-five-person board actively.

MR. WYCOFF: Thank you, Bob.

As I thought about the theme of today's program, building a working partnership, I went back over my experi-

ences at the Huntington to see what I had learned that might bear upon this.

Because the Huntington has very recently come through a transition from a social board to a working board, it seemed that there were a couple of fundamental principles involved in that transition which enabled it to come about.

I'm going to explain from my point of view, first as an overseer and then a trustee, of why some of the good things that happened that Bob described, what actually drove them. I'd like to illustrate that with a little history of the Huntington.

The Huntington was blessed at its inception by a more than adequate endowment. It was supplemented by a few additional major gifts over the years. And for the first thirty years of its existence, from 1927 to 1958, the endowment income covered 100 percent of the expenses. Even beyond that for the next twenty or thirty years, the deficits, which were growing each year a little bit, were covered by reserves which had been accumulated in earlier years.

Of course, that's a blessing. I'm sure you'd all love to have that situation in your organization. But at the same time I think it was a curse, because in that kind of a benign atmosphere you develop some bad habits.

One of our problems was that we only had five trustees. And this very limited group was not successful in challenging the rest of the membership of the Huntington to the problem that was developing over the years.

Attempts were made to remedy that situation: the formation of the board of overseers in 1972; and in addition to that, the establishment of the financial supporting group called the Fellows at the same time. Fellows were expected to give \$1,000 a year to the Huntington, and that seemed to be a good approach.

However, as a member of that Fellows group and then later on a member of the overseers, I can testify that these groups were almost purely social in nature. None of us really recognized the problems at Huntington. It seemed to us that the Huntington was a prosperous place. It was certainly beautiful.

And those few trustees and staff people who really knew what the whole story was were reluctant or unable to dissuade of us of that satisfactory kind of belief. As a result, none of us recognized the need to do anything serious other than to make our annual financial contribution.

This situation would have continued were it not for the appointment of a new CEO, a person with a fresh out-

look, a talent for building a working partnership at the Huntington. That, of course, was Bob Skotheim, who was appointed in 1988, about ten years ago.

Bob began with a conventional approach: attacking the budget and developing new sources of revenue. He was successful in reducing the amount of the deficit.

At the same time, he recognized that without strong and broad support from the volunteer leadership at the Huntington, he would not succeed in addressing the problems that confronted us. Nothing that he could do by himself would really solve the problem.

In any event, his primary effort in those years was directed at educating and communicating with the board and his staff to develop a recognition of the problem and a sense of responsibility to solve it.

As part of this process, about five years ago McKenzie and Company volunteered to undertake a pro bono effort to help us undertake a strategic plan. We went about it very much as Todd Morse has described in his presentation.

To me and the rest of the board, it was a turning point, because it was clearly demonstrated to us as we went through this process that we would have to do some serious work as a board if we were to continue operat-

ing the Huntington with the expectations that we all wanted for that organization.

As a result, the board became fully engaged and a number of initiatives were begun. We strengthened the board by adding new members and invigorating the existing members with a clear understanding that they had some very important financial and working responsibilities.

We created an emeritus board for the overseers and the Trustees for less active members and members whose terms were expiring but who we wanted to keep in the Huntington family. This had the very beneficial effect of creating space for new and more working members of both boards.

We then engaged this expanded overseer board as full working partners with the five-member trustee board. We created several new institutional committees. These are working committees in marketing, finance, fund raising, community relations—committees which have important responsibilities, who do real work in cooperation with Bob's staff.

The bottom line of all that is that we have raised \$40 million in two fund raising campaigns: one associated with the library which raised about \$15 million in about two years; and then an ongoing campaign, the garden initiative campaign.

In contrast to the past, where most of our giving came from foundations, these campaigns for the first time got some very serious money from individuals, most of whom were on the board but did include people outside the board as well.

In the old days, we loved the gardens. Remember, we're a library and an art collection and a garden. We loved the gardens but we thought about them as a showgirl. They were beautiful but expensive. Every time something happened to the budget, the gardens were the first ones to suffer.

In that strategic planning study that McKenzie helped us with, we recognized that the gardens were in fact an asset to us. They were, by surveys of people who come to the Huntington, the most attractive thing at the Huntington. And that is the reason that we built the garden initiatives around the gardens, and it has been extremely successful.

There are many other activities going on as a result of that strategic planning study and a result of this newly energized board. This experience illustrates the point that is so important. Changes that are referred to at these sessions need something to get them kicked off. They just don't happen by themselves. You can't simply expand your board or dream up new ideas unless you have two essential ingredients.

One of them is a kind of leadership that Bob Skotheim gave us. I'm convinced without that leadership we would still be struggling today with the kind of deficit that we saw ten years ago.

Secondly, that leader has to recognize that he or she cannot do the job all by him or herself. The leader must involve the board with real responsibilities, with real work to get their involvement. If we didn't have that kind of response from the board, I think we'd be in serious financial jeopardy today.

This partnership has worked very well for us. Unless you happen to be in the happy situation where your endowment covers all of your expenses, I think you need to do something like that as well. Thank you.



Research, recruitment, and involvement of a board

MS. ZUK: Our next team hails from the west coast; The Santa Barbara Botanic Garden. This is the dynamic duo who has put this program together.

Edward Schneider, is the executive director of the Santa Barbara Botanic Garden where he has been since 1992. Prior to that he was professor of botany, chairman of the biology department, and dean of the College of Sciences at Southwest Texas State University.

Richard Rogers is president of the board and has been a trustee for ten years at the Santa Barbara Botanic Garden. In his business life, he is chairman of the Board of the Pacific Earth Resources, a diversified horticultural services company.

He has a rich record of community service in organizations such as the California State Board of Forestry, where he is chairman of the Forest Practice Committee, Council for a Green Environment, the Los Angeles Men's Garden Club and Los Angeles Beautiful.

Richard will begin by addressing research, recruitment, and involvement of a board.

MR. ROGERS: Thank you.

In Santa Barbara we started our board building process much as the Huntington did. We started by revisiting in a sense who we wanted to be and what we thought we were.

We came up with the mission vision statements. This one (see appendix—*Santa Barbara Botanic Garden vision/mission/summary strategic plan*) is ours. It took quite a bit of time to develop. We developed our strategic plan from the bottom up through our staff to match these visions and goals and all the programs that we had come up with.

Our plan contains a set of specific programmatic goals. These goals are the core of the garden and drive our board membership needs as well as those of our staff.

They're so important that at each board meeting we have in front of each trustee a copy of our mission statement. The board gets to look at this all the time, every time they sit down. They even have one of their own.

At each trustee's place is a report of the garden's activi-

ties month by month arranged under the specific goals and subgoals taken from our strategic plan. We update this every month. And it's Goal 1.1.1 all the way to Goal 4.4.4, there are subgoals and all (see appendix—*Monthly Operating Report, Santa Barbara Botanic Garden*).

This process holds our nose to our goals. It holds the staff to them, it holds everyone to understanding what we're doing each month and how that relates to our strategic plan and our goals. The added benefit of this is to "wow" your board. It is often the case that the board is not necessarily connected to what is going on in the garden as it relates to the goals, so this has been a very effective tool in engaging our board and therefore building their understanding of the garden.

I will give you a quick example. Goal 1 in our case is "give new vigor and focus to the core programs in science, education, and display". Goal 1.1 of that section is "enhance the scientific quality of the living and non-living collections".

Well, in January of 1997—one, "planting season continued with new accessions added to the meadow, meadow view display, the Campbell trail, and a total of 15 maintenance walks were conducted." Two, "the living collections manager surveyed the plant records data base to determine the number of undocumented taxa in the living collections—the collections committee will use this

information to prioritize future collecting strategies.” Three, “the director of research completed a revision of the gardens, herbarium, specimen data base. Herbarium volunteers participated by entering over 1,700 records in an effort to redefine the entry method,” and so on.

This monthly report is in front of every trustee, every single meeting so that they know what the garden's staff are doing. This pulls the trustees into understanding the Garden's programs and operations.

Analysis of our programmatic goals gives us the set of skills necessary for the board and the staff to accomplish our goals. Last year at this session we showed you our matrix of skills. In fact, it's in the *Ceos & Trustees, part I* book at the end. And it's got good stuff in it. On the back side of the matrix you will note that—at the time, we were evaluating everything at the board level. As a matter of fact when you examine this matrix it all relates to the board level. Since then, we have found that accurate skills analysis is difficult at the board level. The matrix is essential but we have found that it must be divided down to the committee level. So we changed it (see appendix—*matrix skills*). We divided up the specific skills required by each one of the committees: executive committee, finance committee, outreach programs, facilities, and building. We then list the specific skills inside those committees that we think are relevant to the success of those committees.

We have five standing committees, but we also have a number of single-purpose committees that are put together for a very particular purpose, for example, a fund-raising event or something like that. But each would be managed underneath a standing committee, in this case the outreach committee. By changing the matrix of skills to reflect the needs of the committee, we get a direct connection.

For example, we recently got caught flat footed when the chair of our programs and collections committee, a vice chancellor at the University of California, Santa Barbara (UCSB), someone with perfect skills for that job, was transferred by UC to run their European operation. Here was an absolutely perfect person and we thought that we were covered.

This identified to us that we had not adequately addressed the leadership succession in one of our most key committees. We have since solved that crisis, but not without some incredibly sleepless nights. We lucked out by acquiring another vice chancellor at UCSB, someone also with perfect credentials. It seems that UCSB has people with perfectly good administrative credentials.

The point is, we were sitting there fat and happy without backup in a critical spot, and we feel that the board level of skills analysis didn't focus us on that problem.

Leadership succession is incredibly important not only at the board level, but within the committees. Our process for acquiring new trustees is the same we had described at last years session and is in fact in the *Ceos & Trustees* book. Essentially we look for individuals who have those skills that we, through our analysis, have determined that the board needs.

There are four things to emphasize in this process in building the board. First the process is vital.

Without the agreement of the board as to those skills that are missing or weak in your matrix, you are vulnerable to improper candidates put forward by well meaning proposers. This is a fast track back to that social board, or at least an ineffective one. Often the most uncomfortable situations come when staff propose a trustee that does not fit within your needs. This is not particularly unusual, given that birds of a feather flock together.

Using an example from the for-profit world, one could divide up skills as follows: executive, finance, marketing and sales, production research and development. At most gardens, staff is quite strong in production and research and development, if you follow that analogy, but short on some of the other functions. So the same thing can be said about many suggestions from candidates that are put

forward by well meaning, but uninformed trustees with respect to what the needs of the garden are.

Second, it is imperative that you be quite direct with prospective trustees as to that which you expect from them. At Santa Barbara we learned that acquiring a new trustee who does not thoroughly understand their responsibilities can lead to disaster. So we wrote it all down and we present it to them at the beginning, when we're first starting to talk to them.

Third, don't be afraid to gang up on your prospective trustee. It's hard to say no to two or more people of one's community who carry a little clout. Also you should have a backup plan. Many who say no to a trusteeship will say yes to a fallback job, say on a committee. That way, you've still got them and you may be able to recruit them a little bit later on. Often they will say no to the first thing and take the second thing, which is maybe what you wanted them for to begin with. That's a little more Machiavellian than I want to admit.

Fourth, and finally, never settle for second best. Bring on only those who are able to improve the quality of your board. The old adage is still vital. Hang around only with those smarter than you and that way things will get better.

DR. SCHNEIDER: One of the most important chal-

lenges facing executive directors, administrators, and development officers of nonprofits is to build a committed, powerful management team capable of insuring the financial, programmatic, and administrative integrity of the institution. This involves two basic constituencies: the professional staff who are competent and loyal and who manage and serve, and the powerful, successful, capable trustee with the ability to act, advocate, give and get the resources needed to leading the organization.

We have heard repeatedly that a strong, well trained, motivated board is essential to bring change and advance the needs of the institution/organization. The difficulty that many nonprofits have is how do you acquire that kind of board? It is a task that requires dedication, vision and lots of hard work and there are no easy solutions.

The National Center for Non-Profit Boards conducted a recent survey of America's non-profit boards. The survey included over 1,100 organizations, 1,200 CEOs and 23,000 board members, and revealed some interesting statistics.

In the category of board size and composition, the median number of board members was 17; the mean, 19, with a range of 11 to 25. Only 16 percent of those surveyed had a board of 10 or fewer. And the size of the board was not generally related to mission or scope, but rather to the revenue needs of the institution. Gender was 54%

men, 46% women; ethnicity—86% white, 9% African American, 3% Latino, 1,5% were Asian American. Most board members were aged 40-59. Almost twice as many were 70 or older (5%), than were under 30 (2.8%).

With regard to board policies and procedures, the median number of board meetings per year was shown to be nine, with most meetings lasting for less than two hours. 61 percent of the organizations responding said they had written conflict of interest policies for boards and staff. 1.1 percent reported that the boards were compensated. And 92 percent had defined term limits for the officers of the board, 73 percent having two consecutive three-year terms. 66 percent of the respondents indicated they had a formal process for reviewing the chief executive's performance.

On the issue of board fund raising, 71 percent of the respondents' organizations did not have a policy requiring an annual contribution, although 60 percent of the board members responding did make a financial contribution. Those respondents' organizations having a policy requirement for an annual contribution, the median minimum annual gift required was \$150. Surprisingly, CEO's reported spending an average of about nine hours per week on board-related matters. And the CEOs further reported that their board's major weakness was lack of fund raising capability, lack of commitment, and lack of involvement. Minor weaknesses cited included board

size, diversity, lack of understanding the boards role, and the board's inability to distinguish between governance and management. When asked to name the board's strengths, respondents most often cited personal commitment and dedication, but fewer than 5 percent of the respondees cited fund raising as a strength.

One of the most important challenges facing directors in non-profits is building a committed, competent team of professional staff capable of ensuring the programmatic and administrative integrity of the institution, but who are also competent enough to manage and serve a powerful, capable, successful trusteeship with the ability to act, to advocate and to give and get the resources to lead the institution. This duality needs shepherding on both fronts.

At last years AABGA meeting Richard and I outlined some of the procedural steps in building an effective board: doing your homework on prospects, researching your potential candidates; going through a recruitment and interview phase with possible candidates; running a quality orientation program; and then the ongoing engagement, motivation, all of those things required to instill the commitment that is needed to ensure retention and involvement.

The CEOs and the existing trustees are both key players in all of these steps but in slightly different ways. I would

like to mention just a few of the perspectives that I have as a CEO.

In the area of researching your candidates, first there must be clear expectations of trustees established. If your institution has no expectations, establish them now. You must identify or motivate one or more of your trustees to step up and draft written expectations. And in our case we were fortunate to do just that, we took a draft statement of trustee giving to the board, and it was unanimously adopted. I think the greatest fear was the fear of rejection. And there's an old adage: Be careful what you ask for because you may just get it. I think once you get past that fear, you will find that a good board is one which wants to advance the institution. And if they perceive this as an advancement, this will certainly happen. Putting individuals on the board simply because they're available without a clear sense of how they're going to meet or exceed the expectations of the organization really does a disservice to them and does a disservice to your institution and to the people you serve. The Santa Barbara Botanic Gardens trustee giving document. is in the back of the *CEO & Trustee* booklet mentioned earlier.

During perspective trustee recruitment or interviews, we have always found that a face-to-face luncheon or meeting at the garden has been the most successful, never off site, and that usually this involves both the CEO and at

least two trustees. We never send a letter of invitation. We always make an invitation in person. When you're making that, you're not doing it for yourself, you're doing it for the institution that you're committed to. Remember, it's an honor to be asked; it's an honor to serve. With that attitude you usually receive an affirmative response from the candidate. We also have moved towards recruiting on a year 'round basis. We used to wait once year, until we realized that other local non profits were literally beating us in the recruitment of individuals who truly exhibited leadership capabilities and fell within our matrix needs. We moved from the annual process to a continuous process. If you're afraid you're going to get a 'no, I don't have time to serve' response from a candidate, bring in at least two of your trustees. We have found that it's very difficult for a prospective trustee to say no when there are multiple trustees present. More than once we were capable of getting the person we were uncertain of.

A few comments about orientation. This is basically a staff function. I find that small group settings are much better for orientation. Included in the orientation is a walk through the facilities and grounds, introduction to staff encouraging department heads to give a brief overview of their particular functions, a binder with all kinds of information in it such as the institutions Bylaws, the current strategic plan, outline of trustee responsibilities, a conflict of interest statement, both trustee and staff rosters, other trustee resumes, a trustee and staff commit-

tee handbook, Director's liability statements, a recent IMLS grant, and a form asking for more information about them, including a request for a picture, for a future press release.

A major role of the staff is to motivate the board, because enthusiasm and energy are contagious, and seldom are trustees motivated by just documents set in front of them. I communicate regularly with my trustees. I give them handwritten notes. I telephone them. I e-mail them, and I even send them cards on special occasions. The more frequent and the more personal the communication, the greater the opportunity to build a positive, supporting, professional trust relationship that's vital to running the organization. You've got to let the trustee know that they're important to you as people as well as resources that come to the institution. There is a motto: Involvement precedes investment. With this will develop loyalty, involvement, and commitment. You also have to be extremely aware of their time and how to use it wisely. Their time is very valuable and you do not want to waste it with meaningless or long or rambling meetings and pointless discussions. If you do this, you're going to lose them. Their time is money, and that money, don't forget, is going to be yours, so don't waste it.

There is no more accurate measurement of your board's commitment to the institution than their personal financial giving. That giving has to be generous and it should

be proportionate. I hate to say this, but it does supersede thoughtfulness, work, energy, and time given. Those attributes, of course, are extremely important, but they don't replace the money, because without the money you don't have the most important resource needed to build staff driven programs, care for the grounds or the ability to purchase equipment for staff to conduct their work in a timely fashion. So in that sense, giving truly does represent a measure of the trustee's involvement. It's kind of like buying stock. Who wants to see their investment wasted or misused? Investment by the trustees sends a clear message to the prospective donors. People's hearts really do follow their pocketbooks. People who care about those things in which they have invested are going to take ownership of that investment. And eventually the culture of giving is established, and in that way there is a partnership between CEOs, staff, and the board.



Staff and board working together to tackle tough issues

MS. ZUK: Our final team hails from the Denver Botanic Gardens. Rick Daley is the executive director of Denver Botanic Gardens, a position he has held since 1991. Prior to Denver, he was the executive director of the Massachusetts Horticultural Society.

In two weeks, Rick is relocating to take on the position of executive director of the Arizona-Sonora Desert Museum in Tucson, and we wish you the best of luck there.

He is joined by Deane Hall, the chairman of the planning committee of the trustees of the Denver Botanic Gardens, and a member of the executive committee of the board. Deane has had a long involvement with Denver Botanic Gardens but also serves the public garden community as a trustee of the Vail Garden and the American Camellia Society.

Together they will talk about staff and board working together to tackle tough issues.

MR. HALL: Rick and I are going to give you a few snippets of how the board and staff at Denver Botanic Gardens work together, which we hope might spark discussion and questions from you at the end. One of those is the staff and board partnership on our marketing and public relations committee. In the days long ago when DBG did not have anyone on staff to handle marketing or public relations, the board established a public relations committee which did a lot of the nitty-gritty work, spreading the word about garden activities in the community and overseeing what there was to our public relations program.

When we got staff to handle that, that board committee was disbanded. Within the last few years that committee has been reinvented, reinvigorated, with trustees, staff, and outside professionals in the field of marketing and public relations. This committee has as its charge to stimulate and be the additional arms of the director of marketing and public relations and associated staff in the community, helping to bring in services that the budget does not support, that the gardens needs.

We've gotten very lucky and we have a local advertising firm that does pro bono work for us, brought in through

the marketing and public relations committee. The marketing and public relations committee has as a vital charge to get the community excited about what the gardens is and can be as a botanical and horticultural resource for the gardens. There is an amazing amount of passion on that committee to communicate to the outside world about the gardens.

Coincidentally that committee has the best track record of any committee at the gardens in bringing new trustees onto the board. We have had more people who have been volunteer participants, non-board members on that committee who have been invited to come onto the board than any other committee at the gardens. We have a very large board and we establish periodically ad hoc committees to tackle specific problems. I'd like to tell you one that was established fairly recently when they had a shortfall in a capital building program.

Several years ago we conducted a highly successful capital campaign for several specific projects. For reasons totally beyond our control, we were unable at the time that the drive was completed to move forward with those projects. It was several years later that we were finally able to move forward with the projects. Because the economy in the Denver area is mushrooming, construction costs are escalating monthly. It's a horrifying situation. We discovered on one of these recent projects that we simply didn't have the funds available to do the

project two years after the project had been determined.

Its financial scope was determined, we knew what it was going to cost roughly, and we discovered we didn't have the money to cover it any longer. So an ad hoc committee of board and staff was put together to brainstorm and work out a plan to raise the money. That ad hoc committee did wonderful things for our institution. Because of our large board we have a fairly stratified committee structure. Those who work in one area don't often communicate with those working in another area just because we've got a large board and everyone is looking at the specific needs and goals of their own area.

This committee got people together from a number of different facets of their activities at the gardens. One thing that we've known for a number of years that we're deficient in, is keeping pace with social fund raisers, fundraising activities, with some of the other major cultural institutions in town. We hadn't been able to get off center in terms of moving ahead to upgrade the funding potential of the major social fund raisers that we have each year. This was a catalyst for us, bringing different staff people together, different trustees together, to find a way to break that stalemate. We now have a plan—we will see how well it works—to increase our fund raising potential through our fund raiser, and that's what's going to make up the difference in the shortfall in the capital budget.

MR. DALEY: When you leave an institution, it's one of the few times you can see people as they really are and be totally honest. Let me say to Deane Hall he embodies partnership and that he has led our board to a true partnership with the CEO and with the staff, and it is deeply appreciated.

Denver Botanic Gardens has a very large volunteer force which we treasure. We have 1,600 volunteers, they give us 85,000 hours a year, and yet this past year we encountered a very difficult problem with our volunteers, and that's the story that I want to tell you about.

Our gift shop was started some 45 years ago. Some of the volunteers—it's been run until four years ago by volunteers entirely—that began the shop still volunteer for us. So, for more than 40 years volunteers bought the merchandise, merchandised it, sold it, and advertised it; they did every piece of the operation until four years ago when they came to me and said "It's too big a job now, the gift shop is just too big and complex an operation and we need staff support; we need somebody on the staff to better manage the operation.

They helped me interview and we hired a manager, only to discover after several tries (and a couple of managers) that it still wasn't working. In fact, the volunteers that had been there for so long were really trying to keep

control and not allowing the professionals to make the changes that I think even in their own hearts some of them knew were needed. But they weren't able to adapt to the change of a professional staff manager.

This presented a problem. I know from talking to a number of people in this room that you have faced similar situations. It is very delicate because we depend, all of us, so supremely on our volunteers. We cannot afford to lose their goodwill over a single project or program, because, kept in perspective, the gift shop is only one aspect of what we do, and yet it's an important part of our presentation to the public as well as an important part of our income.

The challenge of having professional management undermined by volunteers was an issue that I took to the executive committee and said "How are we going to solve the problem?" I told them that I see this not as my problem, not as a staff problem, not as a board problem; but as an institutional problem.

We held a number of executive sessions with the executive committee. One of the things we do at every executive committee meeting—it was instituted maybe a year or two ago—is at the end of every executive committee meeting, the executive committee goes into executive session with me. All the other staff are asked to leave the room. This gives both me and the board a chance to dis-

cuss anything, open any topic that we want to. Sometimes it lasts five minutes, sometimes it's half an hour, or even a little longer. But it is a very good discipline and it means nobody has to worry when there is an executive session called.

So we used our executive sessions to talk about the gift shop issues. How were we going to create a strategy to deal with this, how big was the down side, was it worth it? Out of these meetings came a unified view that this was an important issue that we had to take on; that the board, the staff and director had not actually addressed this when it should have been addressed, perhaps as long as 10 years ago, and it was now time that we faced this.

We knew that, number one, we needed to be united; and number two, we had to stay together on it to find a strategy that would minimize the impact on the whole volunteer force, and the whole staff force for that matter.

Because we had these discussions and then we brought in the head of the volunteer group—we call it the "Associates"; a lot of you call it your "friends" group. The head of that group sits on the board but not the executive committee. She was brought into the executive committee sessions, we talked with her, garnered her support. Then we held a number of meetings with the gift shop board (they have their own unofficial board).

In many cases Deane Hall was the trustee representative there; in other cases, the President of the Board was also in the room. There was always a trustee along with the meeting with the volunteers. It showed a unified front. It wasn't just me nor was it some individual on the board that was unhappy, it was an institutional issue.

This strategy of using one or two board members with me at the meetings allowed us to really move forward, listen carefully to them, create a new partnership with them, we hope. We have moved forward and changed the management with the gift shop and made it very clear that there is only one manager of the shop, and there is only one reporting relationship with the shop which is through the marketing department and then to me.

I share this example because it's too easy to talk up here about all the things that are easy. You know you have a partnership when you take on the tough issues and the partnership is not just a slogan, there is substance behind it. I think we have developed that. And these tough issues are when you come to the fore and see how these partnerships can work.

AUDIENCE: My question comes from the Huntington discussion but I suspect all of you could have some thoughts on it. I anticipate in the next five years going through the same kind of transition. It sounds as though you have a legal impediment with the size of your board.

I'm not restricted in that way. What's an ideal size of a board? Would you choose to have many groups as opposed to one group? One model is a very big board. I'm familiar with all the problems associated with that. I have a small board, we love it, but we know we have to reach out and begin to get a larger group. If you had a free hand, would you maybe enlarge your board a little and go with an overseer group or would you go with a big group?

MR. WYCOFF: There probably are as many opinions on this as there are people in the room. On the side of every large board is the support that that board gives you in terms of outreach to the community, support, financial support, and all the things you want to do. On the other hand, the large board is very difficult to manage. So I think that in a sense you need to have either one large board with a very strong executive committee or—in our case, we were forced to go to a parallel trustee and overseer boards. Even in the board of overseers, when the trustees have a meeting, we generally have a half an hour or an hour to do the things we must do as trustees. Then the committee heads of the board of overseers join us as full fledged members of the governing group. You have to do something like that to make it work, because there are many advantages of having a big board for a non-profit institution. If it were for-profit, I could give you a quick answer: As small as possible.

AUDIENCE: You might have gone with a large board if you were legally able and not have the two tiers?

MR. WYCOFF: Yes.

AUDIENCE: Would the others agree?

MR. ROGERS: I agree with Bob's comments. But I also would make one cautionary comment. In an earlier session a gentleman from South Africa commented that he had a difficult two-board situation. Often if it's not very cleverly thought out—and clearly the Huntington's was—you get a bifurcation of responsibilities, and sometimes these things can work at odds. The gentleman from South Africa has horror stories to tell about that. So if you have to have multiple boards, which obviously has worked for the Huntington, I think a co-option process of power has to be watched for with extraordinary care, which speaks to the efficacy of the Huntington's leadership both in the executive position and president of the board of trustees to make certain that things stay straight.

DR. SKOTHEIM: I would not be spooked by apparent structural problems and then fall back on them as excuses for why things aren't working well. Whitman College, it so happens, had a small-by-statute board of trustees and earlier in the 20th century followed the Harvard structure, which is the American model for a board of overseers. For 25 years I have worked with this kind of

unusual dual board. I don't know anybody who recommends it, who isn't horrified by it looking at it initially and they can tell you all the reasons it doesn't work, but I have never seen it fail.

MR. BRIGGS: We have two boards. One of our main boards is determined by statute, twenty-one members, and then we have a society, as a board. We have by statute, the president of our society who sits on our board. Todd represents an informal strengthening of that. He represents a person appointed by the board of governors and the campaign board and also sits on the society board. So now we have two people. You can see why Todd is an important element of building that trust. We worked on it carefully to make sure that those two boards grow and develop, and so far it works. I think it's really important if you have that particular dynamic, you can't create one board and then so forth. You've got to find ways to build that bridge.

AUDIENCE: One of you spoke of having a perfect board member who was relocated and you lost them. I live in a small resort community, and a lot of the best and the brightest in our area are second homeowners and are often away. How important is it that your board all live in your community?

MR. ROGERS: Well, I was the one who made the comment. We also have an interesting community in Santa

Barbara. We have lots of folks who are not there all the time and we have a couple of board members who, in fact, live elsewhere. But it all seems to work for us. They organize when they're going to be away and how they're going to participate, and it does work. I'm not sure about how that would work in some other circumstance, but it works for us.

DR. SKOTHEIM: That's one dual governing board right there, if you want to use it; that is, have one board local, insist on it being local, and you get your diversification and maybe other attributes by having people who are not there all the time, if that serves the purposes.

AUDIENCE: How do you gentlemen feel about two- to three-year terms? Do you agree, or a bad one you would like to get rid of before it becomes a life term in prison.

MR. BRIGGS: We have two four-year terms on our board. We've also put term limits on the society board as well. We think it's healthy to have an opportunity for turnover.

AUDIENCE: Do you enforce it?

MR. BRIGGS: Yes.

MR. WYCOFF: Back to the dual board membership

again, the trustees serve for long terms while the Board of Overseers serve two three-year terms. We try to get the best of both worlds. You get some continuity from trustees and new blood from the overseers.

MR. ROGERS: We have three, three, one year off. I think the board length of service is more important as it relates to the leadership on the board and the ability of the president of the board or the CEO to directly affect the behavior of the board member. I believe that if the proper expectations are set at inception and the board member is monitored and mentored during the sort of wind-up process, and then continues to be monitored throughout, it probably doesn't matter if you've got lifetime trustees, because the leadership of the board can get right at that person if something develops. It really comes down to the leadership in the institution, both the professional staff and the president of the board, as to whether that's a problem.

MR. HALL: Board rotation is a good thing, but don't let that be your crutch and stop you from having frequent reviews of board member performance; if the board member is not performing, whether there are term limits or not, they're on for terms, and you can let that person go and you must be strong about doing that.

AUDIENCE: Easy for you to say.

MR. HALL: We have the problem. I know what you're talking about.

AUDIENCE: In our board the past president is the chair of the nominating committee. And we haven't had a proper skills matrix or anything like that, so we have a board composition problem, which we can't really fix because we haven't identified what we have the needs for. We have to start something along that line. I was wondering what the ideal nominating or recruitment committee would consist of.

DR. SKOTHEIM: You'd have to appoint your most able people to it, because they have determine how it is perceived. Appointing the most able people to it will solve all your problems.

AUDIENCE: So you would advise electing a chair?

DR. SKOTHEIM: Not necessarily elect.

DR. SCHNEIDER: Mr. Bush said it's going to take the CEO to step forward and say, you know, I attended a session at AABGA and a lot of gardens use these kinds of matrices, is this something we should look into? And if they don't, maybe you have a problem. But most trustees will embrace that, bring in a consultant or start a dialogue between trustees.

MR. ROGERS: All of the participants in the former panel suggested that since their names and telephone numbers were in the submission that everyone got that they—I—would certainly take a call from anyone's resident trustees to discuss this issue. It's imperative that that's the way they approach the problem, and I'm certainly willing to be an advocate.

AUDIENCE: I don't think they'd have any problem with the skills matrix, but I have a difficult time advising what they should have and how the nominating committee should come back.

MR. ROGERS: Knowing that the nominating committee often is the one that asks, then you have to have people on the nominating committee that are your absolute longest ball hitters. There's no way around that.

AUDIENCE: As professional staff, I hope that good mentoring and good monitoring means that I have a good staff that doesn't require terminations. That certainly seems to be the point of view of you who review the skills and the presentation of board members. But in fact have you ever had to ask board members to cut a term loose and let us go with it? Has it been a big wound in the board or has it been an opportunity for healing and coming back together?

MR. WYCOFF: There are two things that can help the

situation. One is the self evaluation form that is done annually. Most people who are not fulfilling their responsibilities recognize that when they complete the assessment. This is because they have to answer a lot of questions about how many meetings they attend, read the minutes, etc. So it reminds them that maybe they took on something that is not quite what they intended. Secondly, if you should have some device for honorable early retirement. That's why this emeritus board where you keep people as friends but they don't have to work quite so hard is a good solution.

MR. ROGERS: That self assessment that we're talking about is available from The Center for Non-Profit Boards. This is an extraordinarily good tool. We give it to the board every year and the board can hardly wait to see how we all grade ourselves. I've got a numerical grade as we start moving across. As Bob said, when people get this and they're not engaged—they're not stupid; they know it. Then, of course, comes the leadership, should a problem exist, and yes, we have had that happen, and yes, the trustee left.

AUDIENCE: Has that been divisive or healing?

MR. ROGERS: No, it had not been divisive because the board understands the process.

AUDIENCE: I'd like to ask a question for any of you

about the nature and the quality of the partnership between the CEO and the board president or board chair. We used the word "partnership" a lot. It isn't necessarily a partnership, although I believe it should be. There's been an evolution in the last few years away from the traditional top down, board chair as the voice of the board, and monitoring as the operative concept. I'm more comfortable, more used to, and more in favor of what I call an authentic partnership between the executives and the board chair. In the previous session we heard a reference to something that was more of the traditional model. I'm wondering how you all feel about that and how you manage to navigate and negotiate your partnerships.

MR. BRIGGS: Todd is our board member but not our chair. So my chairman is not here. But the chairman that I have is a wonderful leader. He has been a chancellor of universities, he has been active in governing board orientations, he does consulting. He's been, in many ways, not only a leader for us but a mentor for me. I can call him at any time, any occasion, and ask him counsel on matters. And that avails me to put in the call even on a difficult situation. It's important. There's was one situation—where I had to really step out on a limb and solve a problem that required me to go against what the executive committee had determined, and he gave me counsel on how to do that. He understands a lot of the real, substantive, and difficult issues that CEO's face. If you

can develop that kind of partnership, if you have a chance to have it as a CEO—it's something that will affect you the rest of my life, the rest of your career. I'm in favor of that if you can find it. But it's rare.

DR. SKOTHEIM: A lot of the discussions about this subject assume that the CEO had nothing to do with choosing the chairman of the board, or the chairman of the board had nothing to do with choosing the CEO. Actually it would be a foolish person who would accept a CEO position without knowing who was going to be the chairman of the board. It would be a foolish board to define a search committee and not put the next chairman of the board on it when the person was appointed. Now, if you find yourself not in that position, then, of course, that's the difference. Once the CEO is in the position, he or she ought to have a lot to say about who the next chairman of the board is. One reason that I am not so enthusiastic about these short terms and why I would like longer trustee terms and so on is that having worked in an endowment institution, that is, Whitman College and the Huntington, they are independent institutions and their quality will be determined, more than any other single factor, by the size of the endowment. So my view of this thing is how do you increase the endowment. The human resources are agents who increase the endowment. That's different for North Carolina, as it is for other places. For those of you in that environment, then the long term personal rela-

tionships are essential.

MR. WYCOFF: A partnership should not be confused as meaning that there are two CEOs. There is only one CEO and that person has to be responsible for being the leader of that institution. But that leader's performance should be judged by how well he or she creates that partnership.

MR. ROGERS: I agree with both of those comments. I was chairman of the search committee when we stumbled across Ed. I was looking for a very particular person. Someone who shared my views, with whom I could work for a long period of time. Ed and I have over the years genuinely become friends. That has had a significant effect on the way the other members of the executive committee and the board relate to both Ed and myself, because it is very clear that there's no staff/board thing going on here. That has set a hurdle in one sense, set the board at a level where the other trustees also relate to our relationship in that fashion because they see it functioning well. I think that's important.

MS. ZUK: I want to thank our panelists, particularly our trustees, who have given us the benefit of their time and wisdom in this session.



APPENDIX

Process for Gaining Input and Acceptance of a Common Direction, North Carolina Arboretum

Vision/Mission/Summery Statement, Santa Barbara Botanic Garden

Monthly Operating Report, Santa Barbara Botanic Garden

Matrix skills, Santa Barbara Botanic Garden

The North Carolina Arboretum

Process for Gaining Input and Acceptance of a Common Direction

Over the last several months, a strategic planning process has been launched for The North Carolina Arboretum which will help to determine its future destiny. The first ten years at the Arboretum have predictably been spent building facilities and gardens, instituting a programmatic component, integrating staff and volunteers into operations and creating a presence in the region and in the botanical world. Now, volunteers, community leaders, staff and Board members realize that the time is right to build on the Arboretum's successes and set a common and compelling focus for the future.

To guide this process a Strategic Planning Team was appointed, comprised of a cross-section of the Arboretum's key stakeholder groups. This team has devised a plan for the first phase of the strategic planning process, which is proposed as follows:

Purpose: To set in motion a facilitated process that will enable key constituencies to participate in articulating the Arboretum's vision, values and mission. To engage in planning activities that will strengthen the Arboretum's network of relationships and build community.

Goal: To create a document that will ground the organization in its corporate values, vision, and mission, and inform the remainder of the strategic planning process.

Action Plan:

Phase I

- **Solicit stakeholder input.** Sessions will be held to generate key words and concepts concerning the Arboretum's values, vision and mission with the following groups:
 - Staff - one session with all staff present
 - Society Board of Directors and a cross-section of volunteers - one session
 - The North Carolina Arboretum Board of Directors - one session
- **Integrate material from all stakeholder groups.** The Strategic Planning Team, with the help of a facilitator, will compile and synthesize all the input gleaned, searching for common themes and concepts. The data will be used for subsequent steps of the process.
- **Craft statements.** The Strategic Planning Team, with the help of a facilitator, will draft values, vision and mission statements using the synthesized material. A name for this process will be selected.
- **Invite final comment on draft statements.** Send statements to key stakeholder groups for responses prior to adjustments.
- **Conduct session for staff to seek feedback on draft statements.** Staff will be given an opportunity to express their thoughts in a facilitated session.

Process for Gaining Input and Acceptance of a Common Direction
page 2

- *Review of feedback and agreement on adjustments. Finalize statements.* The Strategic Planning Team will review suggestions for changes to the statements and make amendments as deemed appropriate. Consensus will be reached on final statements.
- *Gain Board of Director's approval on statements.* The Board will be apprised of the process which preceded the presentation of the statements and be asked to approve them or remand them back to the team.

Phase II

- *Use values, vision and mission to inform the remainder of the strategic planning process.* These statements will be the foundation for future planning activities and should be incorporated as future organizational decisions are made.
- *Decide how these foundational statements will be integrated into the fabric of the organization.* Suggestions will be generated and given to the management team as to how to make these statements "come alive" in the daily work and culture of the Arboretum.
- *Conduct an organizational analysis.* Using the strengths, weaknesses, opportunities, threats format (S.W.O.T.), the team will consider the organization's current reality. Interviews may also be held with key external informants who have an instructive perspective on the Arboretum.
- *Identify pertinent issues and key strategic directions.* Using material gleaned from the stakeholder input sessions and the organizational analysis, the team will distill key issues, programmatic directives and organizational priorities.
- *Elicit input and response from various constituencies.* The values, vision and mission statements and directives will be distributed to the key stakeholder groups and select external informants. They will be asked to critique the process outputs thus far and offer input and response. Their additions and reactions will be solicited and recorded.
Sessions will be conducted with select groups, including:
 - Allied organizations
 - Frequent users/lost users
 - Key regional leaders
 - Green industry
- *Integrate material from the various constituencies.* Once material has been collected from the stakeholders, the team will consider the responses and make adjustments as needed.
- *Form sub-committees around the key performance areas.* Use sub-committees to research and develop these areas in terms of goals, expected outcomes, and strategies.

Santa Barbara Botanic Garden

VISION STATEMENT

Our vision expresses what we aspire to be valued for and embodies our purpose.

Santa Barbara Botanic Garden is an educational and scientific institution. We foster stewardship of the natural world through inspired learning, rigorous scholarship, and premier displays.

MISSION STATEMENT

Our mission is what we do to achieve our vision.

Through an emphasis on plants native to California, we advance knowledge and understanding of plant life and provide a rewarding experience for our visitors.

1996 - 2000 GOALS

Our goals provide direction, inspiration, and a framework for developing strategic objectives.

- 1) Give new vigor and focus to core programs in science, education, and display.
- 2) Broaden excellence in all programs and operating environment.
- 3) Ensure long term viability of the Garden and its programs.
- 4) Serve and involve diverse audiences.

Adopted September 19, 1996

Santa Barbara Botanic Garden
1996-2000 Strategic Plan

1.1 - Ensure that Garden collections serve as a valuable educational and scientific resource.

- A. Improve and conserve living collections.
- B. Preserve non-living collections.
- C. Maintain computerized records of Garden collections.
- D. Increase use of all Garden collections.
- E. Complete and implement Grounds Interpretation Plan.

1.2 - Disseminate knowledge acquired from collections and program activities.

- A. Develop an exhibits program.
- B. Increase publications.
- C. Improve educational opportunities for the public.
- D. Introduce at least five new cultivars to the horticulture industry in five years.

1.3 - Study and conserve rare, threatened and endangered species.

- A. Complete Conservation Policy with action items.
- B. Conduct research.
- C. Propagate rare or endangered plants.
- D. Develop cooperative ties with conservation organizations.

E. Expand programs to educate the public about native plant conservation.

1.4 - Maintain and strengthen partnerships and collaborative agreements.

- A. Develop and expand collaborative agreements.
- B. Increase co-sponsorship of Garden programs with local and regional educational partners and community organizations.

2.1 - Continue to strengthen the mutual commitment between institution and staff.

- A. Offer a salaries and benefits compensation package that is within the top 20% of comparable institutions.
- B. Provide essential tools, and adequate resources and staffing to maximize employee productivity.
- C. Improve staff communication.
- D. Create a training and professional development plan for each employee.
- E. Revise the evaluation process for staff and management.
- F. Strengthen relationships between staff and Trustees.

2.2 - Improve volunteer effectiveness.

- A. Improve communication between volunteers and staff.
- B. Improve volunteer job satisfaction.
- C. Create a written volunteer training and evaluation plan.

- D. Maintain and improve volunteer recognition.

2.3 - Establish standards that will ensure quality programs.

- A. Develop standards for individual programs of each department.

2.4 - Improve maintenance of facilities and grounds, and implement Master Plan for enhancements.

- A. Improve safety and convenience of all Garden facilities.
- B. Maintain current facilities as a priority over new facilities.
- C. Improve maintenance of grounds and living collections.
- D. Replace existing maintenance facility.

3.1 - Maintain an effective, comprehensive public relations program.

- A. Develop public relations and marketing plans.
- B. Broaden community involvement at SBBG.
- C. Broaden SBBG involvement in the community.

3.2 - Expand development efforts.

- A. Re-establish Development Department and reorganize current functions of Development Office staff.
- B. Expand development efforts to fund existing programs, not only new ones, in all departments.
- C. Increase individual contributions

- D. Increase membership income.
- E. Establish a major gifts program.
- F. Increase external support for Garden events.

3.3 - Increase earned income.

- A. Increase income from admissions.
- B. Increase income from events.
- C. Increase earnings of Garden Shop by 3-8% per year.
- D. Increase sales at the Garden Growers Nursery.

3.4 - Broaden involvement of Trustees and community leaders.

- A. Enlist Trustees and Ironwood Council to help promote the Garden and involve community leaders.
- B. Enlist Trustees and Ironwood Council to participate in and support fundraising efforts.
- C. Review structure and recruitment of Board of Trustees.

4.1 - The Garden will promote diversity.

- A. Expand programs and services to benefit diverse audiences.
- B. Improve accessibility to grounds and programs.
- C. Develop cultural events programs to attract new audiences with varied interests.
- D. Increase diversity of Board of Trustees, staff, and volunteers (age, cultural, economic, etc).

**Santa Barbara Botanic Garden
January 1998 Monthly Report**

Goal 1: Give new vigor and focus to core programs in science, education and display.

1.1 Enhance the Scientific Quality of the Living and Non-Living Collections.

- Nine new plantings were conducted Garden-wide. These included additions to the Pond and Kiosk beds, the beds along the Arroyo Room, and several species for the perennial borders in the Manzanita Section.
- The Living Collections Manager completed transferring the plant records database files from Paradox to Access.
- The Collections Committee began its determination of the most important taxa needed for living collections enhancements.
- **B. Improve non-living collections**
 - The Director of Research and the Librarian oversaw the moving of the photographic slide and print collection to the Herbarium vault. This move will increase security and improve environmental conditions of these collections.

1.2 Improve the Quality of Visitor Experiences.

Annual summary of docent tours and outreach programs (1997):

Public tours:	# participants
Nature Walk	1832
Home Demonstration Garden	334
Native Plants for the Home Garden	240
Rare Plants of California	163
Total public tours:	3883
Adult group tours by reservation, including Elderhostel	1314
School tours:	
Nature Walk	1824
Tree Walk	881
Hikin' through Happenin' Habitats	986
Golden Harvest (Native American Uses of Plants)	1164
Total school tours:	4835
School outreach programs	
What's for Dinner?	2248
Happenin' Habitats	759
Golden Harvest	1140
Tree Talk	2000
Get Ready for the Outdoor School	85
Total school outreach:	6232
Total participants:	16264

- **Grounds maintenance activities:**
 - The large oak on the southeast corner of the Herbarium building toppled, mere inches from the Cottage. Luckily no one was hurt, and the crew quickly cleaned up the debris.
 - An old senescing Monterey cypress was taken down along the Woodland Trail.
 - Maintain racks and free materials in the display rack and Garden Shop
 - Developed and assisted with the entrance story for the Spring IQ

1.3 Build the Garden's Effectiveness as an Educational and Scientific Institution.

- **The Director of Horticulture:**
 - Began teaching *The Native Flora*, an Identification and Cultivation Workshop, Part II.
 - Submitted an article on the Garden's plant introduction program to *Pacific Horticulture*.

- Conducted a day-long meeting with ca. 20 members of the Horticulture Advisory Committee. The Garden's long-range plans for the living collections, entrance enhancements, the 1998 symposium, and the plant introduction program were all discussed. She received constructive feedback on the symposium and very favorable reviews of potential new cultivars currently under evaluation.
- **The Director of Education**
 - Hosted the Region 8 California Regional Environmental Education Advisory Board meeting at the Garden.
 - Met with teachers at Monroe School to plan a unit of island study for all 5th graders at the school; subsequently she gave 4 presentations on island biology to different classrooms.
 - Led a field trip at Parma Park on winter blossoms with Fred Emerson for SBCC Adult Education
- **Three teacher education workshops were held at the Garden in January.**
 - An all-day workshop on California Plant Diversity and Structure for the entire faculty of Thelma Bedell School, Santa Paula, was led by the Director of Education.
 - A two-day workshop for university credit focused on the nationally acclaimed programs Project Learning Tree and Project Wild. They were presented by the Director of Education and Director of Volunteers.
- The Education Program Coordinator attended the Horticulture Advisory Committee meeting to discuss SBBG Certificate in California Horticulture with participants.
- **A. Disseminate knowledge acquired by programs.**
 - The Librarian gave the latest general volunteer trainees an orientation of the Library and its collections.
- **The Director of Research:**
 - submitted an invited chapter on the Phlox Family for a lay person's manual to the New World Tropics.
 - met with David Fross to discuss progress on a co-authored book manuscript on the genus *Ceanothus*.
- The Herbarium Curator completed and submitted the final draft report on a rare plant survey of San Clemente Island.
- A "Behind the Scenes" tour was coordinated for a small group of members.
- Ensure that the Spring IQ, contains articles on both the scientific and educational aspects of the Garden.
- Information was sent to *Explore Santa Barbara*, a publication of the *Santa Barbara News Press* on classes and lectures during February/March at the Garden

1.4 Refine and Implement the Garden's Stewardship Philosophy.

C. Expand relationships with conservation organizations.

- The Director of Research submitted an annual report on the Garden's research programs and accessions of CPC registered seed and living plant collections for the Center of Plant Conservation.

Goal 2: Broaden excellence in all programs and operating environment.

2.1 Strengthen Mutual Commitment between SBBG and employees.

- **Resources:**
 - **Computers:** Upgraded 20 computers to the Garden's standard software Office 97 (also added memory to 3 computers in order to upgrade them). Configured a total of 23 computers to run on the network. E-mail now runs on the Garden's network server and a total of 23 computers have internet access. Plans were made for basic training sessions on Windows 95, e-mail and the Internet.
- **Employee Performance Planning and Appraisal System:**
 - Marilyn Weixel, human resources consultant conducted a session introducing the Garden's performance planning and appraisal system. Expectations for both supervisors and employees were generated by the group and the list was distributed to all employees.
 - The 1998 Merit Salary Program was announced to employees.
 - All required forms were put in an electronic format for ease of use.
- **Communications:**
 - The 1998 Income budget was presented to all employees at an all staff meeting.
- **Membership & Events Manager:**
 - worked with Development Assistant on gift membership procedures.
 - article assignments and editing process were coordinated for Spring IQ.

- assisted with the interviewing of seven candidates for the Garden Shop Assistant position. Focus is on customer/visitor service, display of products, and retail experience.

• Development assistant:

- troubleshooted numerous computer problems due to the upgrading of various software and transfer of computers at her terminal as well as Executive Secretary's terminal.
- installed anti-virus software onto relevant Marketing & Development computer terminals.

- All-staff meeting was hosted by Marketing & Development Department.

2.2 Strengthen Volunteer Program.

- Interviews of prospective Garden Grower trainees were conducted and 12 people were accepted into the program.
- Verena Liechti, a horticulturist from Maryland, is volunteering here and at Lotusland for one month to broaden her horticultural knowledge.
- The twenty week 1997/98 Master Gardener Training class continued. The Owen Dell class was taught at the Garden. The Bruce Van Dyke class at Alice Keck Park Memorial Gardens. City Arborist, Dan Condon, and Alice Keck manager, Carol Terry, also added much to the instruction at this session. Master Gardener Trainees actively pursued a diversity of volunteer activities both at the Garden and offsite.
- The three-session Winter Volunteer Orientation began with seven participants. Most class members will also take the garden Growers training that begins in February and will therefore become part of the Growers volunteer team. One participant will work as a Garden Shop Assistant.
- Planning for the 1998 Garden Growers training continues. Prospective members for this training class were interviewed during January by the Director of Volunteers, the Director of Horticulture, and Garden Grower volunteers.
- One successful Garden workday was held. Seven Master Gardener trainees joined the gardeners to help with projects.
- A well attended meeting of the Instructional Aide volunteer group was held by the Class Registrar and the Director of Volunteers in order to prepare for assistance with winter quarter classes.
- The first 1998 meeting of the Volunteer Council was held. The Council Chair for 1998 is Iris Flowers. Vice-Chair Allan Stephens was nominated and elected at this meeting. New Council Members are Ann Lorimer and Sheila Block of the Garden Growers, Terri Campbell, Master Gardener representative from Ventura County, and Ann Williams, Docent.
- The Director of Volunteers provided a preliminary draft example of a new Volunteer Newsletter to the Outreach Committee of the Board of Trustees for their review. This newsletter will be issued approximately every two months, beginning in late winter. It is hoped that significantly improved communication with the Garden's volunteer corps will result.

2.3 Use Policies and Standards that Ensure Program and Operational Quality.

- A new draft of standards for the Horticulture Department was presented to Garden Council.

2.4 Maintain and Enhance Work Environment.

- **Facilities maintenance:** Work on the septic system (a dry well) at the 2450 Las Canoas continued. Replacement costs are estimated to be \$5,000 total.
- **Facilities enhancement project:** Work continued on the topographic survey. A large site model (3' x 6') is due mid-March. Agreements for services for the land use planner, Sid Goldstein, were completed. The agreement with B3 Architects for conceptual drawings is still in process.

Goal 3: Ensure the long term viability of the Garden.

3.1 Enhance Leadership Roles of Trustees.

- Information was generated on Director's Club benefits for Outreach Committee
- The Executive Director and Development Coordinator met with board members, Maureen Hotchkis and Barbara Peterson, to determine mailing list and program for spring cocktail party at Susie Blair's.
- Marketing & Development Department served as main contact for Susie Blair in regards to organization of the spring cocktail party for Garden Fellow members and Ironwood Council members. Members of the Outreach Committee will also attend. Program will include the illustrations of the new facilities plan.

- Board of Trustee Place Cards, used at Trustee meetings, were finished

3.2 Increase Recognition of SBBG as an Important Regional, National, and International Resource.

- **Membership & Events Manager:**
 - oversaw article assignments for Spring IQ. Include articles on plant conservation, unique plants in the Garden, and plant introduction program.
 - researched and wrote article on the *Agave sobria* in the dudleya section, which is about to blossom for Spring IQ.
- Robert Simon, Marketing & Development intern, is researching local and regional publications for event listing opportunities and editorial updates.
- Public Relations Manager represented the Garden at the monthly meeting of the Mission Canyon Assn. Board of Directors
- Approximately 250 people took advantage of the Botanic Garden/Natural History Museum "Visit One and See the Other Free" Offer the last week of December, 1997.

3.3 Revitalize Membership Program and Increase Number of Members.

- 16 Members have reserved space for the March 1 Descanso Garden Bus Tour. Confirmation letters have been created and sent. Jan Cooper, volunteer, and intern Robert Simon have been coordinating activities.
- **Membership and Events Manager:**
 - is researching and writing marketing plan for membership office.
 - researching membership incentives for renewals and new joins for 1998 (e.g. SBBG colorful magnets).
 - Sent 450 renewals and reminder letters to members covering Nov/Dec reminders and Jan/Feb renewals.
 - Processing membership needs such as new cards, annual appeal/membership questions, etc.
 - Continuing to process influx of reminder/renewal mailing responses.

3.4 Increase Earned and Sponsorship Income.

- The Executive Director and Director of Horticulture conducted a site visit for a committee from the Garden Club of Santa Barbara, who are considering our proposal requesting funds for the care card project for the Garden Growers nursery.
- **Garden Shop:** Recruitment began for a Garden Shop Assistant. An increased emphasis for this position is on product display and retail experience. Increased income in the Shop and the need to substantially reduce the cost of the Garden Shop Manager's overtime were factors in increasing the hours for the position to include 1 ½ weekdays.
- Santa Barbara Airbus will sponsor the 1998 Garden Bus Tours for a 10% discount on the tours.
- **The Membership & Marketing Manager:**
 - is researching information on local gardening clubs, which was a target audience that Garden Council had wanted to market to, for the first Gardening Club Row that would be in conjunction with the annual Spring Plant Sale (Intern Robert Simon is calling and sending information to local tri-county clubs).
 - offered the Garden Shop, Garden Growers Nursery, Education and Admissions an opportunity to give coupons to members during March is Membership Month campaign.
 - organizing and planning for *March is Membership Month* campaign
 - sending out wedding packet information for 1998 – booked one wedding and reception
 - researching Director Club benefits at other gardens and museums, and talking with board members regarding their view of Director Club benefits.
 - Encouraging other Departments to arrange activities and programs that will attract sales (i.e. the booksigning event at the Garden Shop)
- **Marketing & Development Assistant:**
 - Proofed and compiled information for Hutton Foundation application.
 - edited, proofed, copied and compiled materials for IMLS-GOS 1998 grant.
- **Increase Advertising and Promotions**
 - Completed Chamber of Commerce visitor map ad.
 - Completed *March is Membership Month* Logo Design.
 - Completed IQ guidelines.
 - The "COOLI" children's adventure was the lead item in the Garden Calendar in the Santa Barbara News Press.
 - The editor of The American Gardener has written a major feature on Darrel Morrison for the Jan/Feb issue. The story mentions that he is consulting on the Garden's visitor center and education complex.

- The editor of the *Southern California Gardner* has written a feature on the Caretaker's Cottage and The Home Demonstration Garden in the Jan/Feb issue.
- The SBBG received major play in the "Weekend Escape: Santa Barbara" feature in the Travel Section of the Sunday *L.A. Times*.
- The need for Garden volunteers was featured in the Sunday Life section of the Santa Barbara News Press.
- A "Talking Tree" talks about her "super part-time job" at the Botanic Garden in the *Santa Barbara News Press*.
- The SBBG will be featured in the 1999 edition of *Frommer's California* travel guide.
- The Garden will be included in the 1998-99 UCSB Kiosk, the official UCSB student handbook.
- The Garden placed a full color ad in the mid-Jan/mid-Feb issue of This Month in Santa Barbara County. The spot is usually occupied by the Museum of Art.

3.5 Increase Philanthropic Income.

- **Development Coordinator:**
 - coordinated third mailing and report on Annual Appeal Fund.
 - processed annual appeal contributions and mailed acknowledgments, postcards, and books (97 Annual Appeal Fund now totals \$25,000).
 - worked with Director of Marketing and Development to transfer information and files on donors.
 - Is researching plans for upper level membership events (invitations, guest lists, coordination); met with Barbara Peterson and Maurine Hotchkiss to discuss acquisition and cultivation of high level members.
 - attended NSFRE sponsored conference in Thousand Oaks on "Building Financial Support for Non-profit Organizations".
 - prepared materials for capital campaign consultant, Bob Bason.
 - worked on donor list for 1997 Annual Report.
 - prepared contribution acknowledgements.

Goal 4: Serve and involve diverse audiences.

4.1 Improve Visitor Services.

- Staffing: plans were approved to add Admission Cashiers to cover weekdays based upon the assumption that their presence will increase the amount of admission fees collected from casual walk through visitors. Cashiers will work alongside Garden volunteers. Recruitment will begin in February.

4.2 Broaden Access to Programs.

4.3 Improve Physical Accessibility to Grounds and Programs.

4.4 Increase Diversity of Trustees, Employees, and Volunteers.

Miscellaneous Activities:

- Began preparations for the 1997 audit.

Monthly Employee Status Report

Employee Status	Number of Employees
Full-time (over 30 hours)	21
Part-time	17
Temporary	1
Instructors (paid for the month)	1
Total	40

Santa Barbara Botanic Garden

Board Profile

Needs Assessment

[illegible]

Also Available

CEO's and Trustees: Building Working Partnerships (Part I),
Schneider, Edward L. and Rogers, Richard B., Editors.
96 pages. \$12, ISBN: 1-888310-00-6) Allen A. Knoll,
Publishers, Santa Barbara, CA, 1998.

Trustee Responsibilities: Enhancing Staff Understanding,
Rogers, Richard B. and Schneider, Edward L., Editors,
80 pages. \$12, ISBN: 1-888310-91-X, Allen A. Knoll,
Publishers, Santa Barbara, CA, 1999

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