



THE LUMPKIN FAMILY FOUNDATION

***Digging Deeper for Impact,
Building Networks for Change***

Strategic Plan, 2010-2013

December 2009

Digging Deeper for Impact, Building Networks for Change

The Lumpkin Family Foundation Strategic Plan 2010 - 2013 December 2009

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I. INTRODUCTION: ABOUT THE PLANNING PROCESS

The current planning process was designed as a series of structured conversations among The Foundation's key constituents (See Appendix A: 2009 Strategic Plan Process). Through these conversations we sought to assess the current situation and context, affirm values, and share opinions and ideas that would lead to the identification of priorities for our next three years.

The process kicked off with a two day board and staff (the team) Retreat on the last day of February and the first of March. The team considered organizational strengths and weaknesses. We focused on the topics of mission and structure, our place-based (East Central Illinois) strategy and the nature of family member engagement. Several insights from the meeting provided focus for ensuing discussions and for the work itself.

For example, the team agreed LFF's current statements of mission, vision and values no longer align with the team's understanding of the work. Those present at the Retreat made a first attempt to craft a new mission statement. The team further determined that LFF's grant-making structure, siloed as it is across mission areas, inhibits our grant-making effectiveness. Trustees requested that staff develop alternative models for consideration later in the year. Importantly, the board renewed its commitment to deep engagement of family members in the leadership and work of The Foundation. (See Appendix B: Retreat Notes.)

The notes from the Retreat were posted to the LFF planning wiki (<http://lffplanning.pbworks.com>) and members were invited to contribute on the wiki to draft statements of mission, vision and values. Several members did so in March and April.

In subsequent months, each of four committees conducted conversations about its work. The Central Illinois (CIC) and Environment Committees had scheduled two conversations: one to assess their work, the other to brainstorm ideas for future development. The nature of the second conversation for CIC was different than planned. It reflected the significant budget limitations we came to appreciate as well as the Board's direction at the Retreat. The second conversation at the CIC meeting consisted of a review of some preliminary strategies, including a plan to merge with the Environment committee and to eliminate environmental grant-making for a multi-year period. (See Appendix C: Committee Discussion Guides)

The Committee on Trusteeship (COT) met on a monthly basis beginning in March to consider important organizational questions such as the nature of family engagement and programs to support them. COT had reviewed Next Generation programs in 2008 and were satisfied with those programs moving into the next cycle. Likewise, the Regional Committee had conducted a successful review in 2008 and developed a plan they had begun to execute. The timing of their review was prescribed by the 2006 plan. This is the conservative nature of the LFF process where programs overlap and program plans leapfrog.

The Lumpkin Family meeting in July brought together most of the entire membership for a discussion of mission, vision and values. Members affirmed elements of these key statements. They provided additional direction without agreeing to final statements. In August and September, Staff conferred with

several interested members and created a new draft of those documents. After presentation to the Board of those documents, the chair of COT and executive director collaborated on the creation of the final statements.

Internally, staff conducted several conversations about its systems and administrative practices. Communications and technology figured prominently in these discussions. We drafted a description of a new, merged grant-making program in response to the Board's direction to re-organize. We also crafted a new vision and plan for Soaring Schools!

The planning process involved the grantseeking and general communities in three significant ways. At the end of 2008, we commissioned our periodic (every third year) survey of grant-seekers. The independent survey was conducted by consultant Iris Krieg and Associates. The survey included an online survey of 2007 applicants as well as a number of follow-up telephone interviews by the consultant of randomly identified interviewees. This information provided valuable feedback on The Foundation's relationships and its role in the community.

Second, together with our goodWORKSconnect.org partners, we began an ambitious program of community convening. In April we convened in Springfield for conversations on the economic downturn. An important insight at the time was that the smallest organizations in the region – those without significant government support or with otherwise concentrated donor bases – had not yet felt the impact of the downturn on fundraising. The conversations continued over various topics in different parts of the region throughout the year peaking with the launch of goodWORKSconnect.org at the LFF bi-annual conference in August.

Finally, the execution of programs this year included community input in the normal course of business. Community steering committees for goodWORKSconnect.org and the Regional Alliance for Youth, and community committee members, brought in a wealth of information as they do every year.

The Board reviewed overarching themes and the key elements of this plan at its September meeting providing comments and direction. After approval by the board in December, subject to some modest revisions, members will receive the plan for affirmation by February, 2010.

*Bruce Karmazin, Executive Director
Mattoon, Illinois
November 30, 2010*

II. OUR VISION, MISSION AND GUIDING PRINCIPLES

VISION

We envision prospering communities with well-informed and engaged citizenry.

MISSION

We support people pursuing innovation and long-lasting improvements in the environment, health, education and community access to the arts.

OPERATING IMPERATIVES, VALUES AND BELIEFS OF OUR MEMBERS:

WHO WE ARE...

- **We are a family-governed organization** whose programs reflect the collective aspirations, and diverse perspectives and interests of its members. We provide a forum for learning and a platform for individual and collaborative family engagement in philanthropy and community service.

WHERE WE WORK...

- **We work in East Central Illinois and in family member communities.**

We share a commitment to honor our heritage in East Central Illinois where the Lumpkin family operated a business for more than 100 years. Fifty percent or more of our grant-making dollars are allocated to East Central Illinois and all of our community programs take place in this region with deep community involvement.

A significant part of our grant-making takes place in family member communities across the country, encouraging family member engagement, and connecting our work in East Central Illinois to a rich diversity of ideas, experiences and perspectives.

HOW WE WORK...

- **We understand The Foundation's role as existing along a continuum** – from responsive grant-making to the execution of our own programs that aim to spur innovation, foster leadership and encourage new approaches to old problems.
- **We appreciate the special needs of the mostly small and rural communities** where we work, and we do our best to leverage additional resources and enhance local philanthropy.
- **We strive to be a learning organization.** We believe in action, evaluation and continuous improvement. We support collaboration and build networks to support learning, develop understanding of issues, and encourage work across organizations and sectors.

III. A BRIEF HISTORY

At the suggestion of her son, Richard Adamson Lumpkin, Besse A. Lumpkin created The Lumpkin Family Foundation in 1953 with a gift of \$100,000 from her estate.

Dr. William C. (Besse's husband) and his father, Dr. Iverson A. Lumpkin, dentists in Mattoon, Illinois at the turn of the last century, had formed the Mattoon Telephone Company in 1894. Starting with 175 customers, the company ultimately became Illinois Consolidated Telephone Company and grew into one of the largest privately held telephone companies in the country.

Over the decades, The Lumpkin Family foundation received significant additions of capital from Lumpkin family members as well as periodic contributions from the company. The Foundation made grants to educational, health and social service organizations in ICTC communities, as well as to educational institutions to which family members were loyal.

In 1991, the next generation of adult Lumpkin family members became active in the Foundation's business. Until then, grant-making decisions had primarily been the responsibility of the ICTC CEO. The group articulated The Foundation's first mission statement and started down the path toward professionalizing The Foundation's activities. The Foundation hired its first executive director in 1994 and began the development of policies and procedures to ensure effective governance and impactful grant-making with autonomy from the company.

In 2001, The Foundation wrote its first strategic plan. At that time, the family made a commitment to continue funding in Central Illinois, as well as to provide grants to communities where Lumpkin family members lived or were personally involved. The Foundation fully engaged member spouses and developed programs to support the philanthropic development of its next generation of children. This cemented the organization as a fully engaged family foundation. Today members of the Lumpkin family's fourth, fifth and even sixth generations contribute both time and financial resources to The Foundation.

Although The Foundation has become a family organization, dependent for its operation on significant volunteer assistance from the descendants of Besse Lumpkin, the family made a commitment to professionalism comparable to the best nonprofit organizations. This includes systematically ensuring the community plays a part in Foundation decisions that affect it. In 2001 community engagement began with the inclusion of interested community members on our grant-making committees. Community engagement has since evolved to include a significant community convening role.

The Nonprofit Excellence Program has since 2002 conducted three conferences for nonprofit organizations in downstate Illinois and provided numerous training opportunities. In 2008, The Foundation convened key nonprofit service providers in order to create the online community known as goodWORKSconnect.org which launched in 2009.

The Foundation today has a professional staff of three fulltime employees and one project project-based consultant for its *Soaring Schools!* program. As a mature organization striving to be a learning organization, The Foundation participates in the philanthropic community through service by members and staff on local, regional and national planning committees and through presentations at philanthropic conferences.

Since 1953, The Foundation has awarded grants of more than \$23 million. The Foundation made grants of close to \$2 million in 2009.

IV. THE EXISTING SITUATION: THUMBNAIL SKETCHES

A. Oversight, Management and Organizational Capacity:

Board: The Board consists of seven trustees. Six are family members holding either *family line* or *at large* seats. The six seats are occupied equally by each of the three family lines (Sparks, Keon and Lumpkin). One seat is occupied by a member of the fourth generation who will retire at the end of 2009. Five seats are occupied by the fifth generation and a sixth has been nominated for 2010. The by-laws allow for three additional independent trustees, one of which is occupied by a long-time and respected employee of Consolidated/SKL Investment Group, LLC (SKL). There is ongoing discussion about how to fill the two unoccupied seats.

Members: Fourteen of 23 Lumpkin adult family members are presently active on either the Board or at least one committee. Twenty children under 21 make up the next generation, 10 of whom (age 10 and above) participated in the Sixth Generation Committee in 2009. Forty community members participated in LFF activities including the Central Illinois and Environment Committees, the Regional Alliance for Youth and the goodWORKSconnect.org Steering Committee in 2009. This is up from a total of 16 at this time in our last planning cycle (2005).

Staff: The Foundation has three full time staff: an executive director, a program officer and an administrative assistant. The Foundation receives non-paid accounting support from SKL equivalent to up to one full time employee and computer support from Consolidated Communications. In addition, The Foundation makes use of consultants for its *Soaring Schools!* and *Regional Alliance for Youth* programs and for convening and organizational functions (e.g. evaluation planning, meeting facilitation). In 2009 The Foundation employed a part time Field Coordinator to support the launch of the goodWORKSconnect.org network. In the past, we have employed university student interns during at least one term per year.

Active Committees:

- Central Illinois
- Committee on Trusteeship
- Compensation
- Environment (Family Fund)
- Annual Family Meeting
- Investment
- Micro Grants
- Regional

Space: The Foundation occupies approximately 550 square feet of office space on the ground floor of the Consolidated Communications Headquarters Building and makes use of additional meeting space also in that building.

B. Financial, Program and Organizational Effectiveness:

- As of July 31, 2009, assets of The Lumpkin Family Foundation stood at some \$36.5 million, including approximately \$8.6 million in donor directed funds. This represents a decline of approximately \$9.5 million overall from this point in our 2005 planning process. After peaking at more than \$50 million, The Foundation's assets declined dramatically in the latter part of 2008 and the first weeks of 2009 roughly in line with the average. Even with a substantial comeback in the markets over the past few months, The Foundation remains guarded in its long term view. However, The Foundation continues to maintain a diverse portfolio and to have confidence in its managers.
- The Foundation is relatively expensive to operate compared to other grant-making foundations and it has grown more so in the past four years. In 2009, The Foundation had budgeted expenditures for programs and administration of \$586,586 or 1.68% of assets. There are no current, reliable comparative data available because of the recent downturn. Foundations of a similar size in 2005 had a mean of .82% of expenses to assets. Expenses in 2005 were \$501,166. This reflects the strategic decision by the Board to develop and support more pro-active – and staff intensive – programs.

C. Grant-making:

The Foundation presently operates three grant-making programs, highlighted below. In light of the uncertain economic environment at the end of 2008, the Board also held in a Board Opportunity Fund approximately \$400,000 for use as determined throughout the year as necessitated by the demands of the poor economy.

Central Illinois (2009 New Grants Budget: \$200,000):

- ***Grants to education, preventive health and leadership development*** in response to requests by organizations in East Central Illinois.
- ***Capacity Building Grants*** to support the development of management, systems and organizational structures in response to requests by organizations in East Central Illinois
- ***Micro Grants*** to support training and professional development in response to requests by organizations in East Central Illinois. (\$30,000)

Central Illinois Pledges made in 2008/9:

- ***EIU:*** \$1 million from general fund for an endowment to support arts programs at the Doudna Fine Arts Center (and \$1 million from RAL donor directed fund) over ten years.
- ***Mattoon YMCA:*** \$500,000 for renovation of building over five years.
- ***FutureGen:*** \$500,000 for land purchase for “clean coal” plant over two years.

Downstate Conservation (2009 Budget: \$200,000):

- ***Grants for projects focused primarily on water quality issues*** in response to requests by organizations serving the needs of Illinois south of Highway 80.

Family Member Communities (2009 Budget: \$210,000):

- **Regional Grants for education enrichment** to organizations in Lumpkin communities as identified by members and engaged in education enrichment. (\$100,000) Half is distributed to a single organization identified through a learning process. The other half is distributed among family member communities.
- **Discretionary and matching grants** to member supported institutions. (\$110,000)

A. Direct Programs in Support of Nonprofit Capacity:

In addition to grant-making, The Foundation operates three programs. The programs aim to develop the capacity of organizations and parts of the nonprofit sector in East Central Illinois.

In the current year, under the auspices of its **Nonprofit Excellence Program** and in partnership with the goodWORKSconnect.org network, The Foundation played a significant role in convening communities across the region. This included the following:

- Creation of an online platform, GWC, for resource sharing and social networking.
- Third Bi-Annual Nonprofit Conference for Downstate Illinois
- Regional Convening on the Impact of the Economic Downturn (for organizations across East Central Illinois)
- Web 2.0 Training Seminar (x2)
- Community meetings (x8) on various nonprofit topics (e.g. volunteerism, planned giving, marketing) in local communities.

The Foundation redeveloped the **Soaring Schools!** program in 2009 to support the development of classroom techniques at three high schools in the region (Mattoon, Shelbyville and Pana). The program includes a grant of \$129,000 to purchase learning services and provide a coordinator. The program will include a research component to evaluate the efficacy of the methods.

The **Regional Alliance for Youth** (RAY) is a community group formed as a result of the first youth summit in 2006. RAY formed with the intention of reaching systemic solutions to addressing the needs of young people in the region. In 2008 and 2009 RAY made grants to organizations in East Central Illinois to encourage collaborations and cross-organization partnerships. In March of this year, they conducted a second summit for youth.

V. OVERARCHING THEMES AND SHIFTS IN STRATEGY

A number of themes emerged over the course of the current process. Ultimately, however, the discussion boiled down to... *how can we have the most impact in ways that reflect the family's vision with the resources we have in the geographic areas in which we operate?* And then – *how can we learn from our experiences in ways that allow us to accomplish more over time?*

Themes Going Forward:

- **Dig deeper in terms of place:** Focus our work increasingly closer to “home” in Coles County (but not exclusively), and where our relationships, expertise and knowledge give us the greatest potential for impact.
- **Become more pro-active in developing cohesive, perhaps larger projects in collaboration with the communities we serve.** Prepare for the longer term when pledges are fully redeemed. (i.e. Pay down our pledges while we conserve elsewhere and plan a few major projects.)
- **Dig deeper in organizations and projects that we support and believe vital to our region.**
- **Restructure grant-making to achieve members' vision for impact** [where innovation is key].

These themes are reflected in the following shifts in recent strategies.

Strategic Shifts: Grant-making:

These changes are intended to help The Foundation move closer to a focus on best grants overall rather than the best Conservation or the best Central Illinois grants. (i.e. Remove the silos.) The changes are also intended to allow The Foundation to plan a number of focused initiatives in East Central Illinois between three and seven years into the future.

- Merge the Central Illinois and Downstate Conservation Programs into one general program based on “cross cutting criteria” and maintain the two grant cycles of those programs to allow for greater flexibility in receiving applications. (i.e. winter, fall)

e.g. Grants to innovative activities or operating support for innovative organizations that build networks and cause change. (See Appendix D: Draft Program Description)

- Suspend (as much as possible) environmental program grants (as currently defined) in favor of conserving funds for a major a major environment/conservation project in or near Coles County.
- Accelerate our long-term pledges (EIU and YMCA) to free up budget in approximately 2-3 years to make commitments to major initiatives (e.g. environmental project and/or those discussed below.)

Strategic Shifts: Initiatives

These changes lay out a plan for the use of The Foundation's nonfinancial resources, including staff and volunteer time, our experience and skill as a convener and our position as a leader in East Central Illinois.

- Initiate a community process and conduct research to identify a vision and community support for a Mattoon community arts center, for a major grant 3 to 7 years in the future.
- Conduct a community process to change the nature of our capacity building to work on a deeper level with fewer organizations.
- Build goodWORKSconnect.org to a critical mass and plan its full integration into the community.
- Continue the work of *Soaring Schools!* with a focus on Mattoon High School for two more years (sufficient time for our work to bear fruit), as well as two additional local high school partners, conducting a research project to determine the value of the work.
- Consider initiating a community process leading to the creation of a "Green Coles County" project in collaboration with local business and nonprofits, as opportunities present themselves and as the development of FutureGen allows.
- Terminate Regional Alliance for Youth.

V. AREAS OF STRATEGIC DEVELOPMENT (Goals, Strategies and Activities)

Goal: To have positive impact on the lives of people in East Central Illinois, especially in Coles County.					
Objective	Strategy	Program/Activity	Performance Measure/Deliverable	Timing	Assignment
Vibrant nonprofit sector, especially in Coles County.	Grantmaking that encourages innovation, collaboration, outstanding leadership and community support.	Merge Central Illinois and Environment Committees. Eliminate separate program for capacity building. Focus grantmaking close to home. Disband RAY.	Board agreement on program. Publication on website. New committee.	Y1	Staff
		Cease environment programming. (To save for future activity. See below)	Communications through E-blast and convenings.	Y1	Staff
		Grant to goodWORKSconnect.org partners the funds for micro grants.	Grant program online. Strong GWC; Strong Community Foundations.	Y1	Staff
		Provide written resources to organizations through GWC.	Reports from Community Foundations. Articles, resources on GWC.	Y2 Y1-Y3	Staff Staff
	Develop Community based platform goodWORKSconnect.org for peer networking and resources to supplant NEP in the area.	Encourage collaboration and sharing between organizations.	500 members, active participation.	Y1-Y3	Staff
		Make capacity building and training grants through GWC.	See metrics on GWC exchanges (e.g. book clubs).	Y1	Staff
		Hold regular annual regional convening. (e.g. State budget)	Grants; review community committees (volunteers)	Y1-Y3	Staff
		Support local convenings in communities (see GWC plan)	Conference	Y 1-Y3	Community Foundations/Staff
			Frequent community convenings sponsored by community foundations.	Y 1-Y3	Community Foundations/Staff
			Develop plan for community “takeover”.	Y3	Staff/GWC Steering Committee

Goal: To have positive impact on the lives of people in East Central Illinois, especially in Coles County.

Objective	Strategy	Program/Activity	Performance Measure/Deliverable	Timing	Assignment
Vibrant nonprofit sector, especially in Coles County.	Redevelop capacity building program digging deeper with fewer cornerstone agencies.	Conduct a series of brainstorming and defining sessions with nonprofits.	3-5 group meetings.	Y1-Y2	Staff
			Program definition to Board/Committee. Plan.	Y1-Y3	Staff/Committee
			Identify prospects, conduct negotiations.	Y2-Y3	Staff
Excellent secondary education in ECI	Support systems change at three local high schools.	Continue <i>Soaring Schools!</i>	Grant(s)	Y3-Y4 Y1-Y2	
			School reports	Y1-Y2	Consultant
			Research report	Y3	EIU Professor/Consultant
			Grant renewed	Y2-Y3	
Vital cultural life in Coles County	Focus on Mattoon	Redeem pledge to Doudna Fine Arts Center.		Y3	
			Develop a community process to consider vision and feasibility for community arts center.	Y1	Staff/Consultant/ Advisory Committee
			Statement of vision	Y1	Staff/Consultant/ Advisory Committee
			Feasibility study results	Y2	Staff/Consultant/ Advisory Committee
			Presentation at Family Meeting.	Y2	Staff
		Continue mural arts program support.	Murals 2 & 3	Y1-Y3	
		Initiate community garden project with land and financial resources.	Community committee; garden	Y2 – Y3	Staff
To inspire a single significant project with impact on the	Develop plan for major water/land use/wildlife project in Coles County	Research and develop a community process to identify a meaningful project in Coles	Statement of vision	Y2	Staff
			Community convenings	Y2	Staff/Consultant

Goal: To have positive impact on the lives of people in East Central Illinois, especially in Coles County.

Objective	Strategy	Program/Activity	Performance Measure/Deliverable	Timing	Assignment
ecology of Coles County.	or develop plan for major food/ag project	County (e.g. food, water). Research and develop a community process to support a widespread ecological action plan for Coles County, “Greening Coles” (with FutureGen)	Plan Grants Convening (s) of local businesses and community leaders. Research begins	Y2 Y3-Y4 Y3-Y4 Y3	Staff Staff Staff/Consultant Staff

Goal: A vibrant, accountable organization supported by an effective board, an engaged membership and an interested community.

Objective	Strategy	Program/Activity	Performance Measure/Deliverable	Timing	Assignment	
Highly engaged membership (i.e. To provide meaningful experiences for members in return for value and impact.)	Provide opportunities for learning connected to LFF interest areas.	Continue Learning Circles beyond original timetable.	Annual reports	Y1-Y3	Members/Staff	
		Institute LFF e-blast	Participation			
	Connect members to their communities, to each others communities and to LFF and ECI.	Execute 2008 plan for Regional Grants Committee.	Quarterly	Grants	Y1-Y3	Staff
		Hold family meetings at or near family member communities.	Member satisfaction as measured annually			
		Highlight family member philanthropic activity in family member newsletter online and continue to experiment with new communication technologies.	Newsletter		Y1-Y3	Members/Staff
			Video calling		TBD	
			Others TBD		TBD	
		Continue discretionary grants program.	Grants More dialogue		Y1-Y3	Members
		Identify with COT way to increase dialogue among members.				
		Conduct Nat Cntr for Fam Phil Pursuit of Excellence Review.	Written report and change process		Y3	COT/Staff/Consultant
Develop measurements for determining quality of the member experience.	Evaluation, member self assessment		Y1-Y3	Staff/COT		

Appendix A – 2009 Strategic Plan Process

Goal: A vibrant, accountable organization supported by an effective board, an engaged membership and an interested community.					
Objective	Strategy	Program/Activity	Performance Measure/Deliverable	Timing	Assignment
Enthusiastic next generation connected to each other and the ideas of philanthropy and service and LFF.	Build the team; support self and team learning; promote knowledge of philanthropy and stewardship.	Parent/child features in newsletter.	Articles	2X/year	Members
		Promote renewed matching grant program.	Grants	Y1-Y3	Staff/Members
		Continue Next Generation Committee; add educational opportunities.	Grants	Y1-Y3	Kids/Staff
		Redevelop Intro to Philanthropy program with input from 10-16 year olds.	Participants as interested	TBD	Kids/Members/Staff
		Continue Mollie Lumpkin Award.	Award annually Announcement	Y1-Y3	Members/Staff
		Connect kids to each other during the year (e.g. family meeting planning).	Family Meeting Team on Facebook with committee liaison.	Y1-Y3	Kids/Staff
		Execute 2010 Next Generation Individual Outreach Plan (see plan).	Books and letters delivered	Y1-Y3	Staff/Members
		Encourage committee and LC participation by Board.	Board connected to programming. Long term vision/program development.	Y1-Y3	Trustees/Staff
		Conduct Board assessment and discuss at Board.	Report; Board discussion	Y2	Trustees/Staff
		Encourage targeted opportunities through affinity groups.	Attendance by key persons	Y1-Y3	Trustees/Members/Staff
An energized, effective Board.	Support individual learning and self-reflection.				

Appendix A – 2009 Strategic Plan Process

Goal: A vibrant, accountable organization supported by an effective board, an engaged membership and an interested community.						
Objective	Strategy	Program/Activity	Performance Measure/Deliverable	Timing	Assignment	
Community relationships that support achievement of our strategic goals.	Provide opportunities for team learning and organizational development.	Add time at board for general discussion and trustee themes.	Discussion		Trustees/COT/Staff	
		Confer with Board on learning curriculum.	Discussion	Y1-Y3	Trustees/Staff	
		Conduct Nat Cntr Fam Phil Pursuit of Excellence review.	Report, process	Y3	Consultant/Staff/ COT	
		Include a GEO guest speaker at Board or get members to GEO conference.	Board discussion	Y2 or Y3 Y1	Staff	
	Ensure organizational continuity.	Update succession plans.	Plans	Y1	COT/Staff	
		Identify training opportunities for key persons.	Attendance; Discussion of needs at COT	Y1-Y3	Staff/COT	
	Ensure good communications and accountability.	Redesign website (e.g. more detail on program, 990pf, interactive) (See responses to grantee survey)	Website redesign	Website redesign	Y1	Staff/Consultant
			Continue ambitious convening agenda through GWC.	Meetings	Y1-Y3	
			Biannual Grantee reception	Reception	Y1,Y3	Staff
			Maintain number of volunteers involved (and determine board engagement). Discuss at COT and Board.	# volunteers on Board		
			Continue monthly E-blast.	Monthly	Y3	Staff/Consultant
			Conduct grant-seeker survey.	Consultant report and recommendations	Y3	Staff
	Incorporate RAY member(s) on new grantmaking committee.	Member(s)	Y1			

Appendix A – 2009 Strategic Plan Process

Goal: A vibrant, accountable organization supported by an effective board, an engaged membership and an interested community.					
Objective	Strategy	Program/Activity	Performance Measure/Deliverable	Timing	Assignment
	Support development of good grant applications	Develop plan for GWC to embed in community.	Plan	Y3	
		Community meetings to promote new program.	3-5 meetings in communities		
		Press releases to announce grant programs and grants.	2X per year	Y1	
		Micro Grant program transferred to GWC/Community Foundations.	500 members on GWC; Committees at Community Foundations	Y1	
	Participate in local community service	Self-determined by staff (e.g. Kiwanis, Rotary, MAC)	Participation by all staff	Y1-Y3	Staff
		Increase employee match to \$2,000	Grants	Y1-Y3	Staff
	Contribute to Community of grantmakers and stay current with the field (and good ideas).	Targeted attendance at affinity group meetings and webinars.	Attendance	Y1-Y3	Staff/Webinars
		Deep participation in at least one activity by staff (e.g. NCFP, GEO every other year)	Attendance/Records	Y1-Y3	Staff
	Maintain systems and administrative strategies that ensure accountability of staff to Board and members and overall organizational effectiveness.	Redevelop evaluation framework, begin collecting data (including qualitative data on members and grantee stories).	Framework	Y1-Y3	Staff
		Develop materials and plan for new grantmaking program.	Application, new committee recruits, program description, announcement.	Y1	Staff
		Engage 4 th generation members for advice and directions on LFF long term future.	Conversations	Y1-Y3	Staff

Appendix A – 2009 Strategic Plan Process

Goal: A vibrant, accountable organization supported by an effective board, an engaged membership and an interested community.					
Objective	Strategy	Program/Activity	Performance Measure/Deliverable	Timing	Assignment
		Redevelop post grant report process including interview.	Form/Process description	Y2	Staff
		Prepare for and transfer GIFTS records to Foundant.	Evaluate shortcomings, complete transfer	Y1	Staff/Members
		Use and experiment with new technologies as appropriate to projects.	TBD	Y1-Y3	Staff
		Targeted professional development for staff.	TBD	Y1-Y3	Staff

VI. MONITORING OUR PROGRESS

Achieving the goals set out in the Strategic Plan will require careful monitoring. As obstacles arise or opportunities appear, and as the environment changes, it may be necessary or useful to make adjustments from time to time. The Foundation may need to make changes, as additional research and development alter our understanding of what is feasible. The Board will continue to review and discuss general progress reports at least annually. Once the plan is approved, staff will create a framework to allow for evaluation of program progress and success in the overall plan.

Appendices

A. 2009 Strategic Plan Process

B. Retreat Notes

C. Committee Discussion Guides

- i. Central Illinois Committee**
- ii. Environment Committee**
- iii. Committee on Trusteeship**

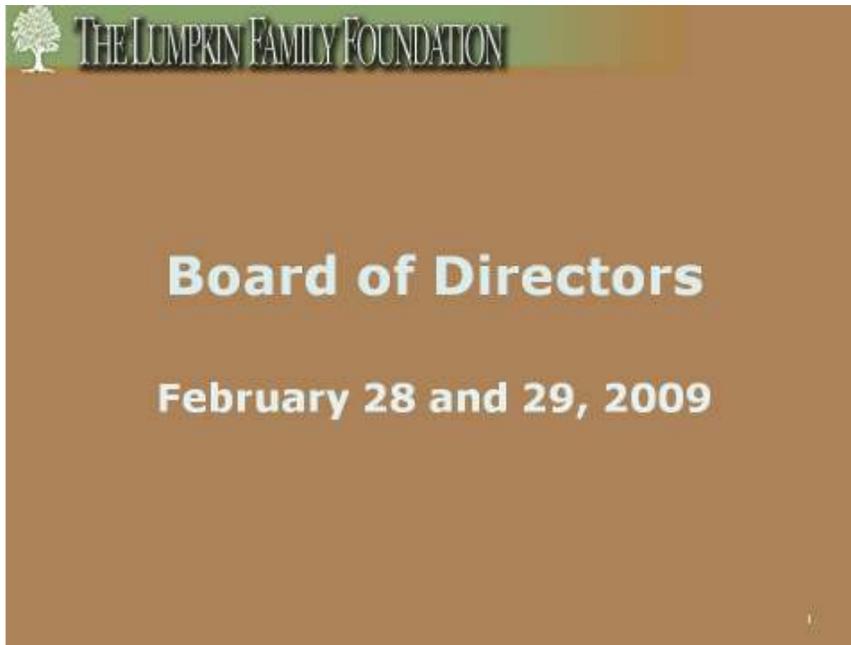
D. Draft Program Description:

The Lumpkin Family Fund for Learning, Leadership and Innovation in East Central Illinois

The Lumpkin Family Foundation
2009 Strategic Plan Process

This brief overview outlines a process for the collection of ideas and opinions from key constituents in the construction of our 2010 strategic plan. We will also take advantage of data, learning and exchanges that occurred in 2008. This includes evaluations and the redevelopment of regional and sixth generation programs and an independent grant-seeker survey. This process provides a vessel for collecting the information but content must still be determined. Committee on Trusteeship will oversee this process.

<u>Activity</u>	<u>Date</u>	<u>Responsible</u>	<u>Result/Deliverable</u>
Determine process, collect data, post process and data on Wiki and introduce Wiki use to family.	Jan/Feb	Staff/COT	Vessel for collection of ideas and opinions of constituents across family and community.
Situation analysis by committee	Jan/Feb	COT,CIC,DC, Inv.	Meetings, brief reports from committees; See Also 09 Regional, and 6 th Generation and Investment Committee recommendations.
Board Retreat: The Great Unpacking?	Feb 28/Mar1	Board/Staff	Analysis of current sit. Appreciation of what works, why. Ideas and Direction. Affirmation or new Vision: Learning: change, Networks,
Family Discussion by Wiki: Explore themes from Retreat with entire family; Q/A, discussion	Mar-Jul	Members	Opinions on themes from Retreat. Analysis, themes for vision, mission, values, strategy.
Family meeting	Jul 15-22	Members	Statements of opinion and feelings on Directions and programs.
Committees brainstorm in response to board and family directions. Write mission by Wiki.	Sept – Nov	COT,CIC, DC/ Staff, members	Consensus.
Collect data from communities through community and regional convening.	Feb – Nov	Staff	Strategic direction, needs ID'd and ideas.
Write Plan; review Approve Plan	Sept – Nov Dec	Staff Board	draft Plan; COT PLAN



A. Attending

Richard De Wyngaert
Susan De Wyngaert
Christina Duncan
Marry Eddy
Glenda Eoyang (facilitating)
Barbara Federico

Steve Grissom
Annie Hernandez
Bruce Karmazin
Ben Lumpkin
Richard Lumpkin
Mary Weber

B. Old Business

The group reviewed and approved a proposal from the Regional Committee (details distributed separately) and reviewed and approved the budget for 2009 (details distributed separately).

C. Stories of Change

Each person shared a story of change as they have experienced it. They reflected on:

- How did you know you needed to change?
- What moved you forward or held you back?
- What were the unexpected costs and benefits?

Based on stories, we reflected on lessons learned:

- Clear view of the environment opens opportunities.
- Tools that used to work, don't work any more.
- Will isn't enough. You cannot force change.
- Take a deep breath. Let it go.
- Letting go isn't easy.
- Parenthood is a good example of dealing with change.
- Separation is often followed by coming back together.
- Reality is different from what you expected—sometimes better and sometimes worse.
- Resisting change can be counter productive.
- You can only see when you let go.
- Helps you encounter your own values.
- Brings unexpected opportunities.

D. 2010 and Beyond

Strengths

- Good collaboration
- Enjoy each other
- Experience in many things
- Expertise
- Collaborate well as an organization
- Causers of collaboration in the world
- Lumpkin name and reputation
- Commitment to underserved region
- Intent to think about future—6th generation and family
- Not driven by personal ambition—interested in the whole

Appendix B – Retreat Notes

- Committed to learning. Comfort with education and challenges
- Openness, not narrow mission
- Flexibility
- Don't discriminate on the basis of age
- Structure and rotation of roles—everyone can help
- Diversity
- Future always in the back of the head
- Human Capital→Use what everyone brings
- Participation of all and of their communities and networks
- ALL communities—yours, mine, and ours
- Experiences in foundation ripple out into the world
- Representation and ability of staff-> their skills and their relationships
- Progressive with technologies finding new and better ways to be connected
- Regionally and nationally respected staff
- Listening processes
- Listening in community—future generations
- Access to capital and willingness to spend/invest
- Relationship to risk—willing to take chance, see it through, learn lessons
- Community more stable than some part so the world—less boom, so probably less bust
- Bringing in “outsiders” for decision making empowering others.
- Healthy skepticism
- Drawing in expertise from others

Agreement

- **Opportunity-focused and adaptive**
- **Learning organization (build processes and strive to be)**
- **Clear values and commitments**
- **Collaboration and respect**

Appendix B – Retreat Notes

As a family foundation, we:

- Open our processes and conversations to family members (equally to all)
- Are wary of being too rigid in our definitions and enforcement of rules
- Invite all
- Do not punish individuals if they choose not to be involved
- Stay flexible for change over time
- Are considerate of each other—including staff
- Provide easy on-ramp support and exchange of information so people can become involved easily
- Offer diverse opportunities for involvement to match interests, commitment
- Match invitation with the passions of family members
- Give age-appropriate options

Challenges

- Shrinking budget
- Including ALL family members may be constraining
- Always open and inviting, but they choose, whatever they choose is okay
- Keep organized AND stay open
- Professional/family carrying the ball for the long-term view
- Various definitions of “family” foundation. What is essential?
- How do you support and encourage for a lifetime of excitement (not a burden)
- How much and what kind of communication is the right amount?
- Prepare family members to enable them, not to disenfranchise them.
- Exciting family and/exciting the community
- How do we know what the impact is?
- Evaluating results and effectiveness
- Bringing in the next generation—maybe not rigidly, not based on age
- Manage learning and adapt over time—PAY ATTENTION
- Beware of over enforcement of rules. Make them guidelines for reasonable interpretation.
- Understand the balance between operations and program grants—what is the right design for the kinds of change we want to support?
- Evaluation capability required
- Have experience engaging with grantees
- Coaching and building capacity in grantees and encouraging other investments from the community
- Supporting what the community needs and wants
- Allocating time for research and evaluation before, during, and after
- Capturing and sharing our learning

E. Today’s Program Patterns

Each committee chair provided an overview of activities and opportunities within their committee, then everyone considered how the programs were similar and how they were different. Their considerations are described below.

SAME	DIFFERENT
Synergies among projects Process more than just product Interdependence Collaboration Relationships Learning/capacity building Multi-levels: Individual, institution, policy Opportunistic/responsive Networking Use technology Schools & farmers not yet systems thinking Place-based Increasing focus on effectiveness	Level of priority for the community itself A good idea that . . . Relationships first and funding second Members’ locale Different places Level of engagement with/from family

Cross-Cutting Criteria

All work of the Lumpkin Family Foundation is:

- **Rooted in the uniqueness of place (ECI or home communities of members)**
- **Informed by relationship and collaboration**
- **Responsive to needs and opportunities that arise in communities**
- **Committed to effective use of resources and accountability**
- **Invested in learning and growth**

F. Today’s Foundations

The group reviewed and considered the foundational documents for the Foundation. Their comments and thoughts included:

- Leadership is changing in our communities from directorship to facilitation
- Want coherent vision for Central Illinois, family, and our locales
- Positive change—more directional and goal-oriented, not just process
- We should lead with our identity as a leader
- What should it look like after we’re done?
- We can be a leader of positive change
- How can we reach our vision better?
- What does LFF do that is unique?
- Other options for small group specialization/focus:
 - Organizational capacities
 - Levels of transformation (individual, community, organization)
 - Change and kinds of change
 - Connections—inside the board, with grantees, within and among grantees, with family, and so on
 - Functions—technical opportunities, leadership, etc.
 - We convene
 - Collaborative change capital
 - Stewardship

Models of Lumpkin Family Foundation as Leader

Historical view of leadership	Spectrum, not dogma	Network view of leadership
Model Head of pack Tell what’s good Identify individual leaders Develop leadership potential Standing in community	Realistic Adaptive Focus on conversation Choices process	Include many voices Network with others Bring people together Listening Engagement Systemic

Opportunities to allocate funds across committees, rather than just within:

- Easier to comprehend and communicate allocation by subject area rather than committee
- More robust conversation about grants
- More flexibility in asset allocation
- Evaluation of effectiveness
- Decision making (prioritize, take a second look)
- Support emergent interests in micro and macro evolution of ideas
- Fewer and larger grants as we become more expert and clear about options and strategies
- Reduce overhead of many and small grants

Work with whole system allocation rather than committee	
Pros	Cons
Multiple grant cycles/year Prioritize across grantees All members of the board invested in all projects Our value add across sectors/topics What has best opportunity for long-term effect	Lack of focus People already think in topics Hard to communicate the broader picture Hard to build expertise Hard to build interest in the family Had to build on successes and lessons learned
Options: Prepare and study and make a big collaborative grant See ourselves as a catalyst for change Establish affinity groups to build knowledge base Identify and solicit grants from strong organizations Support two sorts of grant processes Convene cohorts of grantees Shift from focus on water to focus on food, where there is more local energy	

Agreements

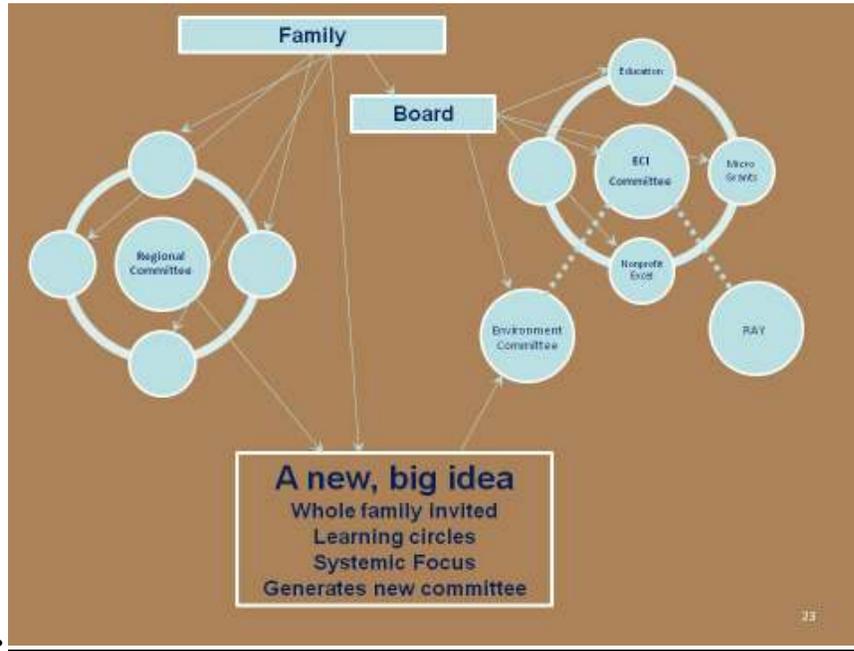
Committees will receive budgets for allocation.

They will grant funding to their “A” projects.

Extra funds will be placed in a pool to be allocated by the Board as a whole across committee objectives

Recommendations

1. **Test all grants against the cross-cutting criteria, regardless of the committee and/or topic of interest. The cross-cutting criteria are:**
 - **Rooted in the uniqueness of place (ECI or home communities of members)**
 - **Informed by relationship and collaboration**
 - **Responsive to needs and opportunities that arise in communities**
 - **Committed to effective use of resources and accountability**
 - **Invested in learning and growth**
2. **Each committee look for “A” projects and give other funds back to the board for broad-based distribution.**
3. **Focus work on convening and network building.**
4. **Put grants on-line. Committee will be expected, and family members will be invited to review the grants and provide on-line comments.**
5. **Take steps to cultivate better granting opportunities, particularly in environmental committee**



G.

Support Positive Change

Vision

Cross-cutting criteria:

- Rooted in the uniqueness of place (ECI or home communities of members)
- Informed by relationship and collaboration
- Responsive to needs and opportunities that arise in communities
- Committed to effective use of resources and accountability
- Invested in learning and growth

LEARNING Areas of Expertise/Interest Supported by family in: • Affinity groups • Teams • Learning circles	ASSET ALLOCATION Supported by Board of Trustees in: • Officer roles • Committee membership	
	ECI Committee	Regional Committee
Education		
Healthcare		
Non-Profit Excellence		
Capacity building		
Environment		
Network building/convening		
Arts		
Other		
Save for later allocation		

Learning and sharing take place in each cell, row, and column as we work together and learn in community.

H. 25% Solution

Individuals were asked to consider what they would do, as members of the board, if resources dropped to 25% of the current level. Individuals then shared with pairs, and the pairs reported out. Ideas included:

Appendix B – Retreat Notes

- Contribute to other foundations
- Adjust investments
- Take a family trip at the KOA
- Pay their own way for meetings and trips
- Support staff work and the strategies led by staff
- Focus on the mission
- Explore whole new ways of doing the work.
- Focus on the “free” things we do—building relationships and networks
- Focus on who we really are—what is our identity—what is essential?
- See how our work fits in with others’
- Leverage our resources
- Establish partnerships
- Reassess relevance of our work
- Focus on how needs are changing around us
- Be cautious re capital disbursements
- Prioritize for short-term impact
- Prioritize for economic development
- Consider giving 100% to ECI
- Think about it as going back to the future—that was where we started
- Focus on community
- Leverage resources
- Create and market resources
- Focus for greatest impact in ECI
- Reassess the landscape

I. Focus Groups

The group identified three strategic issues to focus on:

- Mission/Structure
- East Central Illinois strategy
- Family Engagement

Members selected one of the groups to join in discussion. Each group reported out their insights and recommendations. All are summarized below.

Mission/Structure

- Insights
 - The current vision, mission, and values are not current with our activities; the vision is not really a vision.
 - The vision is about building strong processes and systems which support democracy and engagement.
 - Our activities are about building communities, which is consistent with building the family community.
 - Mission: We support positive change in (fields)
 - Beliefs: we believe in communities that are vital and self-sustaining and we believe in the value of citizens empowered to build their own futures.
- Actions
 - Get stuff on wiki for input by family. Craft a draft of a new statement and place it on the wiki.
 - Finalize new statement at the family meeting

East Central Illinois Strategy

- Financial decision making: Support opportunities as opposed to silos
- Structure can get in our way of being open to opportunities and insights and not maximize the impact of foundation giving
- Sometimes we should use our expertise to move an agenda forward. For example:
 - Change pedagogy, to engage student in learning
 - Not just sit and get
 - Must learn by asking questions and listening
 - Engage community in education
 - Articulating a problem as a community is a huge first step
 - Parents have capacity that is waiting to be activated

Appendix B – Retreat Notes

Insights	Actions
Pedagogy is key We have had good learning Community involvement Flexible for cycles a year	Follow the opportunities Be more pro-active and less reactive
Micro grant program really effective	Increase micro grant budget (double 30-60K?)
Why should we go to Champaign, Springfield, Decatur—more communities have resources to draw on	Staff by pro-active in outreach to our own community to generate new and better applications from them
Convening and training are effective in leading to good ideas and opportunities for grant making	Continue to prioritize and support them
	Rolling applications process—all grants all the time Allow you to prioritize across programs
Given diminished giving resources open family to refocus on the most exciting opportunities that are close to home	Work from the mission and don't get stuck in structures
How do you open communication channels?	Open up the wiki with different identity to inquire about what people need/want.
The website is static	Make it more interactive. Support the philosophy that a key competency of the foundation is to listen
There is a tendency to more grants that are not particularly satisfying because of pressure to spend allotted budget before year end	Consider doing away with committee structure arranged by issue area, and move to simply having three committee meetings a year that considers all grants in all issue areas received over that period of time. Allow you to prioritize across categories and give better committee passion rather than arbitrary category budgets.
Pressure to spend 5% each year	Economy may resolve this issue Accelerate capital expenditures Contribute to community in donor-directed fund

Family Engagement

- Insights
 - People not involved have been asked and know about what they could do.
 - Take time to consider the individual
 - Relationship among is “trump” to the work. (Note: this was a controversial perspective. Probably deserves more conversation.) It is ok to be different things to different people. Quality work can bring the family together
 - This is a “pot that needs to stay on the stove.”
- Actions
 - Communicate options for different types of engagement

Appendix B – Retreat Notes

- Link family meeting to family member locale. Engage in physical team building activities. Visit each others' communities.
- Communicate fun stuff happening and lessons learned in an accessible manner—e-news blog.
 - Bite-sized and headlined
 - Highlights and opportunities
 - Tell the story to paint the picture
 - Highlight organization supported by a family member
 - Cool Coles County and ECI happenings
 - Upcoming work
- Open grant review to all family members
- Continue this a key priority for COT.
- Continue to explore technologies to make connections (but don't forget to value face-to-face, too.)

J. Short List of Simple Rules

In a complex system, a short list of simple rules supports:

- Many acting as an adaptive one
- Supports alignment and freedom

Examples:

- Boids
- Golden Rule
- Freeway traffic
- “Be sweet”

For example, HSD Institute’s Shorts and Simples

- Teach and learn in every interaction
- Reinforce strength of self and other
- Search for the true and the useful
- Attend to the whole, the part, and the greater whole
- Give and get value for value
- Engage in joyful practice

Rules for simple rules

- Include no more than 5 + or – 2.
- Begin with VERB.
- Work for everyone and every place in the system.
- Stated in positive terms.

Lumpkin Family Foundation short list of simple rules (3/1/09)

- 1. Listen**
- 2. Think, remember, and reflect**
- 3. Share and connect**
- 4. Trust yourself: Honor intuition and seek data**
- 5. Express and share passion**
- 6. Model desired outcomes and behaviors**
- 7. Imagine the possibilities and respect the mission**
- 8. React and act respectfully and responsibly**

Key Responsibilities for Trusteeship in The LFF Strategic Planning Process Discussion Stimulant and Proposal

The role of the Committee on Trusteeship is critical to an effective strategic planning process. The work has two components.

First, COT is responsible for creating the structure of the process itself. If we think of the process as a vessel in which to hold conversations among and between LFF constituencies, COT is responsible for constructing the vessel. This includes overseeing the design of the board retreat and structuring the conversations at the family meeting. COT's second role is to fill the vessel with information and content, holding its own discussions on organizational effectiveness as outlined by the committee's terms of reference.

It is important to remember the work did not begin today. The current strategic plan contains direction for the development of content that overlaps with the new plan period. In effect, LFF planning has become a leapfrog process with overlapping programs and activities that defer somewhat to what has gone before. For example, the Regional Committee will soon present a proposal for a revamped program based on their assessment last year, and the Learning Circles could carry on for the next two years based on a plan from 2005.

COT will hold conversations on strategic questions during its meetings over the next twelve months. In determining the content of these conversations, please consider the topics below as a starting point. Please think about additional topics that, if discussed, would help uncover the important work ahead of LFF to remaining a strong, vital organization.

- Consider the current organizational goal for LFF: *A vibrant, accountable organization supported by an effective board, an engaged membership and an interested community* and each of the strategies which support it. Affirm or develop a new goal and strategies to support it. Identify indicators that test it.
- Discuss the future of family engagement at a strategic level, but also discuss the role of particular programs such as Regional, Discretionary/Matching and Learning Circles.
- Consider the role of COT itself in relation to LFF activities overall. Draft new terms of reference as necessary.
- Examine the relationship of LFF to its constituent communities, including analyzing the recent grant-seeker's survey, the role of independent members and the relationship with CCI.
- Look at the current succession plans and determine whether they are adequate to carry us forward for the next three years.

The Lumpkin Family Fund for Learning, Leadership and Innovation in East Central Illinois

Introduction: A Realignment of LFF Strategy:

In recent years, The Lumpkin Family Foundation conducted two grant-making cycles in Illinois. We accepted letters of inquiry in January for conservation efforts in downstate Illinois, particularly related to water and agriculture. In August, we accepted letters of inquiry for grants in East Central Illinois for programs addressing health, education and the building of nonprofit organizational capacity. After a year-long process of strategic planning, we are merging our local grant-making into a single program with two cycles. We will continue to accept letters of inquiry in January and August for efforts falling within the following parameters. (Click here for more information about our new strategic directions.)

The Lumpkin Family Foundation makes grants to organizations in East Central Illinois working toward long term improvements in:

- Environmental Health
- Preventative (human) health; and,
- Civic engagement, community or nonprofit organizational leadership

These grants will:

- Support the creativity of nonprofit organizations by seeding new projects and encouraging experimentation and innovation;
- Support organizations demonstrating outstanding leadership in their field or community;
- Promote the effectiveness of organizations and the nonprofit sector by supporting planning, learning and the professional development of staff and board leaders;
- Facilitate collaboration across traditional organization or sector boundaries for community benefit; and,
- Develop public understanding of issues and promote philanthropic support necessary to address issues of community importance.

Examples of projects fitting the program: (TBD)

Organization X from Chicago plans to...

Organization Y would like to...

Please click here for success criteria: (TBD)

Key words? Sustainability, Systems or multi-disciplinary actions, Collaboration, Innovation, Organizational Capacity-building.