

MAINE STATE LEGISLATURE

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MAINE HUMANITIES COUNCIL PROGRAM EVALUATION REPORT – 10/ 1999

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1. Enabling Legislation

Part LL, LD 617 establishes the *Maine Communities in the New Century Program* to preserve, revitalize and improve the State's cultural resources in order to provide the State's citizens with preservation of the character and quality of life of the State, improved educational resources and access to them and expanded community and economic development opportunities. The Maine Humanities Council is one of the seven participating agencies.

The Council is incorporated as a nonprofit corporation under 13-B MRSA sec. 403 .

The National Foundation on the Arts & Humanities Act of 1965 established the National Endowment for the Humanities and the National Endowment for the Arts . The Maine Humanities Council, similar to the councils in the other 49 states, the District of Columbia and the territories, is an affiliate of the National Endowment for the Humanities. In 1976 the Council was granted status as a charitable nonprofit under IRC 509(c)(3).

2. Program Description



Statewide Board of Directors
Emerson Baker, PhD Co-Chair
Harriet Henry, JD, Co-Chair
21 Elected/Appointed Members
Represent Diverse Professions, Communities, and Areas of Scholarship

Administrative Staff
Dorothy Schwartz, Executive Director
Trudy Hickey, Grants/Office Manager
Tricia Hunt, Administrative Assistant
Mary McVey, Fiscal Officer
Luci Merin, Dev./P.R. Coordinator

Program Staff
Victoria Bonebakker, Associate Director
Denise Pendleton, Program Officer
Erik Jorgensen, Program Officer
Jeffrey Aronson, Born to Read
Myrna Koonce, Born to Read
Julia Walkling, Let's Talk About It & New Books, New Readers
Elizabeth Sinclair, Literature & Medicine
Charles Calhoun, Teacher Programs, Cultural Heritage Tour, Winter Weekend

Statewide Network of Scholar Consultants to Programs

GRANTS, RESOURCES & PROGRAMS

Center
for
The Book

- *Born To Read*
- *New Books, New Readers*
- *Let's Talk About It Library Programs*
- *Winter Weekend*
- *Community Seminars*

Teacher Programs

- *Workshops, Institutes for Teachers*
Fall '99:
Ethnic Conflict
Civil War
African-American Literature

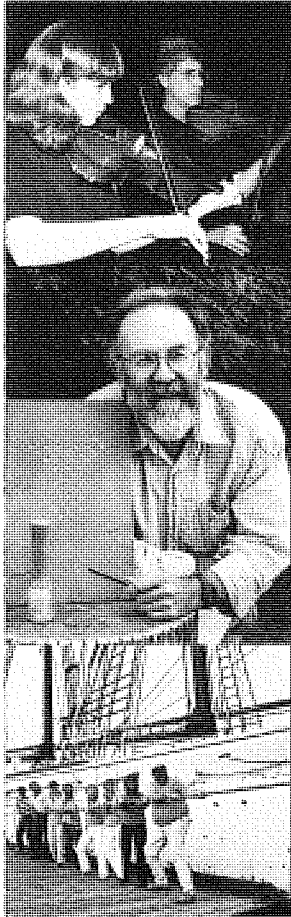
Cultural
Heritage

- *Maine Communities in the New Century: Grants & Technical Assistance*
- *Cultural Heritage Tour*

Humanities
&
Contemporary
Issues

- *Literature & Medicine*
- *N. .E. Philanthropy Project*

An Invitation to Every Maine Community!



The New Century Community Program

Matching Grants and
Technical Assistance for
Statewide Cultural
Revitalization

An Initiative of the Maine Cultural
Affairs Council supported by the
Maine Community Cultural Alliance

Participating Agencies:

Maine Arts Commission
Maine Historic Preservation
Commission
Maine State Library
Maine State Museum
Maine Historical Society
Maine State Archives
Maine Humanities Council

THE NEW CENTURY COMMUNITY PROGRAM

BACKGROUND

Maine's communities depend on their arts and cultural institutions to ensure a rewarding quality of life for their residents.

They look to these institutions to preserve their priceless historic properties, artifacts and documents; enrich educational opportunities for their residents; and provide a basis for their further economic and social development.

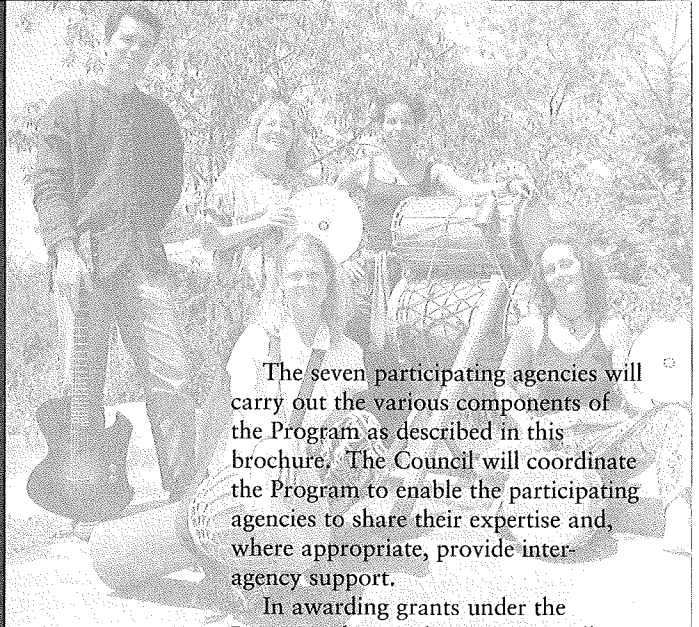
The 1999 Maine State Legislature approved the New Century Community Program to assist our communities in preserving and strengthening their cultural and educational resources and increasing access to them.

To implement the Program, the Legislature also approved state funding of \$3.2 million for matching grants and technical assistance for fiscal year 1999-2000.

The Program is open to all Maine communities. They may apply through a nonprofit organization incorporated in Maine or a unit of local or county government.

PROGRAM ORGANIZATION AND GUIDELINES

The New Century Community Program was developed by the Maine Cultural Affairs Council, a joint planning body of seven Maine arts and cultural agencies, with the support of the Maine Community Cultural Alliance, a private nonprofit membership organization.



The seven participating agencies will carry out the various components of the Program as described in this brochure. The Council will coordinate the Program to enable the participating agencies to share their expertise and, where appropriate, provide inter-agency support.

In awarding grants under the Program, the member agencies will seek projects that:

- incorporate a planned strategy for implementation and evaluation
- involve local residents and key members of local community organizations
- relate their goals to the community's social and economic needs
- meet matching criteria: cash or in-kind services at a minimum ratio of 1:1.

MODEL COMMUNITIES

Priority will be given to "Model Communities" — communities planning collaborative efforts by two or more organizations, such as historical societies, museums, libraries, arts groups, social service agencies, or town offices.

FOR FURTHER INFORMATION:

- about any of the component programs, contact the indicated staff member of the sponsoring agency
- about the Program as a whole, or where your project might fit, call Anne Ball, Cultural Resources Information Center (CRIC), at 287-7591, FAX 287-5739, e-mail to maine.cric@state.me.us, or mail to 84 State House Station, Augusta, ME 04333-0084.

How Your Community May Benefit

COMMUNITY DEVELOPMENT THROUGH STRENGTHENED CULTURAL RESOURCES

Matching grants and technical assistance to broaden the understanding of Maine residents about their communities and the world.

The Maine Humanities Council will expand its current support for interpretative programs in cultural heritage, literature, and literacy. These projects may include exhibits, conferences, seminars, school-based programs, media, oral histories, workshops, walking tours, family literacy, and reading and discussion programs for persons of all ages and reading levels.

Contact: Victoria Bonebakker (reading programs) or Erik Jorgensen (heritage programs), telephone 773-5051, FAX 773-2416, e-mail to info@mainehumanities.org, or mail to P. O. Box 7202, Portland, ME 04112.

Matching grants and technical assistance to help Maine communities assess their cultural resources as the basis for economic and social development.

The Maine Arts Commission will expand programs to stimulate community awareness of and support for culture and the arts, including:

Discovery Research, which covers the costs of inventorying, assessing, and planning cultural resources and related folklife field research; and

Local Cultural Initiatives, which funds locally-based programs or services that develop out of Discovery Research or a similar community-wide inventory/assessment process.

Contact: Alden Wilson, telephone 287-2720, FAX 2876-2335, e-mail to alden.wilson@state.me.us, or mail to 25 State House Station, Augusta, ME 04333-0025.

LIBRARY DEVELOPMENT

District grants for improved library services.

The Maine Library Commission will fund programs, projects and services that improve citizen access to libraries and have an impact on one or more of the state's three library districts. This support will be coordinated through the Area Reference and Resource Centers located in the Maine State Library and the Portland and Bangor Libraries. The deadline for applications is December 20.

Matching grants to public libraries for improved services.

The Maine Library Commission will award grants for expanded library services to the underserved; new information technology, including both software and hardware; enhanced or extended hours of service; and improved access to library and information services. Special consideration will be given to projects involving resource sharing among two or more libraries if one is a public library and the applicant for the grant. The deadline for applications is December 20.

Matching grants to public libraries for construction and renovation projects.

The Maine Library Commission will provide up to 50 percent of project expenditures, and anticipates supporting several projects within a total availability of \$500,000. Eligible projects may include new construction,

expansion of existing building, remodeling, renovation to be ADA compliant, and renovation for energy improvements. Matching funds must be assured at the time of application, and priority will be given to applicants with available matching funds and those with projects planned for completion by May 2001. The deadline for applications is October 15.

Contact: Linda Lord, telephone 287-5620, FAX 287-5624, e-mail to linda.lord@state.me.us, or mail to State House Station 64, Augusta, ME 04333.

MAINE MEMORY NETWORK

A web-based virtual museum and educational resource for libraries, schools, museums, historical societies, and individual users.

Now under development, the Maine Memory Network, is a project of the Maine Historical Society, in cooperation with the Maine State Archives and Maine State Museum. The network will make the primary records of Maine's history — including images, interviews, maps, photographs, and documents — available over the Internet. Modeled in concept after the American Memory Site of the Library of Congress, the network will provide links to digitized historical materials throughout Maine and will assist communities and cultural organizations in digitizing significant collections. The Society would appreciate hearing from communities or organizations that would like to participate.

Contact: Maine Memory Network, Maine Historical Society, FAX 775-4301, e-mail to info@mainehistory.org, or mail to 485 Congress, Portland, ME 04101.

PRESERVATION OF HISTORIC RESOURCES

Matching grants and technical assistance to preserve historical artifacts and records.

Recipients may include historical societies, museums, town or county offices, libraries and other institutions responsible for historical materials, including town records, newspapers, furniture, tools, clothing, archaeological objects, paintings, photographs, motion pictures, and other items of historical significance.

Grants, ranging from \$500 to \$5,000, will be made for assessment and management of collections, planning for disasters, conservation and microfilming. Application deadlines are October 15, 1999, February 15, 2000, and June 1, 2000.

Technical assistance, training and reference material will be provided by the Cultural Resources Information Center (CRIC) at the Maine State Museum.

These two programs are joint projects of the Maine State Archives and Museum and will be administered by CRIC. Contact: Anne Ball, telephone 287-7591, FAX 287-5739, e-mail to maine.cric@state.me.us, or mail to 84 State House Station, Augusta, ME 04333-0084.

Matching grants for the restoration of historic buildings and sites.

This program of the Maine Historic Preservation Commission has already been announced. The deadline for applications was August 20, 1999.

For information about funded projects, contact: Amy Cole Ives, telephone 287-2132, FAX 287-2335, e-mail to amy.coleives@state.me.us, or mail to 65 State House Station, Augusta, ME 04333-0065.

Let's Talk About It

Let's Talk About It provides scholar-led book discussion programs for a general public audience, usually in public libraries. LTAI is presented in cooperation with the Maine State Library, which warehouses, inventories, and ships the books—a service without which the program could not run.

Currently, eight sites are scheduled for this fall, one at the Bolduc Correctional Facility in Warren. Two programs are being run cooperatively by two libraries, and one by three libraries, a situation which we encourage. ✓

During the summer, we held three focus groups with librarians to discuss what we all might do to make LTAI even more successful. Four librarians attended in Augusta, eight in Scarborough, and eight in Bangor; district consultants from the Maine State Library's Regional Library System were at each meeting. The librarians were very forthcoming and helpful: they confirmed the value of LTAI to their libraries and communities, helped us think through policies and procedures, and gave us their thoughts about new series.

We are currently creating six new series, which will be available beginning in January. The topics are: the sea (possible title: *Life and Death at Sea*), native American literature, young adult literature (possible titles: *What Are Your Kids Reading Tonight?* or *Whatever Happened to Nancy Drew?*), war, women around the world, and a series from the Literature and Medicine project. We plan a publicity mailing to all 250 public libraries in Maine in October, featuring the new series, and we expect to have many programs running in the winter and spring.

NEW BOOKS, NEW READERS

NEW BOOKS, NEW READERS provides scholar-led book discussions for adult new readers and those with fragile literacy skills. The program uses quality children's literature: it is truly literature but at a level that participants are able to read, and the discussions have the same rich qualities as *Let's Talk About It* programs. Participants keep the books, often the first they have ever owned. Such agencies as public libraries, adult basic education, Literacy Volunteers, and Head Start work together within a local area to sponsor NB,NR.

This fall, NB,NR programs are taking place in nine locations. Three sites are funded by National Connections, a project of the Vermont Humanities Council and the American Library Association with funding from the National Endowment for the Humanities. Five sites are part of a project under a grant from the Nellie Mae Foundation. The intent of the Nellie Mae project is to create a model evaluation for NEW BOOKS, NEW READERS, so that we will have both qualitative and quantitative material for future grant proposals.

NB,NR has held programs in three state correctional facilities, but has never served county jails. Following a presentation to the Maine Adult Correctional Education Task Force, we are designing a program that will work in county jails, where the population is generally too transient to participate in a typical series over a period of three to four months.]

Let's Talk About It in Maine

<u>site</u>	<u>day & time</u>	<u>dates</u>					<u>scholar series</u>
Caribou	Wed., 7:00	Sep 8 1999	Sep 22	Oct 6	Oct 20	Nov 3	Karen Hamer The Passage of Time, The Meaning of Change: Perspectives by Five Writers
Lincoln	Thurs., 3:00	Sep 9 1999	Sep 23	Oct 7	Oct 21	Nov 4	Nancy MacKnight The Journey Inward: Women' Autobiography
Charleston	Mon., 7:00	Sep 13 1999	Oct 4	Oct 25	Nov 15	Dec 6	Ruth Nadelhaft & Peggy Danielson Being Ethnic, Becoming American: Struggles, Successes, Symbols
Lovell, Fryeburg, & Kezar Falls	Wed., 7:00	Sep 15 1999	Sep 29	Oct 13	Oct 27	Nov 10	Roland Burns The Civil War: Fiction
Winslow & Oakland	Tues., 6:30	Sep 21 1999	Oct 5	Oct 19	Nov 2	Nov 16	Andrew Dephtereos Telling the Truth: The Subject Autobiography
Bolduc Correctional Facility - Warren	Thurs., 2-3:30	Sep 30 1999	Oct 21	Nov 18	Dec 16		Lorrayne Carroll Modern Times in Maine and America, 1890-1930
Poland & Mechanic Falls	Mon., 7:00	Oct 4 1999	Oct 18	Nov 1	Nov 29		Roland Burns Making a Living, Making a Lif Work and Its Rewards in a Changing America
Bangor	Thurs., 7:00	Oct 7 1999	Oct 28	Nov 18	Dec 9	Jan 6	Margery Irvine Destruction or Redemption: Images of Romantic Love

SUCCESS BY 6 OF MID COAST MAINE

Towns Served: Topsham, Bowdoinham, Bowdoin, Brunswick, Harpswell, Bath, Arrowsic, Georgetown, Phippsburg, West Bath, Woolwich, Boothbay, Boothbay Harbor, Wiscasset, Westport, Edgecomb, Alna, Damariscotta, Newcastle, Nobleboro, Waldoboro.

Books Given: (Nov 1997 -- Aug 1999), 788 books given to 270 families by home visitors

Selected Impact Data as of March 1999: (data gathered on 40 families receiving multiple visits)

45% of families have more books visible in the home

65% of families report increase in reading activities with children

55% of families report improved family relations as result of reading & associated activities

36% of families report seeking literacy assistance or enrolling in educational program

Success by Six Healthy Families home visitor: "Mother has enrolled in ESL classes and enjoyed modeling and using books for her own language development, as well as spending good time with her kids."

Success By Six Healthy Families home visitor: "Marion actively read to her child regularly. She increased her own literacy skills tremendously and visited the library regularly. We increased the use of books as a way to help her son understand emotions and reduce fears."

This pilot partnership has led to a broad community-based effort among area libraries, hospitals, health care and social service providers: families will receive books at three contact points: post-natally, in the hospital; at the 6-month well-child visit where they will receive a coupon for a free book at the library; and at the library.

The goal is to reach 1000 families in 1999. Council funds will provide books for 500 families

Grants

\$500 each, trainings given to each grantee agency, each grant enables agency to provide 4 books each to approx. 35 families

Harrington Rural Health Center

Leeds Rural Health Center

Woodfords Family Services, Portland

York County Head Start

Franklin County Task Force, Farmington

Parent Child Alliance, Bangor

Born to Read, MidCoast Maine: A Prescription to Read program

house after they'd read a story together. Another aide added that she visited in a home with a very distractible child who ran around and found it hard to sit. By the second visit, after she'd asked him to go get the book, he was able to sit and listen to half of it.

On one home visit I took the opportunity to read two books to a client's two sons. One of the children is a six-year-old who is mildly autistic and the other little boy is five. I had decided to do a cooking lesson with the boys using the master mix for oatmeal cookies. I first read the book, *Little Bear*, and then read *The Little Red Hen*. The little 6-year-old was so excited about my taking time from his mom's visit to read to him and his little brother. Both boys sat on the couch with me, one on each side and we read both books and then talked about the hen in the story and all the work she had done. It was the perfect lead in to helping out in the kitchen, that everyone should help. We went to the kitchen next and they made the cookies with just a little guidance from me. The 6-year-old also has some eating disorder that causes him to not eat if the food reminds him of something. He often vomits or refuses to eat. On this day he did most of the work baking the cookies and he ate several of them. I have talked to the mom several times about including the children in the preparation of the foods as a way to get him to eat more. The mom also told me that one of the books I read she had wanted to buy for the boys one day when she was shopping but she didn't have any spare money.

Another client has a grandchild that she is raising pretty much by herself. The boy has a lot of learning disabilities and tends to be very uncontrollable. I chose to read to him the same two books, *Little Bear* and *Little Red Hen*, on one of my home visits. The little boy is six and we read the books together. I have not noticed any children's books in the home and this little boy was so excited after I read them to him and told him he could keep the books. He immediately wrote his name in the cover of them and then asked if I would write my name in them too! It's moments like these that touch the heart.



COOPERATIVE EXTENSION

Serving 8 counties: Androscoggin & Sagadahoc, Cumberland, Franklin, Kennebec, Oxford, Somerset, York.

From November 1997---August 1999: Over 1200 books delivered to approx 500 families

Selected Impact Data as of June 29, 1999: (Data received on 137 families)

61% of families have more books visible in the home

71% of families report increase in reading activities with children

54% of families report increased enthusiasm for reading & ideas found in books

58% of families report improved family relationships through reading and associated activities

Expansion for 1999-2000: 6 counties added: Aroostook (Southern & Central), Hancock, Piscataquis, Waldo, Washington. Projected number of additional families served: 350.

Anecdotes:

This Mom was a poor reader. Because of this program, she became interested in reading to her children and talking about the pictures with her children. This also helped her read and understand recipes better. It also helped her children realize she was interested in them.

This Mom had no books visible in her home. Her toddler enjoyed the books that were brought. He enjoyed being read to and loved Little Bear!! His very low-income family did not have the money to purchase books so these books were a blessing. Mom said the toddler now enjoyed his bedtime story. When I arrived, the child would be waiting for me to give him his book. What a gift! I suggested library visits and purchasing books at thrift stores. She has not been to the library yet.

This family's child loved to be read to and it was obvious her mother was now finding time to read to her. A touching scene was the three-year-old holding her books and telling her Dad the stories in her own words.

This homemaker at first kept the books up high. With the aide's encouragement, she found a location where the children had access to them. She began to read to her children more with the books in sight.

Other aides noted that *ABC Yummy* works well with babies. Sometimes parents take the book when the baby mouths it, and they use this occasion to say it's OK for babies to explore books with their mouths. An aide noted that mothers sometimes say, "All they like to do is flip the pages," to which the aide responds, "That's all right."

(BTR) is a good way for me to bond with kids. One aide tells a story about a shy little boy who wouldn't get close to her, but then followed her out the door and around the

BORN TO READ LINKS (RSVP)

PARTNERS: ME. OFFICE OF CHILD CARE & HEAD START AND RSVP

Serving towns of: Farmington, Jay, Wilton, Rangeley, Phillips, Kingfield, New Sharon, Waterville, Winslow, Clinton, Benton, Fairfield, Skowhegan, Athens, Pittsfield, Readfield, Augusta, Gardiner, Winthrop, Sidney, Oakland.

37 active volunteers reading in 60 child care centers and homes in Franklin, Somerset, and Kennebec Counties: total of 2,697 hours from Nov. 98--July 99.

870 children served; approx. 800 families served

2255 books distributed to children (including Read to Your Bunny)

160 books distributed to volunteers for reading in classrooms and homes

Some volunteers bring several books around a theme and an activity (puppet-making, musical instrument-making, frozen banana pops to go with Caps for Sale, "mud cups"--- crumbled up chocolate cookies and gummy worms--- to go with books about worms or dirt etc.) which also related to the theme.

Anecdotes:

Many volunteers spoke of the way books and story time bring about spontaneous conversation.

A volunteer was having a hard time in the day care center; the children wouldn't listen very well. One day, she began a discussion around wishes. She asked each child what he or she wished for. One shy little boy looked up at her and said, "I wish this wouldn't end."

Another volunteer was reading to the children when right in the middle a little boy asked, "Mr. Frank, are you going to have a baby?" He responded no, he wasn't. "Then why do you have such a big belly?" A little girl piped up and said, "Men can't have babies." The children then fell into a discussion about men and women and who could have babies and why.

A female volunteer was reading to the children when a child asked, "What are those lines on your face? Do they hurt?" (the child was referring to her wrinkles) "No," she answered, "they don't hurt. Would you like to touch them?" And the child did.

Born to Read Report September 1999

BORN TO READ AMERICORPS

Serving the communities of:

Fort Kent, St. John, St. Francis, Wallagrass, Eagle Lake, Houlton, Patten, Oakfield, Island Falls, Monticello, Millinocket, East Millinocket, Bangor, Ettington, Harrington, Augusta, Leeds, Turner, Rockland, Rockport, Vinalhaven, North Haven, Bath, Brunswick, Harpswell, and Sanford.

Members logged 18,300 hours of service

Over 1200 preschoolers in 65 child care classrooms and homes reached in read aloud programs

Distributed 1700 books to 1000 preschool children and their families in 45 child care settings

Distributed sets of hardcover books (3 per set) to over 45 child care providers

Distributed over 350 books to 350 families at rural health care centers in Leeds and Harrington

Child Care Provider Survey Results (Selected Impact Data):

86% providers reported information given them on literacy and child development was useful

43% reported making changes to program or environment as a result of Born to Read

71% reported increased interest in books or literature among children since Born to Read began in center or home

48% noticed differences in language development among children since Born to Read began in center or home

Born To Read-AmeriCorps special community activities this past year:

Ft. Kent	Shop and Save story hours, Mardi Gras festival
Allagash	Born To Read book sets to first-ever community library
Houlton	Chamber of Commerce fair, summer park activities
Monticello	Pick A Book Picnic
Patten	Weekly story hours at library during the summer
Millinocket	Family Reading Night in March
Bangor	AmeriCorps Children's Fair at Bangor Mall
Leeds-Turner	Summer reading sessions at local sites
Rockland	Booth at Maine Lobster Festival
Vinalhaven	Chamber of Commerce newborn book sets, story hours, books and reading tip distribution to fishermen
Bath	Celebration schooner cruise for participating children/families
Sanford	Story hours at homeless shelter, participation with national Connections program

Selected Anecdotes from AmeriCorps:

Member Jim Nichols, (Rockland area): "At Rockland Head Start, I returned to a summer class of children whom I had read to earlier in the year. Joining them on the playground I felt like a returning hero. Every where there were calls of 'Jim, Jim!' They all seemed to want hugs or to touch me. We soon went in side to a classroom for circle time. I started to work through my books... When I ended my reading, there seemed to be this feeling that the kids were waiting for something else. They were quiet, not moving, so I asked them if they would like a puppet show. There was this surge of energy in my direction; everyone moved up closer with no fighting. Then I did my Where the Wild Things Are puppet show. They gave me a round of applause and asked me to do it again and again. When I had finished the children rushed over to the puppet box."

Member Arica Holton (Bangor area): " There is a little girl in the Head Start day care center that is quite friendly, but often very sad. She is always excited about story time and she likes to hold the book and read to me when story time is done. One day, I found out why she is so sad... Her mother came to pick her up and was irate with the little girl for not being ready on time. She began to raise her voice and swear at her, but then one of the teachers informed her that her behavior was not acceptable in the presence of children. When the little girl was ready to leave, her mother yanked her arm and practically dragged that little girl to the car. Ever since that day, I try to spend extra time going through the pictures in the books with her. She likes to make up her own stories when she looks at them. And I think that she is able to forget about all the stressful situations that she endures whenever she loses herself in a book. That is how Born to Read makes a difference; it offers hope to little children."

Juanita Smith of Little Explorers Child Care called in August to express her dismay that Jim Nichols was leaving them. She said that Jim "got us going to the library, picking out books on themes. Whatever we were studying that week, he'd help us find books on that." She also said he stimulated the children's imaginations by "going right into the scenario" of the book with them. "He helped bring in the concept that when the reading teacher comes in, it's reading time, time to listen seriously." Juanita said that if Jim is not replaced, "We'll have to keep Wednesday and Thursday [the days Jim came in] special. We'll have to get library books and make that reading time a special time."

In Bangor, a child care provider commented, "Arica was an asset in so many ways. By reading with, visiting, and befriending clients, she added a lot of positive interaction to their lives."

THE MAINE HUMANITIES COUNCIL

Into the New Century: A Long-Range Plan

1999

Based on the 1996, 1997 and 1998 Planning and Evaluation Meetings in Skowhegan and Presque Isle and the 1999 Humanities Task Force Meeting in Augusta

PURPOSE OF THE PLAN

To carry out the mission statement adopted by the board of the Maine Humanities Council in 1998: *"to engage the people of Maine in the power and pleasure of ideas"*.

"The Council supports programs around the state in cultural heritage, contemporary issues, reading and literacy, and teacher enrichment. The humanities explore the heart of the human experience through literature, history, philosophy, and the arts.

"The Council's programs are designed to encourage a deeper understanding of ourselves and others, fostering wisdom in an age of information, providing context in a time of change."

MAINE AT THE TURN OF A NEW CENTURY

Maine is a small state in terms of population, but it has played a role in the American imagination out of proportion to its size. Its long Atlantic coastline, hundreds of small islands, and comparatively unspoiled forests and lakes have offered, for more than 150 years now, both recreation and re-invigoration to its own people as well as to millions of visitors. The state has attracted and nurtured a distinguished roster of artists, writers, musicians, photographers, fine-art printers, scholars, and patrons of the arts. To cite the names of only a few of them — Marsden Hartley, Sarah Orne Jewett, Berenice Abbott, E. B. White, Winslow Homer, Marguerite Yourcenar, Andrew Wyeth — is to suggest the cultural impact this small state has had on this country and the world beyond.

Maine is a very large state in terms of area — as large as the rest of New England combined — and it is this fact that presents a special challenge to friends of the humanities. Maine's population (in 1990, 1.3 million, 55 percent of it rural) is thinly spread. The state's largest city (Portland) has only about 65,000 people. There are many towns in Maine several hours by car away from a good book store, a theater, an art museum, or a first-rate library, and there are many residents who have rarely traveled far from the places in which they grew up. Despite the riches of Maine's cultural heritage (especially its 19th-century vernacular architecture), "culture" sometimes seems an import. People in Maine interested in arts and letters often attest to a feeling of isolation,

of being "disconnected" from people of kindred spirit, thereby making the job of a humanities council all the more urgent and more demanding.

For some time there has been talk of "two Maines" – north versus south, or rural poor versus suburban prosperous. Such categorization is over-simplified, even self-fulfilling. But it does suggest the difficulty of trying to determine just who the ideal audience is for humanities programs: the people who "need" them, or the people who "want" them? This question, of course, is part of the perennial debate over whether our national and regional culture is a grassroots phenomenon or something that arises from a creative and educated elite.

For the purpose of planning humanities programs in Maine, several other background factors enter into the conversation. In brief, they include:

Economic forecasts. Like the rest of the nation, Maine is enjoying the boom of the 1990s, as evidenced by state budget surpluses, refurbishment of historic buildings, a steady flow of tourist dollars, lower unemployment, and a general air of optimism. Much of this prosperity is confined to the southern coastal tier (chiefly York and Cumberland counties) and a few resort towns. Many parts of the state continue to be characterized by declining "rust belt" mill towns, abandoned farmland, factory closings, under-funded schools, and small communities with minimal cultural amenities. There are sardonic references to towns "where the Great Depression never ended."

This pattern is unlikely to change in the next decade. In a sense, the southern tier already forms the northernmost tip of the great East Coast urban sprawl that extends down to the Virginia suburbs of Washington, D.C. (Indeed, it may even extend as far up the Maine coast as Camden-Rockport). This development will intensify, though probably not as dramatically as was the case in the 1980s. The rest of the state – despite energetic private and governmental attempts to attract new investment and up-beat talk of the benefits of an East/West Highway (linking two parts of Canada through Maine) – is unlikely to see any sudden economic improvement.

These are, it should be emphasized, generalizations. There are areas of relative prosperity in central and northern Maine, and numerous pockets of poverty in the southern part of the state.

Demographic changes. Overall population is expected to increase very slightly in the early 21st century. The post-Civil War phenomenon of "brain drain" – the exodus of the state's brightest young people in search of good jobs – is likely to continue into yet another century. From the 1970s through the 1980s, this loss was somewhat offset by migration into the state of well educated people "from away" in search of what they perceived as a more liveable environment than their home state (most often, Massachusetts) offered. (These people can be found today throughout the teaching profession and at management level in the public and private sectors). Many of these people will reach retirement age in the 2000s, and it is not clear who will replace them.

Maine is one of the two "whitest" states in the country, with a minority population of less than 2 percent, including a few thousand residents of Native American descent. The state does offer an ethnic mix: about 40 percent of its residents are of French Canadian (Quebecois) descent, spread throughout Maine, especially in the mill towns; another 30,000-40,000 people of Acadian French descent live in the far northern St. John Valley. Traditional French Canadian communities, still centered on parish life and (in the case of the elderly) still French-speaking, are a distinctive feature of the Maine landscape, although since World War II their populations have been thoroughly assimilated into the economic, social, and political life of the state.

Though the numbers are small, one of the most interesting demographic changes in the 1990s – from the humanities point of view – has been the increase in well educated, generally affluent retirees who have moved here rather than to the Sunbelt. They form an important and appreciative audience for cultural events.

Educational levels. At the top, Maine is unusually blessed: three of the most prestigious small liberal arts colleges in the country are here, each supporting in its town a larger, extra-mural community of people interested in the arts and humanities. There are other high-quality small institutions, including one devoted to ecological studies, and a well-regarded, land-grant state university system, with six campuses around the state. All of these institutions have provided scholars and venues for Council programs.

The most striking feature of the state's public school system is its extremely decentralized nature. As a result, and also reflecting a financing system based on property valuations, schools vary in quality from excellent to marginal. Many of these schools are, by national standards, small (despite much consolidation) – an educational advantage that sometimes compensates for material deficiencies. Mostly as a result of criticism by business leaders, Maine schools are under considerable pressure to reform. Consequently, there are state-mandated "learning results" (a complex requirement that aims to establish "standards" without resorting to that politically charged term), as well as pressure for stronger liberal arts training of prospective teachers.

Two trends of concern to the Council are the growth of colleges offering technical training of various kinds, at the expense of liberal arts core subjects, and the implementation of a community college system (again, in response to a market-driven urge to produce workers). There is some danger that the notion of education to shape citizens and critical thinkers will be lost in the rush to provide vocational training.

A good deal of education reform to date has involved computerization of the classroom and the electronic linking of schools with each other and the Internet. The long-range implications of this are far from clear, but there is reason to be wary of assuming too naively that computers are the solution to every school's problems.

Other cultural resources. One of the most distinctive features of the cultural landscape is the sheer number of small museums, historical societies, preservation societies, and community libraries. In a cultural sense, "civil society" thrives here. Traditionally, funding for such activities has come largely from the private sector, including seasonal residents ("summer people"). The Maine Humanities Council has assisted these institutions for almost 25 years now, on a relatively modest and generally unheralded scale. Many of the smaller organizations (especially local historical societies and museums) have survived largely as a result of volunteer labor. In 1998-99, a group of the larger cultural agencies (including the MHC) joined forces to lobby the Legislature for passage of a Maine State Cultural Initiative, which would provide funding for a variety of endeavors, many of them related to local history.

Maine after Vacationland. Tourism will continue to be the state's "signature" industry, and cultural (as opposed to purely recreational) tourism will play an increasingly large role in this sector of the economy. The state's traditional extractive industries (fishing and lumber) are likely to play a smaller role in the state's economy – and its self-image – in the 21st century than in the 19th and 20th. The reality of this shift has not been fully absorbed in a state whose population tends to be conservative and somewhat suspicious of change. But the notion of a Maine with a more balanced economy, stronger links with the global marketplace, swifter modes of transportation, extensive computerization in everyday life, a stronger sense of environmental values, and an older but well educated population with higher cultural expectations – all these factors suggest a possible "life after Vacationland" for the state.

The Canadian Connection. One often overlooked feature of the Maine economy is its tendency to draw closer to Canada. This is most obvious in Aroostook County in the far north, whose declining farmlands are being aggressively bought up by New Brunswick business interests. The notion of Maine as an economic – and cultural – borderland, playing a role within a Canadian Maritime as well as New England regional economy, is one we shall have to take into account in the new century.

DEFINING THE FIELD OF ACTIVITY FOR THE MAINE HUMANITIES COUNCIL

Given the conditions – social, economic, psychological -- sketched above, and the Council's admirable record of achievement over almost a quarter of a century, the question arises of how the Council can best fulfill its mission in the first decade of the new century. There are five major areas in which the Council should concentrate its resources:

1. **Efforts to promote reading.** The Maine Center for the Book, an affiliate of the Library of Congress, is a broad-based statewide initiative designed to promote, defend, expand, and explain the importance of the printed word at the heart of our civic culture. Its programs combine traditional humanities events – such as community reading and discussion groups in libraries, seminars for targeted

audiences, and “humanities weekends” – with new literacy initiatives involving infants and their families, elderly readers, new adult readers, and youth at risk. Its strength is that it views the act of reading as a lifelong pursuit, from earliest youth – when being read to is crucial to infant brain development – through various levels of adult participation, including being challenged by difficult and complex texts. Above all, it perceives of reading as a social activity – whether within the family or among one’s fellow citizens, and hence an important part of civic culture. The Council endorses no particular books or interpretations; rather, it believes that the modern understanding of multiculturalism and tolerance is not inimical to the close study and dissemination of canonical texts.

2. **Education Reform.** By absorbing the Maine Collaborative for Education in the Arts & Humanities in 1997, the Council committed itself to continuing the Collaborative’s far-reaching efforts to offer Maine teachers innovative and content-rich professional development programs in a variety of fields and formats. These programs draw on the expertise of scholars from Maine colleges and universities and beyond. They are designed to be collegial in tone and of high intellectual quality. They are intended to supplement and encourage education reform measures in the state, and they define their audience as broadly as the situation may require (e.g., including administrators or civic leaders).
3. **Contemporary Issues.** Within the civic culture of the state, the Council sees one of its most important roles as that of stimulating and facilitating public discussion of the vital questions of the day. As such, the Council plays a mediating role among other institutions, governmental agencies, the media, and the various professions. The subject matter of these “conversations” will vary, but the model provided by the Council’s “Literature and Medicine” series for healthcare professionals is an exemplary one. Such programs overlap with – indeed, sometimes grow out of – the activities of the Maine Center for the Book, but they tend to have more specific audiences and to involve discussions that may have more direct public policy implications. Again, the Council does not endorse any particular social or political viewpoint, but wishes to encourage candid and well informed discussion.
4. **Cultural Heritage.** The economic benefits of cultural, or heritage, tourism are well known, but public understanding of the concept is still limited, and most of the state’s tourist infrastructure is aimed at a different audience. The Council’s role is to increase awareness of the nature and benefits of cultural tourism and to encourage activities throughout the state designed to promote it. As a multi-faceted agency with a statewide point of view and a close working relationship with the academic and museum worlds, the Council is well positioned to advocate touristic endeavors which are historically accurate, educational, inclusive, and well articulated. It can also help small cultural agencies to coordinate their activities in ways that will better tap this burgeoning market. Furthermore, the Council can undertake its own re-grant programs – such as the highly successful Century Project – that are designed to increase public and scholarly understanding of Maine’s past.

5. **Program Grants.** The Council's historic role as "gatekeeper" of funding from the National Endowment for the Humanities will continue, through a well organized re-grant process, to be one of its central and defining activities. This can take the form either of "directed" grants organized around a central theme or an "open door" process designed to welcome grassroots innovation and creativity. Re-grants are made in a deliberative, well documented, and prudential way, based on high standards of scholarship and demonstrated public effectiveness; scholarly evaluations and full reporting of grant activity are part of the performance and follow-up stages of the process.

DETERMINING HOW THE MAINE HUMANITIES COUNCIL CAN BEST IMPLEMENT THESE PROGRAM GOALS

Institutional Growth.

- To operate efficiently and effectively, the Council must continue to have a well trained, competent, and fulltime professional staff, supplemented by adequate support staff and such project-by-project consultants as specific programs may require.
- The Council's day-to-day activities need to be conducted in a public setting that is highly visible, attractive, safe, secure, and handicapped accessible. This office should include a public reception area, adequate private office space for all employees, room for future program expansion, a resource center, adequate records management and duplication facilities, a conference or seminar room, a book distribution space, and the other basic services and amenities expected of a medium-sized non-profit organization.
- Important re-grant decisions and the setting of overall policy should continue to be the duty, as defined in the articles of incorporation, of the board of the Maine Humanities Council.
- This volunteer board should continue to be broadly representative of friends of the humanities throughout the state.

RECOMMENDED GUIDELINE: There should be a new permanent home for the Council, designed to showcase its Maine Center for the Book and to house its other activities.

External Relations

- The board and the staff should intensify efforts to make the Council more visible in the eyes of the Maine public, including through its Website.
- The newsletter Maine Humanities should appear quarterly, and more focused efforts should be made in the general area of media relations.
- The Council should continue its efforts to keep Maine legislators and the state's Congressional delegation well informed of its activities and needs.
- The Council should take steps to cement its close and fruitful relationships with the state's colleges and universities, its fellow non-profit agencies, the Maine Department

of Education, the Maine State Tourist Bureau, the Maine Association of Museums, appropriate professional organizations, and other relevant bodies.

- Most importantly, the Council should continue to look beyond Maine's borders, to maintain its good relationship with the National Endowment for the Humanities and the Federation of State Humanities Councils.

RECOMMENDED GUIDELINE: An increased public relations/media campaign designed to make sure that every citizen of Maine knows what the Council does and how these activities affect our lives.

Development.

- In order to make these ambitious programs possible and to ensure the continuity of programming and staffing, the Council should intensify its ability to identify, record, acknowledge, augment, and maintain a relationship with non-governmental funding sources, including foundations and corporate and private donors.
- A more specific "planned giving" option ought to be added to existing annual fund and other development programs.
- The long-range financial health of the Council should be seen to be a particular responsibility of the board, both through its Development Committee and as a whole.
- Board members themselves should set an example in annual giving.
- Major new programs should not be undertaken without an "impact statement" being drafted as to their financial requirements and their staffing and logistical needs.

RECOMMENDED GUIDELINE: Close attention on the board's part to issues of growth, especially the relationship of new programs and staffing needs.

A Capital Campaign.

Because of the small size of the current staff, the relative newness of the Council's development efforts, the need for more groundwork, and the existence of so many capital campaigns among non-profit organizations in southern Maine, the Council should not undertake a Capital Campaign as part of its 25th Anniversary celebration, or to coincide with the much-heralded new millennium. Nonetheless, the possibility of such a campaign within the decade ought to be an on-going topic of discussion for the board, and the establishment of an adequate endowment to support the Council's activities should be a top priority.

RECOMMENDED GUIDELINE: More aggressive steps toward building an endowment that would eventually support much of the Council's programming.

CONCLUSION

This long-range planning document, based on many hours of discussion at both the board and staff level, is intended as a very broad guideline, to focus thought and debate on some basic growth issues facing the Council over the next decade. Because of the nature of the Council's mission, the ever-changing needs of programming, and the shifting nature of funding, it would be difficult – indeed, inadvisable – to draft too definitive a plan. The Council needs to remain alert and flexible as new needs and new opportunities arise. There probably also needs to be a brief interlude while the extraordinary growth of the organization over the past five years is absorbed and evaluated. The answers to several central questions – such as which programs deserve priority? is the Council reaching its most crucial audiences? should there be more small re-grants, or fewer but larger ones? – remain to be determined.

NEW BOOKS, NEW READERS

◇ = National Connections site
 ‡ = Nellie Mae grant site
 * = details still to be arranged

<u>site</u>	<u>day & time</u>	<u>date_0</u>	<u>date_1</u>	<u>date_2</u>	<u>date_3</u>	<u>series</u>	<u>scholar</u>
‡ * Belfast		Sep.1 1999					
‡ ◇ Skowhegan	Mon./Wed., 6:30	Sep.13 1999	Oct.13	Nov.15	Dec.15	Biography	David Richa
‡ Farmington	Tues., 10-12	Sep.21 1999	Oct.19	Nov.16	Dec.14	Biography	Elizabeth Cooke
Greenville	Tues., 6:30	Sep.21 1999	Oct.19	Nov.16	Dec.21	Courage	David Richa
◇ Sanford	Thurs., 6:30	Sep.23 1999	Oct.14	Nov.4	Dec.2	Read With Me	Jeffrey Aror
‡ Livermore Falls	Tues., 1:00	Sep.28 1999	Oct.26	Nov.16	Dec.14	Biography	Lorna Rooks-Hugh
Augusta	Wed., 10 am	Sep.29 1999	Oct.20	Nov.17	Dec.8	History	Jeffrey Aron
‡ Bolduc Correctional Facility - Warren	Thurs., 12:30-2	Sep.30 1999	Oct.21	Nov.18	Dec.16	Journeys	Lorrayne Ca
◇ Norway	Mon., 12-3	Oct.12 1999	Nov.9	Dec.7		Biography	Lorna Rooks-Hugh

State Humanities Council Philanthropy Seminars
New England Pilot Programs

Deepening the Dialogue on Philanthropy in America

Introduction and Rationale: A New National Initiative

The state humanities councils in New England have just been presented with a unique opportunity to develop a program that holds promise for all state councils across America, for the National Endowment for the Humanities, and for the future of philanthropy in this country. Inspired by the challenge of the huge intergenerational transfer of wealth that has just begun, many of our foundation, business, and civic leaders are initiating efforts to increase organized philanthropy. In October, 1998, the Forum of Regional Associations of Grantmakers in Washington, D.C. announced the "National Initiative to Promote the Growth of Philanthropy," a five-year project whose primary goal is to encourage and support the formation of endowed grantmaking capital in the United States. The Initiative will provide a national service component for activities such as educational programming, dissemination, communications, and evaluation. Equally important, however, it will provide annual and multi-year grants to select local communities, states, and regions with promising proposals to increase endowed grantmaking capital -- especially in collaboration with other regional partners. This time-limited five-year scenario presents an extraordinary window of opportunity for state humanities councils.

The deadline for submission for the first round of grants from the new National Initiative to Promote the Growth of Philanthropy (NIPGP) was November 13, 1998. At the end of December, the Forum of Grantmakers announced that eleven projects at the national level had been funded: two of these are sponsored by New England regional grantmaker associations (The Coordinating Council for Foundations in Connecticut and Associated Grantmakers of Massachusetts); these two projects cover all six of the New

England states. While there is no direct funding in the initial stages of the NIPGP project to enable the state humanities councils in New England to launch their philanthropy seminars on a pilot basis, the councils are mentioned as potential partners – and there is some possibility of funding during the third year to spread the program even more widely in the region. (See Appendix for Forum of Grantmakers Initiative, and for synopses of both the Connecticut and AGM proposals.)

Meanwhile, the New England NIPGP projects are moving forward on a 3-year schedule, which is the reason for the urgency of this request to Federal-State Partnerships and the Chairman of the National Endowment for the Humanities. If we can have NEH support to enable us to *begin immediately* to develop a prototype humanistic philanthropy seminar that will work in a New England context, then all other state humanities councils nationally will be able to benefit from this program in time to collaborate with the various current and future Forum of Regional Grantmakers initiatives starting up around the country in their own states -- especially as additional NIPGP funding rounds are to be announced each year over the next five years.

The Maine Humanities Council Philanthropy Seminars

We first became involved in the idea of partnering with regional grantmaker associations as a result of the role the Maine Humanities Council had played in 1997 and 1998 in a new national program, "The Tocqueville Seminars for Civic Leadership." This program, supported by a grant to the University of Chicago from the Lilly Endowment, Inc., set out to offer a distinctive brand of leadership education. It sought to reach America's less visible leaders of "the third sector" -- the men and women who devote themselves to service as staff members, trustees, and volunteers in the associations originally identified and described in early 19th century America by Alexis Tocqueville. Eleven seminars were presented nationally in Indiana, Illinois, Maryland, and Maine, and covered a

broad range of nonprofit activity, from education and the arts, to social services, law, medicine, and philanthropy. They aimed to strengthen the work of these leaders by creating hospitable space for disciplined reflection on the fundamental issues underlying their work. (The Tocqueville Seminars are described more fully in the accompanying booklet.) During the course of the two-year project, the Maine Humanities Council originated seminars in the areas of philanthropy, medicine, and education. It is Maine's philanthropy seminar that provides the model and basis for the Forum of Regional Grantmakers collaboration with state humanities councils.

Participants in the Maine Humanities Council Tocqueville philanthropy seminars included experienced corporate and foundation grantmakers, young people of wealth preparing to begin their own philanthropic endeavors, and professionals (bank trustees, lawyers, and accountants) who serve the philanthropic community. The invitation list and curriculum were designed with the help of a planning committee composed of staff and board members of Maine's community foundation, grantmakers association, and state humanities council. Twenty-eight participants signed up for the seminar program, which met monthly in Portland for six sessions (January - June, 1997 and again in 1998), each beginning with a light supper followed by two hours of lively discussion of texts which had been distributed in advance. The seminars were expertly developed and facilitated by Robert Lynn, historian and retired foundation executive, and Joseph Conforti, Professor of American and New England Studies at the University of Southern Maine.

The 1997 and 1998 seminars explored the larger meaning of American philanthropy by looking at its history and its prospects in the twenty-first century. Seminar participants read and discussed a wide variety of texts -- historical and contemporary commentaries about American society and philanthropy, personal memoirs, essays, speeches, reports, excerpts from

philosophical works, fiction and autobiography. Intriguing questions were raised. What is the place of philanthropy in civic life and how has that changed over time? How have some of the great American themes -- equality and liberty, self-government and community -- informed the work of philanthropists in previous generations? What distinctive traditions of giving have influenced not only the foundations but also "the far more massive charitable generosity of the great majority of individual Americans, poor and middle-class alike?" (Waldemar Nielsen). How does one generation teach the next one about giving? What accounts for the striking continuity of generosity and imagination in some of the outstanding philanthropic families? What current meanings can be gleaned from ancient religious traditions? In what ways does the Yankee tradition of self-sufficiency affect New England attitudes toward giving? Questions about the future centered on giving in New England and more specifically, in Maine. If there is something distinctive about New England, then what challenge does that pose for present-day philanthropists in this region?

The results of the seminar experience in educating and building a sense of community, and deepening the context for philanthropic work, were powerful. The voices of seminar members in their written evaluative comments speak for themselves:

My work tends to be starved for content and focused on budget, deadlines, and business decisions. Only infrequently can I pause and remember the causes that lie behind every charitable organization. From Carnegie to Sandel, the texts and the discussions of this seminar gave dimension to the real reason we all work in this sector...(foundation board member)

It made me think and even (I would never believe it) made me rethink a number of seminal positions. In a way it opened an important door for us.
(foundation president)

It helped me understand more deeply the motivations for giving, the need for an active philanthropic culture, and some of the risks and problems associated with philanthropic undertakings. (civic leader)

As a rather active participant in local charitable activities, this seminar has been helpful to me in providing a framework, a conceptual underpinning, and perhaps a better understanding about making judgments about need and worthiness. (civic leader)

It put philanthropy in an historical perspective and helped us understand that 'community' is an ever-evolving concept. (foundation trustee)

I learned a great deal about the moral, religious, and civic values that underpin the institutions and practice of charity and non-profit activity in our culture.
(non-profit organization trustee)

What is Needed to Develop the Program Regionally and Nationally

If the New England state humanities councils are to seize the opportunity afforded by the two grantmakers projects starting up in the region (as a result of the Forum of Regional Grantmakers Initiative described above), if they are to play a real role as fully functioning partners with the regional grantmaker groups, and if they are to develop Maine's philanthropy seminars into a regional and national model, it is imperative that they begin as soon as possible to plan and undertake pilot seminars in each of their own states. But when a nonprofit organization sets out to offer a program in which the major players on the state's foundation scene are to be the participants, the stakes are very high. Every effort must therefore be made to ensure the success of the initial pilot seminar program by investing dollars up front in the highest quality planning process, training of personnel, development of curriculum materials, and administrative skill.

Because the state humanities councils have extensive experience in originating and administering high-quality, collaborative public programming, we know that careful advance planning and training is vital to the success of any program, particularly one that intends to reach across geographic boundaries. As grantmakers and program presenters in the region for twenty-five years, the state humanities councils of New England bring to the table important experience and connections to a wide range of sectors in their respective states, including the academic community. Furthermore, the New England councils, have a long history of close programming partnerships through their involvement in the New England Foundation for the Humanities, which they established over ten years ago. Nevertheless, even with this experience, and even with the Maine philanthropy seminars as a model, the New England philanthropy seminars will require special preparation of a core curriculum that can be adapted locally by each state, and intensive training of a core group of facilitators in each state. Thus, attention must be paid to *process*, as well as *content*, of the seminar programs



Literature and Medicine: Humanities at the Heart of Health Care-
A project of the Maine Humanities Council

*It is as important to know the person who has the disease
as it is to know the disease the person has. Sir William Osler*

Literature and Medicine uses the reading and group discussion of fiction, poetry, and nonfiction to offer health care professionals an opportunity to reflect on the complex nature of their roles and responsibilities in relation to the people they serve and work with, and on the character of the communications they have with them. The Council has successfully piloted the program at a large medical center and a small rural hospital, where doctors, trustees and hospital staff have been encouraged to explore the human dimensions of their work, to question the assumptions they bring to it, and to develop connections for themselves between the scientific language of medicine and disease, and the humanistic language of their patients' lived experiences.

The impact of this six-meeting program has been significant. As one doctor wrote after the first seminar, "I have become more aware of the value that patients attach to my simply exhibiting sympathy, even, and in fact particularly, when there is nothing else to do. . . . [M]y outlook is undergoing a significant degree of transformation and . . . these seminars are helpful during this transition." A second doctor shared that, because of the seminar, he had come to more clearly understand that he had a role in the dying process; another said that he appreciated the chance to think about the connections between doctors and the human suffering they encounter; a trustee said that his seminar experience had led him to believe that personal and human issues should occupy more of the trustees' time and attention.

It is the intention of the *Literature and Medicine* project to take a similar program to health care providers and policy makers in the communities of every interested hospital in Maine. Unlike our pilot seminars, the project seminars will not be limited to hospital staff and trustees, but will explicitly bring together community public health workers, health educators and policy makers and the medical and administrative staff and trustees from the local hospital. In addition, we want to make connections outside of Maine, through other state humanities councils, for instance, to disseminate the project regionally and nationally. The Council has received a \$250,000 grant from the National Endowment for the Humanities to implement this program over the next three years.

We invite you to explore our project website- www.mainehumanities.org for more details concerning the project, including information on participating hospitals, a copy of our bibliography and syllabi, and project updates.

Please contact Victoria Bonebakker, Associate Director, for further information about *Literature and Medicine*.

Literature and Medicine: Humanities at the Heart of Health Care
Hospitals Participating in Year One of Seminars *as of 8/22/99*

Blue Hill Memorial Hospital

Goodall Hospital
Sanford

Eastern Maine Medical Center
Bangor

Maine Coast Memorial Hospital
Ellsworth

Maine General Medical Center
Augusta

Maine Medical Center
Portland

Mayo Regional Hospital
Dover-Foxcroft

Mid Coast Hospital
Brunswick

Waldo County General Medical Center
Belfast

Teacher Programs: Summer and Fall 1999

Summer

After Frost: Poetry in New England – This wonderful one week program at Bowdoin is the subject of the piece by Barbara Bartels in the Brunswick Times Record which is attached. Led by Bowdoin professor Bill Watterson, the seminar surveyed New England poetry after Robert Frost, and included a poetry writing workshop for those interested. The evaluations were stellar, and as one teacher indicated, this kind of rich teacher program is not available in Maine except through the the Humanities Council. (“I haven’t enjoyed a course this much – or learned as much since I took [a course] at *Harvard in 1982.*” !!) Other participants, quoted in Bartel’s article, appreciated the intellectual challenge and “the feeding of my own soul.” This program was filled to its limit of 15, with a waiting list.

Poetry and Politics in Ancient Athens -- The program (at the Westbrook Campus of UNE) used five classical texts and related materials to explore the relationship of literature and politics in ancient Greece. Although this program attracted a smaller number (25) of teachers than the *Odyssey* and *Iliad* programs, we nonetheless considered it a success. Our loyal classics program supporter again made an anonymous donation to underwrite the costs of the program.

Rachel Carson and the Power of Language – an ultimately successful half-day program at Colby College culminating in a performance of the one-woman play by Kaiulani Sewall Lee, condensed from the one-week program that we had originally planned. (You will recall that there was no interest in the longer program.) We had good attendance, with about 45 people at the conference and an additional 45 for the play. We received funding from the Davis Foundation and the Margaret Chase Smith Library.

Fall

Black Boys and Native Sons: Protest Fiction and Writing B(l)ack in American Literature 1940-1960. Another in our series of seminars on African-American literature led by professor Cedric Bryant, this will be a close reading and discussion of several canonical texts (novels, poetry, and essays) produced by African American writers at mid-century: Ralph Ellison’s *Invisible Man*, Richard Wright’s *Native Son*, Langston Hughes’ poetry, and James Baldwin’s *Notes of a Native Son* and *The Fire Next Time*. The program is filling quite slowly, but I do expect to ultimately have 12-15 teachers enrolled. The seminar will take place at Colby and extend over five sessions from September 23 to November 18.

Ethnic Conflict: Yugoslavia and Beyond. Maine is filled with scholars who are knowledgeable about the Balkans and the former Yugoslavia, and presenters from the fields of history, sociology, anthropology and psychology will share a wide variety of perspectives, looking first at the history of the former Yugoslavia and then exploring ways to understand the current ethnic conflict taking place there.

The day will include lectures, panel presentations, a video, small group discussions and plenty of time for questions. Readings and other materials will be provided both before and at the conference, where other resources will also be on display. Again, enrollment is surprisingly slow, but I do expect about 30 teachers. The conference will be held at Lewiston-Auburn College on September 24.

The Home Front during the Civil War - A one-day conference co-sponsored with the Department of History at the University of Maine at Orono. Speakers (including Professor Marli Weiner) will deal with various aspects of the Civil War as a "civilian" experience, both North and South. Previous Civil War programs have drawn large and enthusiastic audiences; a mailing advertising this will go out next week to some 900 teachers. The Oct. 29 conference will be in Orono.

* * *

As we discussed at our April meeting, it is time to assess our teacher programs: what are our goals for them, and are we succeeding? What can we do better? Do we want to do them at all? This summer I did prepare a survey that was administered to participants at the After Frost and Poetry and Politics programs. There were no surprises from this admittedly small sampling. (We will continue to administer it to participants in fall programs.) What the participants like most is the emphasis on content, the high level of instruction and material, interactions with colleagues, getting to know college faculty (and the food and refreshments!) As one teacher was moved to write on the survey, "These programs are such a wonderful gift to teachers!" Another wrote, "What's to dislike? They're wonderful!" Not surprisingly, given that these were teachers in a summer program, they preferred summer to school year programs. They are interested in programs on world history and literature, American literature, art and art history and religion.

Regardless of the enthusiastic reaction to our programs among those who actually attend, we cannot ignore the fact that there has been a gradual falling off in attendance. Although we will continue to try to identify why, and to change our approaches accordingly, I suspect the major reason is one over which we have no control: teachers are simply more and more overwhelmed with everything they are being asked to do, and even for their own enrichment feel they cannot take the time to do more.

I would argue that, while of course doing everything we can to increase our enrollments, we stay true to our commitment to Maine teachers to provide them with the best, the richest, the most high quality humanities programs that we can; this is, to my mind, our goal, and I believe we are achieving it. If we serve 250-300 teachers a year, which even at our current levels we are doing, that's 2500-3000 students every year who will benefit from teachers who are reinvigorated emotionally as well as intellectually, and recommitted to their profession. We offer our programs -about eight to nine a year - without great financial burden to the Council, and I think teachers should always be one of our core audiences.

3. Organizational Structure



Statewide Board of Directors

Emerson Baker, PhD Co-Chair
Harriet Henry, JD, Co-Chair
21 Elected/Appointed Members
Represent Diverse Professions, Communities, and Areas of Scholarship

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Dorothy Schwartz, Executive Director
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Tricia Hunt, Administrative Assistant
Mary McVey, Fiscal Officer
Luci Merin, Dev./P.R. Coordinator

Program Staff

Victoria Bonebakker, Associate Director
Denise Pendleton, Program Officer
Erik Jorgensen, Program Officer
Jeffrey Aronson, Born to Read
Myrna Koonce, Born to Read
Julia Walkling, Let's Talk About It &
New Books, New Readers
Elizabeth Sinclair, Literature & Medicine
Charles Calhoun, Teacher Programs, Cultural
Heritage Tour, Winter Weekend

**Statewide Network of Scholar
Consultants to Programs**

GRANTS, RESOURCES & PROGRAMS

**Center
for
The Book**

- *Born To Read*
- *New Books, New Readers*
- *Let's Talk About It
Library Programs*
- *Winter Weekend*
- *Community Seminars*

Teacher Programs

- *Workshops, Institutes for Teachers
Fall '99:
Ethnic Conflict
Civil War
African-American Literature*

**Cultural
Heritage**

- *Maine Communities in
the New Century:
Grants & Technical Assistance*
- *Cultural Heritage Tour*

**Humanities
&
Contemporary
Issues**

- *Literature & Medicine*
- *N. .E. Philanthropy Project*

4. Legal Compliance

The following federal compliance plan attests to the Council's compliance with all applicable legal requirements.

1 Council Chairperson

Name: Henry Harriet
(last) (first) (initial)

Address: P.O. Box 1354

Windham ME 04062
(city) (state) (ZIP code)

Form of Address: Mr. Mrs. Miss Ms. Professor Dr.

Telephone Numbers:

Office: / Home: 207 / 892-2375

FAX: / E-Mail:

2 Council Information

Name of Council: Maine Humanities Council

Employer Identification Number: 01-0339295

Name and Mailing Address of Executive Director:

Schwartz Dorothy
(last) (first) (initial)

371 Cumberland Avenue

P.O. Box 7202

Portland ME 04112
(city) (state) (ZIP code)

Form of Address: Mr. Mrs. Miss Ms. Professor Dr.


Telephone Number: 207 / 773-5051 FAX: 207 / 773-2416

E-Mail: info@mainehumanities.org

Web Site: www.mainehumanities.org

3 Certification

By signing and submitting this application, the council chairperson is providing the applicable certifications regarding the nondiscrimination statutes and implementing regulations, federal debt status, debarment and suspension, a drug-free workplace, and lobbying activities. (Additional information on and a copy of these certifications is available from the NEH World Wide Web site, <http://www.neh.gov>; or from the NEH Grants Office, 202/606-8494.)

 5/17/00
(signature of council chairperson) (date)

For NEH use only

Application # New Supplement # Grant Period

NOTE: Federal law provides criminal penalties of up to \$10,000 or imprisonment of up to five years, or both for knowingly providing false information to an agency of the U.S. government, 18 U.S.C. Section 1001.

COMPLIANCE PLAN

I. Board of Directors

A. Council Membership

- | | |
|---|-----------------|
| 1. Total No. of Council Members as per By-laws (includes governor's appointees) | <u>17 to 23</u> |
| 2. Total Current Council Membership | <u>19</u> |
| 3. Number of Governor's Appointments as per By-laws | <u>5</u> |

B. Terms of Members

- | | |
|--|--|
| 1. Regular Appointments (in years) | <u>3</u> |
| a. Renewable? | Y <input checked="" type="checkbox"/> N <input type="checkbox"/> |
| b. Maximum Number of Years of Continuous Service | <u>6</u> |
| 2. Gubernatorial Appointments (in years) | <u>3</u> |
| a. Renewable? | Y <input checked="" type="checkbox"/> N <input type="checkbox"/> |
| b. Maximum Number of Years of Continuous Service | <u>6</u> |
| c. Co-Extensive with Governor's Term? | Y <input type="checkbox"/> N <input checked="" type="checkbox"/> |

C. Terms of Chairs

- | | |
|---|--|
| 1. Length of Term (in years) | <u>2</u> |
| a. Renewable? | Y <input type="checkbox"/> N <input checked="" type="checkbox"/> |
| b. Maximum Number of years of Continuous Service as chair | <u>2</u> |

D. Nomination Process for council members (include groups contacted, placement of solicitations):

Announcements are made to citizens throughout the state by means of our quarterly newsletter, *Maine Humanities*. Additional requests for nominations are made at public meetings and through contacts with academic deans of Maine colleges by Council staff, while Board members solicit nominations through their various channels. Types of groups contacted include library officials, historical societies, literacy groups, lawyers, museum directors, newspaper and magazine editors, and Maine Arts Commission staff.

II. Public Access

A. Government

- | | |
|--|--|
| 1. Governor provided with regular and complete information on all council activities | Y <input checked="" type="checkbox"/> N <input type="checkbox"/> |
| 2. Appropriate federal, state, and local officials provided with information on all council activities | Y <input checked="" type="checkbox"/> N <input type="checkbox"/> |

3. Formats:

The Governor plus numerous state and local officials are on the Council's mailing list to receive all newsletters and other relevant mailings. In addition, a special program focusing on a Council project or grant is offered in Augusta each year (2/10/98 this year) to members of the State Legislature. When special activities warrant it, individual letters are also sent. Grantees are asked in writing to notify their local legislators about Council-funded projects.

B. Public Meetings:

- 1. Do you hold public meetings to solicit comments from the public?
- 2. How many in the last calendar year?
- 3. Are your board meetings open to the public?
- 4. Do you distribute a newsletter or magazine?
 - a. How often?
 - b. What is the name of the newsletter/magazine?
- 5. What other mass mailings do you do (guidelines, brochures, catalogues)?

Y ~~X~~ N
 3
 Y ~~X~~ N
 Y ~~X~~ N
 3/4 times per year
 Maine Humanities

Announcements of new programs are sent to targeted audiences, using mailing lists from the State Department of Education and other organizations such as the State Cooperative Extension Program, the Maine State Library Association, etc.

6. What other means do you use to inform the public and solicit their comments?

We hold public meetings in various parts of the state. On 9/18/98, our entire Board participated in a public meeting in Fort Kent, Maine's most northerly town, to raise our visibility in an under-served, rural area. We also meet with editorial boards, reporters, and columnists, and copies of the annual report are always available upon request.

III. Council Operations

- A. Number of council meetings per year
- B. Other Meetings. Describe briefly.

 3

A number of Council subcommittees meet regularly during the year: Executive, Membership, Personnel, Development, plus various ad hoc subcommittees. In 1998, the Council established several oversight committees for programs such as Center For The Book and Literature & Medicine.

C. What are the dates of your full council meetings for the next twelve months?

September 17, 1999; December 3, 1999; April 28, 2000

IV. By-Laws (complete one)

A. By-laws enclosed, revised _____ (month, year). Please enclose.

B. By-laws approved/amended 5/88 (month, year) remain in effect. *

*At the Council's last Executive Committee meeting in April, a Task Force to review the By-laws was formed and will meet this summer.

V. Overview of Grants and Projects

A. Re-grants

- 1. Number of applications received 126
- 2. Number of applications funded 114

B. Scholars

- 1. Number of scholars involved in council projects and re-grants? 242

2. Efforts to involve larger numbers of scholars?

The Council continues to make efforts to involve scholars in all its programs, both grants and Council-conducted. Our newly-revised major grant application includes a special form for scholars to complete, so that their voices will also be heard in proposals. Scholars have reported that this provides them with greater interest and, thus, greater involvement in the work of the Council.

VI. Statistics (regrants and council-conducted projects)

A. Number of projects supported in 1998

1. Media Projects:	
a. Television (include only projects that are televised)	<u>0</u>
b. Radio	<u>1</u>
c. Technology (CD-Rom, Web projects)	<u>1</u>
d. Film/Slide/Photography/Video	<u>8</u>
Total	<u>10</u>
2. Publications (newsletters, magazines, catalogues, brochures, guides, books)	<u>11</u>
3. Exhibitions	<u>20</u>
4. Discussion programs (book, film, lecture and discussion, conversations)	<u>78</u>
5. Conferences/Symposia/Lectures	<u>16</u>
6. Literacy projects (Motheread, etc.)	<u>30</u>
7. Festivals (book, film, theater, fairs, celebrations)	<u>12</u>
8. Chautauqua (include living history presentations, history theater)	<u>0</u>
9. Speakers Bureau	<u>4</u>
10. Fellowships/Research projects (scholars, data bases, oral history)	<u>7</u>
11. K-12 teacher projects (institutes/seminars, workshops, fellowships, curricular projects, awards)	<u>10</u>
12. Student projects (History Day, authors/scholars in schools, oral history)	<u>17</u>
13. Preservation projects	<u>11</u>
14. Cultural tourism projects (walking tours, site presentations, cultural trips, etc.)	<u>10</u>
Total	<u>236</u>

Southern Humanities Media Fund (See Instructions. To be filled in only by Virginia Foundation for the Humanities):

1. Number of applications received _____ 2. Number of applications funded _____

3.

	No. of Projects Supported in 1998	No. in attendance in 1998
TV (include only projects that are televised)	_____	_____
Radio	_____	_____
Technology (CD-Rom, Web projects)	_____	_____
Film/Slide/Photography/Video	_____	_____

B. Number in attendance in 1998 (not related to number of projects funded in the same calendar year)

1. Media Projects:	
a. Television (include only projects that are televised)	<u>-0-</u>
b. Radio	<u>90,000</u>
c. Technology (CD-Rom, Web projects)	<u>15,000</u>
d. Film/Slide/Photography/Video	<u>250</u>
Total	<u>105,250</u>
2. Publications (newsletters, magazines, catalogues, brochures, guides, books)	<u>53,000</u>
3. Exhibitions (other than Resource Center)	<u>41,100</u>
4. Discussion programs (book, film, lecture and discussion, conversations)	<u>7,100</u>
5. Conferences/Symposia/Lectures	<u>1,800</u>
6. Literacy projects (Motheread, etc.)	<u>1,500</u>
7. Festivals (book, film, theater, fairs, celebrations)	<u>4,600</u>
8. Chautauqua (include living history presentations, history theater, dramatization and discussion)	<u>0</u>
9. Speakers Bureau	<u>40</u>
10. Fellowships/Research projects (scholars, data bases, oral history)	<u>105</u>
11. K-12 teacher projects (institutes/seminars, workshops, fellowships, curricular projects, awards)	<u>250</u>
12. Student projects (History Day, authors/scholars in schools, oral history)	<u>600</u>
13. Preservation projects	<u>150</u>
14. Cultural tourism projects (walking tours, site presentations, cultural trips, etc.)	<u>675</u>
Total	<u>216,170</u>

C. Efforts to reach broader audiences:

At each of the Council's annual planning and evaluation retreats since 1996, Board members and staff have discussed how to enlarge audiences for public humanities programs and have confirmed several programmatic strategies. These include merging the Maine Collaborative with the MHC and establishing the Center for the Book.

D. Please list specifically targeted groups, with number of projects and audience figures (drawn from the numbers above) for each group:

As a result, in 1998 the Maine Humanities Council was able to reach:
 150 Teachers (3 summer seminars on humanities-related topics; 1 Winter Weekend: *The Odyssey*),
 2,000 families (statewide programs: Born To Read; Prescription To Read; New Books, New Readers)
 12 at-risk youth (A reading program on *The Odyssey* at the Maine Youth Center)

VII. Awards

Please provide us with information concerning prizes or awards that any council-supported projects may have won since the last report. (NOTE TO VIRGINIA FOUNDATION FOR THE HUMANITIES: Indicate if project is product of Southern Humanities Media Fund.)

A. Project Title	"The Century Project: Modern Times in Maine & America, 1890-1930"	"The Odyssey Project"
B. Project Format	Symposium, video, film series, reading & discussion program, and 73 community history grants	Summer institute, weekend seminar, and program for at-risk youth
C. Prize	AASLH Award of Merit	1998 Helen & Martin Schwartz Prize
D. Prize Donor	American Association for State & Local History	Federation of State Humanities Councils
E. Date of Award	September 11, 1998	November 21, 1998

NEH estimates the average time to complete this form is twenty hours per response. This estimate includes the time for reviewing the instructions for this form, gathering the necessary data and entering the data on the form. Please send any comments regarding this estimated completion time or any other aspect of the form, including suggestions for reducing completion time, to the Director, Office of Publications, National Endowment for the Humanities, Washington, D.C. 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3136-0134), Washington, DC 20503. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

5. Financial Summary

The 1997 and 1998 reports from the Council's outside auditors follow. Audits for previous years can be supplied on request.

Albin, Randall & Bennett

CERTIFIED PUBLIC ACCOUNTANTS
BUSINESS CONSULTANTS

ONE PORTLAND SQUARE
PO BOX 445
PORTLAND, ME 04112-0445
TEL (207) 772-1981
FAX (207) 772-1982

INDEPENDENT AUDITORS' REPORT

Board of Directors
Maine Humanities Council:

We have audited the accompanying statement of financial position of the Maine Humanities Council (the Council) as of October 31, 1998 and the related statements of activities, functional expenses and cash flows for the year then ended. These financial statements are the responsibility of the Council's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted auditing standards and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Maine Humanities Council as of October 31, 1998, and the results of its activities and cash flows for the year then ended in conformity with generally accepted accounting principles.

In accordance with *Government Auditing Standards*, we have also issued our report dated December 11, 1998 on our consideration of internal control over financial reporting and our tests of its compliance with certain provisions of laws, regulations, contracts and grants.

Our audit was performed for the purpose of forming an opinion on the basic financial statements taken as a whole. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by U.S. Office of Management and Budget Circular A-133. *Audits of States, Local Governments, and Non-Profit Organizations*, and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated in all material respects, in relation to the basic financial statements taken as a whole.

Albin, Randall & Bennett

December 11, 1998



MAINE HUMANITIES COUNCIL
STATEMENT OF FINANCIAL POSITION
OCTOBER 31, 1998

ASSETS

CURRENT ASSETS:

Cash & cash equivalents	\$ 364,266
Grants receivable	365,711
Other receivables	1,081
Prepaid expenses	1,315
Deposits	6,740
Unconditional promise to give	<u>100,000</u>
Total current assets	<u>839,113</u>

EQUIPMENT

Less accumulated depreciation	<u>47,153</u> <u>(35,573)</u>
Net equipment	<u>11,580</u>

INVESTMENTS

55,635

OTHER ASSET - Unconditional promise to give - long term

200,000

\$1,106,328

LIABILITIES AND NET ASSETS

CURRENT LIABILITIES:

Regrants payable	82,014
Accounts payable	11,072
Accrued expenses	5,873
Deferred revenue	<u>337,568</u>
Total current liabilities	<u>436,527</u>

NET ASSETS:

Unrestricted	360,702
Temporarily restricted	<u>309,099</u>
Total net assets	<u>669,801</u>

\$1,106,328

MAINE HUMANITIES COUNCIL
STATEMENT OF ACTIVITIES
FOR THE YEAR ENDED OCTOBER 31, 1998

UNRESTRICTED NET ASSETS:

Operating revenues and other support:

Grants from the National Endowment for the Humanities	\$ 578,864
Other grants	96,996
Contributions and gifts	264,900
Investment income	16,703
Program income	59,191
In-kind contributions	53,971
Net assets released from restrictions	<u>2,704</u>
Total operating revenues and other support	<u>1,073,329</u>

Operating expenses:

Maine Center for the Book	127,301
Teacher Enrichment	60,248
Community History & Cultural Tourism	94,744
Contemporary Issues: Literature and Medicine	27,330
Regrants & Technical Assistance	367,257
Administration	<u>129,112</u>
Total operating expenses	<u>805,992</u>
Increase in unrestricted net assets	<u>267,337</u>

TEMPORARILY RESTRICTED NET ASSETS:

Revenues:

Contributions and gifts	311,803
Net assets released from restrictions	<u>(2,704)</u>
Increase in temporarily restricted net assets	<u>309,099</u>
Increase in net assets	576,436
Net assets at beginning of year	<u>93,365</u>

NET ASSETS AT END OF YEAR

\$ 669,801

MAINE HUMANITIES COUNCIL
STATEMENT OF CASH FLOWS
FOR THE YEAR ENDED OCTOBER 31, 1998

CASH FLOWS FROM OPERATING ACTIVITIES:	
Increase in net assets	\$576,436
Adjustments to reconcile increase in net assets to net cash provided by operating activities:	
Depreciation	4,264
Net unrealized and realized gains on investments	(4,146)
Changes in assets and liabilities:	
Grants receivable	(22,363)
Other receivables	(1,081)
Prepaid expenses	2,840
Deposits	(472)
Unconditional promise to give	(300,000)
Regrants payable	27,746
Accounts payable	(1,952)
Accrued expenses	(833)
Deferred revenue	(124,065)
Net cash provided by operating activities	156,374
Cash at beginning of year	<u>207,892</u>
CASH AT END OF YEAR	<u>\$364,266</u>

See accompanying notes to financial statements.

MAINE HUMANITIES COUNCIL
STATEMENT OF FUNCTIONAL EXPENSES
YEAR ENDED OCTOBER 31, 1998

	The Maine Center for the Book	Teacher Enrichment	Community History & Cultural Tourism
Advertising	\$ -0-	-0-	-0-
Computer services	-0-	-0-	8,000
Consultants	22,565	29,765	13,811
Council meetings	-0-	-0-	-0-
Depreciation	-0-	-0-	-0-
Dues and subscriptions	-0-	-0-	-0-
Equipment repairs	1,121	1,121	1,120
Fringe benefits	3,776	2,327	1,959
In-kind expenses	-0-	-0-	-0-
Insurance	226	226	226
Miscellaneous	3,069	-0-	-0-
Newsletter design	-0-	-0-	-0-
Non-federally funded administrative costs	-0-	-0-	-0-
Payroll taxes	2,213	1,364	1,148
Postage	220	-0-	270
Printing	-0-	-0-	-0-
Professional fees	-0-	-0-	-0-
Program development	16,265	-0-	36,808
Regrants	1,500	-0-	-0-
Rent and utilities	1,694	1,694	1,694
Salaries	27,522	16,970	24,549
Seminars	34,530	-0-	2,250
Supplies	5,743	3,043	171
Telephone	1,129	1,129	1,178
Travel	<u>5,728</u>	<u>2,609</u>	<u>1,560</u>
	<u>\$127,301</u>	<u>60,248</u>	<u>94,744</u>

See accompanying notes to financial statements.

<u>Contemporary Issues: Literature & Medicine</u>	<u>Regrants & Technical Assistance</u>	<u>Administration</u>	<u>Totals</u>
-0-	-0-	750	750
-0-	970	-0-	8,970
-0-	3,489	-0-	69,630
-0-	2,153	5,752	7,905
-0-	-0-	4,264	4,264
-0-	9,634	-0-	9,634
1,120	2,222	3,278	9,982
2,329	3,126	5,770	19,287
-0-	53,971	-0-	53,971
226	586	719	2,209
-0-	-0-	1,492	4,561
-0-	9,971	-0-	9,971
-0-	-0-	4,000	4,000
1,453	3,741	4,073	13,992
-0-	10,197	6,641	17,328
-0-	15,020	869	15,889
-0-	-0-	5,900	5,900
-0-	-0-	-0-	53,073
-0-	147,181	-0-	148,681
1,694	3,366	2,823	12,965
18,393	72,027	67,032	226,493
-0-	-0-	-0-	36,780
117	19,016	6,988	35,078
1,178	3,165	4,515	12,294
<u>820</u>	<u>7,422</u>	<u>4,246</u>	<u>22,385</u>
<u>27,330</u>	<u>367,257</u>	<u>129,112</u>	<u>805,992</u>

MAINE HUMANITIES COUNCIL
NOTES TO FINANCIAL STATEMENTS
OCTOBER 31, 1998

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization - The Maine Humanities Council (the Council) is a not-for-profit corporation that is funded primarily by grants from the National Endowment for the Humanities and contributions from the public. The Council conducts public humanities programs within Maine in the areas of reading and literacy, cultural heritage, contemporary issues, and enrichment programs for teachers. The Council also provides grant money to other not-for-profit corporations conducting public humanities programs within Maine.

Basis of presentation - Presentation follows the recommendations of the Financial Accounting Standards Board of Statement of Financial Accounting Standard No. 117, Financial Statements of Not-for-Profit Organizations. Under those provisions net assets are classified based on the existence or absence of donor-imposed restrictions as follows:

Unrestricted net assets - Net assets that are not subject to donor-imposed stipulations.

Temporarily restricted net assets - Net assets subject to donor-imposed stipulations that can be fulfilled by actions of the Council or by the passage of time.

Permanently restricted net assets - Net assets subject to donor-imposed stipulations that require net assets to be maintained permanently by the Council. The Council has no permanently restricted net assets.

Use of estimates - The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

Cash and cash equivalents - The Council considers all highly liquid debt instruments purchased with a maturity of three months or less to be cash equivalents.

Property and equipment - Property and equipment are recorded at cost. Donated property is recorded at its fair market value on the date received. Depreciation is computed using the straight-line method over the estimated useful lives of the assets.

Investments - Investment in equity securities with readily determinable fair values and all investments in debt securities are measured at fair value in the statement of financial position.

Regrants - Grants for eligible programs (regrants) are recorded as expenses and liabilities when awarded.

Deferred revenue - Deferred revenue of \$337,568 represents unobligated funds from grantors to be used in future council projects.

Income tax - The Council is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code.

Grants - Grant awards are recorded as receivables in the period made and revenue to the extent that expenses have been incurred for the purpose specified by the grantor during the period.

In-kind contributions - In-kind contributions represent donated services, facilities and public advertising and have been recorded at fair market value.

MAINE HUMANITIES COUNCIL
NOTES TO FINANCIAL STATEMENTS, CONTINUED

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES, CONTINUED

Advertising - Advertising costs are expensed as incurred.

Functional allocation of expenses - The cost of providing the various program services has been summarized on a functional basis in the statement of functional expenses. Certain costs have been allocated among the program and supporting services.

2. GRANTS RECEIVABLE

Open grants at October 31, 1998 consist of the following:

<u>Grantor</u>	<u>Grant Number</u>	<u>Receivable at October 31, 1998</u>
National Endowment for the Humanities	SO 21549-98	\$196,248
Maine Commission for Community Services	07B-012-3490	148,750
Maine Association of Museums	IS 70010-97	<u>20,713</u>
		<u>\$365,711</u>

3. PENSION PLAN

The Council participates in the Teachers Insurance and Annuity Association (TIAA) and College Retirement Equities Fund (CREF) Retirement Plan. Under this defined contribution plan, the Council makes contributions based on a percentage of employee salaries. Council contributions totaled \$13,995 for the year ended October 31, 1998.

The Council also has a Tax-Deferred Annuity Plan. Under this plan, participant salaries are reduced and applied to individual annuities by the TIAA and/or CREF.

4. INVESTMENTS

Cost, market value and unrealized appreciation of investments at October 31, 1998 are as follows:

	<u>Cost</u>	<u>Market Value</u>	<u>Unrealized Appreciation</u>
Mutual Funds	\$ 41,423	55,635	14,212

5. RESTRICTIONS ON USE OF NET ASSETS

Temporarily restricted net assets are restricted to:

The Maine Center for the Book	\$300,000
The Constance H. Carlson Public Humanities Prize	<u>9,099</u>
	<u>\$309,099</u>

6. COMMITMENTS

The Council leases office space under a lease expiring June 30, 2000, with monthly rent of \$865.

MAINE HUMANITIES COUNCIL
SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED OCTOBER 31, 1998

SCHEDULE

<u>Federal Grantor Program Title</u>	<u>Federal CFDA Number</u>	<u>Grant ID Number</u>	<u>Federal Expenditures</u>
NATIONAL ENDOWMENT FOR THE HUMANITIES			
State humanities program	45.129	SO-21549-98	\$350,304
State humanities program	45.164	GP-22106-98	2,497
State humanities program	45.165	SO-21364-95	<u>238,985</u>
			<u>\$591,786</u>

Albin, Randall & Bennett

CERTIFIED PUBLIC ACCOUNTANTS
BUSINESS CONSULTANTS

ONE PORTLAND SQUARE
PO BOX 445
PORTLAND, ME 04112-0445
TEL (207) 772-1981
FAX (207) 772-1982

REPORT ON COMPLIANCE WITH REQUIREMENTS APPLICABLE TO MAJOR PROGRAM AND INTERNAL CONTROL OVER COMPLIANCE IN ACCORDANCE WITH OMB CIRCULAR A-133

Board of Directors
Maine Humanities Council:

Compliance

We have audited the compliance of the Maine Humanities Council (the Council) with types of compliance requirements described in the *U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement* that are applicable to its major federal program for the year ended October 31, 1998. The Council's major federal program is identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations contracts and grants applicable to its major federal program is the responsibility of the Council's management. Our responsibility is to express an opinion on the Council's compliance based on our audit.

We conducted our audit of compliance in accordance with generally accepted auditing standards; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Council's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination on the Council's compliance with those requirements.

In our opinion, the Council complied, in all material respects, with the requirements referred to above that are applicable to its major federal program for the year ended October 31, 1998.

Internal Control Over Compliance

The management of the Council is responsible for establishing and maintaining effective internal control over compliance with requirements of laws, regulations, contracts and grants applicable to federal programs. In planning and performing our audit, we considered the Council's internal control over compliance with requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133.

Our consideration of the internal control over compliance would not necessarily disclose all matters in the internal control that might be material weaknesses. A material weakness is a condition in which the design or operation of one or more of the internal control components does not reduce to a relatively low level the risk that noncompliance with applicable requirements of laws, regulations, contracts and grants that would be material in relation to a major federal program being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. We noted no matters involving the internal control over compliance and its operation that we consider to be material weaknesses.

This report is intended for the information of the board of directors, management and federal awarding agencies and pass-through entities. However, this report is a matter of public record and its distribution is not limited.

Albin, Randall & Bennett

December 11, 1998

Albin, Randall & Bennett

CERTIFIED PUBLIC ACCOUNTANTS
BUSINESS CONSULTANTS

ONE PORTLAND SQUARE
PO BOX 445
PORTLAND, ME 04112-0445
TEL (207) 772-1981
FAX (207) 772-1982

INDEPENDENT AUDITORS' REPORT ON COMPLIANCE AND ON INTERNAL CONTROL OVER FINANCIAL REPORTING BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Directors
Maine Humanities Council:

We have audited the financial statements of the Maine Humanities Council (the Council) as of and for the year ended October 31, 1998, and have issued our report thereon, dated December 11, 1998. We conducted our audit in accordance with generally accepted auditing standards and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

Compliance

As part of obtaining reasonable assurance about whether the Council's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grants, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance that are required to be reported under *Government Auditing Standard*.

Internal Control Over Financial Reporting

In planning and performing our audit, we considered the Council's internal control over financial reporting in order to determine our auditing procedures for the purpose of expressing our opinion on the financial statements and not to provide assurance on the internal control over financial reporting. Our consideration of the internal control over financial reporting would not necessarily disclose all matters in the internal control over financial reporting that might be material weaknesses. A material weakness is a condition in which the design or operation of one or of the internal control components does not reduce to a relatively low level the risk that misstatements in amounts that would be material in relation to the financial statements being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. We noted no matters involving the internal control over financial reporting and its operation that we consider to be material weaknesses.

This report is intended for the information of the board of directors, management and federal awarding agencies and pass-through entities. However, this report is a matter of public record and its distribution is not limited.

Albin, Randall & Bennett

December 11, 1998

MAINE HUMANITIES COUNCIL
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED OCTOBER 31, 1998

SUMMARY OF AUDITORS' RESULTS

1. The auditors' report expresses an unqualified opinion on the general purpose financial statements of Maine Humanities Council.
2. No reportable conditions were disclosed during the audit of the financial statements.
3. No instances of noncompliance material to the financial statements were disclosed during the audit.
4. No reportable conditions were disclosed during the audit of the major federal award program.
5. The auditors' report on compliance for the major federal award program expresses an unqualified opinion.
6. Audit findings and questioned costs relative to the major federal award program are reported in the following sections of this schedule.
7. The program tested as a major program was the State Humanities Program. The separate program comprising the cluster and associated CFDA members are identified in the Schedule of Expenditures of Federal Awards.
8. The threshold for distinguishing types A and B programs was \$300,000.
9. The Maine Humanities Council was determined to be a low-risk auditee.

FINDINGS - FINANCIAL STATEMENT AUDIT

None

FINDINGS AND QUESTIONED COSTS - MAJOR FEDERAL AWARD PROGRAM AUDIT

None

PRIOR PERIOD FINDINGS

None

MAINE HUMANITIES COUNCIL
STATEMENT OF FINANCIAL POSITION
OCTOBER 31, 1997

ASSETS

CURRENT ASSETS:

Cash	\$207,892
Grants receivable	343,348
Prepaid expenses	4,155
Deposit	<u>6,268</u>
Total current assets	<u>561,663</u>

EQUIPMENT

Less accumulated depreciation	<u>47,153</u>
Net equipment	<u>31,309</u>

INVESTMENTS

51,489
\$628,996

LIABILITIES AND NET ASSETS

LIABILITIES:

Regrants payable	54,268
Accounts payable	13,024
Accrued expenses	6,706
Deferred revenue	<u>461,633</u>
Total liabilities	<u>535,631</u>

UNRESTRICTED NET ASSETS

93,365
\$628,996

MAINE HUMANITIES COUNCIL
STATEMENT OF ACTIVITIES
FOR THE TWENTY-FOUR MONTHS ENDED OCTOBER 31, 1997

CHANGES IN UNRESTRICTED NET ASSETS:

Operating revenues and other support:	
Grants from the National Endowment for the Humanities	\$ 914,059
Gifts	152,939
Administrative fees	10,505
Investment income	22,859
Program income	6,123
In-kind contributions	<u>215,092</u>
Total operating revenues and other support	<u>1,321,577</u>
Operating expenses:	
Council conducted projects:	
"The Century" project	105,193
"The National Conversation Roundtables" project	198,540
"New Books, New Readers" project	117,096
Other Council conducted projects	<u>31,131</u>
Total Council conducted projects	451,960
Regrants	216,224
Administration and services to the field	<u>638,590</u>
Total operating expenses	<u>1,306,774</u>
Increase in unrestricted net assets from operations	14,803
Other change:	
Net assets acquired in merger with The Maine Collaborative	<u>3,659</u>
Increase in unrestricted net assets	18,462
Net assets at beginning of year	<u>74,903</u>
NET ASSETS AT END OF YEAR	<u>\$ 93,365</u>

See accompanying notes to financial statements.

MAINE HUMANITIES COUNCIL
STATEMENT OF CASH FLOWS
FOR THE TWENTY-FOUR MONTHS ENDED OCTOBER 31, 1997

CASH FLOWS FROM OPERATING ACTIVITIES:	\$ 18,462
Increase in net assets	
Adjustments to reconcile increase in net assets to net cash provided by operating activities:	
Depreciation	3,643
Net unrealized and realized gains on investments	(12,166)
Changes in operating assets and liabilities:	(6,477)
Grants receivable	2,990
Prepaid expenses	633
Regrants payable	(10,825)
Gifts awaiting NEH approval	3,867
Accounts payable	962
Accrued expenses	<u>116,627</u>
Deferred revenue	<u>117,716</u>
Net cash provided by operating activities	
 INVESTING ACTIVITIES:	 (16,368)
Purchase of equipment	<u>(2,799)</u>
Purchase of investments	<u>(19,167)</u>
Net cash investing activities	98,549
Increase in cash	<u>109,343</u>
Cash at beginning of period	<u>\$207,892</u>
CASH AT END OF PERIOD	

MAINE HUMANITIES COUNCIL
STATEMENT OF FUNCTIONAL EXPENSES
FOR THE TWENTY-FOUR MONTHS ENDED OCTOBER 31, 1997

	Council Conducted		Administration and Services to the	
	<u>Projects</u>	<u>Regrants</u>	<u>Field</u>	<u>Total</u>
Advertising	\$ -0-	-0-	3,502	3,502
Consultants	24,427	-0-	12,027	36,454
Council meetings	1,300	-0-	59,123	60,423
Depreciation	-0-	-0-	3,643	3,643
Dues and subscriptions	50	-0-	13,989	14,039
Equipment repairs	280	-0-	8,259	8,539
Fringe benefits	4,405	-0-	28,601	33,006
In-kind expenses	215,092	-0-	-0-	215,092
Insurance	376	-0-	6,780	7,156
Non-federally funded administrative costs	-0-	-0-	9,824	9,824
Payroll taxes	1,088	-0-	16,030	17,118
Postage	2,683	-0-	10,465	13,148
Printing	4,883	-0-	15,144	20,027
Professional fees	500	-0-	14,697	15,197
Program development	111,091	-0-	101,352	212,443
Regrants	-0-	216,224	-0-	216,224
Rent and Utilities	2,421	-0-	20,610	23,031
Salaries	71,141	-0-	266,567	337,708
Supplies	2,328	-0-	15,785	18,113
Telephone	3,121	-0-	17,717	20,838
Travel	<u>6,774</u>	<u>-0-</u>	<u>14,475</u>	<u>21,249</u>
	<u>\$451,960</u>	<u>216,224</u>	<u>638,590</u>	<u>1,306,774</u>

See accompanying notes to financial statements.

MAINE HUMANITIES COUNCIL
NOTES TO FINANCIAL STATEMENTS
OCTOBER 31, 1997

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Organization - The Council is a publicly supported organization funded by grants from the National Endowment for the Humanities (NEH) and contributions from the public.

Basis of presentation - Presentation follows the recommendations of the Financial Accounting Standards Board of Statement of Financial Accounting Standard No. 117, financial Statements of Not-for-Profit Organizations. Under those provisions net assets are classified based on the existence or absence of donor-imposed restrictions as follows:

Unrestricted net assets - Net assets that are not subject to donor-imposed stipulations.

Temporarily restricted net assets - Net assets subject to donor-imposed stipulations that can be fulfilled by actions of the Organization or by the passage of time. The Organization has no temporarily restricted net assets.

Permanently restricted net assets - Net assets subject to donor-imposed stipulations that they be maintained permanently by the Organization. The Organization has no permanently restricted net assets.

Use of estimates - The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect certain reported amounts and disclosures. Accordingly, actual results could differ from those estimates.

Cash and cash equivalents - The Organization considers all highly liquid debt instruments purchased with a maturity of three months or less to be cash equivalents.

Property and equipment - Property and equipment are recorded at cost. Donated property is recorded at its fair market value on the date received. Depreciation is computed using the straight-line method over the estimated useful lives of the assets.

Investments - Investment in equity securities with readily determinable fair values and all investments in debt securities are measured at fair value in the statement of financial position.

Regrants - Grants for eligible programs (regrants) are recorded as expenses and liabilities when awarded.

Deferred revenue - Deferred revenue of \$461,633 represents unobligated funds from grantors to be used in future council projects.

Income tax - The Organization is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code.

Grants - Grant awards are recorded as receivables in the period made and revenue to the extent that expenses have been incurred for the purpose specified by the grantor during the period.

In-kind contributions - In-kind contributions represent donated services, facilities and public advertising and have been recorded at fair market value.

Functional allocation of expenses - The cost of providing the various program services has been summarized on a functional basis in the statement of functional expenses. Certain costs have been allocated among the program and supporting services.

MAINE HUMANITIES COUNCIL
NOTES TO FINANCIAL STATEMENTS, CONTINUED

2. MERGER

Effective October 1, 1997, The Maine Collaborative, a not for profit educational organization funded by grants from the National Endowment for the Humanities and public contributions was merged into the Council. The financial statements include the operations of The Maine Collaborative from October 1, 1997. The purchase method was used to account for the acquisition as follows:

Cash	\$ 93,369
Accounts payable	(11,077)
Deferred revenue	(78,633)
Net assets acquired in merger	\$ <u>3,659</u>

3. CHANGES IN ACCOUNTING PRINCIPLES

Effective November 1, 1995, the Council elected to adopt Statement of Financial Accounting Standards (SFAS) No. 116, Accounting for Contributions Received and Contributions Made. In accordance with SFAS No. 116, contributions received are recorded as unrestricted, temporarily restricted, or permanently restricted support depending on the existence and nature of any donor restrictions. This change had no effect on beginning net assets.

Effective November 1, 1995, the Council elected to adopt Statement of Financial Accounting Standards (SFAS) No. 117, Financial Statements of Not-For-Profit Organizations. Under SFAS No. 117, the Organization is required to report information regarding its financial position and activities according to three classes of new assets; unrestricted net assets, temporarily restricted net assets, and permanently restricted net assets. As permitted by this new Statement, the Organization has discontinued its use of fund accounting and has, accordingly, reclassified its financial statements to present the three classes of net assets required. This reclassification had no effect on total net assets as of the beginning of the twenty four month period.

Effectively November 1, 1995, the Council elected to adopt Statement of Financial Accounting Standards (SFAS) No. 124, Accounting for Certain Investments held by Not-For-Profit Organizations. Under SFAS No. 124, the Organization is required to report investments in marketable debt and equity securities at market and reflect unrealized gains or losses in the activities of the period. Under SFAS No. 124, unrealized gains are required to be reported as unrestricted support. Accordingly, beginning net assets have been restated to recognize the cumulative effect of adoption as of the beginning of the twenty four month period.

4. RESTATEMENT FOR ACCOUNTING CHANGES

As a result of implementing SFAS No. 124 net assets which totaled \$71,412 at the beginning of the twenty four month period were restated as follows:

Net assets, beginning of the period before restatement	\$71,412
Restatement of investments to fair market value	<u>3,491</u>
Net assets, beginning of period as restated	\$ <u>74,903</u>

MAINE HUMANITIES COUNCIL
NOTES TO FINANCIAL STATEMENTS CONTINUED

5. GRANTS RECEIVABLE

Open grants at October 31, 1997 consist of the following:

<u>Federal Grantor</u>	<u>Grant Number</u>	<u>Receivable at October 31, 1997</u>
National Endowment for the Humanities	SO 21364-95	\$293,348
Institute of Museum and Library Services	IS 70010-97	<u>50,000</u>
		<u>\$343,348</u>

6. PENSION PLAN

On January 1, 1989 the Council joined the Teachers Insurance and Annuity Association (TIAA) and College Retirement Equities Fund (CREF) Retirement Plan. Under this defined contribution plan, the Council makes contributions based on a percentage of employee salaries. Council contributions totaled \$20,619 for the twenty-four months ended October 31, 1997.

The Council also established a Tax-Deferred Annuity Plan as of January 1, 1991. Under this plan, participant salaries are reduced and applied to individual annuities by the TIAA and/or CREF.

7. INVESTMENTS

Cost, market value and unrealized appreciation of investments at October 31, 1997 are as follows:

	<u>Cost</u>	<u>Market Value</u>	<u>Unrealized Appreciation</u>
Mutual funds	\$40,160	51,489	11,329

8. COMMITMENTS

The Council leases office space under a lease expiring June 30 1999, with monthly rent of \$865.

MAINE HUMANITIES COUNCIL
 SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
 FOR THE TWENTY-FOUR MONTHS ENDED OCTOBER 31, 1997

SCHEDULE

Federal Grantor <u>Program Title</u>	<u>Federal CFDA Number</u>	<u>Grant ID Number</u>	<u>Federal Expenditures</u>
NATIONAL ENDOWMENT FOR THE HUMANITIES			
State humanities program	45.129	SO-21129-92	\$ 176
State humanities program	45.129	SE-20012-94	71,604
State humanities program	45.165	SO-21364-95	721,826
State humanities program	45.129	GS-20063-95	65,415
State humanities program	45.129	GL-21269-94	<u>66,346</u>
			<u>\$925,367</u>

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BUSINESS CONSULTANTS

ONE PORTLAND SQUARE
PO BOX 445
PORTLAND, ME 04112-0445
TEL (207) 772-1981
FAX (207) 772-1982

REPORT ON COMPLIANCE WITH REQUIREMENTS APPLICABLE TO MAJOR PROGRAM AND INTERNAL CONTROL OVER COMPLIANCE IN ACCORDANCE WITH OMB CIRCULAR A-133

Board of Directors
Maine Humanities Council:

Compliance

We have audited the compliance of the Maine Humanities Council (the Council) with types of compliance requirements described in the U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement that are applicable to its major federal program for the twenty-four months October 31, 1997. The Council's major federal program is identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs. Compliance with the requirements of laws, regulations, contracts and grants applicable to its major federal program is the responsibility of the Council's management. Our responsibility is to express an opinion on the Council's compliance based on our audit.

We conducted our audit in accordance with generally accepted auditing standards; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and OMB Circular A-133, *Audits of States, Local governments, and Non-Profit Organizations*. Those standards and OMB Circular A-133 require that we plan and perform the audit to obtain reasonable assurance about whether noncompliance with the types of compliance requirements referred to above that could have a direct and material effect on a major federal program occurred. An audit includes examining, on a test basis, evidence about the Council's compliance with those requirements and performing such other procedures as we considered necessary in the circumstances. We believe that our audit provides a reasonable basis for our opinion. Our audit does not provide a legal determination on the Council's compliance with those requirements.

In our opinion, the Council complied, in all material respects, with the requirements referred to above that are applicable to its major federal program for the twenty four months ended October 31, 1997.

Internal Control Over Compliance

The management of the Council is responsible for establishing and maintaining effective internal control over compliance with requirements of laws, regulations, contracts and grants applicable to federal programs. In planning and performing our audit, we considered the Council's internal control over compliance with requirements that could have a direct and material effect on a major federal program in order to determine our auditing procedures for the purpose of expressing our opinion on compliance and to test and report on internal control over compliance in accordance with OMB Circular A-133.



Our consideration of the internal control over compliance would not necessarily disclose all matters in the internal control that might be material weaknesses. A material weakness is a condition in which the design or operation of one or more of the internal control components does not reduce to a relatively low level the risk that noncompliance with applicable requirements of laws, regulations, contracts and grants that would be material in relation to a major federal program being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. We noted no matters involving the internal control over compliance and its operation that we consider to be material weaknesses.

This report is intended for the information of the board of directors, management and federal awarding agencies and pass-through entities. However, this report is a matter of public record and its distribution is not limited.

January 12, 1998

Albin, Randall & Bennett

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BUSINESS CONSULTANTS

ONE PORTLAND SQUARE
PO BOX 445
PORTLAND, ME 04112-0445
TEL (207) 772-1981
FAX (207) 772-1982

INDEPENDENT AUDITORS' REPORT ON COMPLIANCE AND ON INTERNAL CONTROL OVER FINANCIAL REPORTING BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Board of Directors
Maine Humanities Council:

We have audited the financial statements of the Maine Humanities Council (the Council) as of and for the twenty-four months ended October 31, 1997, and have issued our report thereon, dated January 12, 1998. We conducted our audit in accordance with generally accepted auditing standards and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States.

Compliance

As part of obtaining reasonable assurance about whether the Council's financial statements are free of material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts and grants, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance that are required to be reported under *Government Auditing Standard*.

Internal Control Over Financial Reporting

In planning and performing our audit, we considered the Council's internal control over financial reporting in order to determine our auditing procedures for the purpose of expressing our opinion on the financial statements and not to provide assurance on the internal control over financial reporting. Our consideration of the internal control over financial reporting would not necessarily disclose all matters in the internal control over financial reporting that might be material weaknesses. A material weakness is a condition in which the design or operation of one or of the internal control components does not reduce to a relatively low level the risk that misstatements in amounts that would be material in relation to the financial statements being audited may occur and not be detected within a timely period by employees in the normal course of performing their assigned functions. We noted no matters involving the internal control over financial reporting and its operation that we consider to be material weaknesses.

This report is intended for the information of the board of directors, management and federal awarding agencies and pass-through entities. However, this report is a matter of public record and its distribution is not limited.

January 12, 1998

Albin, Randall & Bennett

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MAINE HUMANITIES COUNCIL
SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FOR THE TWENTY-FOUR MONTHS ENDED OCTOBER 31, 1997

SUMMARY OF AUDITORS' RESULTS

1. The auditors' report expresses an ~~un~~qualified opinion on the general purpose financial statements of Maine Humanities Council.
2. No reportable conditions were ~~disc~~losed during the audit of the financial statements.
3. No instances of noncompliance ~~material~~ to the financial statements were disclosed during the audit.
4. No reportable conditions were ~~disc~~losed during the audit of the major federal award program.
5. The auditors' report on compliance ~~for~~ for the major federal award program expresses an unqualified opinion.
6. Audit findings and questioned ~~costs~~ relative to the major federal award program are reported in the following sections of this schedule.
7. The program tested as a major ~~program~~ was the State Humanities Program. The separate program comprising the cluster and ~~associated~~ CFDA members are identified in the Schedule of Expenditures of Federal Awards.
8. The threshold for distinguishing types A and B programs was \$300,000.
9. The Maine Humanities Council ~~was~~ determined to be a low-risk auditee.

FINDINGS - FINANCIAL STATEMENT AUDIT

None

FINDINGS AND QUESTIONED COSTS - MAJOR FEDERAL AWARD PROGRAM AUDIT

None

PRIOR YEAR FINDINGS

None

6. Regulatory Agenda – n/a

7. Coordination with other agencies

The Council has coordinated with numerous groups, organizations and agencies over the course of its existence. Currently it is actively coordinating with the Cultural Affairs Council to implement the Maine Communities in the New Century Program established by Part LL of LD 617. As part of this effort, the Council is working particularly closely with the Maine Arts Commission to establish a joint grant program in the arts and humanities.

In connection with its family literacy programs, the Council is actively coordinating with

Health Reach/Retired Seniors & Volunteers Program (RSVP)
Maine Commission for Community Service
Maine Office of Child Care & Head Start
Success by Six—United Way of Mid Coast Maine
Task Force on Early Care & Education
University of Maine Cooperative Extension
Literacy Volunteers Association
Maine Education Association
Middlebury College Page 1 Bicentennial Literacy Project
Aroostook County Action Program (ACAP)
CHANS Home Health Care
Carelinks Resource Development Center,, Sanford
Child Care Resource Development Center, Brunswick
Bath Public Health Nurses
Bath-Brunswick Child Care Services
Brunswick Naval Air State Family Services
Damariscotta Healthy Kids
Franklin County Childrens Task Force
Katahdin Friends Incorporated
Knox County Healthy Families
Mid-Coast Child Care Services
Penquis CAP Bangor
Parents Are Teachers Too /Waldo County Cooperative Extension
Parent Child Alliance: Healthy Families
Waldo County Child & Family Services
Woodfords Family Services
Falmouth Family Health Center
Greater Portland Pediatric Associates
Island Community Medical Center, Vinalhaven
Maine Medical Center Scarborough Campus
MaineHealth
Munjoy Hill Family Practice Center
Pleasant Point Health Center

Richmond Area Health Center
Rural Health Centers of Maine: , Leeds & Harrington
MSAD #27 Adult Education (Fort Kent area)
MSAD #29: (Houlton area)
Southern Maine Library District

In connection with its Let's Talk About It and New Books/New Readers programs, the Council works in partnership with the three library district representatives, individual libraries throughout the state, Head Start programs, Literacy Volunteers of America, state prisons, and scholars from Maine universities and colleges.

In connection with its Literature & Medicine project, the Council is actively coordinating with the College of Medicine at the University of New England, Maine Hospital Association, Maine Medical Association, and hospitals all over the state.

In connection with its Philanthropy project the Council is actively coordinating with the Maine Philanthropy Center, humanities councils from each of the New England states as well as from four other states from across the country.

Through its grants program, the Council also works with small cultural groups and organizations throughout the state.

Through all of its programs the Council works with university and college faculty.

8. Constituencies

Pages 3-5 of the Federal Compliance Plan enclosed above at # 4 give a full review of the Council's constituencies.

9. Efforts at alternative delivery systems

The Maine Humanities Council is not a state agency. The Council works constantly to increase its partnerships with other groups, state agencies and organizations to effectively and efficiently multiply the effects of its work.

10. Emerging Issues

These are set forth in the following report to the Council's Board of Directors.

Managing Growth: The Context for Our Meeting

The purpose of our last three planning meetings (1995 in York, 1996/1997 in Skowhegan) was to explore as deeply as possible the Council's role in Maine. Many of you will remember the discussions we had on what we could do to meet the cultural and educational needs of the people -- particularly those not readily reached by traditional public humanities programs -- and our examination of all aspects of the Council's operations. What finally emerged last year, after hard work by board and staff, was a revised mission statement and concomitant restructuring of the entire MHC program (TAB 2).

A Federal Funding Crisis

Underlying all three of the meetings was a very real crisis: the threat to the continued existence of the NEH and potential disappearance of all federal funds for the humanities flowing from that agency. Like most of the 55 state humanities councils in the U.S., 85-95% of our funding was derived from the NEH and therefore we, too, faced extinction. You know the rest of the story: the state councils and other advocates of the humanities around the country mobilized rapidly and effectively, and managed to help the NEH stave off its own destruction-- although the total budget of the agency sank by almost 40% to \$110M and has remained at that low level ever since.

The MHC Response

There's nothing like crisis to precipitate change. It didn't take long for us to figure out that our survival depended on *diversifying* our funding base with non-NEH monies. And in order to achieve such diversification, we had to find a way to make our programs strategically more visible and more understandable to potential funders and the media. As a not for profit organization with a good reputation, a strong, smart board of leaders, a keen sense of adventure and admittedly not much to lose, we found we could make change happen rapidly.

I'm delighted to report that our organizational restructuring, including publication of a revised newsletter, partnering with a wide variety of agencies, and above all, the entrepreneurial spirit and willingness of board and staff to seek new ways of doing business, has resulted in a transformation of our funding base. You can see this reflected in the Development Materials (Tab 6) and in the fact that the percentage of funds (federal and non-federal) *above* our basic grant allocation of \$426,000 from the NEH has increased to 45% (formerly 5-15%) in relation to the total '98-'99 (draft) budget of \$951,000 (which itself is \$212,000 greater than the current year's total budget). What this means is that in just over a year, we've seen remarkable growth in demand for our programs and our ability to pay for them.

Programming Successes in the Restructured Council

I. The Maine Center for the Book (TAB 9). With the generous \$400,000 gift (over four years) from the Stephen and Tabitha King Foundation for our family literacy programs within The Maine Center for the Book, we're pledged to continue developing the programs we created: *Born to Read* and *Prescription to Read* (for very young children and their caregivers), and *New Books, New Readers* for adults. These have attracted even more funding, as is shown by a recent Hannaford Charitable Foundation leadership gift of \$7,500 for the purchase of *Born to Read* books (this donation will be matched by an equal amount from a Maine Development/Ford Foundation grant). On top of that, an AmeriCorps grant of \$148,750 (the largest chunk of those non-NEH funds) will help us disseminate our family literacy programs statewide (see AmeriCorps press release & *Born to Read/Prescription to Read* materials in TAB 9.) Additionally, there is the promise of State funding from the Department of Child Care & Head Start through the AmeriCorps project and a new initiative about to be submitted to a national foundation on behalf of the Governor's Task Force to Study Strategies to Support Parents as Their Children's First Teachers (whew, what a title!). It's not hard to see that a very large chunk of our budget, staff time, and energy will be going to The Maine Center for the Book in the coming years.

The Maine Center for the Book also includes reading programs for many different kinds of audiences. Some of these, such as the Community and Professional Seminars, are supported by fees and foundation grants (the philanthropy seminar, for example, began with a grant from the Lilly Endowment and continued in the second year as an earned income program). Others, like the *Odyssey* program at the Maine Youth Center, were supported directly by fees charged to people enrolled in a related program, the *Odyssey* weekend seminar at Bowdoin. And still others, like *Let's Talk About It* raise little money but are important strategically in the close partnerships we make with libraries across Maine and with the flagship Maine State Library. (This relationship may help us climb the next big mountain: State Funding.)

II. The Maine Collaborative: Teacher Enrichment (TAB 10). As you know, the restructuring of our program this past year included a merger: in October, 1997, the Maine Collaborative formally gave up its own 501 (c)(3) status and became a Division of the Maine Humanities Council. An organization that had successfully attracted over \$1 Million to support high-grade humanities institutes for teachers, had come to the end of the line because of the crisis in NEH funding. Since we had created the Collaborative in the late '80's as a result of the need we saw for content-rich programs for Maine teachers, we decided we couldn't abandon its work. With the merger, the director of the Collaborative (Vicki Bonebakker) became associate director of the Council, and a board member from the Collaborative (Dick Barnes) was elected to the board of the Humanities Council. In the report in TAB 10, you'll see that we've carried forth the work of the Collaborative in good faith, although not on the scale of its original, superbly-funded, summer institutes.

Collaborative programs are supported by modest fees; professional development credits are offered, and some schools provide part of tuition for their teachers. Collaborative teachers also continue to give support to the Council through "memberships" that add up to a few thousand dollars annually, but more importantly, demonstrate the significance of the program in their lives. Like the community and professional seminars in The Maine Center for the Book, earned income from Collaborative programs just about balances out the cost of running them. But you have only to look at the richness of the offerings to see that the benefits to us and to teachers go far beyond money.

III. Contemporary Issues: Literature and Medicine (TAB 11). You can read about the history of this project in the report and in the narrative of the planning grant proposal. I find it a fascinating example of "program (and funding) synergy" -- the way one program, the premiere of an MHC grant-supported film, *A Midwife's Tale*, seeded a Lilly Endowment-supported professional seminar for EMMC staff, and eventually helped leverage an NEH-supported planning grant. In February, 1999, we intend to submit a full implementation proposal to the NEH for \$100,000 to \$200,000 to establish the seminar in every one of Maine's 41 health centers and disseminate it nationally. Judging by the enthusiastic response of the NEH reviewers to the planning proposal, we have a good chance of success. If that happens (notification will be next summer), this project will play a large role in our work in 1999 - 2001. In the meantime, we're also seeking funding from national and state foundations.

IV. Community History and Cultural Tourism (TAB 12). A major initiative of the last four years and our first experiment in dedicated grantmaking, *The Century Project* culminated in a rousing event at the Statehouse this past February. Adults and children poured into the Hall of Flags from around the state, shared the results of their work with each other and with their Legislators, attended a Tea at the Blaine House and had a great time in the process. The Album in TAB 12 bears witness to the accomplishments of the program. Because of its success in helping Maine people and communities understand their own history in a century that's rapidly drawing to a close, we plan to continue the small grant program with a look at the entire century (not just the period 1890-1920 of the original project). But there's also the reality that the original project had an NEH "exemplary award" of \$163,000 and we are unable to support this program right now at the level we might want (see Draft Budget in TAB 4 and the projected Community History Program Plan in TAB 12).

Cultural Tourism (or Arts and Heritage Tourism) is a new program area for us. Spearheaded by the Maine Arts Commission who organized a Cultural Tourism Task Force almost two years ago, we received a \$50,000 federal Institute for Museum and Library Services (IMLS) grant last year on behalf of a partnership with Maine Archives and Museums, the Maine Arts Commission, the State Museum, Maine Historic Preservation, and the Maine Office of Tourism. The grant is to establish a cultural tourism web site and to hold a conference. (Admittedly, we were inspired by the \$1Million cultural tourism funding the Connecticut Humanities Council receives from its State Legislature for a grant program to upgrade the offerings of museums and historical sites). Thus far, our role in the cultural tourism game has

been to take part in the Task Force and a joint granting program with the partners in the IMLS grant, as well as providing oversight for that grant. The Aroostook County Cultural Heritage Tour is our first experiment in direct programming. The bus is full; those of you who signed up will have an opportunity to report on it at our December board meeting.

It's in the area of cultural heritage programs (and the Maine Center for the Book) that we'll soon approach the Maine State Legislature for funding. Through the unprecedented collaboration of seven public and private statewide cultural agencies, a new Maine State Cultural Initiative request will be made in the next session of Legislature for several million dollars to preserve, provide access, and develop local community cultural and educational resources. If funded at the full amount of our request, we'd receive \$250,000 over 2 years for the Maine Center for the Book (submitted on our behalf by the Maine State Library) and \$300,000 over 2 years for our Cultural Heritage Programs -- Century Project grants, cultural heritage tours, and teacher workshops/institutes (submitted on our behalf by the Maine Arts Commission).

What's the possibility of success? Is this only pie in the sky? when pigs fly? Well, the Maine Humanities Council has just overcome a number of seemingly impossible hurdles and **we believe in the power and pleasure of ideas, don't we?** But believing won't make this one happen: we're going to have to find a way to marshal our most vocal advocates: the seminar members, Collaborative teachers, kids who interviewed their town elders, new readers, literacy tutors, home visitors, all those filmmakers, museums and historical societies and libraries that have benefitted from our programs over the 23 years of our existence in this state. In short, we need their help now and we need to mobilize them very soon. The Maine State Cultural Initiative is on the agenda for discussion with the Arts Commission when we meet together in Presque Isle on Friday evening. (At this writing, the text isn't ready for inclusion in the Briefing Book, but you should add it to TAB 12 when you receive it.)