



To: Family Members, Friends and Colleagues of the Massachusetts 9/11 Fund, Inc. attending the Community Forums

From: David Hastings, Executive Director

Date: June 2, 2006

The future of the Massachusetts 9/11 Fund needs to be determined in a thoughtful way. The organization has been in existence for almost five years, with specific goals to accomplish. In its next stage, it is equally important to identify and fully understand the coming goals that need to be pursued, and to put together a concrete plan to accomplish them.

A Committee of the Board of Directors was put together to develop a strategic plan for this very purpose. The preliminary plan has been reviewed by the full Board and has had input from the Family Advisory Committee. Now, we invite the full community to provide their comments.

We will be holding three open forums as follows:

Monday, June 12, 2006  
10:00 AM - 12:00 noon  
Marlborough Public Library  
Marlborough, Ma

Tuesday, June 13, 2006  
10:00 Am - 12:00 noon  
Boys and Girls Club of Plymouth  
Plymouth, MA

Wednesday, June 14, 2006  
Memorial Hall Library, Andover, MA

The purpose of these open forums is to present the current proposals (detailed in the attached report) and receive feedback from any and all interested persons.

This invitation is being sent to all family members on our mailing list, all Board members, and all members of the Community of Care (organizations and individuals working as a team to support the families of 9/11).

If attending one of these meetings does not work for your schedule, please feel free to email or phone in your comments:

Email: david.hastings@massfund.org

Fax: 617-542-0547

Phone: 1-866-FUND-911

The Strategic Planning Committee will receive all of your comments, whether they are made in these community forums or via contact with me. This input will be utilized by the Strategic Planning Committee in developing a final proposal which will then also be provided to the community in three additional forums.

## Message from the Strategic Planning Committee

The goal is to develop a Strategic Plan Document for approval by the full Board of Directors at their meeting July 17, 2006.

This report is designed to accomplish the following specific objectives

1. Describe the present state of the Massachusetts 9/11 Fund
2. Explain the rationale for the development of a strategic planning process and its benefits
3. Present the timetable and the steps for the process
4. Identify the necessary decisions to move forward towards the future

You will find three concept proposals for the future of the Fund.

- Option A - the Fund would eventually close its physical office, discharge its staff, and remain as an all-volunteer group that supervises several partnership agreements with entities that agree to continue performing specific tasks on behalf of the Massachusetts 9/11 Fund, Inc. The organization would remain on paper as a legal entity, and could be renewed to a more active status at any time.
- Option B, Version 1. With the unifying principle being the events connected to 9/11/01, the Board would seek to identify other populations who could benefit from the similar type of services provided to the current constituency of 9/11 families. Funds would be raised for these other populations, but a single core staff and core board would be shared by all such programs of service. The 9/11 service cluster for families would remain.
- Option B, Version 2. With the broader unifying principle being families who could benefit from support in dealing with the unexpected loss of a loved one due to violence, this organizational structure would be otherwise the same as Option B, Version 1 above.

The Strategic Planning Committee

Dan England, Chair  
Jim Fisher  
Faith Arter  
David Hastings, ex-officio

**Report of the Strategic Planning Committee of the Massachusetts 9/11 Fund, Inc. to the  
Community Forums**

June 2, 2006

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## **Executive Summary**

The Massachusetts 9/11 Fund, Inc. has accomplished much of its intended mission. In five short years it reached the goals it had identified: to raise sufficient monies to provide emergency and short-term financial and legal and financial planning assistance to New England based families who lost loved ones on 9/11/01, to advocate for these families through the processes involved in the various support systems that were provided for them, to provide a permanent public memorial and, most importantly, to establish a community of sharing people who have come to appreciate each other's camaraderie and support through very difficult times.

Following a strategic review that took place in June 2004, the Board renewed its efforts in this area, adopting a resolution at its June 2005 meeting, to revive the effort. The Strategic Planning Committee of the Fund began its process in March 2006.

This process identified the key players as the Board of Directors in full, the Family Advisory Committee, staff, and the community of families at large. The Committee developed a process incorporating input and communication between and amongst these groups that resulted in the creation of a mid-course report (initially issued 5/5/06) that was reviewed by the Board of Directors May 17, 2006. This will be followed by a final report to be issued 6/25/06, with a Board vote 7/17/06.

As part of this process, information continues to be collected through interviews and meetings with individuals and organizations with whom the Fund has worked closely over the years.

The Committee initially reviewed four options, and decided to propose that the Board of Directors review two hybrid options. Each of these has been reviewed by the Family Advisory Committee and meets with their approval as the two most viable options.

Each option has a two-stage development. The first, Option A, involves a transition to a reduced staff complement for a maximum of two years beginning no later than 1/1/07. This staff would assist the Board, in identifying partner organizations to agree to administer specific programs for agreed upon time limits. Some programs would continue in perpetuity, the others would terminate 12/31/2011. The end result would be that the Fund would exist as a group of volunteer board members that would meet as needed, but no less than once a year, to review the work of its contracted partners.

Option B involves a transition to a modified staff complement from the existing group, changing the current staff position which requires a clinical license, to a case manager/advocate, and identifying additional potential populations who could benefit from a similar set of services. Each population, including the 9/11 families, would represent a service arm of an umbrella-type organization whose Board would include representative interested volunteers from each service arm.

Community forums will be held to open this plan up for maximum comment, review and input.

## **The History of the Fund and Its Strategic Planning**

The Massachusetts 9/11 Fund has several characteristics that make it unusual in the public sector. Understanding the early attributes is important as these represent the core values of the organization. As any organization, the circumstances of the founding of the Fund dictated its early history.

The organization was assembled very quickly. Through the combination of a generous donor, the Stop & Shop Companies, a small group of very motivated volunteers assembled by Eric MacLeish, and a number of family members whose lives had suddenly been intertwined by a hateful act that occurred on a sunny Tuesday morning, the Fund was created within 100 days of 9/11/01.

The family members themselves were intimately involved with setting the direction of the Fund, meeting directly with the Board and interfacing with the professional staff on a regular basis.

The organization was streamlined in function from the beginning, and distributed significant sums of money, making awards to family members before the larger institutions could marshal their resources. An Executive Director was appointed in July 2002 when it became obvious that the administrative and fundraising needs were beyond the scope to be handled efficiently by a volunteer organization. Social Service advocacy and referral services were developed in July 2003 in response to identifying needs not met by other organizations.

The largest single fundraising cause-license plate auction in the history of Massachusetts was carried out, and a revenue stream was established that exists to the current day.

A permanent and public memorial and peaceful reflection garden was designed and constructed in the Boston Public Garden. This was another example of the unique efforts of the Fund. Championed by Board Member, Candy Altman, the memorial was embraced by Mayor Menino, Governor Romney, Senators Kennedy and Kerry's, and became the first site of its type to be established in what is Massachusetts' most historic and venerable Public Garden. Several families participated in the design and dedication of the Public Memorial, which added to the ultimate support of the Memorial by many family members who were not included in the development of other public Memorials.

In 2004, this organization took some time to reflect upon its accomplishments, peer into the future, and attempt to determine where to go next. The Board of Directors enlisted an external consultant who conducted an exercise that identified some possible future directions. The term "sunset" was used to describe one possible scenario, the organization reducing in size or possibly planning an eventual closure. At the same time, the possibility of expanding services to new or different populations was cited as a possible outcome. An idea to document a Rapid Response to Tragedy Organization Model was fostered but not well developed. No decisions were made at the time.

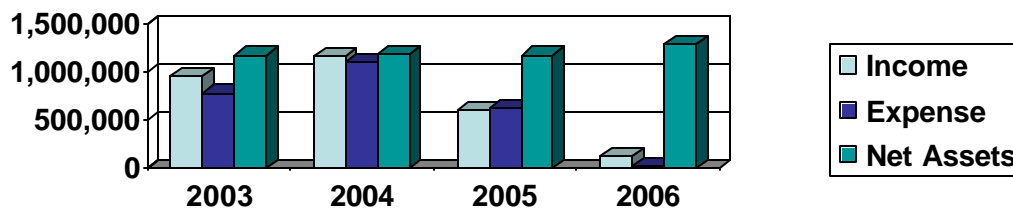
The organization changed professional leadership during the period October 2004- April 2005.

At the June 2005 Board meeting, the Board acknowledged the need to reinvigorate the strategic planning effort. The Executive Director offered a scenario that included specific steps in preparing for strategic planning. He noted the preparatory measures necessary included deep understanding of the population's needs, an assessment of the Fund's strengths and the challenges it faces, and an environmental scan to determine potential areas of need and opportunity where the Fund could excel. The Board supported undertaking these measures.

### Strategic Planning 2006

In March of 2006, President Faith Arter requested Dan England, Chair of the original strategic planning committee, to bring the effort back into action, given the analysis that had been accomplished in the interim. The Committee was formed including Dan, Faith, Jim Fisher, and the Executive Director, David Hastings.

The Committee began its work by reviewing the history of the Fund, its origin and major accomplishments, as summarized above. A review of its finances revealed a strong revenue base, with a significant accumulation of assets built up over the years, all with some type of restriction. The bulk of the revenues are targeted either for the benefit of Massachusetts families who lost someone on 9/11 and for the design, construction and maintenance of a public memorial. A three year retrospective (2003, 2004 and 2005) and a snapshot of February, 2006 follow. Clearly, the assets of the organization have been building up over a period of years.



The Committee agreed that its strategic plan would provide the following:

- Mission Statement: "why do we exist", "what do we do"?
- Vision Statement: "where do we see ourselves going as an organization", "what should the impact of our work be"
- Statement of Values: our philosophy, our beliefs
- Goals with Measurable Objectives: what do we wish to accomplish, how will we know it when we get there?
- Strategy and Tactics: how we will accomplish our goals and objectives

The Committee also established the areas that will need to be pursued and understood fully prior to the adoption of any final strategic plan. Those issues are:

- Legal issues - the constraints and opportunities presented by our current by-laws, articles of organization, and the specifics of our tax exempt status

- License plate revenue - the constraints of the use of the funds, including the memorial portion of the revenue
- Organizational structure - the capabilities and limitations of our existing structure
- Staffing - the capacity and skill set of our existing staff; ability to provide other services
- Transition issues - what would be the constraints and opportunities in changing operations of the Fund (close, expand, diversify, contract)
- Implementation Plan - what we expect the budget to look like (revenue and expense), priority order of tactics, accountability and responsibility for each proposed outcome
- Feedback Requested - any potential change in the course of action/direction requires acceptable amounts and varieties of input
- Determining the appropriate level of intervention for supporting post-disaster families
- Environmental scan – what are other organizations involved in post-9/11 activities doing?
- Are there potential niches the Fund is well-suited to work in?
- Are there opportunities for collaboration with existing organizations?
- Are there other 9/11-related issues that may arise later for which families would need support?

The Committee met and established a specific timeframe with deliverables. The process as established provided for a series of Committee meetings. Parallel to the meetings of the Committee, the staff will meet with the Family Advisory Board, soliciting their input and response to periodic reports and updates from the Committee process. The Committee will publish two reports - May 5 and June 25. The Board of Directors will meet to review the reports (received in advance) providing direction for further work on May 17, and deciding upon a final strategic plan July 17. Open meetings of the entire community, including family members, Board members, and community partners will be held after the publication of each report. The schedule of this process follows:

#### Strategic Planning Committee Meetings

- March 15
- April 11
- April 25
- Preliminary Plan issued May 5
- June 15
- Final Proposal issued June 25

#### Family Advisory Committee Meetings

- March 24
- April 24
- May 11
- Additional meetings to be scheduled

#### Board Meetings



- May 17
- July 17

Community Forums - two sets. The first would review the outcome of the May 17 Board Meeting

Three Locations - this would be the first set of forums, reviewing the May 17 decisions and recommendations.

- June 12 – 14

Three Locations - this set of forums would review the June 25 report of the Strategic Planning Committee, and be scheduled in the following date range:

- June 26 – July 7

The Committee reviewed the existing organization mission, and it is important to restate it here for the reader's perspective:

*To provide monetary, legal and financial planning services to Massachusetts families directly affected by the loss of, or injury to, a family member as a result of the terrorist attacks of September 11, 2001, or other terrorist attacks which may occur in the United States in the future, and to provide similar disaster relief services as permitted...*

The Committee also reviewed and assessed the strengths of, and challenges faced by, the Fund.

#### Strengths

- Knowledge of, relationships with, and connections to Massachusetts services, professionals, government
- Connectivity to family constituency
- Surplus funds
- Ongoing revenue stream for families of 9/11 (license plates)
- Organizational infrastructure (established and fully operative office, administrative and operating procedures, financial reporting and monitoring capability)
- Staff competencies
  - Mental health and social services
  - Program development, operations and management

#### Challenges

- Board membership and activity level decreasing
- Narrow scope of use for existing revenues

- Partner fatigue - most community organizations and funding groups are leaving the 9/11 support activity area
- Lack of Scale of the organization - it cannot easily expand as currently designed
- Diversity of constituent opinion - there is no single "family opinion"
- Changing need(s) of families

The Committee arrived at a clear understanding that given the activities scheduled and in process for the duration of 2006; it would not be possible to begin to implement any changes decided upon as a result of the strategic plan immediately. However, the Committee was clear that once the direction is decided (7/17/06), preparation for implementation must begin so the organization is prepared to begin the transition no later than 1/1/2007.

### **Options Evaluated**

In considering various options, the Committee reviewed the research that was collected. This research included interviews, conversations, formal and informal input from the following organizations:

Robin Hood Foundation  
 American Red Cross  
 Rockefeller Philanthropies  
 United Way of Massachusetts Bay  
 Catholic Charities  
 Boston Medical Center  
 Offices of Senators Kennedy and Kerry

In addition, the quantitative and qualitative analysis of the 2006 Family Needs Assessment was considered.

The Committee initially considered four possible outcomes. They are listed here, briefly, with their characteristics.

#### **Option - Hand Off**

In this scenario, the Fund would identify one or more community partners with whom it would negotiate specific agreements to receive a portion of the assets of the Fund, and address the following, in perpetuity:

- Public Garden Memorial Maintenance and Inspection
- Annual Commemoration ceremony on 9/11

Then, perhaps the remaining surplus would be distributed among existing families, or perhaps be established as endowments for scholarships or emergency assistance. In the latter case, specific agreements would have to also be negotiated, and parameters for the awards established.

### Option - Expand

In this scenario, the Fund would expand its services to the 9/11 constituency, providing additional services beyond its existing capacity, including perhaps:

- Policy - develop proposed policy changes in the area(s) of disaster preparedness, post-disaster recovery
- Advocacy - lobby for specific policy changes
- Education - provide organizations and institutions with the understanding of the history of the events of 9/11, understanding of the affects on the survivors, and of the challenges faced by the families
- Mentoring - assisting family members with life changes (young people selecting careers, older individuals becoming caretakers of their parents, changing relationships at marriage/divorce)
- Pay it Forward - assisting family members who are engaged in efforts to honor their loved ones through the establishment of scholarships, foundations, cause-related activities

### Option - Diversify

The option to diversify would present the Fund with the opportunity and challenge to identify and support other populations who might have been affected by other critical incidents outside their control such as families of Iraq or Afghanistan war casualties, or participate with other organizations to provide increased information and referral support to citizens of the Commonwealth.

### Option - Continuation as is

The fourth option the Committee evaluated was to maintain the Fund as is, with existing staff and the existing priorities.

### **Option Selection**

The Committee reviewed all four options, and decided to recommend that the Board consider two hybrids of the existing four possibilities. In doing so, the Committee recommends against the consideration of any of the four options as described above. Briefly, the rationale is as follows:

Hand Off - The family constituency clearly wishes to have the Fund maintain the elusive, and hard to define, "community" that has been established. For some family members, this is a feeling of belonging to a common group of family members whose gathering the organization has supported, both formally and informally. Clearly, the 2006 Needs Assessment also notes that there is a preponderance of family members for whom recurring grief reactions occur. 70% of family members responding to the survey report that they have experienced physical affects from experiencing the trauma of the loss. Practically, even if the Fund were to find it appropriate to eventually dissolve or hand its assets to a continuing

effort of some type, neither the constituents nor the organization is capable of going immediately to that transition in 2007.

Expansion - The family responses do not strongly support the increase in the provision of services. Financial assistance grants to families in the last twelve months have gone to less than eight families. Attendance at most events would not suggest that additional programs would bring in large numbers. Requests for services, in general, have decreased steadily since 2002.

Diversify - Immediate diversification is not practical as there would not be sufficient time to both identify additional populations or service types and to raise the additional unrestricted monies that would be required to provide services to a population or populations different than the 9/11 families. There would be time necessary to make changes to the organization's structure, and also to identify the legal and other hurdles that would have to be addressed. Therefore, an immediate transition to a diversified organization no later than 1/1/07 is not practical.

Continuation as is - the committee believes firmly that the rationale for this strategic planning process is counter to the notion of remaining as is. Clearly, there would be a substantial revenue build-up that would not address the reason donors provided funding to the organization. Existing staff are not in synch with the continuation needs expressed by families. Specifically, there is a decreasing need for maintaining a licensed clinician on staff given the marked decrease in the provision of mental health support in a non-treatment relationship by the Fund and its staff. The fund appropriately refers individuals to private clinicians if they require or would be advantaged by individual therapy.

The Committee developed, and has proposed, the consideration of two hybrid options, each of which would begin no later than 1/1/07:

#### Option A

Phase one: down-size (details below), and continue until no later than 1/1/09

Phase two: hand-off by 1/1/09

#### Option B

Phase one: engage in a transition (details below) until no later than 1/1/09

Phase two: diversification into a single organization with multiple service arms, one of which would provide support to 9/11 families by 1/1/09. However, if the diversification effort is not successful, plan for a hand-off by 1/1/09.

#### Option A

This choice provides an orderly transition to an eventual outcome such that the Board of Directors would be comprised of 50% family members, and the organization would have neither staff nor an ongoing physical office presence. A down-sized transition staff would continue for no longer than January 2009. The next phase would be the same as the initial "Hand-Off" option described earlier, where the organization's board would have 'permanent'

contracts with other institutions who would handle the continuing activities. The schedule for maintaining such continued activities could be as follows: (this is only an example)

#### Perpetuity

- Public Garden Memorial Maintenance and Inspection
- Commemorative ceremony on September 11

#### Time Limited - expiration December 31, 2011

- Pre-secondary school scholarships (a possible program)
- Mental health referral (existing program)
- Extension of Health Care Support Program (an existing program through 12/31/2008)
- Payment for 33rd+ mental health treatment visit (a possible program). The Red Cross has historically paid for the first 32 mental health treatment visits.

There would be no fund raising beyond the continued receipt of the license plate revenues. In the first phase, which would begin no later than 1/1/07, the Executive Director position would be reduced to 80% time rather than full time; the Administrative Coordinator position would be reduced to 50% (halftime) from full time; the fulltime Social Work Coordinator position would be converted to an 80% time Case Manager/Advocate position. This position does not require that the incumbent be a licensed independent clinician. The individual's skills would be in the area of client advocacy, case management and liaison work with other agencies.

#### Option B

This option has one similarity to the program proposed as Option A above. The change from a licensed, independent clinician position to a case manager/advocate would also take place, however the position would remain full time. The Executive Director and Administrative Coordinator positions would remain full time. This team would work to identify additional populations requiring services, where there is some demonstrated expertise in the Fund that could be utilized. This expertise includes not only the provision of support services to families, but also knowledge of the government and business community and a demonstrated excellence in fund raising. The Fund would proceed to identify such populations or agency/organizations with which to collaborate or merge, and work towards the identification of a model of an organization with a central board and executive leadership. As an example, a graphical interpretation of such a structure follows.

The advantage of a model like this is that it can be scaled, and is more efficient than spawning multiple small, competing organizations with duplicative overhead costs. Candidates for program service in such a diversified model include families who have lost soldiers in the Afghanistan and Iraq wars, families whose missing/abducted children are lost, participation in a state-wide information and referral network as part of a nationwide "211" program; rescue workers suffering from debilitating diseases, families who lose rescue workers. Each program would need to identify its own revenues. Funds raised for the support of 9/11 families could not be utilized for other purposes.

As noted above, certain existing programs and proposed programs were suggested to have program closure dates (either "none" - as in perpetuity; or 12/31/2011). In Option B, the 9/11 service arm of the new organization would follow those proposed closure dates. However, there would be no necessity to identify sub-contractors for the perpetuity programs, as the 9/11 service arm would handle the perpetual aspects of the identified programs.

There exists the possibility that such a diversification effort could fail. The Committee has considered that and is proposing, as part of this model, an alternate phase two such that the existing 9/11 service set be transitioned as described in Option A so that it is not a casualty of a failed diversification effort.

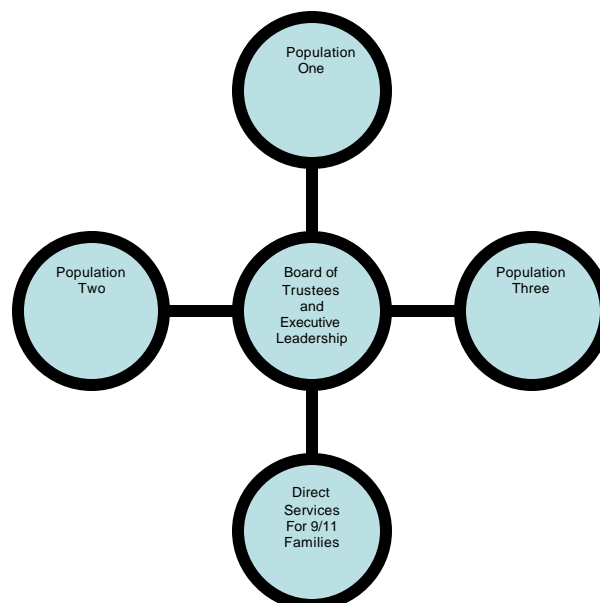
### Unifying Principles for Consideration in Option B

The Board at its meeting on May 17 suggested that the Strategic Plan Option B have one of two unifying principles as a guide in identifying which other populations or program services to include in the diversified organization. These two principles are -

- Populations affected by the events of 9/11/01, either
  - Immediately, or
  - Subsequently
- Families who could benefit from the types of support services provided by the MA 9/11 Fund to families who have lost loved ones on 9/11

In the first case, populations such as rescue workers, displaced workers, volunteers who went to the site to assist rescue workers, Iraq and Afghanistan war veterans and their families, as examples.

In the second case, programs for the families of these folks could be added as discrete program services, in addition to families who have lost loved ones to violence, whether 9/11 related or not. In either case it is important to remember that the revenues from donors who provided these monies for the benefit of 9/11 families could not be used for these other populations. New revenues would have to be raised.



## **Conclusion**

You are receiving this report in the hope that it will generate questions, comments or other feedback that you can share with the Fund. Please do offer your thoughts in person by attending the Community Forums, or, by contacting David Hastings in any of the following ways:

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