



# **Ford Foundation records, Peace and Social Justice Division (PSJ), Governance and Civil Society, Program Officer, Office Files of Michael Lipsky**

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Rockefeller Archive Center

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## Summary Information

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<b>Repository:</b>	Rockefeller Archive Center
<b>Creator - aut:</b>	Lipsky, Michael
<b>Creator:</b>	Ford Foundation
<b>Title:</b>	Ford Foundation records, Peace and Social Justice Division (PSJ), Governance and Civil Society, Program Officer, Office Files of Michael Lipsky
<b>ID:</b>	FA595
<b>Date [inclusive]:</b>	1959-2003
<b>Physical Description:</b>	22.5 Cubic Feet 59 containers
<b>Language of the Material:</b>	English .

### Preferred Citation note

Information regarding the Rockefeller Archive Center's preferred elements and forms of citation can be found at <https://rockarch.org/collections/access-and-request-materials/#citations>

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## Biographical / Historical

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Michael Lipsky was a program officer at the Ford Foundation from 1991 until 2002. Between 1991 and 1995, Lipsky served as a program officer within the Ford Foundation's Governance and Public Policy unit. In 1996, after some restructuring at the Foundation, he was a program officer in the Peace and Social Justice within the Governance and Civil Society unit, and in 1997, he was promoted to Senior Program Officer. He left the Foundation in 2002.

One of Lipsky's primary responsibilities at the Foundation in the 1990s was organizing the Innovations in American Government program along with the Kennedy School of Government at Harvard University and the Council for Excellence in Government in Washington, D.C. The objective of the program was to demonstrate that American governments are capable of responding creatively and effectively to critical social issues. Each winning program received a Foundation grant of \$100,000 to disseminate information about the program and encourage its replication. In 1995, the Foundation expanded the number of \$100,000 awards to 15 and began honoring federal Innovations as well. The program was

renamed Innovations in American Government at this time. Lipsky also worked on a similar program, the Partnership for Trust in Government. Founded in 1997, the Partnership convened 36 major American corporations, nonprofits and media organizations to promote the importance and accomplishments of government of the American people. The Partnership was managed by the Council for Excellence in Government. Lipsky was also involved in adapting the model of the Innovations program for government grantees in Brazil, the Philippines, South Africa, Chile, and Native American nations.

In addition to these activities, Lipsky was active in carrying out the State Fiscal Analysis Initiative. At the time of his involvement, SFAI was a network of 22 state-based organizations and several national nonprofits that produced timely and accessible state tax budget analysis in order to improve outcomes for low-income and other vulnerable populations. A similar program supported by Lipsky's work was Collaborations that Count, an eleven-state initiative in the South and Northwest to improve the ability of grassroots organizations to work together on a common agenda, and to work more effectively with policy analysis organizations. Lipsky also helped administer the Budget and Fiscal Analysis Network. In collaboration with the International Budget Project of the Center on Budget and Policy Priorities of Washington, D.C., program officers and grantees of the Foundation's overseas offices worked to advance budget transparency and accountability worldwide. Before leaving the Foundation, Lipsky worked to establish Leadership for a Changing World, a program to recognize and celebrate the contributions of community leaders in the United States. The first awards took place in 2001.

Before joining the Ford Foundation as a program officer in 1991, Lipsky was a temporary assistant in the Public Affairs Program at the Ford Foundation in 1965, an assistant professor of political science at the University of Wisconsin, and a professor of political science at the Massachusetts Institute of Technology from 1969-1991. He is known for writing *Street-Level Bureaucracy*, first published in 1980. Lipsky defined street-level bureaucrats as "public service workers who interact directly with citizens in the course of their jobs, and who have substantial discretion in the execution of their work."

After leaving the Foundation, Lipsky was senior program director of Demos, a non-partisan public policy research and advocacy organization, and an affiliate professor at Georgetown University.

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## Biographical / Historical

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The Ford Foundation's Governance and Public Policy Program (GPP) operated during the early to mid-1990s. It oversaw grants for programs and projects involved with citizen participation and electoral politics, policy think tanks and interdisciplinary approaches to economic and social policy, improving state and local government, increasing the number of minorities in the public policy field, and philanthropy and the nonprofit sector. GPP grantees included the Woodrow Wilson Program, the Innovations in American Government Awards Program, and the Public Agenda Foundation among many others. Jan Jaffe served as Acting Director for the program during a transition period between 1992 and 1993. June Zeitlin then became Director in 1993 and continued to lead the program when it transitioned to become the Governance and Civil Society Program in 1996. The Governance and Civil Society program's overarching goals were to improve governmental performance and accountability, find

new approaches to implement public policies, and enhance the role of civic organizations in promoting democratic values.

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## Scope and Contents

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The collection documents Michael Lipsky's work as a program officer for the Ford Foundation in the fields of governance, civil society, and peace and social justice. In particular, the collection highlights Lipsky's leading role in organizing the Innovations in American Government awards program from 1991-2001. Records related to the program include correspondence with government officials, reports, publications, application materials, and event materials. Another program established by Lipsky's work with the Foundation was the State Fiscal Analysis Initiative, a program to provide research, policy analysis, public education and coalition building for state budgets across the United States. The collection contains SFAI reports from state organizations, grant proposals, and correspondence.

More generally, trip reports, grant applications, and correspondence related to global and local governance initiatives can be found throughout the collection.

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## Arrangement

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The collection is arranged into 6 series:

1. Correspondence, 1991-2002
2. Country Files, 1991-2002
3. State Fiscal Analysis Initiative, 1991-2003
4. Innovations in State and Local Government Files, 1985-2003
5. Program Related Investment (PRIs) and Finance Related Files, 1959-1995
6. Subject Files, 1965-2002

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## Administrative Information

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### Publication Statement

Rockefeller Archive Center

15 Dayton Avenue

Sleepy Hollow 10591

[archive@rockarch.org](mailto:archive@rockarch.org)

URL: <http://www.rockarch.org>

### Immediate Source of Acquisition note

Michael Lipsky's material arrived at the RAC in four accessions between 2012 and 2019.

The material that arrived in 2012 was originally processed into two collections, FA595 and FA725.

FA725 was originally part of Accession 2012:064, a large accession of Ford papers that was broken into many discrete collections. The original box numbers associated with this collection were Boxes 43107, 43111, 43124-43129, 43138-43143, and 43308. FA725 contained correspondence, reports, and state, city and project files. This collection was minimally processed and contained no series, file-level numbering, or biographical note.

FA595 originated from Accession 2012:044, another large accession that was broken into discrete collections. The collection's original box numbers were Boxes 48537-48543. FA595 contained four series: Correspondence, Program files (regional files and subject files), Innovations in State and Local Government files, and Program Related Investment (PRIs) and Finance Related Files. This collection was also minimally processed. Two more accessions of Michael Lipsky's material arrived in 2019 as Accession 2019:144 (Box 42604) and Accession 2019:145 (Box 42605). Accession 2019:145 contained files related to the Innovations in State and Local Government awards and were added to Series 4. Accession 2019:144 was added to Series 6: Subject Files.

### Processing Information

Michael Lipsky's material arrived at the RAC in four accessions between 2012 and 2019. The material that arrived in 2012 was minimally processed into two collections (FA595 and FA725).

Two more accessions of Michael Lipsky's material arrived in 2019 as Accession 2019:144 (Box 42604) and Accession 2019:145 (Box 42605).

In 2020, Katie Martin made the decision to combine all of Michael Lipsky's material into one collection, FA595. The collections and accessions of Lipsky's files contained related subject matter and were created within the same time period. Before reprocessing work started, all Lipsky files were only minimally processed and needed to be rehoused and brought up to standard processing

procedure. The order of material was preserved when possible and original series names were retained.

## Conditions Governing Access

Open for research with select materials restricted as noted. Brittle or damaged items are available at the discretion of RAC. Researchers interested in accessing digital media (floppy disks, CDs, DVDs, etc.) in this collection must use an access surrogate. The original items may not be accessed because of preservation concerns. To request an access surrogate be made, or if you are unsure if there is an access surrogate, please contact an archivist.

When requesting to view audiovisual material, please refer to the Title and the AV Number (example: AV 1916). Researchers are asked to check the "Restrictions" note for each Title. If a Title does not currently have an access copy, please contact a RAC archivist for further instruction.

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## Controlled Access Headings

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- Federal government -- United States -- Awards
- Ford Foundation
- Government and Public Policy
- Local government -- Awards
- State Government -- United States -- Awards

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## Collection Inventory

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### Correspondence, 1991-2002

#### Arrangement

Chron files are arranged in yearly increments and then alphabetically by recipient's last name.

## Scope and Contents

This series contains Michael Lipsky's correspondence with grantees, interoffice memos, and letters related to the organizational efforts behind Innovations in American Government events.

Title/Description	Instances	
Chronological Correspondence, A-Z, 1991-1994	box 1	folder 1-5
	box 2	folder 6-10
Chronological Correspondence, 1991-1994	box 3	folder 11
Chronological Correspondence, 1996	box 3	folder 12-14
Chronological Correspondence, A-Z, 1997	box 3	folder 15-16
	box 4	folder 17-19
Chronological Correspondence, A-Z, 1998	box 4	folder 20-22
	box 5	folder 23-24
Chronological Correspondence, A-Z, 1999	box 5	folder 25-28
Chronological Correspondence, A-Z, 2000 January-May	box 6	folder 29-32
Chronological Correspondence, A-Z, 2000 June-December	box 6	folder 33-35
Chronological Correspondence (Karen Garcia's copies - Lipsky's assistant), 2000	box 7	folder 36-37
Chronological Correspondence, A-Z, 2001 January-July	box 7	folder 38
Chronological Correspondence, A-Z, 2001 July-December	box 7	folder 39
Chronological Correspondence, 2002	box 7	folder 40

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## Country Files, 1991-2002

### Scope and Contents

Grant reviews, trip files, publications, notes from meetings, and reports related to Ford Foundation Governance and Civil Society grants in countries outside the United States.

Title/Description	Instances	
Eastern Europe, 1997	box 7	folder 41
East Africa, 1997-1999	box 7	folder 42
East Africa Conference, 1994-1996	box 8	folder 43
Study on the Election of Villagers Committees in Rural China, 1993	box 8	folder 44
The Report on the Villagers Representative Assemblies in China, 1994	box 8	folder 45



Colombia, 1997	box 8	folder 46
CODESRIA, 1994-1995	box 8	folder 47
India (Select materials related to Namibia and Eastern Europe), 1993-1999	box 8	folder 48-49
	box 9	folder 50-51
Africa - Grants, Reports, Conference Materials, Background, etc., 1993-1994	box 9	folder 52
Asia, 1991-1994	box 9	folder 53
Mexico, 1993-1999	box 9	folder 54
Namibia - Decentralization in Namibia Summaries, 1997-1998	box 9	folder 55
Pakistan, 1998	box 10	folder 56
Philippines - Innovations and Excellence in Local Governance - Galing Pook Awards, 1995-1999	box 10	folder 57
Philippines - Manila Meeting Re: Innovations Awards, 1997 May 30-June 1	box 10	folder 58
Philippines - Memoranda, 1998-2000	box 10	folder 59
Poland - Exhibit Re: Innovations and Investments, 1992	box 10	folder 60
Poland - July 1998 Eastern Europe Trip, 1997-1998	box 10	folder 61
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South Africa - Innovations including Impumelelo Program, Grants, etc., 1995-1999	box 10	folder 63
West Africa - Dakar Visit, Reports, etc., 1994-1995	box 10	folder 64
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	box 11	folder 67-68
Israel, 1997-1999	box 11	folder 69
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Brazil Innovations Program, 1997-1998	box 12	folder 77
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Australia, 1994-1996	box 12	folder 79-80

Bangladesh, 1992-1995	box 12	folder 81
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South Africa, 1993-1999	box 13	folder 83-85
India, 2001	box 13	folder 86
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Third International Conference (2012:064:001)	box 13	folder 89
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India - The Ford Foundation and Responsive Government in India, 2000 January	box 15	folder 96
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South Africa Report, 1996-2002	box 15	folder 98-100
Mexico File, 1999-2002	box 15	folder 100-101

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## State Fiscal Analysis Initiative, 1991-2003

### Scope and Contents

In 1993, the Ford Foundation joined with the Charles Stewart Mott Foundation and the Annie E. Casey Foundation to create the State Fiscal Analysis Initiative. The State Fiscal Analysis Initiative (SFAI) was created in response to social welfare responsibilities shifting from the national government to state and local governments. SFAI was a collaborative funding effort to empower state-level nonprofit organizations to undertake credible, timely and understandable analysis of critical budget and tax issues and inform the public on these matters. The Ford Foundation provided nearly half of the national foundation support for this initiative, which concluded in 2002. The grants supported research, policy analysis, public education and coalition building. Initially, grants averaged \$100,000 annually for each state budget analysis project. The selected nonprofit affiliates were committed to addressing how budget issues were affecting low-income and disadvantaged groups in their states. SFAI supported 11 groups in 1993 to having affiliated policy groups in 29 states and the District of Columbia.

SFAI grantees:

Alabama Arise

Arizona Children's Action's Alliance

Georgians for Children

Maine Center for Economic Policy

Maine People's Resource Center

Tax Equity Alliance for Massachusetts Education Fund

North Carolina Legal Services Resource Center

New York Fiscal Policy Institute

Voices for Illinois Children

Michigan League for Human Services

Center for Public Policy Priorities in Texas

University of Washington Institute for Public Policy Management

National Organizations:

Center on Budget and Policy Priorities

Center for the Study of the States

<b>Title/Description</b>	<b>Instances</b>	
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Mayfair Neighborhood Improvement Initiative, 1997	box 16	folder 103
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Alabama, 1998	box 16	folder 105
<b>Scope and Contents</b>		
Arise Citizens' Policy Project		
Colorado, 2003 January	box 16	folder 106
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Colorado Center on Law and Policy		
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Idaho Women's Network, Idaho Community Action  
Network, and United Vision for Idaho

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Oregon Trip, 1998 August 1	box 16	folder 110
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Citizen Action Education and Research Fund, and The  
Washington State Labor Council AFL-CIO

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New York - Fiscal Policy Institute, 2002	box 18	folder 136
North Carolina Budget and Tax Center - Community News (Grassroots Publication), 2002 June 14	box 18	folder 137
North Carolina Budget and Tax Center - Select News Clippings Citing Budget and Tax Center Staff, 2002 June 14	box 18	folder 138
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North Carolina Budget and Tax Center - Select Budget and Tax Center Website Postings (Testimonies, Question and Answers, Fact Sheets, etc.), 2002 June 14	box 18	folder 141

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Michigan Site Visit - League for Human Services		
Site Visit to New York State Fiscal Analysis Initiative Grantee - Fiscal Policy Institute		
Site Visit to the North Carolina Legal Services Resource Center		
Center for Public Policy Priorities (Texas)		

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## Innovations in State and Local Government Files, 1985-2003

### Biographical / Historical

In 1986, the Ford Foundation, with the assistance of the John F. Kennedy School of Government at Harvard University, initiated an awards program on Innovations in State and Local Government. The objective of the program was to demonstrate that American governments are capable of responding creatively and effectively to critical social issues. Each winning program received a Foundation grant of \$100,000 to disseminate information about the program and encourage its replication. From 1986 until 1995 (with a hiatus in 1989), the awards honored ten states, cities, counties, and tribal or public authorities for exemplary innovative programs. In 1995, the Foundation expanded the number of \$100,000 awards from ten to 15 and began honoring federal Innovations as well. The program was renamed Innovations in American Government at this time and began partnering with the Council for Excellence in Government.

The Foundation undertook a variety of outreach activities in support of the Innovations Program. It hired a public relations firm to disseminate information about award-winners, finalists, and semi-finalists, and to promote

awareness of the program in the popular media and trade press. It sponsored a program booklet to publicize Innovations programs. The ceremony was held in D.C. beginning in 1993. Between 1993 and 1998, Vice President Albert Gore participated in the event.

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Access copy currently unavailable. Please contact a RAC archivist for further instruction.		
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