AN ANALYSIS OF SELECTED FOUNDATIONS ACTIVITIES IN FUNDING GRANTS FOR CONTINUING AND NONTRADITIONAL EDUCATION, 1973-1978

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ABSTRACT

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The Problem

There is a growing awareness among educators and the general public of both the need and the demand for more adult education programming. Continuing education, traditionally considered peripheral to the education system, is now recognized as an important aspect of institutional survival. For higher education, faced with declining enrollments of 18-22 year olds, attracting the previously ignored adult learner is critical. To effectively compete for this constituency, colleges and universities must, in essence, "retool" their administrative and academic frameworks to accommodate both traditional and nontraditional adult students.

The need to integrate continuing education into the mainstream of education comes at a time when higher education is fighting simply to maintain a "steady state." However, it is well within the scope of private philanthropic foundations to assist institutions in this task.

The foundation grants process is designed to respond to new, unmet needs. They have, moreover, a tradition of support for higher education institutions.

The extent to which foundations, in keeping with their role of enabler, have provided grants to help institutions respond to this changing focus has not been known.

The Method

This study explored the foundation response to the expanded need for continuing and nontraditional education. Its primary objective was

> to identify and analyze the extent and type of continuing and nontraditional education activities funded from 1973 through 1978.

Data was collected on grants made by fifteen selected major general purpose foundations for the six year period. The data base was the Foundation Grants Index (FGI). Continuing and nontraditional education grants made by the foundations were selected by a computer scan of all grant listings searching for descriptors which identified these activities.

There were 577 grants identified in the FGI search. Decision rules were developed to eliminate any inappropriate grants. Indecks[C] research cards were used to code and analyze information regarding donor foundations, recipients, year of award, amoung and grant purpose.

The Results

Data from this study were analyzed focusing on the foundations, the recipients, the year and the grant purposes. There were 434 grants made in the 1973-78 period by the fifteen foundations. The total appropriation was $56.8 million.

Five foundations accounted for 82.5 percent of all contributions. Higher education was the favored recipient, gathering 60.7 percent of all grants and 63.7 percent of all appropriations. Public colleges and universities were favored two to one over private institutions.

Traditional continuing education programs received the broadest base of support from all foundations. For nontraditional education, learning resource centers and external degree programs were favored projects. Training was the only type of activity where non-profit organizations received grants equal to those awarded to higher education.

Comparisons between FGI data and Annual Reports uncovered numerous examples of under-reporting by the FGI of grants relevant to this study. The shortcomings of the FGI proved to be the major finding of the study. Lack of consistent terminology and the voluntary nature of the reporting system were traced as two of the reasons.

The amount of understatement for grants in the FGI was not, however, considered great enough to alter the basic conclusions concerning foundation contributions

to continuing and nontraditional education. The magnitude of funding for this area was small for the six years except among those foundations with a traditional interest in the field. Higher education was the favored recipient and career related programs were the preferred purpose.

The difficulties encountered with the FGI can be taken into consideration in designing future research. The problems are correctable if the foundations provide the time, money and commitment.

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CHAPTER I

STATEMENT OF THE PROBLEM

Introduction

In the early history of American higher education, private philanthropy was of primary importance in the creation of new colleges and universities built to accommodate the growing demand for increased educational opportunities.

By the twentieth century, private foundations, developed as a conduit for philanthropy, promoted the general improvement of the higher education system. They secured the idea of education for women, introduced electives into the curriculum, and helped upgrade salaries, and establish pension funds for faculty.[1]

Following the second world war, higher education entered a twenty-five year period of phenomenal growth. Demobilization and the educational benefits of the G.I. Bill enabled millions of veterans to attend college. Cold War politics and paranoia produced billions of dollars for university R & D and for student financial aid through the National Defense Student Loan Program. In the 1960s, the bulge of population cohorts known as the "Baby Boom

Generation" descended on to the college campuses. During this decade alone enrollments and expenditures for higher education more than doubled.[2]

It was during this postwar period that public expenditures for higher education permanently surpassed private sector contributions. By 1973 federal outlays for higher education exceeded $8 billion, accounting for over 25 percent of higher education funds. Private philanthropy contributed $2.25 billion adding another 8 percent to higher education resources.[3] For public higher education, state and local government had become the basic source of support. The federal role was primarily one of providing student financial aid and purchasing various educational services.[4]

Although private sources continued to be the primary providers of general support for private colleges and universities, foundations increasingly concentrated their funds to both public and private institutions for specific purposes such as research, curriculum development, and diversification of learning opportunities. The role of foundations became that of enabler.

> . . . in contrast to virtually all other institutions, they [foundations] have pools of funds that are not commited to sustaining ongoing normal activities. This leaves them free to respond quickly and significantly to new, unmet needs. It also leaves them free to take the lone view, to sense emergent revolutions of the future, to understand earlier the causes of tomorrow's problems.[5]

Because there has always been a seemingly infinite gap between the budget and the ideal aims of education, it has been higher education's good fortune to be able to rely on

steady contributions from foundations, contributions critical to the educational environment today.

The 1970s has brought about an abrupt change in the state of higher education. The basis of this new condition is that the proportion of the traditional college population has apparently leveled off. Current projections, furthermore, indicate that by the mid-1980s college enrollments will begin to diminish in absolute numbers.[6]

Occurring on the heels of unprecedented growth and in the context of economic recession, this change has forced higher education into a "steady state" or no-growth posture. The depressed job market has called into question heavy public investment in education. The federal role is becoming stabilized. There are fewer initiatives and new appropriations. State and local governments are also in weaker fiscal positions than in previous decades and have been forced to limit their appropriations.

Concurrent with the declining importance of the traditional college age population has been the increase in both the participation of adults in educational activities and in the general awareness of their participation. Surveys done by the National Center for Educational Statistics (NCES) indicate that part-time participation by adults in organized educational activities grew from 7.6 percent of the adult population in 1957 to 11.6 percent in 1975. Additionally, one-third of all full-time 1974 enrollments

in postsecondary education were identified as over twenty-five years of age.[7]

There are several reasons for the heightened interest in adult education. One is that adults are simply becoming more numerous. The baby boom cohort is getting older. In 1968, 108 million people were twenty-one years old or older. The Bureau of the Census estimated in 1976 that the number had risen to 136 million.[8] Other factors affecting participation in adult education include: the changing role of women in society over the last ten years; the greater availability of leisure time; increased longevity of the elderly; career changes and job retraining.

Government, academic and privately sponsored Commissions and Task Forces have produced a plethora of reports and recommendations for meeting the needs of the adult learner. Many of these have been directed at postsecondary institutions. Examples of these recommendations include: changing admissions and registration procedures to accommodate the working adult; development of nontraditional education models that reflect adult modes of learning; modifying degree requirements to account for experience-learning.[9] Recognizing the need to expand to other markets in the face of diminishing demand of the traditional student, higher education is attempting to respond.

Continuing education, traditionally considered peripheral to the education system, is now recognized as a vital aspect to institutional survival. Like other segments

of the system it has suffered from funding shortages and has frequently been required to be completely self-supporting in its operations. To effectively compete with other institutions within and outside of the formal education system, colleges and universities must, in essence, "retool" their administrative frameworks to accommodate both traditional and nontraditional adult students. This task of integrating continuing education into the mainstream of higher education is well within the scope of foundation activity. The extent to which foundations, in keeping with their role of "enabler," have responded to this changing focus is not, however, known.

Purpose of the Study

It is against this background that this study has sought to explore the foundation response to the expanded need for continuing and nontraditional education. Specifically the study has focused on the following concerns:

1. What has been the magnitude of support for continuing and nontraditional education activities among the foundations in this study? Has there been any yearly variations in foundation support for these activities? What has been the level of foundation commitment to this area as a proportion of their annual domestic contributions?

2. What types of institutions and organizations have been recipients of foundation grants for continuing and nontraditional education activities? As a recipient of foundation grants in this area, how does higher education compare with other institutions and organizations in the level of support they have received? To what extent have individual recipients been awarded multiple grants for continuing and nontraditional education activities?

3. What kinds of continuing and nontraditional education activities have received foundation support? Which have received the most support? Is there any relationship between the type of recipient and activity funded? Have there been specific kinds of activity funded? Have there been specific kinds of programs that have received special attention from individual foundations? Has there been any interest in grants directed at the learning needs of particular groups of adults?

4. How do these foundations that have specified an interest in Adult Education compare in their funding patterns to the other foundations in the study?[10]

Significance of the Study

In an era where higher education institutions are utilizing all available resources simply to maintain operations, the ability to obtain grants, both private and public, is critical if the institutions are to respond to changing needs and constituencies. Generally, the government will specify a narrowly defined need or problem and then solicit proposals from institutions wishing to tackle the subject. Foundations, on the other hand, provide greater latitude for institutions to determine their own needs and interests within general categories.

Competition among education institutions is fierce, however, and available funds are limited. In 1976, foundation grants to all educational institutions totaled only $200 million, 26 percent of the total of all foundation contributions.[11] To be effective in seeking foundation funds, a thorough understanding of the funding patterns and priorities of foundations, both aggregate and individual, is critical.

Foundations, moreover, have in recent years come under attack and scrutiny for their lack of public accountability. The Filer Commission on Private Philanthropy and Public Needs has recommended that foundations, and other non-profit organizations, be more open in their practices even beyond disclosure measures mandated by the 1969 Tax Reform Act.[12]

Many foundations, responding to this government and public pressure, have voluntarily provided more information to the public regarding their operations. In addition to yearly reports, some foundations also support the Foundation Center, a non-profit research and information center designed to provide the public with a centralized clearinghouse to facilitate the grant seeking process.

Although a considerable amount of analysis and substantive research has been completed since the Filer Commission recommendations were released, there are still more areas that need investigation. This examination of grantmaking activities among foundations for a specific field of recipient interest is an example of one such type of needed research.

Definitions[13]

FOUNDATION: a nongovernmental, nonprofit organization, with funds and programs managed by its own trustees or directors, and established to maintain or aid social, educational, charitable, religious or other activities

serving the common welfare, primarily through the making of grants. This definition includes charitable trusts but excludes those organizations that are called foundations but having purposes other than awarding grants.

Within the general definition of a foundation are certain types of foundation designations that are generally descriptive of significant aspects of foundations. These distinctions are not universally accepted and the categories are not mutually exclusive. Designations pertinent to this study are given below.

PRIVATE GRANT-MAKING FOUNDATION: a fund or endowment designated by the IRS as a private foundation under tax law whose primary function is the making of grants. (A private operating foundation uses its funds for internal projects only.)

COMMUNITY FOUNDATION: having a general purpose like that of the private foundation, but with an IRS classification of "public charities," their funds are derived from many sources instead of a single source. Grant programs are usually directed toward local or regional interests.

GENERAL AND SPECIAL PURPOSE FOUNDATIONS: designations which reflect the type of giving or the program limitations of the foundation. Except when limited by charter to specific purposes, most foundations list general health, education and welfare purposes in compliance with the IRS Code.

COMPANY SPONSORED FOUNDATION: a foundation that derives its funds from company profits.

INDEPENDENT or FAMILY FOUNDATION; derives its funds from a family fortune. The former term is the one preferred by the Council on Foundations.

LARGE and SMALL FOUNDATIONS: drawn from the definitions provided by the Foundation Center in their Foundation Directory, a large foundation is defined as one with minimum assets of at least $25 million. All others are small foundations. A further distinction can be made between a small "Directory" foundation, with assets between $1-25 million or annual grants of at least $100,000, and "non-Directory" foundations with assets under $1 million or annual giving of less than $100,000.

Of the estimated 26,000 foundations in the nation, approximately 23,000 are non-Directory foundations. Their aggregate assets, however, are only about 10 percent of all foundation assets.

FOUNDATION ADMINISTRATOR: an executive officer of the foundation responsible for the allocation and administration of grants made by the foundation, in this study, to educational institutions.

PHILANTHROPY: voluntary contributions of money made by individuals or organizations for specific purposes, the benefits of which do not accure back to the donor.

INSTITUTIONS OF HIGHER EDUCATION: all colleges, universities, graduate schools, professional schools and other accredited degree-granting institutions in the United States.

ADULT LEARNER: an adult who is a participant in any learning opportunity, whether special or regular, formal or nonformal, to develop new skills or qualifications, or to improve existing skills or qualifications, or to acquire information.

ADULT EDUCATION, CONTINUING EDUCATION, LIFELONG EDUCATION, NONTRADITIONAL EDUCATION, RECURRENT EDUCATION: are some of the terms which have provided definitional problems to almost everyone in the field. The terms can be quite synonymous or distinct depending on one's perspective. For purposes of this study CONTINUING and NONTRADITIONAL EDUCATION will be the principal terms used for the entire body of organized educational processes, whatever the content, level, and method, whether formal or informal, designed to meet the educational needs and interests of adults, including the expansion of available learning opportunities for adults who are not served by traditional educational offerings in their communities.

CONTINUING AND NONTRADITIONAL EDUCATION ACTIVITIES: a special purpose term developed for this study to encompass the types of projects and programs that foundations could fund in this field. These include: program development,

start-up costs, operating expenses, demonstration projects, research, anxiliary or support services, conferences, and training programs. Scholarships and other student aid, construction, equipment and staff salaries are not included.

NONTRADITIONAL STUDENT, ADULT STUDENT: any individual engaged in a program of instruction who is not between the ages of 17-23 and who has not entered a higher education institution immediately upon completion of secondary schooling.

Assumptions

The major assumption made by this study is that nontraditional and continuing education is, and will remain, one of the most important growth areas for higher education. Although recent literature overwhelmingly supports this view, forecasting techniques for social and behavioral sciences are not sufficiently developed to be reliably predictive.

Additionally, the Carnegie Commission on Higher Education in their report, Toward a Learning Society, argues strongly for continuing education in all types of institutional settings both educational and other.[14] In spite of this opinion, it is assumed that most foundations still consider higher education their primary focus for postsecondary activity. This assumption is predicated on the fact that most foundation grants for education have been to higher education institutions, therefore establishing a tradition of support. Foundations, moreover, have generally

held the belief that higher education has the staff, equipment, atmosphere and predisposition most suitable for many kinds of problem-solving and that universities and colleges have historically demonstrated their capacity to adapt to the nation's research, scientific and professional needs.[15]

Finally, it is assumed that the information that the foundations have made public concerning their grant-making activities is sufficient for comparative analysis.

Limitations

Because the scope and context of continuing and non-traditional education is so encompassing, it is possible that many of these activities may not be readily identifiable. Considerable confusion exists within the field of education in defining what is or is not continuing or non-traditional education. It must be recognized, therefore, that relevant grants may not be appropriately categorized.

Additionally, some portion of foundation funds, especially for private education institutions, are for unrestricted use. It is beyond the scope of this study to ascertain how much of these unrestricted funds are being used by individual institutions to develop continuing and nontraditional education activities.

It should also be noted that the six year study period was chosen to conform to limitations of the Foundation Center's Grants Index, this study's primary data source. Foundation grant records were entered into this

computer storage system beginning in 1973. At the time the data was collected, 1978 was the most recent year for complete grant information.

A further limitation of the Foundation Grants Index is in the storage of the data. The information that the computer can provide is only as complete as that which is supplied to it in the first place. It should be remembered that this element of human error underlies all computer-based research of this type.

CHAPTER II

PHILANTHROPY AND HIGHER EDUCATION: A REVIEW OF THE LITERATURE

Introduction

The practice of leaving property in perpetuity to other than paternal heirs can be traced back to both Egypt and Chaldea. By 180 A.D. it had become widespread throughout the Roman Empire.[1] Initially these bequests were encouraged for religious reasons, to honor the gods. Gradually, however the motives shifted to helping the poor.[2]

The Romans brought the concept to England where it eventually became codified into the Anglo-Saxon legal system. The Statute of Charitable Uses enacted in 1601 was perhaps the real starting point for philanthropy. It provided for the encouragement and organization of private almsgiving and it stimulated the rapid growth of charitable trusts in England.[3]

Legal precedent and religious teachings predisposed the American Colonists to the idea of charitable trusts. The colonies, however, had a dearth of surplus wealth which slowed the development of institutional philanthropy until well into the nineteenth century.[4]

The Role of Philanthropy in U.S. Higher Education

Once the survival and subsistence of the early American Colonies was assured, the provision of higher education became a priority concern. The resources needed to establish Harvard, Yale, William and Mary and other colleges came from individuals who realized that the infant settlements would need quality leadership in years to come. Contributions were made by merchants, farmers and trappers. The gifts were small and often consisted of commodities or services. The pattern of support was sufficient, however, because the need for advanced education was also small.[5] Numerous individuals giving support of higher education was the primary financial resource for colleges and universities until the mid-1800s.

The Industrial Age brought about the first major change in philanthropic support to education. With the explosion in technological and economic growth, the need for higher education also increased. The population had grown. There were more towns and cities, new technologies to learn and more people seeking education. This was also the era that saw the rise of tremendous personal wealth among a small group of industrialists. John Hopkins, Ezra Cornell, Cornelius Vanderbilt, and Leeland Stanford are some of the names that have become linked to the history of the nation and to the existence of higher education.[6]

Firm believers in the principles of Social Darwinism, these men saw the value of educational institutions in

preserving freedom and providing the leadership of the future. They were also looking for monuments that would continue their names. This was the time of endowments, large gifts of money for the establishment of colleges, normal schools and for the establishment of colleges, normal schools and universities. John Hopkins University was founded with an initial gift of $3.5 million. Ezra Cornell donated $500,000 and Leeland Stanford gave $20 million to establish their universities. The money that poured into higher education from all sources during this period precipitated a boom in college foundings. Every religious sect and private interest wanted to set up their own institutions.[7]

Around the turn of the century the third phase of philanthropy took hold. As many of these industrial barons began to age, they sought a mechanism to divest themselves of their excess wealth, to limit their tax liability and to insure continuation of their philanthropic activities. They established private philanthropic foundations whose pattern of support for education significantly influenced the direction of academia in the twentieth century.

The Growth of Private Foundations

As a distinctive U.S. institution, the general philanthropic foundation is barely a century old. Its typical attributes have largely evolved only within the last sixty years.

Many historians identify the Smithsonian Institution, created in 1846 by James Smithson for "the increase and diffusion of knowledge among men," as the nation's first foundation.[8] Others consider the establishment, in 1867, of the Peabody Education Fund, to improve education in the south, as the beginning of the foundation as we know it.[9] The critical point of departure for the modern foundation, however, was the initiatives of Andrew Carnegie and John D. Rockefeller in the first decade of this century. Spurred on by Carnegie and Rockefeller, trend setters in the field, foundations changed from making charitable gifts to the needy to a philanthropy that tried to attack the causes of the problems or to find solutions.[10]

Carnegie's philosophy, that the "duty of rich men [is] to consider their fortunes as trusts to be held in the name of the less fortunate," was the basis for the establishment of his foundations.[11] Between 1905 and 1911, Carnegie created nine separate foundations. Fifty-six million dollars was spent for the development of 2,509 community libraries and over $125 million went to the last of his foundations, the Carnegie Corporation of New York.[12] Carnegie believed that education was indeed the "great equalizer" and this has remained the major focus of all the Carnegie Foundation's activities.

John D. Rockefeller, who founded the University of Chicago with a gift of $30 million, established the General Education Board in 1902 to promote and improve education in

the U.S. Over the next eighteen years, until the Board ceased operation in 1926, Rockefeller gave $123 million to support GEB activities, particularly upgrading teacher salaries. At that time, the Rockefeller Foundation, created in 1913 took over education activities and began focusing on medical education reform.[13]

Foundations concentrated their early efforts on higher education for two major reasons. Philosophically they believed their purpose was to add to, not just maintain, man's existing knowledge, powers and well being, to make possible greater efforts of national importance. Pragmatically, they were concerned with the strengthening and building of institutions at a time when higher education was in chaos.[14]

The multiplicity of small colleges created confusion, duplications and wasted resources. There were more colleges than there were students. Curriculum was poorly defined and faculty were often not well prepared. Selective giving and frequent use of the challenge grant were ways that the foundations used their money to establish institutional viability.[15]

The Depression and World War II brought a shift in foundation grants from general support to grants for special activities or facilities. During the 1930s endowment grants virtually stopped. The war years brought on a heavy emphasis in research in the sciences and support for voluntary accreditation, testing and teaching methods.[16]

Following the war, foundations moved toward support of non-profit research organizations and other non-education institutes such as Brookings, The National Bureau for Economic Research, and The American Council on Education. The educational community supported this because they saw these agencies as a way to disseminate knowledge.[17] The fact that funding of these organizations was generally in addition to aid that colleges were already receiving helped in their acceptance.

Although precise data on foundations is lacking due to the private nature under which they have operated, it is evident that during the 1940s there was a sharp rise in the number of foundations established (see Tables 2.1 and 2.2).[18] This increase was due to the high tax rate resulting from the war which brought about the emergence of company-sponsored foundations and a new emphasis upon family foundations with living donors.

Before 1900 there were approximately eighteen foundations. Today there are 21,505. Less than 10 percent of all foundations were established prior to 1940.[19]

In 1960, the Foundation Center was established in New York City for the collection of data on foundations in the United States. Today they are considered the primary authority on foundation activities.[20] The Foundation Center has published seven directories with information concerning the largest foundations (Table 2.3). The 3,138 foundations reported comprise 15 percent of all U.S. foundations. They

TABLE 2.1.--The Number of Foundations Reported in Directories Published from 1915 to 1964.

Year	Title of Directory	Number of Foundations
1915	American Foundations[a]	27
1920	American Foundations[a]	54
1924	American Foundations[a]	127
1926	American Foundations	179
1930	American Foundations for Social Welfare[a]	185
1931	American Foundations and Their Fields[b]	122
1932	American Foundations and Their Fields[b]	129
1934	American Foundations and Their Fields[b]	123
1938	American Foundations for Social Welfare[a]	188
1939	American Foundations and Their Fields, IV[c]	243
1942	American Foundations and Their Fields, V[c]	314
1946	American Foundations for Social Welfare[a]	505
1948	American Foundations and Their Fields, VI[c]	899
1955	American Foundations and Their Fields, VII[d]	4,162
1960	The Foundation Directory, Edition 1[e]	5,202
1964	The Foundation Directory, Edition 2[f]	6,007

[a]Published by Russell Sage Foundation. 1946 edition a bound book written by Shelby M. Harrison and F. Emerson Andrews.

[b]Published by Twentieth Century Fund, edited by Evans Clark.

[c]Published by Raymond Rich Associates, Vols. IV and V compiled by Geneva Seybold; vol. VI, edited by Wilmer Shields Rich and Neva R. Deardorff.

[d]Published by American Foundations Information Service, prepared by Wilmer Shields Rich.

[e]Published by Russell Sage Foundation. Prepared by The Foundation Library Center, edited by Ann D. Walton and F. Emerson Andrews.

[f]Published by Russell Sage Foundation. Prepared by The Foundation Library Center, edited by Ann D. Walton and Marianna O. Lewis.

TABLE 2.2.--Period of Establishment of 5,436 Foundations, by Decade after 1900.

Total	5,436	100%
before 1900	18	+
1900-1909	16	+
1910-1919	75	1
1920-1929	157	3
1930-1939	259	5
1940-1949	1,134	21
1950-1959	2,546	47
1960-1969*	1,231	23

*incomplete data for recent years.

+less than 0.5 percent.

Note: year of origin unavailable for eighteen Directory Foundations.

Source: Foundation Directory, 45h Edition, 1971.

TABLE 2.3--Criteria for Inclusion in The Foundation Directory, by Edition.

Edition (Data Year)	Criteria*		Number of Foundations
	Assets	Or Grants	
1 (1960)	$ 50,000	$ 10,000	5,202
2 (1964)	100,000	10,000	6,007
3 (1965)	200,000	10,000	6,803
4 (1969)	500,000	25,000	5,454
5 (1972)	1,000,000	1,000,000	2,533
6 (1976)	1,000,000	100,000	2,819
7 (1978)	1,000,000	100,000	3,138

*Minimum levels of assets or grant payments needed to qualify for the Directory.

control, however, 93 percent of all assets, $32.4 billion, and 92 percent of all grants paid $2.1 billion.[21] Although in aggregate the unreported foundations control large assets, their giving is so diffuse and local in nature as to be considered unimportant in the foundation field.[22]

Investigations of Foundation Activities

The comparative newness of the general philanthropic foundation as an institution, the variety of its forms, its blend of public and private characteristics and the subtlety of its functions, make it hard to understand. It is not surprising, therefore that there have been four Congressional investigations and two privately sponsored Commissions since 1915.

In 1915 Senator Frank Walsh accused foundations of being dominated by big business. Representatives Eugene Cox

and B. Carroll Reece investigated foundations in 1952 and 1954 respectively, on charges concerning use of resources for subversive activities, propaganda and support of communist and socialist organizations.[23]

The continued growth in the number of foundations prompted Representative Wright Patman to determine if legislation was needed to provide supervisory control over tax exempt foundations. The allegation was that foundations were being created by individuals to escape payment of taxes and to keep control of large segments of American business in the hands of a family or small group.[24]

The Patman investigation lasted over six years, bringing greater attention to foundations in the popular press, and precipitating reforms of certain abuses commited by some foundations.[25] In 1961, foundations were finally required to file annual reports on IRS 990-A forms, breaking down assets, income and grants. Additionally, the Treasury Department in 1965 increased supervision of foundation operations and legal activities including:[26]

1. prohibiting transactions between donors of funds and foundation administrators;
2. requiring distribution on a reasonably current basis of net income;
3. limiting to 20 percent the voting stock or equity a foundation could hold in any one company and to 25 percent the representation of donor families on foundations governing boards; and
4. restricting lending, prohibiting borrowing for investment or speculative purposes.

The Tax Reform Act of 1969 was the culmination of the Patman inquiry. Basic provisions of the Act require foundations to pay out in grants at least 6 percent of

investment income and an annual 4 percent excise tax; impose sanctions and penalties for prohibited actions or failure to comply with requirements; and mandate broader reporting procedures including detailed annual reports on contributions and activities in addition to the 900-A forms.[27]

The Commission on Foundations and Public Policy, chaired by Peter Peterson in 1969-70, addressed the question of the continued need for philanthropy given the increased Federal expenditures in areas previously dominated by private giving. The Commission found that:

> . . . in contrast to virtually all other institutions, they [foundations] have pools of funds that are not committed to sustaining ongoing activities. This leaves them free to respond quickly and significantly to new, unmet needs. It also leaves them free to take the long view, to sense emergent revolutions of the future, to understand earlier the causes of tomorrow's problems.[28]

Additionally the Commission surveyed fifty Chicago non-profit organizations. All opposed total reliance on public funding citing political whims, rigidities, paper work, and loss of independence. They said:

> The test of practical experience makes a dual system of private giving and government funding the way to allocate resources for the general welfare rather than the alternative of relying solely on government allocations.[29]

The major recommendations of the Peterson Commission call for more research and analysis of foundation activities; improvement in planning and staff resources; and more attention in monitoring and evaluation of grants.[30]

The drastic decline in private philanthropy in the early 1970s prompted the formation of The Commission on

Private Philanthropy and Public Needs in 1973. Their report is the most comprehensive study of philanthropy to date. Under the direction of John Filer, the Commission sponsored eighty-five studies on various aspects of 3,000 individuals and it ran a detailed econometric analysis of tax and income data to determine what, if any, effect the charitable deduction had on the amount of private giving.[31] The recommendations of the Commission include extending the charitable deduction, increasing corporate contributions to 2 percent of pre-tax income, better management of non-profit organizations and more detailed analysis of foundation giving patterns.[32]

Many recent critics contend that foundations do not really support innovative and experimental projects to attack social problems, which is the rationale they give for their existence.[33] This criticism has been shared by many foundation administrators and trustees who feel that foundations need to give closer attention to fund distribution. Both Henry Ford II and John D. Rockefeller have held that foundations must do a better job of seeking out innovative and experimental projects to support.[34]

> Foundations extend the power of their founders into cultural areas of education, science, the arts and social relations. While much that is done in these areas under foundation auspices meets judicial approval, it is a fact that dispensations inevitably take the form of patronage bestowed upon approved projects. Recipients of the money must be ideologically acceptable to the donor.[35]

When studying the foundation field it quickly becomes evident that the large foundation can wield tremendous influence via their grant-making activities in any area of interest.

> Foundation policy plays a powerful role and exerts a significant influence in ushering in changes in our form of society, and foundations play a part in directing the course of education in America.[36]

Foundations and Higher Education

Although education has not been the only focus of foundation grants, it has always been their primary interest. Tables 2.4 and 2.5 show the categories of foundation grants for two different periods, 1920-30 and 1962-73. Education is the major area of contributions followed closely by health. The health field, however, also includes grants for medical education and to university-sponsored medical research.[37]

TABLE 2.4.--Categories of Foundation Grants 1921-1930.

Field	Total $(000)	Percent of Decade Total
Education	233,000	43.3
Health	172,141	33.2
Social Welfare	74,226	14.4
Recreation	8,741	1.6
International Relations	8,132	1.5
Religion	7,705	1.4
Law & Government	6,709	1.3
Race Relations	936	0.16
Miscellaneous	245	0.04
Foundation Administration	16,164	3.4
Total	524,420	100.00

Source: E.C. Lindemann, Wealth and Culture (New York: Harcourt & Brace, 1936).

TABLE 2.5: Categories of U.S. Foundation Giving: 1962-73.

Field	1962	1963	1964	1965	1966	1967	1968	1969	1970	1971	1972	1973	Total	%
	Corrected to Constant (1967) Dollars (Millions)													
Education	$160	90	200	173	162	191	296	183	242	283	165	198	2,343	32
Health	35	38	139	109	64	81	74	96	104	125	95	132	1,092	15
International	57	89	80	135	146	84	89	68	51	85	76	51	1,011	14
Welfare	22	26	47	110	84	82	71	92	117	139	102	52	944	13
Sciences	50	29	63	63	71	78	102	104	80	89	100	67	896	12
Humanities and Arts	18	52	42	41	121	39	69	34	45	82	52	44	639	9
Religion	6	5	28	54	35	24	22	37	44	58	14	7	334	5
Total	346													
Percent	5													

Source: Foundation Grants Index, January, 1968-January, 1974. Reprinted from Robt. Havighurst, J. D. B. Holsinger, and E. S. Lunde, "Education and Major Philanthropic Foundations," unpublished report prepared for the National Academy of Education, April 1976.

Additionally, analysis within the field of Education indicates that generally higher education has been the favored area of foundation assistance. This is seen in Tables 2.6 and 2.7 which break down education into subcategories. The Lindemann data is for the 1921-30 decade and shows 61 percent of education grants to higher education. The Foundation Center breakdown for 1974-76 is similar, allowing for categorial differences. Endowments, buildings and fellowships would have largely been included in the higher education category of the earlier data.

TABLE 2.6.--Analysis of Grants Within Education, 1921-30.

	Amount $(000)	Percent
Higher Education	135,965	60.9
Elementary & Secondary	32,907	14.7
Elementary (alone)	5,766	2.6
Secondary (alone)	3,849	1.7
Adult Education	9,157	4.1
Libraries	7,511	3.4
Vocational	6,163	2.8
Esthetic & Cultural	5,811	2.6
Educational Publications	2,873	1.3
Training for Leadership	1,220	0.7
Educational Conferences	214	0.1
Pre-School Education	52	--
Unclassified	11,505	5.2
Total	$223,001	100

Source: E. C. Lindemann, Wealth and Culture (New York: Harcourt and Brace, 1936).

TABLE 2.7.--Grants Within the Field of Education, 1974-76.

	Amount $(000)	%	Number of Grants	%
Higher Education	186,627	31	1,850	25
Buildings and Equipment	99,986	17	673	9
Communications	69,345	12	747	10
Elementary & Secondary	61,122	10	1,501	20
Fellowships, Scholarships, and Loans	50,423	9	857	11
Educational Research	40,531	7	479	6
Personnel Development	33,849	6	382	5
Libraries	23,582	4	398	5
Educational Associations	14,830	2	414	6
Adult and Vocational	11,698	2	202	3
Total Grants to Education	591,993	28%	7,503	23%

Source: The Foundation Center, The Foudnation Directory 6th Edition, 1977, p. xxii.

*percent of all foundation contributions.

There has been some increase in foundation grants to education below the post-secondary level since about 1960. Much of this, however, has been experimental research done by university personnel. Consequently, the foundation grants generally stay with the university although the benefits may be pre-collegiate.[38]

After the second world war, higher education moved into a period of tremendous growth. Enrollments and expenditures surged to new levels and the government took over as the basic provider of financial support and student aid. In 1939-40, institutions of higher education spent $675 million, about 9 percent. Twenty years later the federal contribution was $1.094 billion dollars and higher education expenditures had reached over $5 billion.[39]

As a proportion of higher education income, private philanthropy has dropped as the government has increased its allocations. In 1975-76, private sources provided only 6 percent of the $38 billion received by higher education.[40] The Council for Financial Aids to Education's annual survey of voluntary support to education shows that between 1972-78 foundation grants comprised approximately 20-23 percent of all private gifts to higher education (see Table 2.8). While this is only 2-3 percent of all higher education income, the amount, in excess of $5 billion, is not insignificant. This is especially true when one realizes that the bulk of foundation grants go to a select few major universities. Colvard and Bennet found that in 1970,

TABLE 2.8.--Higher Education: Estimated Total of Voluntary Support by Source and Purpose (in millions).

	1972-73	1973-74	1974-75	1975-76	1976-77	1977-78
Totals	2,240	2,420	2,160	2,410	2,670	3,040
Alumni	536	509	486	588	638	714
Non-Alumni	600	556	516	569	646	766
Foundations	524	535	497	549	558	623
Business Corporations	320	354	357	379	446	508
Religious Organizations	99	116	112	130	136	158
Other	161	170	192	195	246	271
Capital Operations	1,230	1,300	1,370	1,480	1,620	1,825
Capital Purposes	1,010	940	790	930	1,050	1,215

Source: Council for Financial Aid to Education, Annual Survey of Voluntary Support of Education, 1974-75 and 1977-78.

twenty-five institutions of higher education received 53 percent of the total funds granted by foundations in that year.[41]

It is ironic that although philanthropy is considered necessary in sustaining our pluralistic system by ensuring diversity and distribution of control and responsibility, foundation giving to higher education is of sufficient magnitude to have repeatedly raised the question of their impact on university autonomy.[42] Like other nonprofit enterprises, colleges and universities are dependent upon, influenced by, and sometimes controlled by their income sources.[43] The degree of external control is related to the variety and character of funding sources. The more dependent on a single source, the more responsive an institution must be to that source.[44]

Foundations contribute only a small portion of total higher education income and very little is for general support. Although most funds are for specific projects, the ideas for the grants are usually generated by the universities. To be sure, universities tailor grant requests to the interests of the foundation but this influence hardly constitutes widespread control. The Committee for Economic Development has stated:

> . . . the flow of private support is essential to the diversity and strength and vitality of the nation's colleges and universities. It provides a means of achieving the high degree of independence and freedom indespensable to the attainment and preservation of superior quality in education.[45]

Foundations have been crucial in providing basic support to private institutions and an important margin for improvement to public institutions. They have risked their capital on innovation and long range projects, exploring new areas before the government was willing to commit funds.[46]

Higher Education in the 1970s

Two major themes have marked the direction of higher education during the 1970s. The concept of the steady-state has emerged as the "new imperative" for financial management of educational institutions and the adult learner has been recognized as a legitimate client for post-secondary educational services.

Finance, as a major problem in education, is not a new phenomenon. Education always runs at a deficit. There is never enough money to do all that could be done. "There is no such thing as a fixed production goal in education."[47] This time, however, the causes of the problem and its pervasiveness have added a new dimension.

The previous decade was characterized by tremendous growth and development in higher education. Enrollments doubled and expenditures trebled. In 1963, total enrollment in institutions of higher education was 4.8 million, and expenditures were $9.1 billion. By 1973 there were 9.6 million students and institutions were spending over $27.9 billion dollars anually to educate them.[48] During these years the baby boom generation reached college age

and an increasing proportion of them sought admission to higher education institutions. With the lifetime income of a male college graduate 63 percent greater than that of a high school graduate, education was viewed as the key to the good life.[49]

By 1970 expenditures were rising faster than increases in income and signs of financial stress were apparent everywhere.[50] The metaphors of the "steady state" and of "running in place" came into popular usage as institutions sought simply to maintain existing operations. The Carnegie Commission on Higher Education identified four separate forces that had brought about this financial pressure, growth in enrollments, growth in the complexity of functions performed by educational institutions, increases in educational costs per student, and changes in the course of funding.[51]

> Other highly significant factors in rising costs were the increase in graduate students as a proportion of total enrollment. Additionally, the institutions had responded to the demand for greater equality of opportunity in education by increased expenditures on student aid and by developing special programs to facilitate participation in higher education of students with less than adequate preparation.[52]

Inflation, poor management, and the 1972-74 economic recession also have had their impact on the fiscal situation. The 1977-78 Consumer Price Index was 176 while the Higher Education Price Index was 188.7. Between 1954-67, moreover, expenditures increased at an average annual rate of 11.7 percent in current dollars and 7.7 percent in

1957-58 dollars while credit hours increased at an 8 percent rate. Thus inflation accounted for approximately 3.7 percent of this cost increase while real costs actually fell by 0.3 percent.[53]

Exacerbating the problem is the apparent leveling off of the percentage of the 18-24 population attending college and the predictions of actual decline of full-time college students by the 1980s.[54]

In 1976, the full time equivalent enrollment in all higher education institutions was 8.3 million. By 1986 the intermediate and low projections are 8.9 and 7.9 million students respectively.[55]

The diminishing demand for higher education by the traditional student has made it necessary for the post-secondary system to expand to other markets. Enter the adult learner.

Over the last two decades there has been an increase in both the numbers of adults participating in education and the general awareness of their participation.[56] Surveys made in 1957, 1969, 1972, and 1975 for the National Center for Educational Statistics show a substantial increase in adults participating in organized educational activities over these years. The estimates from these surveys are presented in Table 2.9, compared with the enrollment and participation rate for all higher education for the same years. Between 1969 and 1972 the growth rate for the college

TABLE 2.9.--Adult Participation in Organized Educational Activities.

	Total Enrollments (000)	% of 18-24 Population	Adult Education	
			Participants (000)	% of Population
1957	3,047	20.2	8,270	7.6
1969	7,484	31.5	13,041	10.0
1972	8,265	31.9	15,734	11.3
1975	8,665*	31.4	17,059	11.6

*Estimate

Source: National Center for Education Statistics, The Condition of Education, 1976.

age cohort was only about 0.4 percent per year while the adult participation rate had grown from 2.8 percent between 1957-69 to 4.4 percent by 1972.[57]

The increase in adult participation in formal educational programs, however, is only partially indicative of actual involvement in educational activities. Most of the learning that adults engage in occurs on the periphery of the educational system, defined by Moses as organized structured learning situations outside of traditional schools. He estimates the learning force to be about 149 million with 82 million people in this educational periphery.[58] Another study by the College Board found that 50 percent of the adults over age twenty-five sampled had participated in formal or informal educational activity, during a one year period.[59] An even more extravagent estimate, however, is made by Allen Tough, who maintains that

98 percent of all adults engage in some form of systematically planned learning activity each year.[60]

One obvious reason for the increase in demand for educational opportunities is that adults are simply becoming older and more numerous. The lower fertility rates that began in the sixties holds the magnitude of the next generation in check and that baby boom cohort keeps getting older. By the year 2000 the median age of the U.S. population is estimated to be 34.8. In 1975 it was 28.8 years.[61]

Societal change brought about by increasing technological development has also affected the demand for further education. Jobs are being redesigned and eliminated, making skills updating and training necessary for a substantial portion of the labor force. Job mobility, furthermore, is becoming more horizontal than vertical and more people are changing careers in midlife.[62] The changing role of women has also had its impact. As more women decide to move into the labor market there is greater need for some form of education to help ease their entry or re-entry. Over the last two decades there has been a 74 percent increase in the number of women in the labor force. For men the increase has been only 19 percent.[63]

The increased mechanization of work and its lack of fulfillment and challenge will move people to seek this in other activities, including education. Moreover, reduction in the work week and early retirement options provide adults

with more time free from work, some of which will be used for learning endeavors.[64]

Reaching the Adult Learner

Over the years major policy statements about higher education have consistently stressed the need to serve this new constituency.[65] The 1971 and 1973 Newman Reports urged educators and policy-makers to enlarge their concepts of "who can be a student, and when, and what a college is." The report strongly recommended the need for alternative educational offerings.[66] The Carnegie Commission on Higher Education, the most comprehensive and influential assessment of the state and future of higher education,[67] likewise suggested that post-secondary education diversify and become comparatively less concerned with a minority of the young and give more attention to the "majority of all ages."[68]

But to serve these new students properly, to attract them as customers, higher education needs to develop new ways of teaching and of doing business. Admissions, financial aids, course schedules, program requirements and counseling are not designed for the person who has work and family obligations that take precedence over classes. Adults generally know what they want and need to learn. They have little patience with requirements which they feel are irrelevant to their goals and circumstances.[69]

The methods and models for accomplishing these changes have been proposed, tested, modified and documented. The Commission on Non-Traditional Study[70] and various

educational journals[71] have reported at length on the emergence of new, nontraditional forms of education, contract learning, external degrees, universities without walls, televised courses, educational brokering and recognition of prior learning in awarding credit are examples of programs geared for the adult student.

Unfortunately, the need to develop and implement these and other models of education for this new clientele has occurred during a period of fiscal stasis. A posture of no growth reduces flexibility and makes being sensitive to changing needs a luxury.

Summary

Meeting the needs of adult learners is well within the purposes of foundation philanthropy. Support of the new and the innovative and responding to unmet needs has been the chosen direction of foundations to higher education for the last twenty-five years.

The extent to which foundations have supported efforts to meet this new educational need is unknown. No analysis of foundation grants for nontraditional and adult education has been published. A review of dissertation research uncovered only one study, completed in 1971, of foundation support for continuing professional education.[72] The need for more research into patterns of foundation giving has been frequently stated. It is the purpose of this study to provide further analysis of the foundation

field through an examination of grant-making activities directed toward the educational needs of adults.

CHAPTER III

DESIGN OF THE STUDY

Introduction

> For constructive thinking about practical affairs knowledge of the existing situation is essential.[1]

Competition for foundation grants is intense. To be successful, therefore, potential recipients must know which foundations have demonstrated a commitment to their particular problems or areas of need. Descriptive research provides this information. It also helps fill a general need people have to know what the world is like, to live in it, to try and understand it.[2]

Objectives of This Study

Although the specific questions addressed by this study were given in Chapter I, the primary objective can be summarized here as follows:

> To identify and analyze the extent and type of continuing and nontraditional education activities funded from 1973 through 1978 by a selection of the major, general purpose foundations, including those that specify adult education as an area of special interest

Grant seekers and others can use the information of this study to assess foundations' commitment to, and specialized

interests within, the particular field of continuing and nontraditional education. Informed decisions can, therefore, be made in planning their search for foundation funds.

This type of independent research, analyzing patterns of foundation grant-making activity in special areas, is virtually nonexistent, except for those few studies mentioned in the literature review. While the foundations' tradition of privacy is partly responsible, it was not until the 1970s that the public had access to a system designed to collect and make the necessary data available. A secondary objective, therefore, emerges from this study. This objective, stated as another research question is as follows:

> How adequate are the publicly available sources of foundation grants information for research into their grant-making activities?

The Foundation Grants Index Data Base

The Foundation Center was established in 1956 to gather and disseminate factual information on the philanthropic foundations through programs of library service, publications and research. Its major purposes, considered equally important, are:

1. to be a useful resource for anyone interested in applying to grant making foundations for funds.
2. to compile reliable descriptive data and statistics on the foundation field for the use of foundation trustees and officers, regulating agencies, and other interested organizations and individuals.[3]

The Foundation Grants Index (FGI) is the primary vehicle of the Foundation Center for providing information about foundation grants. Its data base contains information on foundation grants of $5,000 or more in all subject areas for approximately 500 of the largest foundations. It covers grants from 1973 to the present and contains over 90,000 individual grant records from participating foundations. The FGI listings function as a current awareness service for those organizations and foundations interested in grants representative of current giving within particular funding areas.[4] Because it is the sole repositor of collective information on foundation giving, it was used in the data source for this study.

Study Guidelines

In developing methods and procedures for this project the following set of rules were developed to set some parameters and guide the researcher in making methodological decisions.

A. Selecting the Foundations

1. Foundations selected for this study were to be among the largest general purpose foundations independent of corporate financial support, i.e., excluding corporate foundations.

2. Each foundation had to be a grant-making foundation with a history of funding to higher education.

3. All short-term funding priorities of each foundation were to be examined to insure that continuing and nontraditional activities fell within their guidelines.

B. Collecting and Analyzing Data

1. The study would cover the period from 1973, the first year for the FGI, to 1978, the last year of complete information at the time the data was collected.

2. Only grants of $5,000 or more were to be analyzed. This is the minimum level for FGI grant listings.

3. The scope of the FGI search was to include all grants of the selected foundations for continuing and nontraditional education activities. A list of terms, called descriptors, was developed to identify these activities in the FGI.

4. A special code was developed for classifying and analyzing all grants using the Indecks Research System. Grants not meeting the criteria for classification were eliminated from this study.

5. The Annual Reports of three of the selected foundations were examined and the grant listings were compared with those from the FGI using the decision rules and criteria developed herein.

The amplification and application of these decision rules is detailed in the following sections of this chapter.

Selecting the Foundations

The foundations in this study were drawn from the population of 500 foundations that submit details of the grant-making activities to the Foundation Grants Index Data Base (FGI). These foundations represent the largest of the grant-making foundations in both assets and yearly grant payments.

The sample was selected by first identifying those independent and community foundations whose annual giving

in 1973 and 1978 was at least $2.5 and $5 million dollars respectively. These figures account for approximately 30 percent of total foundation giving. Twenty-five foundations met this criteria for both years.[5]

Another criteria for inclusion in this study was that all foundations have a history of making program grants to higher education. Six foundations were therefore eliminated because they did not make program grants; did not give grants to higher education; or had identified narrow funding priorities that obviously excluded grants relevant to this study.[6] This initial sample of nineteen was subsequently reduced to fifteen because four foundations did not provide grant information for the FGI.[7]

According to the Foundation Directory only three foundations indicate a special interest in Adult Education. All three, Mott, Kellogg and Lilly, met the above criteria. The fifteen foundations that were studied are listed below. Unless otherwise indicated, the dollar figures cited are for 1978 and are in thousands of dollars.[8]

The Carnegie Corporation of New York. Established, 1911
Assets: $284,799 Grant Payments: $13,096

Chicago Community Trust. Established, 1915.
Assets: $100,194 Grant Payments: $4,065 (1977)

The Edna McConnell-Clark Foundation. Established in 1950 in New York and in 1969 in Delaware, merged in 1974.
Assets: $192,000 Grant Payments: $10,650

The Cleveland Foundation. Established in 1914 as the first community foundation.
Assets: $188,413 Grant Payments: $9,576 (1977)

The Ford Foundation. Established in 1936, in Michigan, now in New York.
Assets: $2,291,480 Grant Payments: $21,041

The Lily Endowment. Established in 1937 in Indiana.
Assets: $653,368 Grant Payments: $21,681

The W. K. Kellogg Foundation. Established in 1930 in Michigan.
Assets: $827,223 Grant Payments: $41,656

The Andrew W. Mellon Foundation. Established in 1940 as the Avalon Foundation, incorporated in New York in 1954. Merged with Old Dominion Foundation and renamed in 1969.
Assets: $705,396 Grant Payments: $42,681

The Charles S. Mott Foundation. Established, 1926, in Michigan.
Assets: $396,247 Grant Payments: $28,453

The New York Community Trust. Established, 1923.
Assets: $211,530 Grant Payments: $19,180 (1977)

The William Penn Foundation. Established in 1945 as the Haas Foundation in Delaware. Grants to Pittsburgh and Western Penn.
Assets: $66,977 Grant Payments: $6,018

The Rockefeller Foundation. Established, 1913.
Assets: $753,911 Grant Payments: $42,535

The San Francisco Foundation. Established, 1947.
Assets: $54,326 Grant Payments: $6,318 (1977)

The Sarah Scaife Foundation. Established, 1941, in Pennsylvania.
Assets: $77,614 Grant Payments: $5,606

The Alfred P. Sloan Foundation. Established, 1934.
Assets: $244,600 Grant Payments: $13,437

Data Collection

The information for this study was obtained through a customized search of the FGI. This data base is accessed through Lockheed's DIALOG Information Retrieval Service. The DIALOG system, using the Boloolean retrieval method, called for the computer to scan all grant listings for

certain descriptors that would identify grants to be included in the print-out. The computer was also given descriptors that, if also contained in the grant listing would exclude that grant from the search. The minimum grant level was accepted because a 1971 study by the American Council on Education found that foundation support to higher education in the large gift category ($5000) is more than seven times that of transactions under that amount and that for most higher education institutions, 2 percent of their transactions raise 55 percent of all private source income.[9]

The grant listing, detailed in Figure 3.1, shows all the possible grant information. Not all grants contain the same amount of data. Minimally, however, each listing included the name and location of the foundation and the recipient, the amount of the grant, the date it was authorized, a description of the grants purpose or profile of the recipient, and the FGI key words and main and sub-categories.

Ms. Janice Whitkins, a Foundation Center staff member responsible for FGI research, was consulted in formulating the search. The scope of the search was defined as follows:

> Identify and provide a print-out for all grants authorized from 1973 through 1978 for support of nontraditional and continuing education programs and activities from a sample of fifteen independent and community foundations.

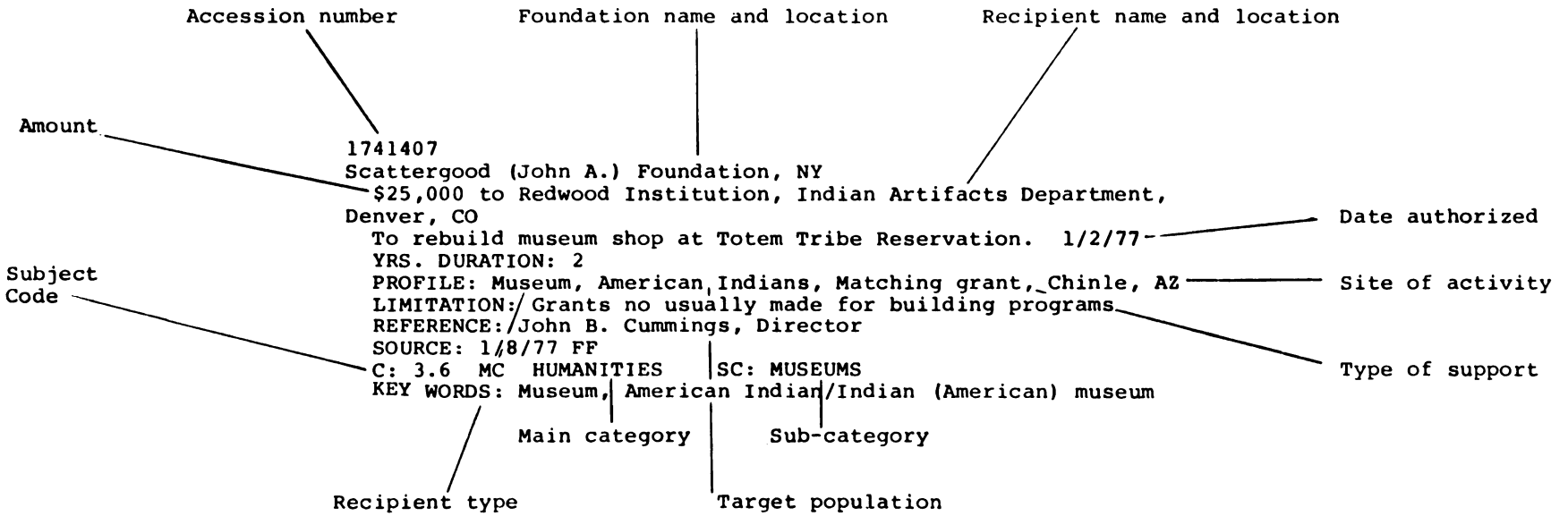

Figure 3.1.--Sample Grant Listing from the Foundation Grants Index.

Source: Foundation Grant Center descriptive brochure for the Foundation Grants Index.

Specific Inclusions

1. Identify grants relevant to this study through the use of the following descriptors:

   a. Continuing Education
      adult education
      G.E.D.
      adult basic education
      lifelong learning
      recurrent education
      professional development
      career development

   b. Training (all types)
      retraining
      internships
      service-learning

   c. Community Education
      extension programs
      leadership development

   d. Education Resource Center
      education brokers
      learning resource centers
      education information center

   e. External Degree Program
      credit-by-examination
      university without walls
      homestudy, televised classes, correspondence courses

   f. Other Nontraditional Education
      alternative education
      open learning/education
      contract learning
      experiential education

   g. Guidance and Counseling

2. All recipient organizations and institutions are to be included.

3. Grants serving the following populations groups should be included.

      adults and adult learners/students
      nontraditional learners/students
      women
      minorities: Blacks, Hispanics, Amerindians
      elderly/aged
      part-time students, mid-career changers

4. Programs and activities

   research and demonstration projects
   program planning and development
   program implementation and operation
   program evaluation
   conferences, seminars and workshops on the subject of continuing and nontraditional education

Restrictions

1. Report only those grants authorized for the six year period beginning January 1, 1973 and ending December 31, 1978.

2. Report grants only from the following foundations:

   Carnegie Corporation of New York
   Chicago Community Trust
   Clark Foundation
   Cleveland Foundation
   The Ford Foundation
   W. K. Kellogg Foundation
   The Lilly Endowment
   A. Mellon Foundation
   C. S. Mott Foundation
   New York Community Trust
   William Penn Foundation
   The Rockefeller Foundation
   San Francisco Foundation
   Sarah Scaife Foundation
   The Alfred P. Sloan Foundation

3. Exclude all grants serving youth, children, adolescents, boys, girls, elementary schools, secondary or high schools.

4. Exclude grants for guildings, equipment, renovation, capital improvements, construction, scholarships and endowments.

A copy of the computer search listing the descriptors is included in Appendix A.

The broad list of thirty-three descriptors was developed out of seven original categories of continuing and nontraditional education grants. Due to the confusion

in terminology that exists within continuing and nontraditional education fields, this resulted in the positive identification of some grants not relevant to this study because the computer scanned the entire grant listing in searching for the words that formed the descriptors. For example:

> Ford Foundation, NY
> $10,000 to Portland State University, Portland, OR. for development of joint university-city-county project in Portland, 7/76
> SOURCE: 8/1/76 NL
> C: 1.3b MC: EDUCATION SC: HIGHER EDUCATION (SPECIAL PROJECTS)
> KEY WORDS: University, community development.
>
> Chicago Community Trust, IL
> $17,000 to Community Renewal Society, Chicago Reporter, Chicago, IL 6/77
> PROFILE: Continuing support
> SOURCE: 7/1/77 NR
> C: 1.9 MC: EDUCATION SC: COMMUNICATIONS
> KEY WORDS: Community reporter

In the Ford Foundation grant the computer picked up MC: EDUCATION and the key word, "community" to form the descriptor, Community Education. In the second case, the word "continuing" in the PROFILE, was combined with MC: EDUCATION.

The search for the FGI produced 577 grant listings. Grants not relevant to the study were eliminated if they:

1. were not made by one of the fifteen foundatipns;
2. were not authorized between 1973 and 1978;
3. did not contain within their descriptions any of the descriptors used in coding the grants purposes;
4. were made for school-age children;

5. were for buildings, equipment, endowment, scholarship, renovation, or capital construction.

Decisions regarding the elimination of grants were made in the process of coding them for analysis.

Methods of Analysis

To facilitate analysis of the grants, the Indecks[C] Research System was utilized.[10] This is a simple data processing system that is designed for recording, coding and retrieval of all types of research.

One Indecks card was used for each grant. On the periphery of the card are 110 numbered holes which the researcher assigned to correspond to information within the grant listings. This code was recorded on special Code Cards. The appropriate holes were notched out if they contained the information or left alone if they did not. The deck of cards was then aligned, a sorting rod passed through a numbered hole, and the notched cards fell out and were retrieved. The notching was done by the researcher with one trained assistant. Copies of the Code Cards and sample grant cards are in Appendix B. The procedure that was used in classifying grant information is described below.

Donor Foundation and Year of Grant: Fifteen holes were utilized to correspond to each of the foundations in the sample. Six holes were assigned for each of the six years of the study.

Duration of Grant: Like the foundation and the year the grant was authorized, this was also indicated on the grant listing. Holes were assigned for grants of one, two, three, and four or more years duration. If this information was not indicated it was notched as a one-year grant. Half years were rounded downward.

Amount of Grant: The exact amount of each grant is given on each listing. These amounts were divided into five groups and notched accordingly.

a. over $250,000
b. 100,000-250,000
c. 50,001-100,000
d. 10,001- 50,000
e. 10,000 and below

Recipient: Each grant listing provided the name of the recipient organization or institution. In most cases the type of recipient was evident by its name. Recipients were divided into seven classifications:

1. public higher education institution
2. private higher education institution
3. community or junior college
4. school systems and local Boards of Education
5. educational organizations
6. other non-profit organizations
7. State Boards of Departments of Education

The public or private status of higher education institutions was determined by consulting the College Handbook.[11] A non-profit organization was classified as educational if any of the following terms or their derivatives were used in its title: education, university, college, school, teach, instruction, learning.

Purposes of the Grant: The list of descriptors developed in identifying appropriate grants in the FGI was used as the basis for classifying the primary purposes of each grant. Seven major types of grant purposes subsume the original thirty-three descriptors. These divisions were each assigned a hole on the Indecks card. Each grant listing was read to identify the descriptors. When the purpose description of a grant did not contain any of the descriptors the researcher made a subjective decision regarding the appropriateness of the grant for this study and its classification, using her own knowledge of the subject matter. In this way new descriptors were added to the classification list. All grants rejected by the coding assistant were also reviewed in this manner. The descriptors and their major classifications are presented in Figure 3.2.

Two other types of purpose classifications were made to provide further details concerning the grants. Although all the grants were concerned with adult learners, there have been certain groups of adults who have received special attention. Five holes were assigned to classify special client groups if they were indicated in the grant listing. These were racial minorities, women, the elderly, the handicapped, and "others."

The final item of information concerned the nature of the activities funded. Again drawing on the original

Classification of Grant Purpose	Descriptors
Continuing Education	adult education G.E.D. adult basic education lifelong learning recurrent education professional development career development high school equivalency* faculty development*
Training	Training, retraining (all types) service learning apprenticeship* internships work-learning experience*
Community Education	community education extension programs leadership development
Education Resources Center	educational brokers learning resources center educational resources center education information center educational services center*
External Degree Program	credit-by-examination University without walls homestudy televised courses correspondence courses televised study* credit-for-prior experience/ learning off-campus learning
Other Nontraditional Education	alternative education/learning open/learning/education contract learning nontraditional learning/education experiential education
Guidance	counseling guidance advision* career changing*

*Denotes descriptors added in the process of classifying and coding grant listings.

Figure 3.2.--Primary Classifications of Grant Purposes.

descriptors, holes were assigned to correspond with grants being used for:

conferences, workshops and seminars
program planning and development
research and evaluation
program operations
degree programs
non-degree programs
partial continuing education use

This last classification, "partial continuing education use" was used to designate grants that had combined purposes only part of which fit the criteria for inclusion in this study. Many of these grants were for Community Education, which is a concept that has elements of adult education but is much more encompassing.

It was soon apparent, however, that many grants did not provide sufficient description to permit this type of secondary classification. It therefore was not used as part of the results analysis.

Examples of grant cards coded under this procedure are included in Appendix B.

Most of the grants were rejected because their purposes were inappropriate to this study. There were, however, a number of grants from the Rockefeller Family Fund and the Rockefeller Brothers Foundation that had erroneously been included. Only the Rockefeller Foundation was included in the foundations selected for study.

Summary

The Foundation Grants Index data base was the primary instrument used in this study. Data was collected on continuing and nontraditional education grants made by a selection of fifteen top independent foundations for the six year period, 1973-1978. Grants made by these foundations were selected by a computer scan of all grant listings for descriptors which identified these activities.

Five hundred seventy-seven grants were identified in the FGI search. Of these, 143 were not appropriate to this study. These grants were eliminated during the coding process according to decision rules developed for this study. Indecks research cards were used to code and analyze information regarding donor foundations, recipients, year of award, amounts and grant purposes.

Because the FGI is a relatively new vehicle for collecting and analyzing information regarding foundation grants, its adequacy as a research tool was also a concern to this project. The grant listings in the Annual Reports of three foundations were, therefore, compared with the grant listings provided by the FGI using the decision rules and criteria developed here.

CHAPTER IV

ANALYSIS OF THE DATA

Introduction

The grants obtained in this study were analyzed from three perspectives: donor foundations, recipients and grant purposes. Aggregate and individual levels of foundation giving to continuing and nontraditional education were examined as well as yearly variations and total U.S. contributions. Special attention was directed at the level and nature of support made by Mott, Kellogg and Lilly, foundations who are on record as being interested in the field of adult education.

The types of institutions and organizations receiving grants and the kinds of activities funded were the two other approaches taken in this analysis. Investigation was directed not only at general categories of recipients and purposes but also at specific recipients and special projects within the broader classifications.

The usefulness of the FGI as a data source for grants research was the fourth perspective for analysis, as shortcomings of the data base became apparent. The

adequacy of the FGI and other sources of information was examined in detail.

The different perspectives for viewing this study correspond to the more specific research questions formed in the first chapter. Presentation of this analysis has therefore been organized around those questions.

Levels of Foundation Contributions

> What has been the magnitude of support for continuing and nontraditional education activities among foundations in this study? Has there been any yearly variation in foundation support for these activities? What has been the level of foundation commitment to this area as a proportion of their annual domestic contributions?

Four hundred thirty-four (434) grants were made over the six year period by the fifteen foundations in the study. The total appropriation came to $56,799,643. Three hundred fifty-eight (358) of these grants, or 82.5 percent came from five foundations, Mott, Kellogg, Ford, Lilly, and Carnegie. Three other foundations, Cleveland, Rockefeller, and San Francisco provided an additional forty-two grants. These eight foundations account for 95 percent of all appropriations, just over $54 million. The remaining foundations in the sample, Penn, Clark, Mellon, Sloan, Chicago, and New York Community Trust, each gave fewer than twelve grants over the six years, totaling only thirty-four grants and $2,781,245. These foundations will not be individually detailed in this report. No grants were reported from the Sarah Scaife Foundation.

Table 4.1 provides the number of grants and dollar amounts appropriated by the foundations for each year of the study.

The Mott and Kellogg foundations provided the most support to continuing and nontraditional activities. Mott exceeded Kellogg over two to one in the number of grants, giving 168 awards over five years to Kellogg's 71 grants over six years. Kellogg's actual appropriation however was much larger, over $23.4 million compared to Mott's $13.3 million. These two foundations alone account for 64.7 percent of all donated dollars and 55 percent of all grants in the study.

The Ford Foundation was third in both number and amount of grant appropriations making forty-six awards totaling almost $5.4 million. Ford was followed by the Lilly Endowment and the Carnegie Corporation of New York which respectively gave forty-three grants for $4.6 million and thirty grants for $4.5 million in appropriations.

With few exceptions the rank order of these five foundations was remarkably consistent for each year of the study. In 1973 Mott was not a participant in the FGI. That year Kellogg's appropriation was 48.3 percent of the total, Carnegie's was 20.5 percent and the Lilly Endowments was 15.1 percent. In 1974 Lilly provided 25.1 percent to Ford's 15.5 percent and Mott's 12.9 percent of that year's appropriations. By 1975, however, the leadership ranking was established for the remaining four years of the study.

Table 4.1.--Continuing and Nontraditional Education Grants from Selected Foundations 1973-1978. Appropriations in thousands of dollars (000).

	Carnegie	Kellogg	Ford	Lilly	Mott	Cleveland	Rockefeller	San Francisco	Others	Total
1973										
Number of grants	7	13	4	4	*	2	0	0	3	34
Percent	20.6	38.2	14.7	11.8	-	5.9	-	-	8.8	100
Appropriation	1,241	2,921	482	917	*	75	0	0	417	6,054
Percent	20.5	48.3	8.0	15.1	-	1.2	-	-	6.9	100
1974										
Number of Grants	7	7	6	12	13	1	3	4	8	61
Percent	11.5	11.5	9.8	19.7	21.3	1.6	4.9	6.6	13.1	100
Appropriation	1,084	2,391	1,291	2,091	1,073	6	129	87	157	8,308
Percent	13.0	28.8	15.5	25.1	12.9	0	1.6	1.1	1.9	100
1975										
Number of Grants	8	14	18	12	27	6	3	2	10	100
Percent	8.0	14.0	18.0	12.0	27.0	6.0	3.0	2.0	10.0	100
Appropriation	1,204	4,071	2,260	615	3,482	171	316	73	856	13,048
Percent	9.2	31.2	17.3	4.7	26.7	1.3	2.4	0.6	6.6	100
1976										
Number of Grants	3	16	4	10	49	2	2	4	10	100
Percent	3.0	16.0	4.0	10.0	49.0	2.0	2.0	4.0	10.0	100
Appropriation	188	6,833	775	652	3,540	39	224	164	740	13,156
Percent	1.4	51.9	5.9	5.0	26.9	0.3	1.7	1.2	5.6	100
1977										
Number of Grants	2	12	8	3	35	3	4	2	3	72
Percent	3.8	16.6	11.0	4.2	48.6	4.2	5.6	2.8	4.2	100
Appropriation	413	3,813	502	204	2,079	95	896	79	611	8,693
Percent	4.7	43.9	5.8	2.3	23.9	1.1	10.3	0.9	7.0	100

Table 4.1.--Continued.

	Carnegie	Kellogg	Ford	Lilly	Mott	Cleveland	Rockefeller	San Francisco	Others	Total
1978										
Number of Grants	3	9	5	2	44	1	2	1	0	67
Percent	4.5	13.4	7.5	2.9	65.7	14.0	2.9	1.4	-	100
Appropriation	379	3,394	90	168	3,160	5	329	15	0	7,540
Percent	5.0	45.0	1.2	2.2	41.9	-	4.4	0.2	-	100
6 Year Total										
Number of Grants	30	71	46	43	168	15	14	13	34	434
Percent	6.9	16.3	10.6	9.9	38.7	3.4	3.0	3.0	7.8	100
Appropriation	4,510	23,423	5,400	4,648	13,335	392	1,894	418	2,781	56,800
Percent	7.9	41.2	9.5	8.2	23.5	0.7	3.3	0.7	4.9	100

An interesting pattern seemed to emerge when the aggregated data for the six year period was examined. Between 1973 and 1974 the number of grants jumped from thirty-four to sixty-one, an increase of 44.3 percent with a 27 percent increase in dollars. As discussed in Chapter II, 1973 was the year of publication for two major studies on future directions for higher education, The Newman Report II and most of the reports of the Carnegie Commission on Higher Education. Both studies advocated increased attention to the program and service needs of adult learners.

In 1975 there was another jump of 39 percent in grants and 38 percent in appropriations from the previous year. This small spurt of activity seems to have peaked by 1976 when 100 grants were made for a total of $13,155,774. The last years of the study show a substantial decline in both number and amounts of grant dollars, dropping 28 and 34 percent beginning in 1977.

This "trend" however, evaporated upon closer examination of individual foundation activities in each of those years. For example, half of the 1974 increase in the number of grants was due simply to the addition of Mott Foundation data which had not been included in 1973. As reported, Kellogg grants actually dropped that year although the decrease was offset by Lilly whose awards increased substantially. The remaining twelve grants for 1974 were spread among the "bottom eight" foundations in the study.

In 1975, Mott, Ford and Kellogg more than doubled the number of grants they gave in 1974. This accounts for 74 percent of the thirty-nine new grants. In 1976, 49 percent of all grants awarded can be attributed solely to Mott, offsetting substantial drops by Ford, Carnegie, and Cleveland.

Table 4.1 also shows that similar distortion occurred in the dollar appropriations, where the immense fiscal leadership of Kellogg and Mott dwarfs the monetary awards made by other foundations in the study.

An examination of individual foundation's grants as a proportion of their total U.S. giving showed the same sort of leadership domination by Kellogg and Mott. The Foundation Center had estimated total foundation grants to the area of Adult Education at approximately 2 percent of total foundation philanthropy.[1] As indicated in Table 4.2, however, only three foundations exceeded that figure for this, more broadly defined, study. Kellogg and Mott gave 15.5 percent and 14.5 percent of their six year total of U.S. appropriations to continuing and nontraditional education, followed by Carnegie at 5.8 percent. Both 1975 and 1976 were major years for grants with these three foundations.

Although the Ford Foundation, whose total annual grant payments is greater than most foundation's assets, gave only 0.6 percent of their six year appropriation for this subject, it amounted to 3.1 percent of their Education

Table 4.2.--Continuing and Nontraditional Education Grants as a Proportion of Eight Individual Foundations Grant Appropriations, 1973-1978. Figures in thousands of dollars (000).

	1973	1973	1975	1976	1977	1978	6 Year Total
Carnegie							
Total Grant Appropriations	14,831	15,023	12,899	11,758	11,981	11,290	77,781
Grants from this Study	1,241	1,084	1,204	188	413	379	4,510
Percent	8.4	7.2	9.3	1.6	3.5	3.4	5.8
Kellogg							
Total Grant Appropriations	23,788	17,002	18,762	26,783	31,348	33,115	150,798
Grants from this Study	2,921	2,391	4,071	6,833	3,813	3,394	23,423
Percent	12.3	14.1	21.7	25.5	12.2	10.2	15.5
Ford							
Total Grant Appropriations	210,216	220,229	172,442	137,066	98,445	108,179	946,577
Education and Research Grants	39,273	29,580	31.814	28,185	24,298	17,902	171,052
Grants from this Study	482	1,291	2,260	775	502	90	5,400
Percent of Total	0.2	0.6	1.3	0.6	0.5	-	0.6
Percent of Education and Research	1.2	4.3	7.1	2.7	2.1	0.5	3.1

Table 4.2.--Continued.

	1973	1974	1975	1976	1977	1978	6 Year Total
Lilly							
Total Grant Appropriations	51,824	59,339	55,621	42,029	17,846	16,342	243,002
Grants from this Study	917	2,091	615	652	204	168	4,648
Percent	1.8	3.5	1.1	1.6	1.1	1.0	1.9
Mott							
Total Grant Appropriations	*	11,916	15,792	12,893	16,535	34,534	91,669
Grants from this Study		1,073	3,382	3,540	2,079	3,160	13,335
Percent		9.0	22.1	27.5	12.6	9.1	14.5
Cleveland							
Total Grant Appropriations	7,566	8,586	8,594	10,355	10,070	10,230	55,395
Grants from this Study	75	6	171	39	95	5	392
Percent	1.0	-	2.0	0.4	0.9	-	0.7

Table 4.2.--Continued.

	1973	1974	1975	1976	1977	1978	6 Year Total
Rockefeller							
Total Grant Appropriations	40,272	42,104	41,370	42,862	39,416	40,511	246,534
Grants from this Study	0	129	316	224	896	329	1,894
Percent		0.3	0.7	0.5	2.3	0.8	0.8
San Francisco							
Total Grant Appropriations	4,794	5,444	3,723	5,017	6,057	5,404	30,439
Grants from this Study	0	87	73	164	79	15	418
Percent		1.6	1.9	3.2	1.3	0.2	1.4

Sources: Foundation grant appropriations taken from individual foundation's Annual Reports.

*C. S. Mott Foundation data was not recorded in the FGI for 1973.

and Research program budget. This, in dollar figures, is more analogous to other foundation's total grants.

Types of Grant Recipients

> What types of institutions and organizations have been recipients of foundation grants for continuing and nontraditional education activities? As a recipient of foundation grants in this area, how does higher education compare with other institutions and organizations in the level of support they have received? To what extent have individual recipients been awarded multiple grants for continuing and nontraditional education activities?

The Foundation Center estimates that roughly 25 percent of all foundation grants are for higher education purposes. Higher education institutions, however, as recipients of foundation grants for all purposes receive a much larger share of foundation contributions.[2] In this study higher education institutions, on the average, received 60.6 percent of all grants and 63.7 percent of all dollars appropriated. The variation, shown in Tables 4.3 and 4.4 ranged from a high of 74.4 percent from Mott, to a low of 15.4 percent from the San Francisco Foundation. Of all the foundations, only Carnegie and Lilly show any marked emphasis for private higher education institutions.

The Carnegie Corporation which has spoken out in favor of alternative providers of educational opportunities for adults other than higher education, nonetheless, gave 50 percent of their grants to higher education institutions. Forty percent of their grants went to educational

Table 4.3.--Continuing and Nontraditional Education Grant Recipients.

	Carnegie		Kellogg		Ford		Lilly		Mott*	
Total: Number of Grants	30	100%	71	100%	46	100%	43	100%	168	100%
Public Higher Education	5	16.6	36	50.7	14	30.4	4	9.3	96	57.1
Private Higher Education	10	33.3	11	15.5	10	21.7	24	55.8	29	17.3
Subtotal: All Higher Educ.	15	50.0	47	66.2	24	52.2	28	65.1	125	74.4
Community Colleges	1	3.3	2	2.8	2	-	-	-	2	1.2
School Systems									16	9.5
Educ. Organizations	12	40.0	18	25.4	13	28.3	8	18.6	12	7.1
Other Non-Profit Organizations	2	6.6	4	5.6	9	19.6	5	11.6	10	5.9
State Boards of Education	-	-	-	-	-	-	-	-	3	1.8

Table 4.3.--Continued.

	Cleveland		Rockefeller		San Francisco		Others		Totals	
Total: Number of Grants	15	100%	14	100%	13	100%	34	100%	434	100%
Public Higher Education	4	26.6	1	7.1	2	15.4	4	11.8	166	38.2
Private Higher Education	2	13.3	3	21.4	-	-	8	23.5	97	22.3
Subtotal: All Higher Educ.	6	39.9	4	28.6	2	15.4	12	35.3	263	60.5
Community Colleges	-	-	-	-	-	-	1	2.9	6	1.4
School Systems	3	20.0	4	28.6	1	7.7	-	-	26	6.0
Educ. Organizations	5	33.3	4	28.6	3	23.1	9	26.5	84	19.4
Other Non-Profit Organizations	1	6.6	2	14.3	7	53.8	12	35.3	52	12.0
State Boards of Education	-	-	-	-	-	-	-	-	3	0.7

*Mott Foundation totals do not include 1973 data.

Table 4.4.--Appropriations to Recipients of Continuing and Nontraditional Education Grants. Figures in Thousands of Dollars (000).

	Carnegie		Kellogg		Ford		Lilly		Mott*	
Total:	$4,509	100%	$23,422	100%	$5,400	100%	$4,648	100%	$13,335	100%
Public Higher Education	701	15.5	12,616	53.9	1,621	30.0	348	7.5	7,642	57.3
Private Higher Education	1,623	36.0	3,678	15.7	866	16.0	2,464	53.0	2,069	15.5
Subtotal: All Higher Educ.	2,324	51.5	16,294	69.6	2,487	46.1	2,812	60.5	9,711	72.8
Community Colleges	86	1.9	548	2.3					112	0.8
School Systems							244	5.2	1,478	11.1
Educational Organizations	1,800	39.0	5,920	25.3	1,364	25.3	757	16.3	1,287	9.6
Other Non-Profit Organizations	299	6.6	660	2.8	1,549	28.7	835	17.9	482	3.6
State Boards of Education									265	2.0

Table 4.4.--Continued.

	Cleveland		Rockefeller		San Francisco		Others		Totals	
Total:	$ 392	100%	$1,894	100%	$ 418	100%	$2,781	100%	$56,000	100%
Public Higher Education	112	28.6	254	13.4	160	38.2	660	23.7	24,112	42.2
Private Higher Education	91	23.3	233	12.3			1,064	38.3	12,089	21.3
Subtotals: All Higher Educ.	203	51.9	487	25.7	160	38.2	1,724	62.0	36,202	63.7
Community Colleges							20	0.7	766	1.3
School Systems	37	9.5	458	24.0	49	11.8			2,267	4.0
Educational Organizations	123	31.5	892	47.1	50	12.0	307	11.0	12,501	22.0
Other Non-Profit Organizations	28	7.1	57	3.0	159	38.0	730	26.2	4,799	8.4
State Boards of Education									265	0.5

*Mott Foundation totals do not include 1973 data.

organizations with 6.6 percent awarded to non-education agencies or groups.

School systems, a traditional sponsor of adult basic and leisure education, and Community Colleges, a more recent but aggressive competitor for adult clientele, received few, if any, grants from foundations. The exception was Mott which gave 12.5 percent of its grants to these two recipients and State Boards of Education. School systems, a major component in the Community Education concept, which Mott has pioneered, comprised 9.5 percent of Mott's grants in this study.

Educational and non-educational organizations respectively received 19.4 percent and 12 percent of all the grants awarded. This relatively close tally, however, does not carry over into actual appropriations where funding to educational organizations was almost three times greater than that given to non-education groups.

A closer examination of the frequency of grants made to specific institutions and organizations, moreover, reveals additional information. Except for those institutions that receive yearly Mott Foundation support as Regional Community Education Centers, only two universities received more than three grants over the six year period. Cornell University received five grants totaling $475,112 between 1975-77. One $5000 grant was from Ford. The remainder were from the Carnegie Corporation. Most of

these funds, $342,712, were for development of a comprehensive education program directed to union women.

The largest institutional recipient of foundation grants was the University of Michigan which received seven grants from four foundations amounting to $1,114,778. These included a large grant, $559,209, from Kellogg for a continuing education program in public health, three grants from Mott for community education projects, two grants from Ford for the further education and training of women, and a small grant from Lilly toward the development of the Open University concept. The Mott and Kellogg foundations are both incorporated in Michigan. The Ford Foundation, now in New York, was established there in 1936. The Lilly Endowment resides in nearby Indiana.

Three educational organizations were the only other recipients of more than two grants over the period covered by the study. The American Association of Community and Junior Colleges received four grants from three foundations between 1975-77 for a total of $851,275. All four grants were for different projects although two, from Mott, concerned community education.

The Ford Foundation was a big supporter of the Mississippi Action for Community Education, making three grants totaling $837,500. The Rockefeller Foundation provided them with two grants and the Clark Foundation gave another, for a grand total of $1,229,750. All these grants were used for program operations.

Between 1973 and 1978 the Educational Development Center received the support of three foundations with seven grants for the training and continuing education of school administrators. Carnegie was the primary sponsor giving two grants for a total of $655,000. Ford gave $75,000 and the Sloan Foundation made three small grants that came to $46,000.

Purpose of the Grants

> What kinds of continuing and nontraditional education activities have received foundation support? Which have received the most support? Is there any relationship between the type of recipient and the type of activity funded? Have there been specific kinds of programs that have received special attention from individual foundations? Has there been any interest in grants directed at the learning needs of particular groups of adults?

An examination of Table 4.5 shows that among the seven classifications used to divide the activities included in this study, Community Education was the area that received the largest number of grants. The Mott Foundation, which is responsible for the development of this concept, accounted for 116 of the 135 full purpose grants and 26 of the 30 partial purpose grants. This is ten of the more than $13 million dollars that has been given for this purpose. Almost all the grants made for Community Education went to educational institutions, universities and school systems. There were twenty-three grants to non-profit organizations, but the descriptor, as used in the

Table 4.5.--Types of Continuing and Nontraditional Education Grants, Full and Partial Purposes. Figures in Thousands of Dollars (000).

		Carnegie		Kellogg		Ford		Lilly		Mott	
		No.	$	No.	$	No.	$	No.	$	No.	$
1. Continuing Education											
	Full	8	1,094	47	14,205	5	453	26	3,069	8	1,365
	Partial			4	2,907	2	250*			2	100*
2. Training											
	Full	5	1,166	6	1,524	21	1,591	4	166	4	455
	Partial	1	120*							24	747+
3. Community Education											
	Full	2	482	4	1,522	3	838	2	93	116	10,245
	Partial									26	847*+
4. Learning Resource Centers	Full	4	411	1	231	1	10	5	435		
	Partial	1	300+	2	618+	1	19+	2	125*+		
5. External Degree Programs	Full	2	475	4	1,559	4	405				
	Partial			1	581*						
6. Other Nontraditional Education	Full	6	323	3	856	9	1,745	4	768	11	397
	Partial	1	120*	3	2,326*	1	150*	1	25+		
7. Counseling											
	Full	1	138							2	25
	Partial	1	300+	2	618+	2	119*+	1	100*		

Table 4.5.--Continued.

	Cleveland		Rockefeller		San Francisco		Others		Numerical Totals
	No.	$	No.	$	No.	$	No.	$	No.
1. Continuing Education									
Full	6	167	3	85	53	193	17	1,553	125
Partial									8
2. Training									
Full	2	34	3	652	2	69	3	67	50
Partial			3	343*			2	130*	30
3. Community Education									
Full	1	28	4	514	3	93	1	13	135
Partial			3	343*			1	100*	30
4. Learning Resources Centers									
Full	2	13			1	8	6	436	20
Partial							1	160+	
5. External Degree Programs									
Full	3	110			1	50			14
Partial									1
6. Other Nontraditional Education									
Full	1	40	1	300	1	5	4	423	40
Partial									6
7. Counseling									
Full									3
Partial							2	190*+	8

*, + denotes grants with shared purposes within each foundation.

grant listings, seemed to indicate a variety of social action and community development activities.

Activities traditionally defined as continuing education received the most attention from all the foundations, with 125 full purpose grants totaling over $22 million dollars. Training, another popular and established form of continuing education for adults had fifty full and thirty partial purpose grants amounting to over $7 million. While Kellogg and Lilly were the primary providers of funds for continuing education, the Ford Foundation placed its primary emphasis on the very obviously job-related training function.

Training was the only area that higher education did not dominate as a grant recipient. Non-profit organizations received twenty-five full purpose training grants, slightly more than the twenty-two received by higher education institutions. There were, however, an additional thirty grants classified as having partial training purposes. These grants were from Mott for training administrators and community leaders in community education. Most of these grants went to higher education institutions.

Nontraditional education, particularly external degree programs and learning resource centers, received substantial and broadly based support. No single foundation took the leadership role in funding these more experimental activities. Carnegie, Ford, Mott and Lilly all made moderate efforts in this regard. During this period,

approximately eighty-six grants were made for nontraditional education purposes with over $10 million dollars in actual appropriations.

The learning resources center and educational brokering concepts, which emphasize the utilization of existing educational opportunities, were fairly popular among almost all the foundations with twenty-seven full or partial purpose grants amounting to over 2.5 million dollars. External degree programs also received over $2.5 million for fourteen grants.

Nontraditional education generally was the area that received the most shared purpose grants. Many grants combined these newer, less tested programs with traditional activities or built several nontraditional activities into a single program. Again, higher education was the dominant recipient of grants in this area with fifty-five out of eighty-six full purpose grants. Educational organizations received twenty grants and other non-profit organizations gathered eleven grants.

Within these general classifications of grant purpose several special purposes emerge as holding the interest of one or more foundations. Foremost in this regard has been the area of health care administration. Since 1973, the Kellogg Foundation has made thirty-six grants for these professional continuing education activities. This accounts for 50 percent of all Kellogg's grants

herein, and amounts to over 9.7 million dollars broken down into five project areas as follows:

9	General health care administration	$2,445,481
7	Financial Management	2,053,372
8	Nursing and nursing administration	2,786,644
6	Long term health care administration	308,305
6	Other	2,300,918
36		$9,894,720

The San Francisco Foundation also made three awards in this area with two more from Mott and New York Community Trust making a total of forty-two grants for $10,177,435.

In 1974-75 the Ford Foundation sponsored a program that provided professional training for visual artists. Eleven grants were made, generally ranging from $50-70,000. Two grants, however, were to the Visual Arts Center of Alaska for $450,000 of the $950,000 total.

Twenty-five percent of The Lilly Endowment's grants were in support of continuing education activities for the clergy. Between 1974-76, Lilly gave eleven grants for this project at a cost of $799,833. Another activity that received Lilly support was the area of faculty development with eight grants to various universities and consortiums for a total of $814,615.

The Lilly Endowment, however, was not the only foundation interested in continuing education for faculty and university administrators. Ford, Carnegie, Kellogg, Rockefeller and Mellon all made contributions for this purpose. In total, twenty grants were given equalling

$3,306,536 to assist university personnel in improving their performance.

The further education of school administrators and teachers was also a popular area of foundation interest. Twenty-three grants were made for activities in this area from nine foundations. Ford, with eight and Carnegie, with six, were the leaders here. The total was $2,056,963. The major project was the previously mentioned program of the Educational Development Corporation.

The Ford Foundation was the largest single contributor to nontraditional education, giving sixteen grants, 34.8 percent, totaling $2,329,131, or 43.1 percent over the six years. Of major interest to Ford has been the development of the British Open University concept and the use of communications technology. Ford made five grants for this purpose over the six years coming to $1,184,445. Evaluation research for nontraditional education has also been of concern to Ford. Five of their sixteen grants were for various kinds of evaluation for nontraditional education generally and specifically for external degree programs. Ford's research commitment in this area was $116,176.

New York State was the leader in obtaining foundation support for nontraditional education programs. The New York Regents, credit-by-examination program, and Empire State College, which primarily takes a contract-learning approach, received $997,276 and $222,050

respectively, from Carnegie and Kellogg in the first case and from Carnegie and Ford in the second. The Regional Learning Service of Central New York, a pioneer in the resource center and brokering concepts garnered $486,927 from Carnegie, Ford, and Kellogg.

Basically, grants awarded to higher education institutions were degree-related and developmental, especially in nontraditional activities. The focus of higher education grants for continuing education and training centered on either research or professional development. Non-profit organizations received grants for training purposes or for the development of education and career resource centers. The few guidance and counseling grants also went to these groups. Those non-profit agencies classed as educational also received grants for continuing education. Many of these were professional organizations offering development opportunities for their associates. Most of the school systems received funds for community education. A few, however, received grants in support of adult basic education, G.E.D.'s, or further training for administrative personnel.

Slightly under 20 percent of all grants in this study were geared to the educational needs of particular groups of adults. Eighty-six out of 434 grants went to projects for minority groups members, women, elders, or other specific client populations. Eleven of Rockefeller's fourteen grants, $1,808,625, went to programs for minorities.

Two of these were for Native Americans and one was for Hispanics. Seven of the grants were for leadership development or community education.

Just under half of the number of grants Carnegie gave out went to programs serving the needs of women, totaling $1,680,847. Three of these grants were for the Cornell University Labor School project for union women. Seven other programs for women also focused on training and career development.

The San Francisco Foundation awarded nine out of its thirteen grants to a diverse array of special client groups. The elderly, women, the handicapped, prisoners, and homosexuals all received portions of the $71,583 total that went to special groups.

Foundations with Special Interest in Adult Education

How do those foundations that have specified an interest in adult education compare in their funding patterns to other foundations in the study?

The Mott and Kellogg foundations, two of the three foundations that the Foundation Center's Directory specifically listed as interested in the field of Adult Education, were clearly leaders in supporting continuing and nontraditional education activities. Fifty-five percent of all the grants and 64.7 percent of all the appropriations in this study were from these two foundations.

Their commitment to developing opportunities in continuing education is further illustrated by looking at

the proportion of their annual contributions that go to this area. While the average for all Directory foundations is only 2 percent of annual contributions, Kellogg and Mott respectively gave 15.5 percent and 14.5 percent of their yearly grant appropriations to activities included in this study. A reexamination of Table 4.2 shows that all the other foundations in the study were appropriating amounts much closer to the Foundation Directory norm.

Mott's commitment, however, is very narrowly focused on developing programs in Community Education with only a token effort in other continuing and nontraditional education categories considered herein. More than ten of the $13.3 million Mott appropriated for these purposes went to community education, $1.3 million went to continuing education and less than $400,000 was given for nontraditional education.

Similarly, the Kellogg Foundation has concentrated two-thirds of its contributions to more traditionally defined programs of continuing education. Although Kellogg has funded substantial projects in newer, more experimental areas of adult education, the other foundations seem more willing to fund nontraditional approaches.

The Lilly Endowment, the third foundation to specify adult education as a field of interest, did not have an obvious leadership position among the selected foundations. Ranking fourth, behind Ford, in grants and appropriations, Lilly committed only 1.9 percent of its

grants to continuing and nontraditional education over the period of this study. This is only partially explained by a large drop in assets and expenditures that began in 1977. Twenty-five percent of Lilly's grants, however, have been in support of nontraditional education activities, particularly learning resource centers.

Adequacy of Information Sources

How adequate are the publicly available sources of foundation grants information for research into their grant-making activities.

The Foundation Grants Index

The FGI, developed by the Foundation Center in 1972 to facilitate research into foundation grant-making activities was chosen as the data source for this study because most of the major foundations provided grant information to it. Furthermore, the grants were presented in a uniform fashion and provided additional information and description not included in the IRS 990-A's or in most foundation annual reports.

The generation, by computer search, of grants inappropriate to this topic had, to some extent, been anticipated. Analysis of the remaining 434 grants, however, produced information that was not consistent with the researcher's knowledge of these foundations based upon secondary analysis of annual reports. Examples of these inconsistencies include:

1. The data showed the Carnegie Corporation as making thirty grants totaling $4,509,501 over the six year period. However, a detailed case study of Carnegie that was developed as part of this investigation revealed five grants for that period totaling $7,961,706 (see Chapter V).

2. The Lilly Endowment, according to this data, made three awards in 1977 and two in 1978 compared to the ten to twelve in previous years. Lilly has been a major advocate of continuing education. Their 1977 Annual Report was found to have seventeen grants that met the criteria established for this study, totaling over $1.2 million (see Chapter V). This figure alone calls into doubt all the figures given for Lilly and casts suspicion on the completeness of all the grant data especially given the low numerical and dollar totals of some of these very large foundations.

3. The Cleveland Foundation, according to the data, made six grants for nontraditional education purposes. Yet, correspondence with this foundation indicated they had made a major commitment to this area between 1974-78 totaling $784,840 (see Chapter V).

4. The Ford Foundation often tends to distort the overall picture of foundation activity because of their huge assets and yearly grants. In this study, however, they are shown as giving less than six million dollars to these purposes over six years. This is less than 20 percent of

their educational research budget in any one year of the six years studied except 1978.

The construction of the original FGI search was reviewed by Ms. Martha Keenes of the Foundation Center. She expressed the opinion that the search was well designed, and that it contained a larger number of descriptors than usually used by others doing grants research, which likely would result in selection of some inappropriate grants. This had already been taken into account.

The culprit, it seems, is at the source. The foundations supply grant descriptions to the FGI voluntarily. The detail in these descriptions and the terminology used can vary greatly from foundation to foundation and from year to year. Although the Foundation Center provides a special form for this information, less than one-third of the participating foundations use it, preferring to simply send in Annual or Quarterly Reports or the IRS 990-A's.[3]

Each grant's classification and key words are supplied either by the foundation or the Foundation Center staff. Different individuals will be responsible for this task as grants are submitted throughout each year. Without a knowledge of the terminology even grants with detailed description can be misclassified. This, in part, explains why some faculty development grants were included in the search while others were not. Two descriptors, continuing education and career development, were used as key words

in classifying some of the grant listings but not in all of them.

These deficiencies in the FGI were not public knowledge until March 1, 1980, with the publication of the 1979 Foundation Grants Index when, "in an effort to develop a more consistent base of grant information the Center expanded the Index to include all grant information of the ninety-eight largest grant-making foundations meeting the criteria for inclusion."[4] The grants made by those foundations will be carefully checked for completeness of information by Foundation Center Staff.

The problems in classification and lack of standard terminology however, continue to exist, making any substantive analysis based on the FGI difficult. This is especially true for the field of continuing education where conflicts and controversy over terminology abound and efforts to resolve them through standardization have not been successful.[5]

Alternative Information Sources

Concurrent with the discovery of the inadequacies of the FGI, additional difficulty was also encountered in trying to obtain other information directly from the foundations. In trying to find out the extent of funding continuing education activities received as a proportion of foundation grants to education or higher education, the researcher discovered that this type of categorical

breakdown was generally not made by most of the foundations in their Annual Reports. The Education Program Officer of each foundation was contacted under the assumption that this type of information would be kept for internal analysis. Correspondence produced three kinds of response: a reply stating that the information was not kept, a referral to the Annual Report, or no reply. The Cleveland Foundation was the only foundation that made available this information to the researcher.

Similarly, attempts to contact some of these administrators by telephone produced referrals to the Foundation Center or unreturned messages.[6] Realizing that the number of people seeking grants and grant information is large, this response is understandable. Nonetheless, it complicated the research process.

Annual Reports, as a source for comparative data also proved to be generally unsuitable. First, some foundations provided detailed descriptions of each grant in their reports while others list only the recipient, the amount, and a short phrase for a description. Second, foundations list grants that were authorized during their fiscal year which varied with each foundation. A third problem was that a change in accounting, organizational restructuring, or fiscal year, resulted in footnoted admustments to financial data which also complicated comparisons.

Additionally, there was little consistency between foundations in their approaches to report format.

Categories of grants awarded were different for each foundation and sometimes changed from year to year as the foundation changed program priorities or reorganized internally. All these difficulties compound the human error that is likely in drawing out the appropriate information from an annual report.

It is obvious that trying to determine how great a problem exists within the FGI when there is no more reliable alternative for comparison is a very difficult undertaking. Some perspective, however, can be obtained by examining in detail the grant-making activities of three foundations in this study, Carnegie, Cleveland, and Lilly. Drawing on all available data sources, in this way the three foundations illustrate not only the magnitude of the research problem but also provide a more detailed perspective regarding patterns of grant-making activities for continuing and traditional education.

Summary

Data for this study was analyzed from the perspectives of the donor foundations, recipients, and grant purposes. Overall, 434 grants were made in 1973-78 period by the fifteen selected foundations. The total appropriation was $56.8 million.

Five foundations, Mott, Kellogg, Ford, Carnegie and Lilly, accounted for 82.5 percent of all contributions. Mott and Kellogg, two of the three foundations on record

as interested in this field contributed 14.5 percent and 15.5 percent of their respective budgets over the six years, to continuing and nontraditional education activities.

Higher education was the favored recipient of foundation grants, gathering 60.7 percent of all grants and 63.7 percent of all appropriations. Some foundations preferred giving to private higher education institutions but public colleges and universities were favored two to one, receiving $24.1 million to the $12.1 given to private institutions received multiple grants, generally from two to four foundations.

The continuing education of faculty and of health care administrators were two special projects that caught the interest of several foundations. Among nontraditional education programs, learning resource centers received widespread support. External Degree programs were also popular.

Comparisons between FGI data and foundation annual reports revealed numerous examples of underreporting by the FGI of grants relevant to this research. Lack of consistent terminology and definitions and the voluntary nature of the reporting system were traced as some of the reasons. Foundation annual reports were found to have less information concerning individual grants than the FGI. They were, therefore, used as a supplementary source instead of an alternative to FGI information.

CHAPTER V

THREE CASE STUDIES

Introduction

Additional insight into foundation interest in continuing and nontraditional education was gained by examining the Annual Reports and other publications of The Carnegie Corporation, Lilly Endowment and Cleveland Foundation. In assets and grant payments these three foundations respectively represented the top, middle and bottom ranks of the foundations studied. Their publications varied in style and comprehensiveness and their priorities were different. This diversity added depth to the study of foundation grant-making patterns. It also illustrated the widespread nature of the data base deficiencies.

Each case study begins with highlights of the foundation's history followed by analysis of their publications, particularly Annual Reports. Finally, the grant analysis compares listings in the reports with those provided by the FGI using the decision rules and criteria outlined in Chapter III. Adjustments to the FGI data are shown in accompanying tables.

The Carnegie Corporation of New York

Background

The Carnegie Corporation of New York was set up as a philanthropic foundation in 1911 by steel magnate, Andrew Carnegie. It was one of seven philanthropic and educational organizations established by Carnegie in the U.S. Its capital fund, originally donated at a value of about $135 million, now has a market worth of over $272 million, placing it among the fifteen largest foundations in the nation.

As a foundation, its purpose is "the advancement and diffusion of knowledge and understanding among peoples of the United States and certain parts of the British Commonwealth. In the U.S. grants are made primarily to academic institutions and national or regional organizations to improve education at all levels from preschool through higher education and for research or monitoring projects designed to advance the cause of social justice and equal opportunity in education. Within these broad parameters, the Corporation concentrates on a limited number of problems at any one time."[1]

The Carnegie Corporation's record in the field of national and international education is well known. In the past, Carnegie has been involved in such areas as: adult education in the 1920s and 1930s, arts education in the 1950s, public television in the 1960s and education

of blacks in the 1970s.[2] Among its many activities are such major reports as Gunnar Mydral's pioneering commentary on American race relations, An American Dilemma, James Conant's work on the American High School, and Clark Kerr's Commission on Higher Education.

Foundation Publications

Public accountability was a theme introduced in 1924 by Carnegie's first major professional president, Fredrick P. Keppel. Keppel felt that foundations, although privately endowed, were public enterprises and that grants made by them should be a matter of public concern.[3] It is a philosophy that the foundation continues to hold and reflect in its publications.

Carnegie published quarterly and annual reports, a "general information" leaflet, and special reports on major projects. Their Annual Reports have developed a consistent reporting format that has been kept for over a decade. The Reports began with the "Report from the President" which set the tone by discussing the major thrust of the past year's activities. The "Report on the Program" provided a summary of grant actions and detailed descriptions of all grants funded. Also reported were summaries of internal projects and publications resulting from past grants. The "Report of the Secretary" gave a short summary of personnel changes, and the "Report of the Treasurer"

provided all the financial information required by law for public disclosure.

The Program Report was the most detailed account of grants among all the foundations studied. It began its list of grants by providing a summary of the numbers, amounts, and recipients of grants awarded and stated the basic criteria used by the foundation for making grant decisions. The grants were divided into six program areas: higher education, early childhood development, elementary and secondary education, public affairs, other grants and grants to the Commonwealth program. The report from each program area highlighted the major priorities and projects and provided elaborate descriptions of all new grants awarded within its jurisdiction. Not provided in these reports were the subtotals for grant appropriations for each area or the duration of each grant. Additionally, the descriptions provided for each grant sometimes supplied the background of the recipient organization to the exclusion of the purpose for the grant.

The "Report of the Treasurer" provided an alphabetical listing of all payments made on grants during the fiscal year, ending each September 30th. A brief one sentence description was provided along with the year the grant was made or its location within the current report. From this list one could approximate the duration of grants made in previous fiscal years.

Grant Analysis 1973-78

According to their 1973 Annual Report, Carnegie appropriated $16,594,797 for 121 grants. This included $1,764,000 for the Commonwealth program. Fifty-four of these grants went to colleges, universities or schools. The stated program priorities for higher education included the development of more flexible program options, nontraditional study, liberal education and exploration of the relationship between education and work. Forty-two percent of all new grants, $6,785,015, went to programs in the higher education division. Five of those fifty-one grants met the criteria developed for this study. Three of those, however, were not included in the grants provided by the FGI to this study.

Georgetown University
$164,000 for conferences and workshops to train faculty in the use of individualized instruction.

Syracuse University, Regional Learning Service
$58,000 to provide counselors, study materials, and information for external degree students.

The Manpower Institute, Education-Manpower Council
$140,000 for a comprehensive study of the implications of lifelong learning for education and business.

Furthermore, there were five other grants provided by the FGI, but not listed in the higher education section of the Annual Report. Four of these were found among the thirteen grants that Carnegie made through its elementary and secondary education unit, although the Foundation Center had categorized them as Personnel Development or Educational

Research. One grant, made in December, to support a study of continuing education programs for women, was not found in either the 1973 or 1974 Annual Reports. It was, however, in the first quarterly report for the 1974 fiscal year.

All seven of the grants that the FGI provided to this study contained less description of grant purposes than provided by the Annual Reports. In two cases the report's descriptions were so different that they did not fit this study's established criteria. When these two inappropriate grants were eliminated from Carnegie's 1973 figures cited earlier and the three omitted grants were added, the total number of 1973 grants for continuing and nontraditional education rose to eight and the total appropriation increased to $1,582,000 which was 10.7 percent of all Carnegie's grants for the year instead of the previous 8.4 percent.

The "hit or miss" nature of the FGI and Annual Reports for this and other years is shown in Table 5.1. In 1974, the Corporation made 106 grants for $15,799,988. Fifty-one of these went to educational institutions. The Higher Education Program priorities remained the same with $5,698,475 for forty-four grants. Seven of those grants, equaling $1,509,700, fit into this study; only two, however, at $302,000 were selected by the computer search. Two major grants overlooked by the search went to:

Table 5.1.--The Carnegie Corporation of New York: Summary of Continuing and Nontraditional Education Grants, 1973-1978.

		In Thousands of Dollars (000)						
		1973	1974	1975	1976	1977	1978	6 Year Total
FGI Grants in this Study	#	7	7	8	3	2	3	30
	$	1,241	1,084	1,204	188	413	379	4,510
Additions from Annual Report	#	3	5	6	4	4	2	24
	$	362	1,208	663	537	644	242	3,656
Subtotal	#	10	12	14	7	6	5	54
	$	1,603	2,292	1,867	725	1,057	621	8,166
Adjustments	#	2+	-	-	1+	-	-	3
	$	21	100*	-	82	-	-	204
Total Grants for Continuing and Nontraditional Education	#	8	12	14	6	6	6	51
	$	1,582	1,192	1,867	642	1,057	621	2,962

Table 5.1.--Continued.

		In Thousands of Dollars (000)						
		1973	1974	1975	1976	1977	1978	6 Year Total
All Domestic Grants**	$	14,831	15,023	12,899	11,758	11,981	11,290	77,781
FGI as Percent of All Grants	%	8.4	7.2	9.3	1.6	3.5	3.4	5.8
Adjusted Total (5) as Percent of All Grants	%	10.7	14.6	14.5	5.5	8.8	5.5	10.2

+FGI grants judged inappropriate in view of Annual Report description.

*Error in computer entry.

**Reported total grants authorized minus grants made to the Commonwealth Program.

The Educational Testing Service
$821,000 for the CAEL project on nontraditional experiential learning

The American Council on Education and the New York State Regents Program
to examine the use of credit-for-prior-learning acquired through noneducational institutions.

The five grants were probably listed in the FGI, however, since the FGI has shortened the grant descriptions, there was no way to determine what categories and descriptors were used.

Five other grants not found listed in the section on higher education, were provided by the FGI for 1974. Three of these were listed within Carnegie's section for elementary and secondary education grants. One of these, to Experiential Systems, Inc. was listed in the Annual Report as $81,485 but the FGI printout had it itemized as $181,485. The two remaining grants were made late in 1974 which placed them in Carnegie's 1975 Annual Report.

When adjustments were made for omitted grants or errors in information, Carnegie's commitment to continuing education went up to $2,191,859 for twelve grants which was 14.6 percent of their grants for the year.

The central themes for Higher Education in Carnegie's 1975 report were to (1) widen options for all individuals of all ages who seek a college education and (2) the further development of programs that integrate work and education patterns of lifelong learning. Overall, higher education accounted for thirty-nine out of the 125

grants Carnegie made that year, $4,309,061 out of $13,938,035 in grant appropriations.

Seven of those thirty-nine grants fit into this research. Only one, to the Syracuse University Regional Learning Service, was selected by the FGI search. Interestingly this program was one that the FGI had failed to identify in 1973. Obviously the descriptions and/or categories were quite different in each year. The other six grants represented $663,450 in grant money not reflected earlier in this report.

There were seven other FGI grants that were not contained in the higher education section of the Carnegie report. Two were found described under public affairs. Two others were made late in the calendar year and were reported in 1976. Two grants were found listed in the treasurer's financial report but not described elsewhere. One grant, to Cornell University initiating an extensive education resource network for working women was described so vaguely in the Annual Report that it was initially overlooked, yet descriptions in subsequent years clearly indicate its suitability for inclusion.

Only three grants were reported by the FGI as meeting the study criteria for 1976. One, for the Cornell University program was listed under higher education in the 1977 report. Another had been classified in the elementary and secondary division. The third, to Wellesley College for a program for mature women, was described in the report

as having a research emphasis in career counseling which did not fit into this study. Additionally, there were four other higher education grants drawn from the report but not in the FGI accounting for another $536,000.

Deleting the Wellesley program and adding the other four grants, placed the total commitment at $642,000. This was still a substantial drop from previous years. It should be noted, however, that the 1976 priorities for higher education shifted somewhat toward finding solutions for "steady state" fiscal concerns and increased educational opportunities for minorities and women.

One of the two 1977 FGI grants, to continue the Cornell University project, appeared in the 1978 Annual Report. The other, to the National Center for Educational Brokering, was found where it was expected to be, listed under higher education grants. A $28.000 grant, however, to Syracuse's Regional Learning Service, the foremost educational brokerage in the country, did not appear in the computer search along with three others totaling $644,000. Although nontraditional education was still a major concern in 1977, there had been a definite shift in emphasis toward improving undergraduate education through more effective use of resources, and to collective bargaining issues.

By 1978, the higher education program priorities had completed the changeover to a focus on financial problems and coping with a "steady state" environment. Only four grants in that section of the report fit into this

study. Two of these had been listed by the FGI. The difference being only $242,350. There was one grant made in December, provided by FGI, that appeared in their 1979 Annual Report.

As Table 5.1 illustrates, Carnegie's commitment to nontraditional and continuing education was considerably underestimated in the FGI search. Given the enormous universe of possible projects to fund, an average commitment of 10.2 percent over six years was substantial.

The underreporting of Carnegie grants by the FGI appears to be the result of the loss of descriptive information when the grants were entered for machine storage and retrieval, combined with some inappropriate selection of categories and key words by Foundation Centers staff. It should be noted, however, that the FGI search did uncover many grants that were administered under other Carnegie program areas. These grants can easily be overlooked when manually reviewing the one-hundred-plus grants described in each report.

The Lilly Endowment

Background

In 1937, when the Lilly Endowment was established, there was only $15,570 available as endowment income. That year only one grant was made for $10,500 to the Indianapolis Community Chest.[4] Forty-one years later, in

1978, their assets amounted to $653,367,581 and they made 326 grants paying out over $21 million dollars in appropriations.

Initially, grants from the endowment fund reflected the favorite charities of the Lilly family. This included substantial general support grants to private colleges in Indiana. In 1956, Lilly adopted a policy defining three major areas of interest: education, community services and religion. At that time over half of their grants were going to education and another sixth into the field of religion.[5] In the area of community services the Endowment placed its emphasis on "the preservation of human liberty in the United States," and in 1962 grants were made which "contributed to a better understanding of the anti-communist, free-enterprise, limited government concept."[6]

The focus on religion and on moral aspects of economic education gave Lilly a reputation for conservatism, and indeed small grants were made to fundamentalist colleges and to nonpolitical, anti-communist activities. The largest and most numerous grants, however, went to liberal religious organizations and schools. The United Negro College Fund, for example, received annual grants almost from the beginning, as did Earlham College, a liberal Quaker institution.[7]

Lilly continues to place its emphasis on moral values in its grants for religion, education and community service, but few people now attach a conservative label.

The Endowment has been interested in "innovative programs that seek to produce positive changes in human society, promote human development, strengthen independent institutions, encourage responsive government at local, state and national levels, and improve the quality of life in Indianapolis and Indiana.[8]

Foundation Publications

During the early years, little was known about Lilly's activities beyond its own community and its immediate beneficiaries. In 1950, however, the board decided to publish its first annual report because increases in assets had made it one of the major foundations in the country. Reports have been issued ever since because:

> we [Lilly] recognize our responsibility not only to place our money intelligently, but also to make a public accounting of our stewardship.[9]

The Endowment also has a small pamphlet, "Guidelines," describing procedures for grant applicants.

Lilly's Annual Report, while adequate in presenting an overview of the foundation's activities, lacked the descriptive quality to really enlighten someone interested in the nature of their grants. The report format that Lilly used was developed in 1974-75. It began with a general statement that set the theme and summarized the program priorities for the year. Usually the theme picked up on internal operations or elaborated a part of the grants process. Sometimes, however, an external event set

the tone of the report. In 1973, the report also included program reports that summarized activities in the areas of education, religion and community development. These were dropped the following year. Brief capsulizations of the narrative for each year's report have been presented below.

1973: Characterized as a year of expanding activity and staff. An announcement was made regarding the Endowment's intention to eliminate, by 1976, the general support grants to independent undergraduate colleges, to be replaced by challenge grants. This shift occurred at the same time that the Endowment re-emphasized its interest in programmatic grants over grants for buildings or endowment. Priorities for the area of Education included: improved governance of higher education institutions; improved utilization of faculty and administrative resources; and encouragement of professional development and continuing education of teachers. A new direction into early childhood education was also indicated. In the area of Religion the emphasis was on continuing education of the clergy, particularly those whose ministry was in Black churches, and in leadership training and development. In 1973, the area of Community Development was undergoing a process of redefining its options and policies. Education and training of community leaders was stressed.

1974: The importance of philanthropy and the private non-profit sector was the theme for this report,

probably influenced by the publication that year of the Report of the Committee on Private Philanthropy and Public Needs (The Filer Commission). This was the first year of a new format which eliminated virtually all verbal description of activities, priorities and objectives. The report basically reiterated the Filer Commission's statements on the importance of foundations in sustaining a decentralized, pluralistic system in America.

1975: In this year there was a return to a longer narrative although without separate reports on programs areas. The emphasis was on "self-help development" reflecting the intent of Lilly to give grants to help people carry on, on their own. Program priorities included:

Family Development	early childhood development, pre-school education and training for parenthood
Career Development	"not all colleges and universities . . . have been able to keep pace with the requirements of a society in ferment or with the demands of the new breed of student."[10]
Professional Development	to explore the frontiers of new and effective training and retraining programs, particularly for the clergy, for community leaders and for college faculty.

1976: On 24 January 1977, Eli Lilly, one of the principle founders, died. This report, therefore, included an eulogy, paying tribute to the man and his interest in religious values, education and social welfare. The keynote

of the report was Lilly's "investment in people," that faith in the individuals and their organizations was implicit in every grant decision. Stressing the importance of the partner relationship, the foundation outlined its expectations of grant recipients and concluded with profiles of fifteen individuals who had received past grants.

1977: The theme of this year was to "open a vista," to keep a clear view. It began with an apocryphal story about J. K. Lilly, Sr. and led into a statement about that being a year to examine and evaluate objectives and strategies. 1977 was a year of financial troubles for Lilly which necessitated a reduction in new grants and in operating expenses. The president affirmed the intention to fully meet current grant obligations and characterized this period as a time of challenge to the staff to sharpen their philanthropic skills.

1978: The narrative for this report focused on the decision systems in the Endowment's grant-making process. It reiterated its program areas and mentioned its avoidance of health care projects. It presented an excellent outline of the procedures and evaluation criteria for Lilly's grant decisions but which were general enough to serve as a valuable guide for those seeking grants almost anywhere.

Grant Analysis

Following the narrative of each report was the "List of Grants," an alphabetical list of recipients with

a short phrase or sentence to describe the grant. Also provided are the dollar amounts appropriated or paid out to each organization that year and amounts paid previously and those still outstanding. The major problem with this section was that grant descriptions were too brief, often insufficient for determining the grant's purpose.

Overall, it appeared that the Lilly Endowment has stayed well within the original intentions of its founders throughout its forty-three year history. Moral values and education continued to be stressed although the emphasis changed as society's values changed. Education at all levels and particularly theological education has been the primary focus from the beginning. The idea of social welfare, defined in 1937 basically as charitable contributions, has shifted toward community development, again with an emphasis on leadership education.

None of the yearly reports offered any details of grant purposes or recipients. The columns were totaled at the end of the list and it is left to the reader to count or otherwise analyze the 200-300 grants listed each year. For Lilly, the descriptions provided in the reports were generally less than that supplied to the FGI. The lack of description made it difficult to select grants that fell within the framework of this study, although some of the descriptions contained appropriate descriptors.

Because Lilly's fiscal year coincided with the calendar year, all FGI grants were located in each year's report. There were many grants in each Annual Report appropriate to this study but not selected by the computer. Many of these grants contained descriptors used in the search. Other grants however, had terms, such as "faculty development," that were not included as descriptors, but should have been.

Table 5.2 presents the combined Annual Report and FGI grants for Lilly. Of the eleven additional grants taken from Lilly's 1973 Annual Report, three were for faculty development or faculty improvement. Two grants used the term "noncampus education" instead of the descriptor "off-campus education" selected for this search. Five other grants clearly should have been selected by the computer because they contained appropriate descriptors. Two of these were:

Indiana Newman Foundation $120,000
Continuing education for campus ministers

DePaul University $ 20,000
Planning funds for a nontraditional school

The three other grants were for training programs for teachers, clergy and laity. The eleven grants for 1.6 million indicated a much greater commitment by Lilly to continuing education, on the order of 4.9 percent instead of the 1.8 percent indicated solely by the FGI search.

TABLE 5.2.--The Lilly Endowment: Summary of Grants for Continuing and Nontraditional Education, 1973-1978.

		in Thousands of Dollars (000)						
		1973	1974	1975	1976	1977	1978	6 Year Total
FGI Grants in this Study	#	4	12	12	10	3	2	43
	$	917	2,091	615	652	204	168	4,648
Additions from Annual Reports	#	11	17	19	21	14	16	98
	$	1,648	1,417	1,754	1,745	1,003	1,952	10,518
TOTAL	#	15	29	31	31	17	18	141
	$	2,565	4,508	2,369	2,397	1,207	2,120	15,165
All Domestic Grants	$	51,824	59,339	55,621	42,029	17,846	16,342	243,002
FGI as Percent of All Grants	$	1.8	3.5	1.1	1.6	1.1	1.0	1.9
Adjusted Total as Percent of All Grants	$	4.9	7.8	4.3	5.7	6.8	13.0	6.2

This same pattern was repeated throughout the other five years of the study. There were fourteen to twenty-one additional grants found in each Annual Report, adding one to two million dollars to the Endowments total commitment. Faculty Development was the term most frequently used for these "found" grants, accounting for sixty-eight of the ninety-eight additional grants identified. There were, moreover, eight grants for "continuing education of faculty" which had been identified by the FGI search. This combined commitment to faculty improvement is shown in Table 5.3.

Table 5.3.--The Lilly Endowment: Faculty Development Grants 1973-78.

Year	Number	Amount
1973	4	$ 850,000
1974	10	1,439,953
1975	17	1,594,560
1976	21	1,849,576
1977	13	1,084,517
1978	11	1,413,702
Totals	76	$8,232,308

Most of the other grants found in the reports were for programs involving various types of training. There were also some grants that contained descriptors that had

been used in this study and should, therefore, have been identified by the FGI. Examples of these include:

St. Mary's-in-the-Woods College to expand women's external degree program	$300,000
St. Patrick's Church adult education program	$ 20,000
Educational Testing Service training for faculty in credit evaluation of life/work experience	$200,000
Columbia College continuing education for faculty	$ 50,000
Phi Delta Kappa, Inc. alternative education program	$ 12,180

How these grants were entered into the FGI can only be determined by running a search again for all Lilly grants.

Given the brevity of the grant descriptions used in the reports, the six year total of 141 grants could be either an overstatement or understatement of Lilly's commitment to this area. This total, however, while vastly larger than previously indicated by the FGI search, reflected only 6.2 percent of the Endowment's total contributions over six years. The fourteen to thirty-one grants made each year for continuing and nontraditional education purposes were not many in view of the 150-200 grants Lilly awarded each year.

The Cleveland Foundation

Background

The Cleveland Foundation was established in 1914 largely through the efforts of Frederick H. Golf, president

of the Cleveland Trust Company. The Foundation was the first community foundation in the country and served as a model for all community foundations that followed in succeeding years.

The foundation had 241 separate trust funds and a combined fund for smaller gifts. Five trustee banks safeguard and invest the funds which were allocated several times each year by an eleven member distribution committee representing a cross-section of community leadership and local philanthropy. With assets over $150 million, the Cleveland Foundation was the second largest community foundation in the nation.

In 1914, before the foundation had earned any income, its then sole trustee, the Cleveland Trust Company, donated $10,000 for a series of comprehensive community-wide public surveys to identify and publicize the major problem of the area.[11] Within three years the foundation had four times its 1914 budget and by 1918 was making its first contributions. That year the foundation was instrumental in establishing Cleveland's Community Chest, the predecessor of the United Fund, the first combined contributions plan in the country.

The Foundation's stated purposes were "to assist public charitable or educational institutions in Ohio; promote education and scientific research; care for the sick, aged and helpless; improve living and working

conditions; provide facilities for public recreation; promote social and domestic hygiene, sanitation and the prevention of disease; and research into the causes of ignorance, poverty, crime and vice."[12] In short, everything except religion. Grants were made for special projects with emphasis on higher education, hospitals, health and medical research, social services, the aged, child welfare, community and economic development and criminal justice.

Foundation Publications

Annual Reports and a quarterly newsletter were the official publications of the Cleveland Foundation.

Their Annual Report, the primary vehicle of public information for all foundations, was somewhat of a cross between those of the Carnegie Corporation and The Lilly Endowment. The format has been the same since 1974 when it eliminated some information about individual grants but provided more detailed program reports. Each Report began with a letter from the Chairman and a Director's Report. The first of these adopted a very general theme and the letter provided an overview of foundation activities within a community or national context.

A graphic summary of grant appropriations in the six areas of foundation interest was presented followed by reports from each program area: education, health, cultural affairs, civic affairs, social services and special philanthropic services. Each program area presented a verbal

summary of its priorities and highlighted several illustrative grants. An alphabetical listing followed, listing all grant recipients in that program area with very brief, one sentence, descriptions of purpose. Each program area had separate lists and subtotals for designated and undesignated grants.

The financial section was very lengthy, due to the large number of trusts that must be accounted for. There was also a section explaining how an individual can make a bequest to the foundation.

Grant Analysis 1973-78

1973 was characterized as a year of transition for the Cleveland Foundation. Its Director had left in mid-year and selecting the replacement had consumed most of the staff's attention and energy. The report that year was the most comprehensive of any year in the study period, although the FGI descriptions were a bit more detailed. Separate reports and grant listings for Higher and Elementary and Secondary Education were provided. The higher education report noted the completion of a three year study of public school personnel with strong recommendations for additional teacher training and continuing education. Mention was also made in the report of a program to train professionals to work with the visually handicapped. None of the sixteen grants listed in this section, however, contained descriptors developed for this study. The two grants that had been

identified in the FGI search were found under Elementary and Secondary education. These were for further teacher training. There was also another grant in the elementary and secondary education section, to Case-Western Reserve, for $34,300, to train school principals in new administrative techniques.

The following year, 1974, was called the "year of reassessment and self-renewal" by the Chairman. Grants were larger and fewer. The new Director outlined a five-year plan calling for less grants to programs that receive government support, more joint government-citizen projects, providing more direction in originating grant projects, and evaluating all grants on a quarterly basis. Grant descriptions were brief and all education grants were combined into one section, which stressed the need for planning and fiscal responsibility, especially in community colleges. Only one additional grant was found in the report that fit this study. It was a $30,000 award to the Cleveland Commission on Higher Education, for the Greater Cleveland External Degree Consortium.

"A quickening pace" was the term used in the 1975 Report to describe the Cleveland Foundation, which saw new peaks in the amount of grants and in the addition of new staff. The report for education programs focused on the problems of racial isolation in the school system. For higher education institutions, consultants had been hired to chart their future direction and needs for funding.

The FGI search showed six grants that year for $170,859. Four of these were found within the Education Program Report. The other two grants were not located. These included a $30,675 grant to the Cleveland Commission on Higher Education for a mid-career study group and graduate program through the library system and a $40,162 grant to Cleveland State University for the development of televised learning programs. There was also a $5,000 evaluation of Dyke's College's External Degree Program. However, because this was an internal, administrative expense, it was not considered in the total.

According to their Chairman, the Cleveland Foundation tion had come into its full flower just as the city needed such an institution as never before. By 1976, Court ordered desegregation had firmly divided the city and the foundation was concentrating a large part of its activities in efforts to keep the populace calm. Both the Director's report and that of the education program focused on this topic. The major projects funded included a study group composed of community leaders on racial isolation in the public schools and funding of the Greater Cleveland Project, a consortium of sixty organizations all seeking ways to create and keep a peaceful climate in the volatile city.

The two grants found in the Annual Report that were appropriate to this study had also been identified in the FGI search. There was, however, a $99 difference in the FGI and Annual Report listings for one grant appropriation.

External events in Cleveland were again reflected in the theme of the foundation's 1977 report. The long term economic problems of the region, the immediate fiscal and political woes of the city and the continued battle over desegregation were some of the events that prompted the foundation to assume the role of "facilitator of dialogue and communication." This was also the beginning of a shift in funding policy. The Foundation felt that it was time to research, develop and test new directions in community problem-solving. The foundation had begun in 1914 by initiating research into community problems and now they would again mount "significant experimental efforts based on research information and subject to suitable controls."[13]

The report on education programs again stressed its concern with peaceful desegregation. For higher education the report summarized its priorities over the past few years listing three areas of grant activity.

--community service projects
--interinstitutional cooperation
--expanded access for nontraditional students

This was the first time mention was made of foundation interest in the nontraditional student, an interest that was not evident in their individual grant descriptions. For example, the report discussed the activities of Baldwin-Wallace College, which had just completed a revision of its mission. The foundation gave the college $75,000 to implement its new plan. No mention was made in

the grant description that this plan included a shift in focus to older, nontraditional students.

Further review of the list of grants uncovered one, to the Institute for Environmental Education for $41,950, not identified in the FGI search. Additionally, a $7,500 grant to the Institute for Development of Educational Activities was in the FGI list but not the Annual Report.

In 1978 the Director reiterated the need for more research to back up its projects. The report's emphasis was on Civic Affairs and there were a few tactful but disparaging remarks about the local political system. The foundation's stated goals were to encourage research and discussion on public questions and to review policy options on public affairs. It stressed its intention to bring information to the decision-makers and to the people and not to participate directly in the political process.

As if the continuing problems with desegregation and racial isolation were not enough, the Education Program also had to contend with the crisis in public school financing. School closings, cutbacks and no tax increases, prompted a major study of school finance options with recommendations for legislation. Other topics mentioned included college-community service projects and student scholarships.

The FGI had identified two 1978 grants for continuing education. Two others were found in the report. One was a fourth year of funding for Kent State University's Project Dove at $12,000. This was a reentry program for

mature women that the FGI search had previously identified. The other grant was for $25,000 to Projects for Education Development to provide training for academic chairpersons of postsecondary institutions.

A summary of the Cleveland Foundation's contributions for continuing and nontraditional education is presented in Tables 5.4 and 5.5. The additional grants obtained from the report provided an increase of about 37 percent in the foundation's commitment to this area. Although this is less than 1 percent of their budget, it represents 8.18 percent of their contributions to postsecondary education.

Correspondence with the Education Program Officer, Ms. Marian Nolan, provided more internal information than any other foundation contacted. In addition to providing all needed back issues of their Annual Reports, the foundation also sent copies of tables used for internal analysis of postsecondary activities. These tables gave information regarding total awards to postsecondary education and analysis of postsecondary grants by functional purpose.

This information made it possible to compare contributions to continuing and nontraditional education to those made generally to postsecondary education, to all educational areas, and to total grant appropriations. It also provided a figure of 13.25 percent for 1974-78 grants "to expand access for nontraditional students." This can be compared with the 8.18 percent obtained by this

TABLE 5.4.--The Cleveland Foundation: Summary of Grants for Continuing and Nontraditional Education, 1973-1978.

		1973	1974	1974	1976	1977	1978	6 Year Total
FGI Grants in This Study	#	2	1	6	2	3	1	15
	$	75,000	6,325	170,859	39,029	95,400	5,000	391,613
Additions from Annual Reports	#	1	1	-	-	1	2	5
	$	34,000	30,000	-0-	(-$99)*	41,950	37,000	143,250
Total	#	3	2	6	2	4	3	20
	$	109,300	36,325	170,859	38,930	137,350	42,000	534,764

*Dyke College's External Degree Program was reported in the FGI as receiving $3,299. The 1976 Annual Report had the grant listed as $3,200.

Table 5.5.--Cleveland Foundation Contributions to Education, Postsecondary Education, and Continuing and Nontraditional Education, 1973-78.

		In Thousands of Dollars (000)						
		1973	1974	1975	1976	1977	1978	Total
All Grant Contributions	$	7,566	8,580	8,594	10,355	10,070	10,230	55,395
Education Contributions as	$	1,007	1,844	1,425	1,862	2,169	2,035	10,343
a Percent of all Contributions	%	13.31	21.50	16.56	17.98	21.55	19.90	18.67
Postsecondary Contributions	$	609	1,412	750	1,051	2,041	669	6,533
As a Percent of Education Contributions	%	60.48	76.57	52.63	56.45	94.08	32.86	63.16
Continuing and Nontraditional Education Grants	$	109	36	171	39	137	42	535
As a Percent of Postsecondary Contributions	%	17.94	2.57	22.77	3.70	6.70	6.27	8.18

*From Table 5.4.

Sources: Annual Reports, FGI search, and Table I "Analysis of Postsecondary Education Grants 1971-73 and 1974-78 (see Appendix C).

case-study (see Table 5.6). The difference was, in part, accounted for in that this program area included scholarship aid to students which was not part of this study.

Some relevant grants, however, would also have been included within the areas of institutional development or faculty and staff support.

Summary

The three case studies quite clearly show that there were a considerable number of grants not identified in the FGI search, and that the probable reasons for those omissions were those discussed in Chapter IV.

The Carnegie Corporation showed a marked increase in grants to this field between 1973-75. Their peak of fourteen grants for $1.8 million in 1975 dropped sharply to $.6 million for six grants in 1976. That year Carnegie shifted its priorities toward improved fiscal management in educational institutions. Under reporting of Carnegie grants by the FGI search was principally the result of reduced descriptive data being entered into the data base.

Career development was a major interest of the Lilly Endowment, particularly for faculty and clergy. Grants for continuing and nontraditional education actually increased as a proportion of all Lilly's contributions during 1977 and 1978 when the Endowment encountered investment difficulties. Ninety-eight additional grants totaling $10.5 million were found in the Annual Reports. The

TABLE 5.6.--Analysis of Postsecondary Education Grants by Functional Purpose.

	1971-73 (Includes $1 Million Grant)		1974-78	
Expanded Access for Nontraditional Students	11.29%	$3,423,787 * 386,545 +	13.25%	$5,919,321 * 784,840 +
Community Service	10.79		41.28	
Interinstitutional Programs	.99		4.41	
Institutional or Department Development	30.18		25.68	
Basic Academic Research	9.93		6.50	
Faculty and Staff Support	32.99		6.10	
Equipment and Supplies	3.83		2.78	

*Total Higher Education Grant Appropriations.

+Appropriation for expanded access for Nontraditional Students.

absence of many of these from the FGI search was due to the omission of the term "faculty development" from the list of descriptors.

The grant descriptions in the Cleveland Foundation's Annual Reports were virtually identical to those provided by the FGI. This explains why only five additional grants were found in examining the six years of reports. Internal documents provided by the foundation to the researcher indicated a larger commitment to nontraditional education than the half million dollars shown in this study. The lack of detail in their grant reporting is one reason. Another explanation is that the figures provided by the foundation included scholarship dollars which were excluded from this research.

Although it is clear that foundations have been making more grants to continuing and nontraditional education than indicated by the FGI, the extent of underreporting varies with each foundation. The absence of standard terminology and definitions in the FGI is the major cause of the problem, although the lack of description provided by the foundations is certainly a contributing factor.

CHAPTER VI

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Introduction

The two kinds of conclusions that emerge from this study address both the primary and secondary objectives articulated in Chapter III. Tentative conclusions can be drawn regarding the commitment of the selected foundations to continuing and nontraditional education. Other conclusions can be more definitely made concerning the usefulness of the FGI and annual reports as resources for foundation grants research.

The research questions provide a focus for both objectives and were therefore used, once again, as the organizational mechanism for this chapter. The major conclusions have been underlined.

Similarly, the recommendations are directed toward those two groups who could benefit from the two sets of conclusions. The chapter ends with recommendations to both those people interested in seeking continuing and nontraditional education grants and to those in the field of

philanthropy responsible for providing public information on foundation grants.

Summary and Conclusions

> What has been the magnitude of support for continuing and nontraditional educational activities among foundations in this study? Has there been any yearly variation in foundation support for these activities? What has been the proportion of foundation commitment to this area as a proportion of their annual domestic contributions.

The data is discouraging. Between 1973 and 1978 fifteen of the largest philanthropic foundations gave only 434 grants contributing only $56.8 million for continuing and nontraditional education activities. Eighty-two percent of all the grants were made by five foundations and most of the appropriations, 64.7 percent, came from two foundations, Mott and Kellogg. Furthermore, 40 percent of the foundations averaged less than two grants a year, too few to warrant individual analysis. Clearly overall interest in continuing and nontraditional education among the selected foundations has been slight.

There are several possible explanations for this low performance. Principally, it is a matter of priorities. The number of programs worthy of foundation support is tremendous. Choices must be made and some areas will inevitably be neglected.

Foundations develop their priorities in many ways. Perceived need and impact are two frequent criteria. The self-supporting nature of many continuing education programs

and the level of contributions from the Mott and Kellogg foundations, until recently, provided a picture of adequate philanthropic support. The Mott and Kellogg foundations have been recognized as leaders in this field for many years leaving other foundations free to pursue other priorities.

With the publication of the findings and recommendations of the Carnegie Commission on Higher Education it became evident that there was ample opportunity for additional foundation funding particularly in developing more nontraditional programs for adult learners. There is a time lag, however, in changing past program priorities and commitments. Carnegie and Lilly showed an increase in funding this area by 1974. That year Carnegie increased its grants to continuing and nontraditional education by a third. Lilly had jumped 48 percent.[1] The Ford Foundation's increase came in 1975 when their grants rose 66 percent, giving over $2.2 million.

The proportion of a foundation's total contributions going to continuing and nontraditional education is another way to ascertain levels of interest and support for these activities. Kellogg's commitment averaged 15.5 percent of their total domestic budget over the period of the study. Mott's was equally high at 14.5 percent of all their U.S. contributions. This percentage jumped for both foundations in 1975, from 14 percent to 21.7 percent for Kellogg and from 9 percent to 22 percent

for Mott. The Carnegie Corporation and the Lilly Endowment also gave greater shares to this field after the release of the Commission reports, although their respective 1974 increases over 1973 were small at 3.9 percent and 2.9 percent. Other foundations studied devoted less than 2 percent of their budgets to this field.

Before any real momentum was generated for funding continuing and nontraditional education, three events intervened, probably putting a damper on further foundation activity in the field. The general economic recession that hit the country in 1974 affected foundation contributions to all fields. Investment portfolios differ with each institution so the impact of the recession varied. The Lilly Endowment suffered the most damage with assets and grants falling sharply in 1977.

The other two events are related and should perhaps be considered together. On October 12, 1976, the Mondale Bill on Lifelong Learning was signed into law, becoming Title I, Part B, of the U.S. Higher Education Act.[2] The Act, establishing lifelong learning as a federal policy, carried no appropriation. Generally it has been the practice of foundations to support new program ventures in areas not receiving federal assistance.[3] Passage of the Lifelong Learning Act brought the perception of federal support for continuing education activities and many foundations turned to other educational needs. By 1977 the annual reports of Carnegie, Lilly and Cleveland foundations showed

a marked shift toward funding programs for better fiscal management and use of resources in higher education institutions. There were also numerous grants made for training and development of academic administrators. The pressing financial needs of higher education and the assumption of federal responsibility for lifelong learning quite possibly deflected foundation funds away from continuing and nontraditional education grants.

> What types of institutions and organizations have been recipients of foundation grants for continuing and nontraditional education activities? As a recipient of foundation grants in this area, how does higher education compare with other institutions and organizations in the level of support they have received? To what extent have individual recipients been awarded multiple grants for continuing and nontraditional education activities?

The institutions and organizations in this study fell within seven categories of grant recipients: public and private higher education institutions, community colleges, local school systems, State Boards of Education, non-profit educational organizations and other non-profit groups.

The assumption made at the beginning of this study that foundations would carry their tradition of support to higher education into this field was obvious. Both public and private colleges and universities received 263 of the 434 grants and $36.2 million in appropriations. These figures represent slightly more than 60 percent of all grants in this study.

The recommendation made by the Carnegie Commission on Higher Education, to look beyond traditional education institutions and encourage other community organizations to also become providers of educational programs for adults, does not appear to have had an impact on the foundations.[4] Although non-profit organizations received 30 percent of grant appropriations, 22 percent went to agencies already involved in education, primarily on a state or national level.

Favoritism toward specific institutions and organizations is one criticism that has been made of many foundations. It is an allegation which carries some support.[5] Analysis of grants to individual recipients in this study, however, showed no indication of preferential treatment for any recipient. Only two universities and three non-profit organizations received multiple grants, for the most part from multiple foundations.

There were two exceptions. Cornell University received four of five grants from the Carnegie Corporation. These grants support one major education project for working women. The Mississippi Action for Community Education, a non-profit organization, received $1.2 million in five grants from three foundations. All these grants were for operating support and three, totaling $837,500, were from the Ford Foundation.

It is increasingly rare for foundations to provide grants for general operations. The Mississippi Action for

Community Education was the only organization in this study that might be considered a preferred recipient.

> What kinds of continuing and nontraditional education activities have received foundation support? Which have received the most support? Is there any relationship between the type of recipient and the type of activity funded? Have there been specific kinds of programs that have received special attention from individual foundations? Has there been any interest in grants directed at the learning needs of particular groups of adults?

When looking only at the numerical totals, Community Education, with 165 grants, appears to be the program area that received the most foundation interest. The view is one-sided, however, because 142 of those grants came from the Mott Foundation. Their grants went overwhelmingly to colleges and universities, and to the Flint, Michigan Board of Education.

Mott pioneered the Community Education model and has stayed behind it, basically alone. Other foundations appear to regard this area as Mott's domain. The twenty-three grants made by other foundations, although classified as community education, were not for programs developed under this model. Instead, these were social action and community outreach grants with non-profit organizations as the recipients.

Continuing education activities with 125 grants for over $22 million in appropriations, received the broadest base of support from all the foundations. Professional continuing education programs dominated grants in this category showing clear foundation preference for career

development. There was virtually no support for adult basic education, high school equivalency, or English as a second language programs, perhaps reflecting the assumption that these types of programs are government responsibilities.

Training, which is obviously career related, ranked third in the number of grants received. All the foundations supported training programs of one type or another. The Ford Foundation seemed to favor this area of adult education, particularly management training. The Mott Foundation also considered training an important aspect of their community education activities, providing $847,344 for this purpose.

There was no apparent relationship between the type of recipient and the purpose of the grant. Higher education institutions simply dominated everywhere. Training was the only type of activity where non-profit organizations were equally represented. Twenty-five grants for training programs were awarded to non-profit groups, usually professional associations. Higher education institutions received twenty-two grants.

Learning Resource Centers and External Degree Programs each garnered $2.5 million in grants, accounting for half of the $10 million appropriated for nontraditional education activities. With about eighty-six grants, these more experimental programs were obviously of interest to foundations. Except for a few very large programs, such as New York's Empire State College, these grants were small.

Colleges and Universities were again, the primary recipient.

Often foundations concentrate their contributions on specific subjects within program areas. This results in grants to several recipients for developing programs with similar objectives. These "pet projects" sometimes reflect the interest of a particular foundation trustee or benefactor, or may be based upon the coverage a particular problem has received in the press. In this study there were several topics that were singled out for special attention from one or more foundations.

Continuing education programs for health care administrators caught the interest of the Kellogg Foundation. Fifty percent of their grants went to programs in this area with contributions of $9.9 million.

For the Ford Foundation, professional training for visual artists was a project that resulted in eleven grants over a two year period for a total of almost a million dollars. Ford also had an interest in transferring the concept of British Open University to the U.S. They gave $1.2 million for five grants to this project.

The Lilly Endowment favored more education for America's clergy. Twenty-five percent of the Endowment's grants went to continuing education programs for the ministers of many religious faiths.

Faculty development was an example of a problem area that received considerable attention from both

foundations and the academic press. Lilly, Ford, Carnegie, Rockefeller, and Mellon all supported programs for faculty improvement, providing over $3.3 million in grant appropriations.

Almost 20 percent of the grants found by the FGI went to special groups of adult learners. Women and minorities were the two special client groups that received the most attention. Carnegie gave $1.7 in fourteen grants for women's programs. The Rockefeller Foundation supported minorities in eleven of their fourteen grants.

Like most of the grants in this study, the grants to women and minorities focused on training and career development. Few grants identifiably served the needs of the economically disadvantaged.

> How do those foundations that have specified an interest in adult education compare in their funding patterns to other foundations in this study?

The contributions made by the Mott and Kellogg foundations to continuing and nontraditional education activities are so great, compared to the other foundations, that their commitment would be obvious even if it was not already recognized in both academic and philanthropic circles.

One or both of these philanthropic giants has dominated almost every aspect of this research. They made the most grants and contributed the most money. A greater portion of their annual budgets went to this field than any other foundation. Just as the size of Ford Foundation's annual budget distorts the overall picture of foundation

giving, the contributions of these two foundations skew the analysis of grants to continuing and nontraditional education.

The Lilly Endowment also had an expressed interest in this area which was reflected in their contributions. The adjusted figures shown in Chapter V presents Lilly with a third place ranking, behind Kellogg and Mott, with $10 million contributed in ninety-eight grants. The percentage of their annual contributions going to this area was 6.2 percent, considerably above most of the other foundations. Unlike the others, Lilly's grants to this area did not drop proportionately when their assets were reduced in 1977.

How adequate are the publicly available sources of foundations grants information for research into their grant-making activities?

This research question, originally conceived as secondary, to the intent of this study, in the final analysis has become the central concern.

In the process of analyzing the grants produced by the FGI search, several inconsistencies were uncovered. These included:

1. A very small number of grants from the Lilly Endowment, a foundation which has an expressed interest in Adult Education.
2. Numerous grants of the Carnegie Corporation, identified during the preliminary research, were not

included in the grant listings provided by the FGI.

3. Internal documents provided by the Cleveland Foundation showed substantially greater appropriations to nontraditional education than indicated by FGI data.

As these discrepancies were investigated, the inadequacies of both the FGI and foundation Annual Reports became increasingly apparent. The shortcomings of the publicly available sources of foundation grants information proved to be the major finding of this study.

The usefulness of the FGI, like most other computer information systems, is based upon two variables, the accuracy of the information put into it and the specificity of the request for information output. Only a third of the foundations that supply grant information to the FGI use the reporting forms developed by the Foundation Center. The other foundations simply provide their Annual Reports. Each foundation decides how much description and detail to provide on each grant. This information is entered into the FGI by the Foundation Center who selects each grant's category and key words:

The accuracy of the information in the FGI is largely dependent on the degree of familiarity with the subject matter held by those responsible for submitting the grants to the FGI. The categories and descriptors

chosen by these people vary with each individual's knowledge of the subject and its terminology.

Terminology is the complicating factor for both entering and receiving FGI grant listings. In fields where standard terminology is lacking there is little consistency in the use of terms to describe similar events and the same terms may be used to describe dissimilar events.[6] This is especially true in continuing education. Many different constituencies, including sponsors and providers of adult learning opportunities, have coined terms to distinguish their activities from one another. Consequently, the descriptors selected for use by the foundation, or the Foundation Center in entering the grants and those chosen by the researcher in formulating the FGI search may or may not match. The best example of this is "faculty development," used in the Lilly Endowment's grants, while the researcher used the generic descriptor, "professional development."

The larger the list of descriptors developed by the grants researcher the higher the likelihood of identifying all appropriate grants. This method, however, also generates large numbers of inappropriate grants which must be eliminated. This complicates the research process and substantially increases the costs.

In addition to hindering the identification of relevant grants, the lack of description in the grant listing also limits analysis of the grants that are produced by

the FGI search. Terminology is again the problem. A grant listing that has "continuing education for clergy" as its purpose is not very enlightening about the nature of the grant.

The case studies provided valuable evidence concerning the underreporting of grants relevant to this research. The substantial number of Carnegie and Lilly grants not identified by the FGI prompted the researcher to question the Foundation Center staff about the data base. The limitations of the FGI were not generally explained to those who used the system for research. The case studies also pointed out the insufficiency of the annual reports as an alternative to the FGI.

Foundation annual reports provide very general overviews of foundation activity. Generally, however, the information on individual grants is less than that obtained through the FGI. The advantage of the reports over the FGI is that all the grants for any particular year are included, identifying grants that used different descriptors for similar purposes.

The Annual Reports when combined with the FGI present a reasonable accurate picture of foundation grant activity in continuing and nontraditional education. The process, however, is impractical. It is time consuming, costly, produces a lot of duplication and is also subject to human error.

The researcher does not feel that the amount and nature of unreported grants significantly alter the basic conclusions of this study concerning the patterns of foundation contributions to continuing and nontraditional education. The grants that were selected by the FGI were representative of those made by the selected foundations to this field.

The magnitude of funding for this area was small for the six years, except among those few foundations that have made adult education their specialty. There was a definite drop in funding for these activities after 1976, which corresponds with the passing, by Congress, of the Lifelong Learning Act.

The grants that the foundations made were primarily for various kinds of career development programs. Higher Education was the favored recipient by a large margin.

The difficulties encountered with the FGI and the annual reports can now be taken into consideration in designing further research. The problems are correctable if the philanthropic institutions provide the time, money, and the commitment.

Recommendations

The discussion of the research findings and the problems with the research instruments lead to some very obvious recommendations. Most of these suggestions are

technical or procedural. They are directed at both those who award grants and those who seek them.

The overriding recommendation to foundations is that more time, energy, money and commitment should be given to increasing the amount of information on foundation activities available to the public. Specific steps that could be taken include:

1. Appropriate more funds to the Foundation Center to facilitate improvements in the FGI and more statistical analysis.

2. Provide more description of individual grants to the Foundation Center for use in the FGI and in additional data analysis.

3. Program areas for internal record keeping and grants analysis should be standardized. Many foundations, for example, could not provide information on the number and amount of appropriations made to higher education.

The Foundation Center needs to find ways to correct the shortcomings of the FGI and its search procedures. Although the universe of possible subjects for foundation grants is so large as to make a thesaurus of descriptors for foundation grants impractical, some instrument for standardized terminology is needed for the "soft science" areas. The Foundation Center could also improve consistency in the FGI by providing better guidelines and training for those people who classify grants for the FGI. Most important, the Center has a responsibility to inform researchers of the limitations of the FGI before they undertake a search for grant information.

For grants seekers and researchers the principle recommendation emerging from this study is that they recognize the limitations of the FGI and not rely on it for their data unless they can develop a complete list of descriptors and possess a large research budget.

Finally, there are the suggestions for additional research. Comparative analysis of foundation's contributions patterns has been inhibited by lack of information. Nonetheless, it is research that needs to be done in most subject areas and developing accurate methodologies toward this end should be pursued.

Another area which merits investigation concerns the way foundation program officers obtain their knowledge and perceptions of program needs within their fields. The influence of authoritative sources, such as professional publications, on funding priorities would be valuable knowledge for those seeking foundation grants.

ENDNOTES

ENDNOTES

Chapter I

[1]Earl F. Cheit and Theodore E. Lobman, "Private Philanthropy and Higher Education: History, Current Impact, and Public Policy Considerations," in The Commission on Private Philanthropy and Public Needs Research Papers, Volume II, Philanthropic Fields of Interest (Washington, D.C.: U.S. Department of the Treasury, 1977), p. 466.

[2]Ibid., p. 471.

[3]National Commission on Financing Post Secondary Education, Financing Post-Secondary Education in the United States (Washington, D.C.: U.S. Government Printing Office, 1973), p. 107.

[4]Cheit, p. 470.

[5]Commission on Foundations and Private Philanthropy, Peter Person, Chairman. Summary News Release (May, 1970).

[6]Michael O'Keefe, The Adult, Education, and Public Policy (Palo Alto, CA: The Aspen Institute Program in Education for a Changing Society, 1977), p. 2.

[7]Ibid., p. 3.

[8]Ibid., p. 1. For a more complete discussion of the demographics of the last part of this century, see Peter A. Morris, The Demographic Context of Educational Policy Planning (Palo Alto, CA: The Aspen Institute Program for Education in a Changing Society, 1975).

[9]Some of the organizations that have formed groups to examine and act on the future of higher education with specific emphasis on nontraditional students and programs include: Task Force of the Department of Health, Education

and Welfare (Newman Commission), The Carnegie Commission on Higher Education, The American Council on Education, Association of Junior and Community Colleges, and CEEB's Future Directions for a Learning Society.

[10]The term "Adult Education" is used by the Foundation Center to define a field of interest within the area of Education. It is used in this research question and occasionally throughout the paper when discussing foundations that are listed under this field of interest designation in the Foundation Directory.

[11]The American Association of Fund-Raising Counsel, Inc., 1978 Annual Report, Giving U.S.A., p. 12.

[12]The Commission on Private Philanthropy and Public Needs, Giving in America, Toward a Stronger Voluntary Sector, 1977, pp. 159-167.

[13]The definitions of Foundations and Foundation types have been taken from the Introduction to the 1977 Foundation Directory, 6th Edition, The Foundation Center. Definitions relating to education have been taken from the National Center for Higher Education Management Systems, A Handbook of Standard Terminology for Describing Adult Learning Opportunities (National Review Draft, March, 1978). They have been modified as necessary to fit the purposes of this study.

[14]Carnegie Commission on Higher Education, Toward a Learning Society (McGraw-Hill, 1973), pp. 11-13.

[15]Cheit, p. 486.

Chapter II

[1]Ernest Hollis, "Evolution of the Philanthropic Foundation," Educational Record XX (1939), pp. 575-78.

[2]Marion Freemont-Smith, Foundations & Government (New York: Russell Sage Foundation, 1965), p. 14.

[3]Ibid., p. 36.

[4]Ernest Hollis, Philanthropic Foundations & Higher Education (New York: Columbia University Press, 1938), p. 20.

[5]Jesse B. Sears, Philanthropy in the History of American Higher Education (Washington, D.C.: Department of Interior, Bureau of Education, 1922).

[6]Robert Calkins, Impact of Foundations on Higher Education (Chicago: Commission on Colleges and Universities, 1954), 28 pp.

[7]D. Roy Hostetter, The Challenge Grant & Higher Education, June, 1966 (Washington, D.C.: American College Public Relations Assoc.), Chapter II.

[8]Hollis, p. 21.

[9]Robert S. Morrison, "Foundations and Universities," Daedalus (Fall, 1964), p. 111.

[10]Warrant Weaver, U.S. Philanthropic Foundations: Their History, Structure, Management and Record (New York: Harper & Row, 1967), pp. 26-38.

[11]Andrew Carnegie, The Gospel of Wealth and Other Timely Essays (New York: Century Company, 1900), p. 16.

[12]Weaver, pp. 29-31.

[13]Ibid., pp. 26-38.

[14]Calkins.

[15]Hostetter, Chapter II.

[16]Collins.

[17]Ibid.

[18]For the period preceding 1950, when Internal Revenue records were first open for public inspection, historical data was very sparse and unreliable. A few Directories, published at irregular intervals, included the names and occasionally dates of origin of those foundations that had become known. The information available from these sources has been presented in Table 1. In Table 2, data has been presented on 5,436 foundations that as of 1971 had assets in excess of $500,000 or made annual

grants of at least $25,000 as reported in The 4th Edition of The Foundation Directory (New York: The Foundation Center).

[19]The Foundation Directory, 7th Edition (New York: The Foundation Center, 1979), p. xii. Previous editions of the Directory only included estimates of the total number of foundations. In 1977-78 The Foundation Center undertook a detailed analysis of 28,000 non-profit organizations in the IRS files. They determined that there were 21,505 active, grant-making foundations filing data with the IRS from 1975-77.

[20]John Hunter Dane, An Analysis of Financial Support of Philanthropic Foundations to General Programs in U.S. Higher Education (unpublished Ph.D. dissertation, University of Pittsburgh, 1974), p. 20.

[21]The Foundation Directory, 7th Edition (New York: The Foundation Center, 1979).

[22]The Foundation Directory, 2nd Edition, 1964, pp. 10-16.

[23]John Landford. Congress and Foundations in the 20th Century (Riverfalls, Wisconsin: Wisconsin State University Press, 1964), pp. 30-32.

[24]Weaver, p. 175.

[25]F. Emerson Andrews, Patman and Foundations: Review and Assessment (New York: The Foundation Center, 1968).

[26]U.S. Department of Treasury. Report on Private Foundations (U.S. Government Printing Office, February 2, 1965).

[27]Stanley S. Weithorn, "Summary of the Tax Reform Act of 1969" (unpublished report prepared for The Foundation Center, February 9, 1970).

[28]Commission on Foundations and Private Philanthropy. Summary News Release, May, 1970 (The Foundation Center Files), p. 2.

[29]Ibid., p. 5.

[30]Ibid., p. 6.

[31]Commission on Private Philanthropy & Public Needs. Giving in America, Toward a Stronger Voluntary Sector, 1975, pp. 1-5.

[32]Ibid.

[33]Waldemar Nielson, The Big Foundations (New York: Columbia University Press, 1972); and Merle Curti and Roderick Nash, Philanthropy in the Shaping of American Higher Education (New Brunswick: Rutgers University Press, 1965).

[34]Lawanna Blout, Contributions of Selected Private Philanthropic Foundations for Higher Education Administration, 1966-75 (Ph.D., University of Wisconsin, 1978), p. 44.

[35]Ferdinand Lundberg, The Rich and the Super Rich (New York: Lyle Stuart, Inc., 1968), p. 385.

[36]Roy M. Hall, Private Philanthropy & Public Purpose (Washington, D.C.: American Association of School Administrators, 1963), p. v.

[37]Robert Havighurst et al., Education and Major Philanthropic Foundations (unpublished report to the National Academy of Education, April, 1976), pp. 1-5.

[38]Ibid., pp. 1-5.

[39]Digest of Educational Statistics, 1977 Edition, (U.S. Department of Health, Education and Welfare, National Center for Education Statistics, 1978), Tables 128, 134 and 135.

[40]Council for Financial Aid to Education, Annual Survey of Voluntary Support of Education, 1977-78.

[41]Robert Colvard and A. M. Bennet, "Patterns of Concentration on Large Foundation Grants to U.S. Colleges and Universities" (Iowa City: American College Testing Service, number 63, April, 1974).

[42]See for example, Waldemar Nielson. The Big Foundations; Ferdinand Lundberg, The Rich and the Super

Rich; Fred Crossland, "The Push-Pull of Foundation Collars"; College Board Review, Winter, 1973; and Alan Jones, Philanthropic Foundations and the University of Michigan, 1922-65 (Unpublished Ed.D. dissertation, University of Michigan, 1971).

[43]Crossland, Ibid., p. 1.

[44]Ibid.

[45]Committee for Economic Development, Management and Financing of Colleges, 1973, p. 74 (The Foundation Center Files).

[46]Earl Cheit and Theodore Lobman, "Private Philanthropy and Higher Education: History, Current Impact and Public Policy Considerations" in Philanthropic Fields of Interest, Part I, Areas of Activity (Research papers sponsored by the Commission on Private Philanthropy and Public Needs, 1975), p. 493.

[47]Fred Hechinger, "The Foundations and Education" in Warren Weaver, p. 410.

[48]Digest of Educational Statistics, pp. 83 and 130.

[49]U.S. Department of Commerce, Bureau of the Census, "Annual Means Income, Lifetime Income and Education Attainment of Men in the United States."

[50]Earl Cheit, The New Depression in Higher Education (New York: McGraw-Hill, 1971), p. vii.

[51]Carnegie Commission on Higher Education, Quality and Inequality. New Levels of Federal Responsibility for Higher Education (New York: McGraw-Hill, 1968), pp. 3-9.

[52]Clark Kear in Earl Cheit, The New Depression in Higher Education, p. vii.

[53]June O'Neill, Resource Uses in Higher Education: Trends in Outputs and Inputs, 1930-1967 (New York: Carnegie Foundation for Advancement of Teaching, 1971), p. 34.

[54]Michael O'Keefe, The Adult, Education and Public Policy (Palo Alto, CA: Aspen Institute, 1977), p. 5.

[55]Projections of Educational Statistics to 1986-87 (NCES, DHEW, 1978 Edition), p. 27.

[56]O'Keefe, p. 1.

[57]National Center for Educational Statistics, The Condition of Education, A Statistical Report on the Condition of Education in the United States, March, 1976.

[58]S. Moses, The Learning Force, An Approach to the Politics of Education (Syracuse, New York: Syracuse University Research Corporation, March, 1970).

[59]Solomon Arberter et al., Forty Million Americans in Career Transition, The Need for Information (New York: College Entrance Examination Board, 1978).

[60]Allen Tough, The Adult's Learning Project (Toronto: Ontario Institute for Studies in Education, 1971).

[61]Peter A. Morrison, The Demographic Context of Educational Policy Planning (Palo Alto, CA: The Aspen Institute, 1975).

[62]O'Keefe, p. 3.

[63]Ibid., p. 2.

[64]Adult and Continuing Education: The Next 10 Years (ERIC Clearinghouse on Career Education, Information Series #114, 1978), pp. 11-16.

[65]Some of Commissions Task Forces that have addressed the need for more educational opportunities for adults include: The Commission on Non-Traditional Study. The Carnegie Commission on Higher Education, The Newman Commissions, The Notre Dame Task Force on Continuing Education, The American Council on Education and The Association of American Colleges.

[66]Frank Newman et al., Report on Higher Education (Washington, D.C.: U.S. Government Printing Office, 1971). The Second Newman Report, National Policy and Higher Education (Cambridge, Massachusetts: MIT Press, 1973).

[67]David Loganecker and Patrick F. Klein, "Why Commissions Miss the Mark," Change Magazine, October, 1977, p. 43.

[68]Carnegie Commission on Higher Education, Reports (twenty-one reports plus a summary volume) (New York: McGraw-Hill, 1970-75).

[69]Higher/Wider/Education: A Report on Open Learning (The Ford Foundation, June, 1976), p. 6.

[70]The Commission on Non-Traditional Study, Diversity by Design (San Francisco: Jossey-Bass, 1973).

[71]For example, see issues of Alternative Education, The Journal of Non-Traditional Studies (New York Human Sciences Press) and New Directions for Experimental Learning (San Francisco: Jossey-Bass, Inc.).

[72]Szczypkowski, Ronald B. The Participation of Philanthropic Foundations on Continuing Professional Education (unpublished Ph.D. dissertation, Columbia University, 1971).

Chapter III

[1]Carter Good and Douglas Scates, Methods of Research (New York: Appleton Century Crofts, Inc., 1954), p. 255.

[2]Ibid.

[3]Lee Noe, editor, The Foundation Grants Index 1978 (New York: The Foundation Center, 1980), p. vii.

[4]Ibid.

[5]The ranking of foundations is made by the American Association of Fund-Raising Counsels, Inc. and is published in their 1974 and 1979 annual reports, Giving USA. The AAFRC ranks the top fifty foundations according to their published annual grant payments. The Foundation Center ranks the top twenty foundations according to their total assets.

[6]The Duke Endowment, Kresge, and Houston Foundations do not make program grants. Kettering is an operating foundation and the Commonwealth Fund and Fleischman Foundation have not been making new grants for several years.

[7]The Irvine, Carter, Bush and Welch Foundations have not provided information to The Foundation Center's Grants Index.

[8]American Association of Fund-Raising Counsels, Inc. Giving USA, 1979 Annual Report, p. 13.

[9]Julian Levi and Sheldon Steinback, "Patterns of Giving to Higher Education II: An Analysis of Voluntary Support of American Colleges and Universities, 1970-71" (Washington, D.C.: American Council on Education, 1972).

[10]Indecks[C] Copyright, 1968, Indecks, Inc., Arlington, Vermont.

[11]Susan Alan, editor, The College Handbook (New York: College Entrance Examination Board, 1975).

Chapter IV

[1]Marianna O. Lewis, editor, The Foundation Directory, 7th Edition (New York: The Foundation Center, 1979), p. xx.

[2]Ibid.

[3]Lee Noe, editor, The Foundation Grants Index, 1979 (New York: The Foundation Center, 1980), p. iv.

[4]Ibid., p. vii.

[5]The National Center for Higher Education Management Systems, under a grant from the National Center for Education Statistics, developed a draft Handbook of Standard Terminology for Describing Adult Learning Opportunities. The project took two years and was never published.

[6]The Foundation Center is set up to answer questions regarding Foundation grants. They were always the first source contacted by the researcher. There were, however,

certain items of information that the Center could not supply. In this regard, the Carnegie and Cleveland Foundations were the only ones to cooperate fully with the researcher. They supplied all the information they had available and the program officers made themselves available for interviews.

Chapter V

[1]Foundation Center, Sourcebook Profiles, "The Carnegie Corporation of New York."

[2]Havighurst, p. 8-1.

[3]F. R. Keppel, The Foundation: Its Place in American Life (New York: Macmillan Co., 1930), pp. 94-95.

[4]Robert Havighurst; Donald Holsinger; and Eric Lunde, "Education and Major Philanthropic Foundations (an unpublished report to the National Academy of Education, April, 1976), p. 13-1.

[5]Ibid., p. 13-2.

[6]Lilly Endowment, Inc., The First Twenty-Five Years: 1937-1962 (Indianapolis, Indiana, pp. 15-17).

[7]Havighurst, p. 13-3.

[8]The Foundation Center, Sourcebook Profiles, "The Lilly Endowment."

[9]Lilly Endowment, Inc., p. 9.

[10]Lilly Endowment, Inc., Annual Report 1975, p. 5.

[11]The Cleveland Foundation, Trust for All Time, p. 2.

[12]Sourcebook Profiles, "The Cleveland Foundation."

[13]The Cleveland Foundation, Annual Report 1977, p.2.

Chapter VI

[1]Data concerning the Carnegie Corporation and the Lilly Endowment is taken from the revised tables presented in Chapter V.

[2]Public Law 94-482, The Education Amendments of 1976, Title I, Part B, sections 131-134.

[3]Earl Cheit and Theodore Lobman, "Private Philanthropy and Higher Education," Philanthropic Fields of Interest Part I Areas of Activity (Research papers sponsored by the Commission on Private Philanthropy and Public Needs, 1975), p. 493.

[4]The Carnegie Commission on Higher Education Toward a Learning Society (New York: McGraw-Hill, Inc., 1973), pp. 11-13.

[5]Robert Colvard and A. M. Bennett, "Patterns of Concentration in Large Foundation Grants to U.S. Colleges and Universities" (Iowa City: American College Testing Service, number 63, April, 1974).

[6]National Center for Higher Education Management Systems, A Handbook of Standard Terminology for Describing Adult Learning Opportunities (National Center for Education Statistics, unpublished draft, March, 1978), p. 2.

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APPENDICES

APPENDIX A

THE FOUNDATION GRANTS INDEX AND COMPUTER SEARCH FORMS

SEARCH FORM A

APPENDIX A

THE FOUNDATION CENTER
888 Seventh Avenue
New York, N.Y. 10019
Telephone (212) 975-1120

REQUEST FOR CUSTOM SEARCH OF FOUNDATION GRANTS INDEX DATA BASE

This data base provides information on actual foundation grants of $5,000 or more to non-profit organizations and can be used to identify foundations making grants in particular subject areas. About 500 foundations are represented, most of which are among the larger ones in the country. This data base holds records of over 50,000 grants from 1973 to date. For brief descriptions of our data bases and the types of questions that can be answered by each, please consult the Guide to The Foundation Center Associates Program or the brochure entitled Foundation Center Data Bases and Computer Services.

SCOPE OF SEARCH: Please describe fully the topic for which you desire grants information.

SPECIFIC INCLUSIONS: If there are any descriptive or technical terms likely to be used to describe or identify a grant in your search, please list them below.

RESTRICTIONS: Enter any limitations or exclusions you wish applied to your search, e.g. geographic locations, dollar amount of grants, recipient organization type, years.

PRICING

There is a basic minimum charge of $50 for a listing of grant records up to a maximum of 75. All records beyond the 75th are charged at the rate of 30¢ each. Bearing in mind this pricing schedule, please indicate the number of records you wish printed.

[ ] All [ ] If not all, state maximum number: _____

Please do not enclose a check with your request form. You will be billed when you receive your printout.

* * *

SEQUENCE
(optional)

If you have a preference, please indicate the order in which you would like the grants arranged by checking one of the boxes below. If subarrangements are desired, please indicate by ranking preferences, e.g. (1) by foundation name, and then (2) by recipient name.

[ ] Alphabetically by state location of foundations
[ ] Alphabetically by state location of recipients
[ ] Alphabetically by foundation names
[ ] Alphabetically by recipient names
[ ] By dollar amount of grants, lowest to highest
[ ] By dollar amount of grants, highest to lowest

* * *

MAILING INFORMATION

Date of Request: _____ Account No.: _____

Name: _____

Title: _____

Organization: _____

Address: _____

_____

Telephone: _____ May we reverse charges if we find it necessary to call you in order to clarify your search request?
(Does not apply to area code 212) [ ] Yes [ ] No

* * *

AGREEMENT

I agree that the material furnished by The Foundation Center in response to this request is for my private use or for the internal use of my organization. I further agree to restrict its circulation to authorized persons within my organization, and that it shall not be adapted, reproduced, or sold for commercial gain.

Signature: _____

_____

(For Foundation Center Use Only)

Date of search: _____ No. of records printed: _____

Completed by: _____ Amount Due: _____

Computer Search Execution

```
FILE27:FOUNDATION GRANTS 73-80/FEB
(COPR. FOUNDATION CTR.)
        SET ITEMS DESCRIPTION (+=OR;*=AND;-=NOT)
        --- ----- -----------------------------
? .EXECUTE3W6V/87


? .EXECUTE3W6V/88

                284 ADULT(W)EDUCATION
                253 EDUCATION(W)ADULT
                142 EDUCATION(W)CONTINUING
                  0 RECURRENT(W)EDUCATION
                253 CONTINUING(W)EDUCATION
                 21 EXTERNAL(W)DEGREE
                  0 CREDIT(1W)EXAMINATION
                  0 CREDIT(1W)PRIOR(W)LEARINING
                  0 CREDIT(1W)EXPERIENCE
                 13 UNIVERSITY(1W)WALLS
                  1 CONTRACT(W)LEARNING
                  0 HOMESTUDY
                  8 HOME(W)STUDY
                  4 CORRESPONDENCE(W)COURSE
                  2 CORRESPONDENCE(W)EDUCATION
                 13 ADULT(W)LITERACY
                  0 TELEVIZED(W)LEARNING
                  2 EDUCATION(W)LIFESPAN
                  0 TELEVISED(W)LEARNING
                  7 ADULT(W)STUDENT?
                  4 EDUCATION?(W)BROKER?
                  1 PART(W)TIME(W)STUDENT?
                  1 EXTENSION(W)COURSE
                  9 EXTENSION(W)PROGRAM
                  4 GED
                 11 HIGH(W)SCHOOL(W)EQUIV?
                  6 CAREER(W)DEVELOPMENT(W)EDUCATION
                  6 NON(W)TRADITIONAL(W)STUDENT?
                 48 PROFESSIONAL(W)TRAINING
                 20 ON(1W)JOB
                 96 INSERVICE
                 15 IN(W)HOUSE
                  1 INHOUSE
                 26 IN(W)SERVICE
              21596 PROGRAM?
               4552 TRAINING
              31488 EDUCATION
              45854 PROGRAM? + TRAINING + EDUCATION
              31488 EDUCATION
                144 JOB(W)TRAINING
                 47 CAREER(W)TRAINING
                  0 CAREER(W)EDVELOPMENT
                103 CAREER(W)EDUCATION
                 54 CAREER(W)DEVELOPMENT
              22006 CC=1
               1382 COUNSEL?
                396 GUIDANCE
                361 CC=1 * (COUNSEL? + GUIDANCE)
                 10 EDUCATION?(W)INFORMATION(W)CENTER
                 70 ALTERNATIVE(W)EDUCATION
                156 ALTERNATE(W)EDUCATION
                  5 NONTRADITIONAL(W)EDUCATION
                 48 OPEN(W)EDUCATION
                  4 OPEN(W)LEARNING
                 32 LEARNING(W)RESOURCE(W)CENTER
                819 EDUCATION(W)COMMUNITY
                741 COMMUNITY(W)EDUCATION
                247 COMMUNITY(W)COLLEGE/RN,RT
```

```
                  885 ADULT?
                 1640 AGED
                  324 SENIOR(W)CITIZEN?
                 2226 WOMEN
                    2 CAREER(W)CHANGE
                   20 MID(W)CAREER
                  607 1-29/+
                  144 (30+31+32+33+34)*35
                  297 43-49/+
                  825 (50+51)-52
                 4629 53-58/+
                31621 36-42/+
                 1280 63*64
                35056 59-65/+
                 2750 59+60+61+62+65
                 5156 FORD(W)FOUNDATION/FN
                34306 FS=NY
                 5156 FORD(W)FOUNDATION/FN * FS=NY
                   15 A(F)MELLON/FN
                 1385 KELLOGG/FN
                    0 CLARLES(F)MOTT/FN
                  672 CARNEGIE(W)CORPORATION/FN
                 1937 LILLY/FN
                  627 EDNA(F)CLARK/FN
                  735 BUSH(W)FOUNDATION/FN
                 4262 FS=MN
                  565 BUSH(W)FOUNDATION/FN * FS=MN
                  584 YORK(W)COMMUNITY(W)TRUST/FN
                  462 CHICAGO(W)COMMUNITY/FN
                 1319 CLEVELAND/FN
                 3938 FS=OH
                 1148 CLEVELAND/FN * FS=OH
                  901 SAN(W)FRANCISCO/FN
                 2367 ROCKEFELLER(W)FOUNDATION/FN
                    0 AL?(1W)SLOAN/FN
                    0 WILLIAM(W)PENN/FN

                  734 ALFRED(F)SLOAN/FN
                  759 PENN(F)WILLIAM/FN
                  977 ANDREW(F)MELLON/FN
                18289 68-85/+
                18274 86-69
                  701 87*67
            1     701 SERIAL# 3W6V/88
?

SCC=1.14 + BUILDING? + EQUIP? + RENOVAT? + RECONSTRUCT? + CONSTRUCT? + REBUIL
D? + REPAIR?

                 1855 CC=1.14
                 4929 BUILDING?
                 4299 EQUIP?
                 2568 RENOVAT?
                   96 RECONSTRUCT?
                 3078 CONSTRUCT?
                   53 REBUILD?
                  361 REPAIR?
            2 10600 CC=1.14 + BUILDING? + EQUIP? + RENOVAT? + RECONSTRUCT? + CONS
TRUCT? + REBUILD? + REPAIR?
? SCLASSROOM? + ADDITION+ EXPANSION?/DE + CC=5.25;SCC=7.7 + CC=7.3 + C
C=1.2 + CC=7.5 + CC=1.5 + CC=2.3 + CC=4 + DF=F

                  302 CLASSROOM?
                  284 ADDITION
                  527 EXPANSION?/DE
                 2703 CC=5.25
            3    3757 CLASSROOM? + ADDITION + EXPANSION?/DE + CC=5.25
```

```
                1348 cc=7.7
                5183 CC=7.3
                4417 CC=1.2
                1843 CC=7.5
                 347 CC=1.5
                2092 CC=2.3
                6584 CC=4
                3690 DF=F
           4 21906 CC=7.7 + CC=7.3 + CC=1.2 + CC=7.5 + CC=1.5 + CC=2.3 + CC=4 +
DF=F
? SCHILD? + SBOOMH++HANDICAPPED + VOCATIONAL + JUVENILE + ADOLESCENT?
+ GIRS? + BOY? + MATERIAL?

                6896 CHILD?
                7079 YOUTH
                2291 HANDICAPPED
                 869 VOCATIONAL
                 347 JUVENILE
                 315 ADOLESCENT?
                   0 GIRS?
                2183 BOY?
                 730 MATERIAL?
           5 17006 CHILD? + YOUTH + HANDICAPPED + VOCATIONAL + JUVENILE + ADOLES
CENT? + GIRS? + BOY? + MATERIAL?
? SGIRL? + (STUDENT? - ADULT(W)STUDENT?)

                1038 GIRL?
                5065 STUDENT?
                   7 ADULT(W)STUDENT?
           6  6081 GIRL? + (STUDENT? - ADULT(W)STUDENT?)
? c1-(2+3+4+5+6)

           7   424 1-(2+3+4+5+6)
```

APPENDIX B

INDECKS^{C} CODE CARDS AND SAMPLE FGI GRANTS

APPENDIX B

INDECKS[C] CODE CARDS AND SAMPLE FGI GRANTS

No 01

indecks code card #1-52 Purposes, Year, Duration, Amounts, Groups

No		No		No	
1	Continuing Education	14	operating costs	40	minorities
2	Training, all types	15	partial cont. educ. use	41	women
3	Community Education			42	elderly
4	Educ. Resource Centers	29	1973	43	handicapped
5	External Degree Prgm.	30	1974	44	other
6	Nontraditional Educ.	31	1975		
7	Counseling & Guidance	32	1976		
8		33	1977	48	over $250,000
9	Conferences, workshops	34	1978	49	100,001-250,000
10	Degree Programs			50	50,001-100,000
11	Non-Degree Programs	36	1 year	51	10,001-50,000
12	Program development, or planning	37	2 years	52	10,000 & below
		38	3 years		
13	Research & Evaluation	39	4 or more years		

No 02

indecks code card Recipients and Foundations

No		No		No	
56	public higher educ.	91	Carnegie		
57	private higher educ.	92	Chicago Community Trust		
58	community college	93	Clark		
59	school system	94	Cleveland Comm. Trust		
60	educational organiz.	95	Ford Foundation		
61	non-educational organization	96	W.K. Kellogg		
		97	Lilly Endowment		
62	State Bd. of Education	98	A.W. Mellon		
63	other	99	C.S. Mott Foundation		
		100	N.Y. Community Trust		
		101	William Penn Found.		
		102	Rockefeller Foundation		
		103	San Francisco Foundation		
		104	Sarah Scaife Foundation		
		105	A.P. Sloan Foundation		

1811391
New York Community Trust, NY
$22,200 to YWCA of Brooklyn, Brooklyn, NY. For conversational English program, high school equivalency class, job training, and expanded nursery school program for Spanish-speaking community. 7/76
LIMITATION: As New York City's community foundation, our discretionary grants are focused on programs serving the needs of New York City residents. We make limitations on program areas expressed by the donor of the source fund
SOURCE: 9/76 NL
C: 7.11 MC: WELFARE SC: SOCIAL AGENCIES
KEY WORDS: Young women, association/Spanish-speaking, social service
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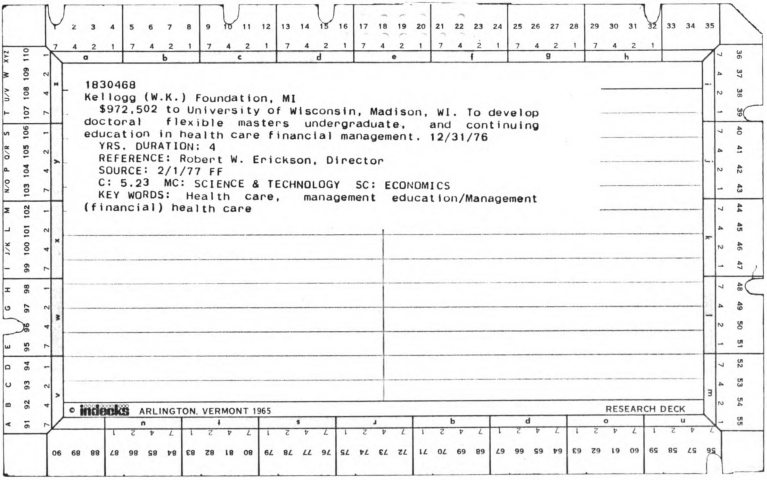
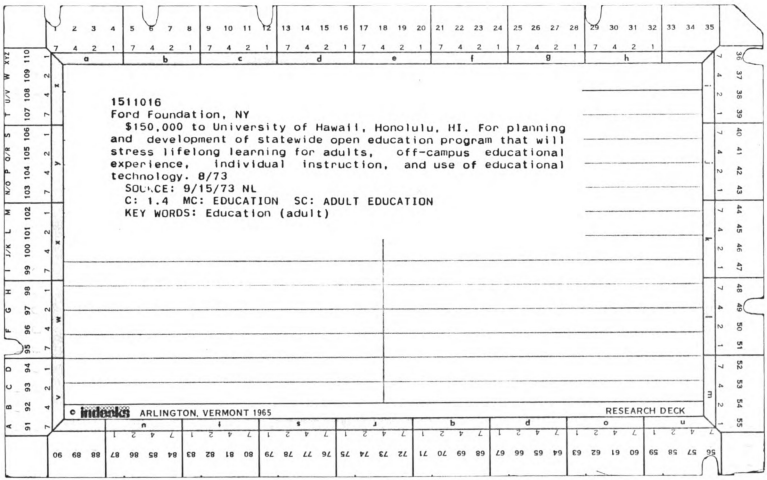
RESEARCH DECK



1830468
Kellogg (W.K.) Foundation, MI
$972,502 to University of Wisconsin, Madison, WI. To develop doctoral flexible masters undergraduate, and continuing education in health care financial management. 12/31/76
YRS. DURATION: 4
REFERENCE: Robert W. Erickson, Director
SOURCE: 2/1/77 FF
C: 5.23 MC: SCIENCE & TECHNOLOGY SC: ECONOMICS
KEY WORDS: Health care, management education/Management (financial) health care


1511016
Ford Foundation, NY
$150,000 to University of Hawaii, Honolulu, HI. For planning and development of statewide open education program that will stress lifelong learning for adults, off-campus educational experience, individual instruction, and use of educational technology. 8/73
SOURCE: 9/15/73 NL
C: 1.4 MC: EDUCATION SC: ADULT EDUCATION
KEY WORDS: Education (adult)
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RESEARCH DECK

APPENDIX C

THE CLEVELAND FOUNDATION

APPENDIX C

THE CLEVELAND FOUNDATION

TABLE I

Analysis of Postsecondary Education Grants
1971-73 and 1974-78

1971-73		1974-78	
Total Awards	% Awards	Total Awards	% Awards
$3,423,787	100	$5,919,321	100

Total Awards 1971-78	$9,343,108

TABLE II

Analysis of Postsecondary Education Grants: Total Awards-
1974, 1975, 1976, 1977, 1978

1974	1,412,276
Total Cell %	23.8
1975	750,224
Total Cell %	
1976	1,051,036
Total Cell %	17.74
1977	2,040,814
Total Cell %	34.45
1978	688,951
Total Cell %	11.29
TOTAL	5,923,321
CELL %	100