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For the Greater Good: A Decade of K-12 Education Philanthropy in New Mexico

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**For the Greater Good:
A Decade of K-12 Education Philanthropy in New Mexico**

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DISSERTATION

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Requirements for the Degree of
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For Janie Rebecca and Jane Kimmel, the strong female educators who came before me,
and for Sandy, my fellow student in the school of life.

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ABSTRACT

In an increasingly complex landscape of education practitioners, goals and funding models, the need for a comprehensive understanding of the role of private foundations in public school philanthropy is more crucial now than ever. This dissertation examines the evolving role of foundations in supporting education in the United States, as a prelude to an in-depth examination of school-focused education philanthropy in New Mexico. New Mexico's education reform environment and national education reform themes from 2000-2012 provide a structure to consider three questions: 1) Who have been the major donors to and recipients of school-focused philanthropy in New Mexico?; 2) What are they funding?; and 3) How might value be understood in philanthropy? Major foundation funders include those familiar on the national scene as well as local organizations, with strongly contrasting approaches to their work. Major recipients include Native American education and school choice-related efforts, among others. This study uses an examination of alignment of foundation, educational organization, and state education goals around Native American education to find evidence of value in the work of foundations in New Mexico. Major recommendations include the demand that New Mexico education leaders educate themselves about education philanthropy to provide an important check on foundations seeking to step into a potential funding vacuum caused by declining government support for public education.

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Chapter 1: Introduction

If we are to avoid the waste that must inevitably come from bad management of gifts, from wrong dispositions of money over which the future can not [*sic*] exercise control, we must study our already extensive experience and develop a set of guiding principles or a fundamental theory of education philanthropy. (Sears, 1922, v)

Altruism, or concern with the welfare of others, is certainly one of the finest expressions of the human spirit. In its earliest usage, the closely related concept of philanthropy referred to a fundamental goodness of human nature (from the Greek *philanthropos tropos*, humanity loving) (Sulek, 2010). The search for a modern definition leads to an entire body of literature devoted to the topic, but typically involves the relationship between unmet public needs and moral obligations to fulfill them (Sievers, 2010; Van Til, 1990). How the will and means of a small group of people should be leveraged to help large segments of society is an ongoing debate with deep historic roots extending back to Rousseau's Social Contract (Lagemann, 1983). As early as a century ago, researchers recognized education philanthropy itself as an area deserving of scholarly scrutiny. While the field has expanded, much of private philanthropy occurs apart from the regulatory frameworks that monitor funding sources such as government grants. The inherent tension between private finances and the public good is well illustrated by recent critiques of philanthropic contributions focused on education, which has been in large measure a publicly funded institution (Lipman, 2011; Ravitch, 2013; Reckhow, 2014). Broad questions related to this tension include: What is the role of education in the United States? Who is responsible for supporting education?

How can equitable resource distribution be ensured when education funds come from private sources? The history of education in America mirrors the history of our country itself, and is at least, in part, a history of mostly unsuccessful bureaucratic responses to a series of perceived crises (Graham, 2005).

In New Mexico, as in most of the U.S., the history of education philanthropy parallels the history of education, yet no comprehensive study of education philanthropy in New Mexico has been undertaken, as evidenced by a 2011 report by the New Mexico Association of Grantmakers, who developed a set of recommendations related to strengthening education philanthropy, including a recommendation to “strengthen the network and knowledge of funders” (Sturgis, 2011, p. 22). A fundamental step toward this goal includes determining who has given how much to whom, and whether education philanthropy in New Mexico can be understood in a meaningful way so that trends in giving can be assessed. Finally, identifying patterns related to the places and groups in New Mexico that receive funding is critical to understand the complete picture. Before attempting to assess issues of value, I believe that there must be a comprehensive understanding of the data available.

Public Education Purpose and Funding. In *A Bill for the More General Diffusion of Knowledge* (1778), Thomas Jefferson first proposed a public education system for Virginia, which though rejected, brought attention to a compelling rationale for supporting public institutions that would create a citizenry adequate to the demands of democracy. Clearly, Jefferson perceived education to be critical to the common good as the fledgling U.S. headed into its great democratic experiment. But who should have responsibility for public education? Jefferson (1778) proposed financing salaries and

building maintenance with taxes levied on the 100 citizens in the immediate school attendance area. Horace Mann, the great early education reformer was also a proponent of taxes to support common schools, the goals of which he saw as parallel with the greater interests of society (Mann, 1848).

As the country changed, so did the demands placed on education and the role of government in education. Massive immigration to the United States beginning in the late 19th century as well as changes in the workforce and nature of work precipitated important education milestones (Graham, 2005). For the first time in the nation's history, the 1917 Smith-Hughes Act provided federal funding to schools to support vocational programs demanded by the changing nature of factory work and the need for trained workers (Steffes, 2010). Near the same time, the 1918 *Cardinal Principles Report* made recommendations for how education might respond to an increasingly complex student body, economy, and socioeconomic context (Hunt, 2010).

While still a territory, New Mexico began to grapple with how to provide education to its citizens, passing an initial education law in 1865 that had an unpopular funding scheme involving a standard property tax rate across the territory (Getz, 1997). In 1898, the Ferguson Act allowed income from public lands to be used to fund education; however, resistance by landowners to education funding is a prominent theme early in the state's history (Getz, 1997). Subsequent territorial school laws required counties to fund education. A legislative attempt to move control from the counties to the territorial government had the unintended consequence of shifting control to local officials. This resulted in uneven school funding and associated challenges, which

persisted into the 1930s, with statehood resulting in an improved situation for schools, which could now receive some state funding (Getz, 1997).

Public education in the United States is primarily funded by a combination of local, state and federal funds, which varies greatly between states, between districts within the same state and even between schools in a single district (<http://atlas.newamerica.org/school-finance>). Responsibility for funding K-12 education rests primarily with state and local governments (United States Department of Education, 2005), and is therefore susceptible to economic influences on these sources, such as property tax rates. In addition to these traditional funding sources, there are new players on the scene, such as public charter schools. Private education has always been an option in the United States, and a small minority of for-profit K-12 schools has gained popularity in recent years (Vedder & Hall, 2002). Most other types of educational institutions also depend to some degree on philanthropic donations for support.

Education philanthropy in the United States. The rise of U.S. philanthropic foundations parallels the rise of the great American fortunes in the early 20th century. Characterized by an “interlocking directorate for private policy making” (Sealander, 1997, p. 23) exemplified by common board membership, organizations such as the Rockefeller Foundation(s), Carnegie Foundation, Russell Sage Foundation, and Julius Rosenwald Fund made huge donations in the areas of education, health and other areas with the goals of broad-based social change. Persisting from the earliest days of philanthropy in the United States there has been a belief that private wealth can and should play a role in public policy making (Sealander, 1997). Related to this ideal, philanthropy was seen as a tool for improvements and a solution to perceived crises even

very early on. An example from the early 20th century is the Rockefeller Foundation-sponsored General Education Board's efforts to address disparities between the rural American South and urban Northeast via major financial inputs to education (Sealand, 1997).

Public Education Reform Themes and Philanthropy

Developments in education philanthropy can be examined in concert with the education policy environment. Government agencies enact policies intended to fix public education and private philanthropies step in to either provide funding to support implementation or introduce their own strategies to address education system shortcomings. This section presents selected major national education reform themes and allied philanthropic efforts from the mid-1980s to the present, along with how these national level reforms have manifested themselves in New Mexico's educational environment.

Ensure Equal Opportunity for All Students. The United States continues to be a country plagued by disparities in life outcomes for citizens from different racial and socioeconomic backgrounds. From health to employment statistics, the poor and persons of color continue to be overrepresented in negative categories. Education is no different, with persistent lower graduation rates and standardized test scores for African Americans, Hispanics and Native Americans (Annie E. Casey Foundation, 2016). On the national stage, *Brown v. Board of Education* (1954) banned segregation in American educational institutions, but blatant segregation is but one component of the nuanced story of American education disparity. More recent national efforts targeting education inequality include the Elementary and Secondary Education Act (ESEA), reauthorized in 2015 as

the Every Student Succeeds Act (ESSA), Race to the Top (2009), and Program for International Student Assessment (2012). A key component of many of these efforts is to document outcomes by race/ethnicity, making data on different groups of students available for analysis.

New Mexico has poor education outcomes overall, with graduation rates and standardized test scores perpetually in the bottom of state rankings. The Annie E. Casey Foundation generates an annual report using an index of data including education data (e.g., math and reading proficiency and high school graduation rates) to create their overall child well-being ranking; in 2016 New Mexico ranked 49th out of 50 states (New Mexico Voices for Children, 2016). When examining education outcomes by race and ethnicity, African American, Hispanic and American Indian students lag behind White non-Hispanic students in many education indicators, including number of students enrolled in school, math and reading proficiency in 4th and 8th grades, on-time high school graduation, and others (Annie E. Casey Foundation, 2016).

For decades, major philanthropic foundations have attempted to use their funds to address racial education disparities. One of the earliest of these efforts was Julius Rosenwald's support of school construction for African Americans beginning in 1912 in the American South. This effort was the impetus for the creation of the Rosenwald Fund in 1917 (Hoffschwelle, 2006). Recently, the Bill and Melinda Gates Foundation's Millenium Scholars program has specifically focused on scholarships for minority students. The William K. Kellogg (Kellogg) Foundation has a strong social justice focus, which has emphasized support of African American organizations, nationally. In New Mexico, they focus support on Native American and Hispanic populations.

Improve Struggling Schools. Beginning with *A Nation At Risk* (National Commission on Excellence in Education, 1983), which reported the damning results of an 18-month study of secondary education in the U.S., one of the primary themes of education reform in the United States has been the need to improved schools perceived as “failing.” In 1993, partly in response to *A Nation at Risk*, the Annenberg Foundation announced the largest donation to public K-12 philanthropy to date: The Annenberg Challenge. The Challenge offered \$500 million dollars to public schools in individual gifts of up to \$50 million to schools and districts across the country. Widely panned for a variety of reasons including overreach, lack of coherent strategy, and failure to leverage engagement into policy change, it is now frequently held up as the classic example of a philanthropic failure (Bachetti & Ehrlich, 2007; Snyder, 2015). In New Mexico, Annenberg Rural Challenge funds from 1998-2001 supported efforts to teach Navajo to native teachers (Lockhard & Hale, 2013), among other efforts targeting rural schools (Annenberg Foundation, 2001).

Starting in 1994, the passage of the Goals 2000: Educate America Act made approximately \$100 million federal dollars available to schools and districts. The objectives of Goals 2000 were poorly and vaguely defined, eluding efforts at assessment (Hobbie, 2001), as exemplified by Goal #1: “By the year 2000 all children in America will start school ready to learn” (United States, 1994, p. 50); and also unrealistic, with a demand to increase the high school graduation rate from 71.8% (National Center for Education Statistics, 2007) to 90% by the year 2000. This rate had stagnated since the 1970s with hardly any movement (National Center for Education Statistics, 2007).

Other national philanthropic efforts directed at improving struggling schools include the Bill and Melinda Gates Foundation's Small High Schools program. Based on the belief that small high schools are better than big ones, this program has poured as much as \$2 billion into programs like the Knowledge is Power Program (KIPP) schools across the country. Both the small school and charter school movement were perceived to be cures for existing public schools, and also went hand in hand with efforts to close failing schools.

Improve School Choice. Related to the previous theme, many believe that improving struggling schools means augmenting traditional public schools with models that allow parents to send their children to alternate schools based on curricular or other affinity. The primary choice model is that of public charter schools, which have been in New Mexico since at least the early 1990s. The topic has touched a nerve in American society, and was the focus of at least one major motion picture: *Waiting for Superman*. An alternate choice model involves vouchers (Usher & Kober, 2011), which provide resources to allow parents to send their children to private schools. School choice is not a completely partisan issue, however it tends to find its primary support among conservatives, aligning well with concepts of small government. Charter schools, however, are uniquely bipartisan in their appeal to conservatives and liberals, though for different reasons (Miron & Nelson, 2002). Among the advantages of charters are flexibility for innovative curriculum, funding models, and governance. Disadvantages include narrowing curriculum to focus on standardized tests as a concrete measure of student learning, and confounding of the public and private realms (Miron & Nelson, 2002). More concerning, a recent Brookings Institute study concluded that compared to

traditional public schools, “charter schools are generally more economically and racially segregated” (Whitehurst, Reeves, & Rodriguez, 2016, p. 6).

Since 1992, charter schools and school choice have been the Walton Family Foundation’s signature philanthropic effort, pouring money into charter schools in an effort to inject a new approach to an intractable problem. The Foundation’s support of charter schools continues today across the country. Another philanthropic effort focusing on school choice is the Portfolio Model of School Choice program, supported by the Laura and John Arnold Foundation among others. This model mirrors many of the more conservative approaches to school reform, which blame centralized administration and a traditional school model for the problems of public education. This approach emphasizes new, innovative models to replace the current system, however it has received criticism for being a loosely-defined set of education ideas with little structure, creating significant practical implementation challenges for school districts (Henig, Bulkley, & Levin, 2010). New Orleans and Cleveland have implemented the Portfolio Model. In New Orleans, the Recovery School District (RSD) project received significant foundation funding from the Bill and Melinda Gates and Eli Broad Foundations. A primary criticism of the model has to do with the difficulty of assessing whether or not it is working and why. For example, one study found that it was not possible to ascribe educational gains among students in the RSD over other public schools to the Portfolio Model itself, or the significant funds flowing into the district (Saltman, 2010). This could be seen as an issue with philanthropy-supported educational experiments in general.

Implement Standards-Based Reform and Assessments. The next signature theme of U.S. education reform has to do with a desire to create standards against which

all schools are measured using standardized assessment. The use of assessments to measure ideals such as adequate yearly progress (No Child Left Behind [NCLB], 2002), NCLB (2001-2015) mirrored a shift in education philanthropy. This period experienced the rise of venture, or strategic philanthropy, characterized by an emphasis on business-type practices and return on investment. This shift is exemplified by the following quote from the William K. Kellogg Foundation (Kellogg Foundation) website in reference to its philanthropic philosophy:

In 2007, the foundation also became one of a small group of foundations seeking to use its assets more effectively while preserving and growing its endowment. Under a pilot program of mission driven investments, the foundation is investing assets in a way that realizes both financial and social returns, a concept also known as “double bottom-line investing.”

<https://www.wkkf.org/who-we-are/history-legacy>

The Common Core Initiative (National Governor’s Association for Best Practices, 2010) is designed to establish baseline standards for student learning across the States. At this writing, 42 states have adopted the initiative, including New Mexico. The State of New Mexico received a single gift of \$500,000 from the Gates Foundation in 2010 to plan for Common Core implementation.

Established as part of the American Recovery and Reinvestment Act of 2009, the Race to the Top (RTTT) Fund allocated \$4.35 billion in competitive grants to states and broadened the use of “high stakes” assessment tests linking teacher performance to student outcomes. In addition, as a criterion to receive funding, RTTT supported

expansion of publicly funded charter schools (Carr & Porfilio, 2011). New Mexico was not chosen as a recipient of RTTT funds during its initial round, but rather received funds through the RTTT Early Learning Challenge program.

Strengthen the Quality of Teachers and Administrators. Another approach to education reform popular with education funders focuses effort on improving the leaders of classrooms and schools. Teach for America is the best-known organization that embodies this approach. Founded by Wendy Kopp in the early 1990s, the organization has received funding from some of the best-known conservative practitioners of education philanthropy including the Eli and Edythe Broad Foundation and the Walton Family Foundation. Like the Portfolio Model and Small Schools, Teach for America introduced a new model into traditional public education, training young college graduates to support schools with challenges. The organization has been criticized as well for promoting young, inexperienced college students into a teaching role. The Broad Foundation also created the Broad Superintendent Academy (2002) to improve school management. Other philanthropic efforts related to improving school leadership include Gates' Measures for Effective Teachers (2009) and New Leaders for New Schools and the Wallace Foundation's School Leadership project. The Broad Foundation's Portfolio Model of School Choice also has elements of improving leadership, in the vein of changing school governance models.

Strengthen Inter-Education/Community Connections. In contrast to other themes that emphasize interventions in schools, some major foundations have focused on enhancing the network connections between early childhood education, the K-12 system, higher education and communities. In order to improve the resolution of educational

problems, The Carnegie Corporation engaged in a scholarly effort to improve research and development (Bryk, Gomez, & Grunow, 2011). The Kellogg Foundation has also focused a good deal of its philanthropic dollars on this type of strategy, acknowledging especially the importance of early childhood education as a key to later educational success.

Improve School Rigor/Extend Learning Day/Enhance Curriculum.

Nationally, foundations that have adopted this particular theme or strategy include the Bill and Melinda Gates Foundation, which supported the design and implementation of the state Common Core standards with millions of dollars. This project also connected teacher assessment to students' success, a controversial approach (Straus, 2016). Finally, the Wallace Foundation's Arts Project (2005) was designed to enhance arts curriculum in the schools and their After School Time Project (1998) focused on extending the learning day.

American Recovery and Reinvestment Act (ARRA). The discussion of national education reform efforts during the period of this study is not complete without mentioning ARRA funding support for New Mexico public education. Occurring near the end of the current study period, between 2009 and 2011, over half a billion dollars was made available to New Mexico education, some of which was directly awarded to public schools. These funds were earmarked to help mitigate impacts of the recession on public education, and were focused on a number of specific themes including support for public schools in areas with high poverty, resources dedicated to education for children with disabilities, education technology grants, school improvement grants to turn around "failing" schools, capital improvement project funds, and support to create a

“performance based teacher and principal compensation system” (United States Department of Education, 2010).

New Mexico’s Education Policy Context (2000-2012)

The previous section presented the national education policy climate and the foundations focused on funding related initiatives. In this section, I examine the legislative contours of education reform in New Mexico in order to identify the state’s official education priorities and examine whether or not they are being targeted by philanthropy. These laws, reports, and related efforts represent the strategies that legislators have approved to support K-12 education in the state, and thereby can become vehicles for philanthropic giving to educational institutions. Though some include funding allocations, many do not, or may be inadequate to fully support the recommendations. Table 1 lists legislation by year.

Table 1

Overview of the Legislative and Policy Context of Public Education in New Mexico 1999-2011

Year	Legislation
1999	Charter Schools Act
2000	Full Day Kindergarten
2000	Alternative Teacher Licensure
2003	PED and Sec. of Education
2003	Land Grant Fund Distributions Increased
2003	Public School Reform Act

Year	Legislation
2003	Indian Education Act
2003	Kindergarten-3 Plus
2003	Fine Arts Education Act
2004	Bilingual and Multicultural Education Act
2005	Pre-K Act
2006	HS Redesign Task Force
2006	Charter Schools Bill
2008	NM School for the Arts
2008	Cyber Academy Act
2008	NM Funding Formula Study
2009	P-20 Education Data System Act
2010	Hispanic Education Act
2010	Common Core
2010	Tribal Dual Credit Program
2010	Early Childhood Care and Education Act
2011	NM Effective Teaching Task Force
2011	A-F Schools Rating Act

Charter Schools Act (1999). This act was designed to strengthen the original 1992 legislation governing charter schools, including allowing for expansion of charter schools in the state. According to the act, charter schools are eligible for the same funding streams as public schools, since they are part of the public school system.

Full Day Kindergarten Act (HB 246, 2000). This act requires children over the age of five who are New Mexico residents to attend a full-day kindergarten program, starting with the 2000-2001 school year. The first two years of the program were fully funded by state and Federal funds. It now continues as a state-funded program, administrated by the New Mexico State Department of Education (O'Donnell, 2015).

Alternative Teacher Licensure (2000). Established by the New Mexico State Board of Education, alternative licensure provides a route for individuals with a bachelor's degree, but no formal teaching credential, to obtain a license to teach in New Mexico. The policy reflects a concern with finding new teachers to fill positions as teachers retire across the state (TeachNM website <http://teachnm.org/new-teachers/alternative-licensure-options.html>).

State Constitutional Amendment 1, Section 6 (2003). This amendment to the state constitution created the New Mexico Public Education Department (PED) and established a cabinet-level Secretary of Education. The Secretary has administrative and budgetary control over all New Mexico public schools.

State Constitutional Amendment 2, Section 6 (2003). This amendment increased distributions from the Land Grant Permanent Fund to support teacher salary increases and other education reforms. Money from this fund represents approximately 14% of the funding that New Mexico Public Schools receive from the state, and comes from revenues generated by trust lands, such as oil and gas leases (Lincoln Institute of Land Policy/Sonoran Institute, 2007).

Public School Reform Act (House Bill 212, 2003). Directly influenced by national policy directives, this Act sought to align New Mexico Schools with the No

Child Left Behind Act (NLCB), enacted at the national level. It included implementing ranking systems for schools and teachers, increasing teacher salaries based on a tiered system, and identifying schools in need of improvement with the potential for non-improving schools to be closed. Funds were also made available to support low performing schools. New Mexico received \$28,534,742 in 2010 (United States Department of Education website, <http://www2.ed.gov/programs/sif/summary/index.html#nm>).

Indian Education Act (Article 23A, 2003). This act created the NM Department of Indian Education, headed by the Secretary of Indian Education and supported by an appointed advisory board. It also created the Indian Education Fund to support the Act. Its broad goals focus on general support of Indian education at the K-12 and post-secondary levels.

Kindergarten-3 Plus Act (2003). This Act extended the school year for students in kindergarten through 3rd grades by 25 instructional days, based on the idea that increased instructional days in the early grades would support improved learning outcomes. It allocated \$21,281,500 to support the program and distributed \$81.9 million dollars between 2008 and 2015 to support the program.

Fine Arts Education Act (2003). According to the text of the act, “the purpose of the Fine Arts Education Act is to encourage school districts to offer opportunities for elementary school students to participate in fine arts activities including visual arts, music, theatre and dance” (22-15D-2. NMSA 1978). Originally, funding in the amount of approximately \$4 million was allocated. During the 2013-14 school year, approximately \$30 million was made available to New Mexico school districts.

State Bilingual and Multicultural Education Act of 2004. This act provides support for bilingual programs for New Mexico students, and recognized shortcomings in addressing some of the aspects of the Indian Education Act.

Pre-Kindergarten Act (Children’s Code Article 23, Section 32, 2005).

Recognizing the importance of and need for pre-kindergarten programs in the state, this act provides guidance for program implementation, which is primarily the responsibility of the New Mexico Children, Youth and Families Department. Like the Kindergarten-3 Plus Act, it focuses on very young students’ success as a strategy for improved future learning outcomes. It created a Pre-Kindergarten Fund as support.

College/Workplace Readiness and High School Redesign Task Force (2006-2009). The Legislative Education Study Committee (LESC) and representatives from PED, tribal education, 2 and 4-year post-secondary education and others formed this task force, which developed recommendations to improve outcomes for high school students. This included aligning placement tests across post-secondary institutions, identifying “career clusters” to provide clear pathways for students into the workforce, and other recommendations.

Charter Schools Bill (Senate Bill 600, 2006). This comprehensive bill included important changes to rules governing charter schools including finance, reporting and governance.

Dual Credit Bill (Senate Bill 943, 2007). This bill sets forth guidelines for public schools and post-secondary institutions to offer credit for college coursework to high school students.

New Mexico School for the Arts (Senate Bill 34, 2008). This bill established a residential fine arts high school, which “provides New Mexico students who have demonstrated artistic abilities and potential with the educational opportunity to pursue a career in the arts” (SB 34, p. 1). It is a charter school with entry standards related to artistic ability, but not on ability to pay tuition or residential costs.

Cyber Academy Act (House Bill 201, 2008). This bill includes provisions to create a statewide, distance learning, course delivery system and other guidance on educational technology’s use in public education institutions. From 2008-2015, the program received state funding in the amount of \$6,032,600. In addition, over \$5 million of the 2009 ARRA funds were earmarked to support education technology.

New Mexico Funding Formula Study Task Force Report (2008). Written by an independent organization at the request of then Governor Bill Richardson and the New Mexico State Legislature, this report summarized the results of a 16-month study to determine the cost of a public school education for New Mexico students, and to develop a new funding formula to support this cost (Chambers, Levin, Delancey, & Manship, 2008). The report concluded that a 14% increase (\$334.7 million) in funding was needed, but subsequent economic challenges prevented this from happening.

P-20 Education Data System Act (2009). This act encodes the requirements for a data system to track New Mexico students through public education, providing for more seamless tracking of students. Among other things, it provides for the adoption of a common student and course identification number system and creation of the Student Teacher Accountability Reporting System (STARS). Fourteen million dollars were allocated to this project between 2005 and 2010.

Hispanic Education Act (2010). This act establishes a Hispanic Education Liaison, a Hispanic Education Advisory Committee, and an annual report on the status of educational opportunities for Hispanic students in New Mexico. No state appropriations were included to support this act, which is part of the broad “Graduate New Mexico” initiative, funded with federal funds (National Conference of State Legislatures website: <http://www.ncsl.org/research/education/bill-spotlight-new-mexico-hispanic-education-act.aspx>).

Common Core Standards Adopted by New Mexico (2010). Common Core is a set of standards for math, English and other subjects, adopted by 42 states and the District of Columbia. There are only 11 partners participating in the Partnership for Assessment of Readiness for College and Careers (PARCC) assessments, used to test the Common Core Standards. The PARCC tests were designed to improve previously used standardized tests. Implementation has been controversial and resulted in student protests at some New Mexico Schools (Contreras, 2015).

Tribal Dual Credit Programs Act (House Bill 90, 2010). This act extends dual credit opportunities to students taking courses at tribal colleges. In 2015, appropriations in the amount of \$500,000 were allocated to support tribal dual credit programs.

Early Childhood Care and Education Act (Senate Bill 120, 2010). This act prescribed an early learning advisory council to lead the implementation of early childhood programs in the state, including making recommendations on legislative expenditures related to early childhood programs. It also establishes the early childhood care and education fund to support related efforts.

New Mexico Effective Teaching Task Force Recommendations (2011).

Formed by Executive Order to provide recommendations to Governor Susanna Martinez, the report strongly recommends basing teacher evaluations on the success of students in their classes. This would lead to implementation of a “performance-based compensation system” with teacher pay based on student performance (New Mexico Effective Teaching Task Force, 2011). Over \$2 million of the ARRA funds were earmarked for this project, but I have been unable to identify any progress on this effort.

A-B-C-D-F Schools Rating Act (2011). This act requires that all New Mexico Schools be rated on a grading scale of A-F, as assessed annually based on various measures of student progress and general school success specified in the Act.

Documenting education philanthropy in New Mexico

Most of the research on education philanthropy specific to New Mexico comes in the form of reports and briefs, many of which I discuss in this section. Within the realm of scholarly research, Getz (1992) presented a study of the role of the General Education Board, which was instrumental in supporting Native American education during the 1930s in New Mexico.

A number of studies have focused on what I would call the philanthropic ecosystem of New Mexico. I use ecosystem to refer to the elements that characterize the key institutional, social, and other factors influencing the role of philanthropies. I located one example of this type of study from the Office of Institutional Development at the Southwest Educational Development Laboratory (Born & Wilson, 2000), unique for its specific focus on the role of philanthropy in impacting New Mexico’s public schools. Unfortunately, this report is rather brief, but it does provide a relatively recent historical

perspective on education philanthropy in New Mexico, citing, for example, Intel's support of Sandoval County schools with money and other resources. This highlights a problem with philanthropy from large corporations; as Intel's fortunes have shifted through the years, its support for education in New Mexico has as well. The report found in general that the efficacy of education philanthropy in New Mexico and the region was hindered by an inability to get money where it was most needed, citing issues with isolated, rural communities (Born & Wilson, 2000).

In 2011, the New Mexico Association of Grantmakers (NMAG) commissioned a study entitled, *Positioning for the Possible: Investing in Education Reform in New Mexico* (Sturgis, 2011). The objective of this report, according to the author, was to “explore the ways in which philanthropic investments could be structured to lead to improved student achievement and to produce a more effective public education system” (Sturgis, 2011, p. 1). The report's strong points include sensitivity to bilingualism in the state as not just a challenge to be overcome, but as an asset to be celebrated by making nation-leading success on the AP Spanish test a possible goal for the state. It concludes with recommendations including: 1) the need for investors to adopt common design in structuring their investments; 2) the need to create urgency and capacity for change in communities; 3) the need to identify and pursue some medium-term goals to finance, such as STEM efforts; and 4) the need to increase knowledge among New Mexico communities about funders (Sturgis, 2011, pp. 14-22). This report identifies an increased desire for measurable goals and accountability as a shift in focus among the philanthropies making grants in New Mexico; this aligns with national trends toward more business-type goal setting among granting agencies.

Philanthropy's Impact on New Mexico Education. The reports I presented in the previous section are broad environmental scans of philanthropy in New Mexico. Reading those reports led me to ask about the specific education-related issues that have been targeted by philanthropies and the outcomes related to philanthropically funded efforts. A great challenge to philanthropies and those benefitting from their largesse is how to measure the impact that those dollars make. A report by the National Committee for Responsive Philanthropy attempted to make this calculation for philanthropic investment in education and other key concern areas in New Mexico, finding a total return to the state of \$157 for every \$1 invested by philanthropies in New Mexico communities (Ranghelli, 2008). In this case, return on investment was calculated as the “aggregate dollar amount of all wins divided by the aggregate dollars invested in advocacy and organizing” (Ranghelli, 2008, p. 142) and was recognized as more of a symbolic than accurate calculation.

Another example of philanthropic involvement in education policy change is the work of Think New Mexico, a New Mexico-based not-for-profit funded by the Santa Fe, Albuquerque, Taos and New Mexico Community Foundations, to support all-day kindergarten in New Mexico. This effort required financing and grassroots efforts to raise public awareness and influence legislators and the governor to create a successful statewide initiative (Raden, 2002; Ranghelli, 2008). The involvement of numerous philanthropies in efforts to support early childhood education were arguably key to focusing legislative attention on the need for improved home visiting services, an issue which has now been codified into law as the Home Visiting Accountability Act.

From the existing literature, it is not easy to glean insights into specific policy impacts stemming from the involvement of philanthropic foundations in New Mexico education. Challenges to this effort include the fact that foundations are private and do not have to share their strategies and results in public reports (Ravitch, 2013). In addition, philanthropies' efforts may not and frequently do not explicitly target policy change (e.g., scholarships, capital improvements, general operating support) and when they do, the results have been documented to be mixed (Russo, 2015). All these issues make policy impact a challenging, but worthy, area for study. Through this study, I attempted to contribute to the existing research in the area of foundation-based philanthropy in New Mexico by examining the history of education-focused giving. I also focus on the outcomes of education giving on specific New Mexico communities and how they have been engaged in the process. I hoped to better understand if philanthropic trends such as place-based, strategic, and venture philanthropy have gained traction here. I am interested in knowing if real changes have been made and how an examination of successes and failures might support work in the state going forward.

Statement of the Problem

New Mexico is a poor state with less-than-optimal educational outcomes as determined by a variety of data-based measures including proficiency on standardized tests and post-secondary graduation rates that remain in the lower third for all states (United States Department of Education, 2015). This makes New Mexico an appealing potential target for philanthropic organizations that desire to effect measureable change. Because many funding organizations are not subject to the scrutiny of traditional government education funders, there is a potential for lack of transparency (Frumkin,

2006; Hess, 2005). Contributing to these philanthropy-centric concerns, the range of potential education grant and donation recipients has become much more complicated. As discussed earlier in this paper, beyond public and private schools and districts, the landscape now includes charter schools, voucher and other choice programs, non-traditional teacher and principal training programs and others, that are relatively new players on the educational scene (Reckhow & Snyder, 2014). While the data exist and there has been some research on philanthropy in general and related to education specifically, New Mexico's educational leaders lack a comprehensive overview of the types of recipients for our state. In addition to the lack of publications providing simple data synthesis, the study of philanthropy in general has also been noted as being characterized by "intellectual torpor" (Eisenberg, 2007).

New Mexico has also one of the least philanthropic states in the country, ranking 36th out of 50 (Bernardo, 2014), and also classified as a "taker," based on its dependence on federal funds (Tierney, 2014). Characterized by pockets of wealth in its few metropolitan areas (Albuquerque, Santa Fe, Las Cruces), it is largely rural, poor, and majority Hispanic. It also possesses one of the largest Native American populations in the country, including Pueblo, Apache, Navajo, and other groups. Far from a homogeneous block of minority students, Hispanic and Native American populations are incredibly diverse, and each maintain that their specific needs must be targeted with unique approaches (Sturgis, 2011). In addition, each group has a distinctive history in relation to education and related policy (see, for example, the Indian Education Act of 2003 and the Hispanic Education Act of 2010).

Finally, New Mexico's slow recovery from the recession of 2009 has had negative consequences for students, with education funding levels stalled at pre-recession levels, increasing enrollment in public schools, and persistent high numbers of students in poverty (Bradley, 2014). Bradley's excellent report gives a thorough picture of how public education funding works in the state, but does not mention private foundation philanthropy at all (2014).

Consequently, New Mexico is much more of a philanthropy target than active participant. There has been a great deal written about recent efforts on the part of foundations and donors to be strategic in their giving (Frumkin, 2006). I hope to add to this conversation by looking at how schools and other education related institutions can be strategic in their getting.

Conceptual Framework

I proposed this study in order to better understand the role of philanthropy in New Mexico K-12 school funding. The current universe of grantees, grantors, funding sources, and funding targets, as best can be understood at this point, framed this process, and includes K-12 traditional public schools, school districts, charter schools, private schools, and school-related not-for-profits.

The decision to include private schools in the study may seem odd given their fundamental differences in finances, rooted in private schools' limited access to public funding streams, which primarily are available to support access for special populations under Titles I-V of the ESEA and other special grants (New Mexico's constitution explicitly prohibits use of state fund to support private schools, though they are tax exempt). However, the data show that many of the same foundations that support public

education also support private education. This fact goes to the heart of foundations' philosophical approaches to education philanthropy. An examination of giving to private schools is necessary to create a complete picture of philanthropic funding of education in the state. For this reason, I examined how giving to private schools compares to giving to public schools.

The next issue to consider when defining the funding universe is that of funding sources (see Table 2). Traditionally, funding for public education comes from state budgets, and typically represents the largest share of most states' capital outlay (Greene, 2005). State funds allotted to education in the 2016 state budget for New Mexico represented approximately 40% of the total state budget (National Association of State Budget Officers, 2016). Calculated using the State Equalization Guarantee (SEG) funding formula, this funding stream is reasonably predictable, although formulas, particularly for public higher education, can change with the state's fortunes. Currently, falling oil prices have had a significant impact on New Mexico education budgets with modest increases for K-12 (2.3%) and higher education (1%) in the 2016 budget compared to the previous fiscal year (New Mexico State Budget Division, 2015). Overall, New Mexico's education budget has not recovered from the impact of the 2009 recession (Bradley, 2014), and is at a point of crisis with funding cuts for education threatened (Oxford, 2017). Another mechanism used to fund education is bonds, voted on by the public and administered by the government. In New Mexico, the land grant-based Permanent Fund represents a potential, though controversial funding source for education (Quigley, 2014). At some level, however, all these sources are controlled by mechanisms and organizations that are transparent to the public. In contrast, private

philanthropies are controlled by Boards of Directors who administer privately-controlled funds without input from the public using whatever selection mechanisms they choose and supporting whatever projects they deem worthy (Hess, 2005).

Table 2

Non-Philanthropy-Based School Funding Sources and Mechanisms

Funder	Funding Mechanism	Funding Source(s)	Funding Decision
State and Federal Government	Taxes	Tax Payers	Mandatory
Local Government	Taxes, Bonds, Mill Levies	Voters	Public campaign
Students	Tuition and Fees		Mandatory

Philanthropy-Based School Funding Sources and Mechanisms

Funder	Funding Mechanism	Funding Source(s)	Funding Decision
501(c)(3) Independent Private Foundation	Grant, donation	Private wealth of a small group of individuals	Board of Directors

Funder	Funding Mechanism	Funding Source(s)	Funding Decision
501(c)(3) Family Private Foundation	Grant, donation	Private wealth of a single family or benefactor	Family or Family's Representative
501(c)(3) Corporate Private Foundation	Grant, donation	Corporate earnings	Board of Directors
501(c)(3) Community Foundation	Grant, donation	Endowed and non-endowed funds from community members	Board of Directors

Council on Foundations website, Foundation Basics

(http://www.cof.org/content/foundation-basics#different_types_public_charities).

A brief examination of the different types of philanthropic organizations helped to frame the study. This study focused on private foundations, in contrast with public charitable organizations. Though both exist to provide funds, a public charity collects its funds primarily from the general public, and includes organizations such as churches, universities and hospitals. In contrast, a private individual or family or corporation typically funds a private foundation. Private foundations can be either non-operating or operating. A non-operating private foundation exists to grant funds to be used by other institutions, and dominates the sample used for this study. An operating private foundation uses its funds to support its own charitable programs. Private foundations can also be individual, family, or corporate; this identifier reflects the source of foundation funds. In addition to private foundations and public charities, there are also public charities that fund other public charities, such as community foundations, or organizations such as United Way. The majority of foundations considered in the current study are private, non-operating foundations. The type of foundation may influence decisions about what institutions are funded. In the case of private foundations, funding decisions may have their basis in the wishes of a single individual (dead or living) or family, who endowed the foundation.

These types of private family and individual foundations usually rely on the discretion of a board of directors, who have a duty to uphold the foundation's mission in their funding determinations. Similarly, a private corporate foundation relies on a board of directors to make funding decisions. There is a range of issues that might guide these boards in their work such as funding limited to the local area where a corporate headquarters is located (e.g., J.F. Maddox Foundation funding solely in Hobbs, NM), locations where the founder lived during his lifetime (e.g., Daniels Fund), or signature funding themes such as youth (e.g., Annie E. Casey Foundation).

The Albuquerque Community Foundation and others like it (Santa Fe Community Foundation, etc.) typically fund organizations and initiatives in their local metro area, though this may be somewhat flexible. In the case of the Albuquerque Community Foundation, funding decisions are made by a board composed of Albuquerque citizens, with a mission to “serve people in the greater Albuquerque area” (Albuquerque Community Foundation website, <http://www.albuquerquefoundation.org/what-we-do.aspx>).

In addition to considering potential funding recipients and philanthropic sources and mechanisms, there is the question of what kinds of activities education philanthropy funds. The Foundation Center, an organization that provides data on granting institutions, lists the following as education-related funding targets (Foundation Center website, <https://fconline.foundationcenter.org/search?collection=grants>):

- Operating Costs
- Special Initiatives and Projects
- Education Services

- Child Development/Early Childhood
- Charter Schools
- Gifted Education
- Special Education
- Bilingual Education
- Special Groups
- Curriculum Development
- Teacher Training

While somewhat helpful, the categories are vague and grants frequently require a great deal of scrutiny in order to properly assign them to these categories. This same database was used in a 2005 study, which went further by identifying high and low leverage activities funded by education grants (Hess, 2005).

Regardless of whether funds come through a private individual, family, community, operating, or any other type of foundation, or a wealthy individual, philanthropy is primarily an endeavor for high-net worth individuals. In addition to channeling funds to deserving causes and organizations, the other role of charitable donations is to provide a shelter from taxation for the wealth of the wealthiest individuals and corporations in our society. The fact that taxes are perhaps the most crucial support for many public programs reveals a tension inherent in charitable giving. Most foundations provide tax benefits for their benefactors, donations to which can play a key role in estate planning and financial management.

Of course, it is not possible to know exactly what level of importance wealthy donors place upon the tax relief aspect of charity. Some research has predicted declines

of up to 20 percent if the tax benefit were not available (Boris & Steuerle, 2006). What is clear is that billionaires who commit to donating large percentages of their wealth to charity are likely responding to a dual attraction of benefiting or reforming society, as well as protecting their family resources (Cahill, 2015). Further evidence of charity's dual role can be found in the design of exotic financial instruments called Donor Advised Funds (DAF), which, in contrast to donations made to charitable foundations, do not require the funds to actually be put to charitable use, and are managed by corporate organizations, much like stock funds (Cullman & Madoff, 2016). Education philanthropy has seen some high-profile examples of charitable finance design including Facebook billionaire Mark Zuckerberg's foray, which used a Limited Liability Corporation (LLC) as opposed to a charity (401(c)(3)) to funnel millions of dollars into education reform efforts in Newark, New Jersey schools with widely panned results (Pierson & Riley, 2015).

Purpose of the Study

I examined three issues related to foundation-based education philanthropy. First, I took a broad view of the overall philanthropic environment related to K-12 schools in New Mexico, designed to provide a picture of current giving. Second, I examined some of the most highly funded institutions in New Mexico with the goal of examining alignment of the K-12 education related goals of the state of New Mexico, foundations and educational institutions. Finally, I thought about the value brought to New Mexico education from philanthropy focusing on alignment. *Alignment* attempts to identify shared prioritization by capturing which funders' giving aligns best with the state's goals as reflected in the K-12 education related legislation passed during the time period

covered by this study. The implicit assumption here is that this legislation best captures the priorities that New Mexico citizens have for education, understanding that there is a political component to this approach, with legislation possibly reflecting partisan priorities.

An important issue that must be addressed is the ability of philanthropic organizations to effect change when their contributions represent a tiny percentage of total school funding; the “Buckets into the Sea” situation, as one researcher has noted (Hess, 2005). Importantly, however, budgeted public education dollars support staff salaries and infrastructure, with relatively little to none available for reform initiatives (Hess, 2004). Related to this question, many foundations have become much more concerned with being strategic in their giving and more carefully measuring its impact. In many cases, this has become a partisan issue in the United States, where charter schools, vouchers, and alternative education providers tend to draw fire from the left, since they can be seen as potential replacements for traditional public schools (Lipman, 2014). One purpose of the current study is to examine how education philanthropy to schools in New Mexico fits into this strategic giving paradigm.

Research Questions

Given the complexities of public education in the 21st century including charter schools, competing financing models and ever-growing income disparities, there is, now more than ever, a critical need for educational leaders in New Mexico to have tools and contextual information that can help them become better informed about the work of philanthropies in the state. Broadly stated, as a study of the recent historic and current context of school-based education philanthropy in New Mexico, my research was guided

by these questions: 1) Who have been the major foundation donors to and recipients of school-focused philanthropy in New Mexico in the past decade? 2) What are they funding? and 3) How might value be understood in philanthropy?

Significance of the Study

The need for more systematic investigations into the role of large foundations in education practice and policy has been recognized nationally; especially in light of the outsized influence they potentially wield (Barkan, 2011; Ravitch, 2010b; Reckhow, 2014). Though small in proportion to the government funding they receive, philanthropic contributions to K-12 education have increased by 32% between 2002 and 2012 (Snyder, 2017), so the time is right to try to better understand the nuances of this funding source. In addition to addressing a gap in general knowledge about New Mexico education philanthropy, the findings from the proposed study have the potential to contribute to the existing literature in a number of important ways. Other recent studies have identified trends including convergence of giving around specific political and social agendas (Hess, 2005; Lipman, 2011; Reckhow, 2010) such as promotion of school choice and support of non-traditional educational initiatives. Without a clear picture of who is giving what to whom in New Mexico, it is not possible to determine how we fit into this broader national picture. I provide some basic information about amounts and targets of philanthropic giving based on quantitative research of large foundation databases, and use this information to investigate whether or not New Mexico's trends are similar to those from the rest of the country; and if not, attempt to understand why not and what specifically is happening here.

As a common target for giving, New Mexico educational institutions need to be concerned with the influence of philanthropic involvement in order to be empowered in these relationships. According to a 2012 report citing data from 2009-2010, total grant investment in New Mexico for that year was \$132 million dollars (New Mexico Association of Grantmakers, 2012). This included approximately \$32 million from New Mexico Foundations, and approximately \$100 million from out-of-state organizations. The top five out-of-state funders included the R.W. Johnson Foundation, the Kellogg Foundation, the Burnett Foundation, the Legal Services Corporation, and the Wallace Foundation. Of these, the Kellogg Foundation is focused specifically on issues related to young children including early childhood education. The report presents data showing that in 2009, funding for education represented 11% of total funding among NM foundations, and 20.4% of funding from out-of-state organizations, ranking second after health. In 2009, educational institutions in the top ten grant recipients of all types by amount included the University of New Mexico, ranked first at \$5,900,000; and the Rehoboth Christian School, third, with \$2,556,000. This report identifies an increased desire for measureable goals and accountability as a shift in focus among philanthropies making grants in New Mexico.

Delimitations and Assumptions

The current study was limited to philanthropy by 501(c)(3) Family, Individual and Corporate Private Foundations to K-12 educational institutions in New Mexico, with the understanding that it would not be possible to find information about every single grant made. A necessary assumption, therefore, is that the available sample presents a reasonable picture of the philanthropic situation in the state. The study did not address

higher education, which receives a huge amount of philanthropic dollars each year, but does not have the requirement to serve all children in the state. In addition, the study excluded not-for-profit education organizations that sponsor many important education support initiatives (e.g., afterschool programs, etc.) except when their activities are directly related to schools. Money given to public school foundations was categorized for this study as if it were coming to the school itself. In a related way, some educational grants are made to community foundations, such as the Albuquerque Community Foundation, which then redistributes to educational institutions. It is necessary to bear this in mind when looking at the results of the analysis.

The study was also temporally limited to the period between roughly 2000 and 2012. From an education policy standpoint, this period encompasses a number of complex and largely unfunded federal mandates, as well as the rise of charter schools and other non-traditional educational trends (Hess 2005; Lipman, 2011; Ravitch, 2013), a topic which I explore in Chapter 2. Also, this period represents a fundamental shift from earlier eras, with a pronounced emphasis on documenting the impact of education philanthropy in measureable ways.

A final important consideration in undertaking a study of philanthropy is the challenge of identifying donor intent when relying on ancillary information sources such as the Foundation Center database used for this study. Even when foundations include descriptions of the project or other effort being funded, the researcher is reliant for the most part on the information provided by the donor. I attempted, when necessary to use information from websites or other available materials, to gain additional insights into

funded projects, but this is not always possible. What I present here is my best effort to document foundation funding and intent.

Chapter 2: Literature Review

Philanthropy in the United States has evolved from being strictly the province of wealthy industry titans investing their personal fortunes with little scrutiny or strategy (Sealander 1997) to a subject of scholarly research and the focus of academic programs such as Indiana University's Lilly Family School of Philanthropy, which offers both Bachelor's and Master's degrees (<http://www.philanthropy.iupui.edu/>). Private philanthropies maintain large, professional staffs engaged in project management, marketing and communications. Though not strictly limited to philanthropic organizations, not-for-profits employed 13.7 million in 2010 (Independent Sector, 2014). I designed this study to answer these questions:

- Who have been the major foundation donors to and recipients of school-focused philanthropy in New Mexico in the past decade?
- What are they funding?
- How might value be understood in philanthropy?

In this chapter, I explore a number of themes that relate to the current study. Though my research is specifically focused on the role of education philanthropy in New Mexico, that literature is largely nonexistent. I start with a review of the recent education policy context as a lens for examining education philanthropy, since a great deal of funding has been tied to state and federal mandates. Next, I review studies of philanthropy itself, starting with the work of Jesse Brundage Sears in the early 1900s and Merle Curti in the 1960s. I then present work that focuses on classifying philanthropy and philanthropists based on their styles of giving and interaction. The search for education philanthropy impact metrics is the focus of the next section. Finally, I review

the literature related to unique relationships between foundations and particular categories of education grantees including particular ethnically-focused schools, schools selected based on geographic criteria, or schools fitting a specific foundation agenda.

Studies of Education philanthropy

Early Descriptive Research. In service to a primary objective of developing a theory of education philanthropy, Jesse Brundage Sears (1922) provided the earliest historic, data-based survey of education philanthropy, drawing on both quantitative and qualitative data sources. Though focused specifically on higher education, his approach, including presentation of amounts and focus areas of educational giving (quantitative) as well as documenting the mission statements of philanthropic organizations (qualitative) as the means to categorize grants, establishes a straightforward yet robust approach to studying philanthropy. In addition, Sears was writing near the point in time when education philanthropy was emerging as a distinctive foundational pursuit, and also at a time when individual, private foundations could still wield major influence on relatively simple public institutions, as discussed in Chapter Five. Here he discusses the important contributions, potential value, as well as the many unknowns related to these groups. In a prescient observation, he stated:

These foundations, therefore, appear as a really new type of philanthropic enterprise in education...they are not remarkably large, yet they are large enough to represent very great possibilities, and society can not [*sic*] afford to take them lightly. Can our country assimilate this new enterprise, is a question that might have been asked when Mr. Peabody and his successors

began pouring out their millions in the development of this new *business*, the business of education philanthropy...What work will they supplement and with whom will they cooperate are extremely practical questions which they must face, and also which the colleges and schools must face. (Sears, 1922, pp. 81-82)

I would argue that the struggle to best align the business-type goals of large foundations with the very public role of schools has taken on dimensions that Sears could not even have imagined. At the time he was writing, the early 20th century, he identified nine of these so-called great foundations (Sears, 1922). With the passage of time, hundreds of other philanthropies have entered the fray. By the 1960s, as a result of increasing size and complexity of state and local governments and increased budget support from state governments, the days when private foundations could directly influence public education institutions via their donations had come to an end (Reckhow, 2014). Today, funding from private philanthropy represents a tiny percentage of overall education budgets: one-third of one percent according to a recent study (Greene, 2005).

Regardless of Sears's scholarly and practical contributions to the study of education philanthropy, interest in this topic as a legitimate field of research largely languished until the post-WWII period work of Merle Curti and colleagues (for an excellent overview of his work, see Hall & Magat, 2006). Curti (Curti & Nash, 1965) pushed the philanthropy studies agenda forward, publishing articles recommending appropriate topics for study. His seminal *Philanthropy in the Shaping of American Higher Education* (Curti & Nash, 1965), written with Eugene Nash, built upon Sears' work, seeking to add a more qualitative, interpretive approach to the study of

philanthropy in higher education. This work touches on the impact of philanthropy on distinct communities and cultures, including African Americans, women, and religious groups, moving beyond Sears' overview approach. Where Sears was attempting to develop a theory of philanthropy rooted in economic theory and data, Curti and Nash (1965) used a more qualitative, narrative approach to telling the story of education philanthropy. While previous studies focus more narrowly on descriptions of philanthropic sources and projects, an enduring insight from Curti and Nash's work was its emphasis on studying philanthropy in historic, social, and economic context, or as part of the broader "American culture" (Walton, 2000 p. 29). I think it is also important to note that while Sears's work was an outgrowth of his independent doctoral dissertation work at Columbia University, Curti and Nash's 1965 work was published by the Russell Sage Foundation, one of the organizations recognized by Sears as a major education philanthropy.

Philanthropic Organizations and Styles. Not specific to education, but an important research trend nonetheless, the study of philanthropic styles and classification also provides background for this study. Foundations, like the communities they serve, exhibit their own cultures, norms and modes of interaction. They can also have a political dimension or even an agenda, as evidenced by the initiatives and organizations that they fund. The relationship between a foundation and its grant recipients has also been likened to that between leader and follower, with the foundation occupying the leadership role (McDonald, 2012), and applying leadership styles such as Burns's (1978) transactional vs. transformational to the relationship. Through interviews with approximately 280 individuals, Prince, File, and Gillespie (1993) developed a

classification scheme for donors based on desired outcome. Their types include: 1) Communitarians, 2) The Devout, 3) Investors, 4) Socialites, 5) Repayers, 6) Altruists, and 7) Dynasts. Though this study focused on individuals, the typology can be extended to foundations as well. This study categorized the majority of those who give to education related causes (43%) as “Repayers,” those who have personally benefited from not-for-profit institutions such as schools, and wish to give back.

It has been suggested that using a strict typology to classify philanthropic styles is unhelpful as many foundations may exhibit different styles at the same time, and that it is more informative to place foundations along a continuum of styles, which may apply to the foundations themselves, or the methods they use to distribute funds (Frumkin, 2006); I tend to agree with this approach. In the same book, Frumkin (2006) explored the idea of philosophical fit between donors and recipients as another context for categorizing philanthropy. The degree to which a foundation and its fund recipients share common values has been used as the basis for a classification scheme focusing on the interactions between donors and recipients and includes 1) contractual relationships; 2) delegating relationships; 3) auditing relationships; and 4) collaborative relationships (Frumkin, 2006, p. 269). Finally, he developed the idea of what he called the “Philanthropic Prism,” suggesting that foundations’ funding can be characterized on five points of giving including: 1) logic model supporting giving; 2) identity and style of giver; 3) time frame for giving; 4) vehicle or institution for giving; and 5) value produced through giving. Frumkin suggested three uses for the Prism: 1) by philanthropic organizations wishing to focus their giving; 2) by fund seekers to clearly define their needs; and 3) by researchers to study philanthropic outcomes (2006, pp. 138-145).

No longer new, but recent in light of philanthropy's long history, venture or strategic philanthropy is a development can also be considered a philanthropic style. So named for its parallels to venture capital in the business sector, the idea of venture philanthropies seeking to make philanthropic "investments" with a monetary return while they "do good" for the community is under increasing scrutiny (Kumashiro, 2012; Lipman, 2011; Ravitch, 2013). Far from unfettered support for educational enterprises, recent education philanthropy on the part of the Bill and Melinda Gates Foundation, the Bezos Foundation, the Broad Foundation and others is described as seeking to create students to "better compete in the labor market," representing "a shift to human capital development as the primary goal" (Lipman, 2011, pp. 14-15).

Documenting the Impact of Education Philanthropy. The earliest philanthropy primarily featured wealthy families dispensing their personal fortunes to schools to do with what they wished. Recently, there has been a much greater emphasis on documenting whether or not foundation dollars for education are making a difference. At the time they were writing, Curti and Nash (1965, p. vi) observed: "our colleges and universities bear the marks left by philanthropy that is rare among American institutions...What difference did the giving of billions of dollars to American colleges and universities make?" The question of philanthropic impact on K-12 education was the focus of a research conference sponsored by the conservative American Enterprise Institute, which took the question of education philanthropy's impact as its theme and resulted in an edited volume (Hess, 2005). Filling both data and research gaps, one conclusion of this work is that without explicit strategies, education philanthropy will fail in part because the dollars given represent such a small part of the overall funding of

education (Greene, 2005). The volume explores explicit, high-impact philanthropic strategies, partly emphasizing the need to focus on structural reform such as charter schools (Hassel & Way, 2005) and labor policies (Hannaway & Bischoff, 2005), as opposed to funding one-off education initiatives. Harkening back to reports such as *A Nation at Risk* (National Commission on Excellence in Education, 1983), the need for education reform is the fundamental message of this work.

Because of its emphasis on themes such as school choice, labor reform, and non-traditional education organizations working in the public sector (e.g., Teach for America), not to mention the author's position with the American Enterprise Institute, the approaches in Hess's (2005) volume can be viewed as politically conservative. Regardless of political orientation, however, one must appreciate the volume for its contributions to the field of philanthropy research methods. The use of quantitative data from the Foundation Center's database figures prominently in Greene's chapter (2005), in which the author vets and also discusses how it should be used, as the database does not capture each and every grant made. These same data were important to my study and having this guiding advice was truly helpful.

Another edited volume presenting both data-based analysis of education and philanthropy as well as providing experience-based guidance and suggestions for how philanthropies might best impact education, *Reconnecting Education and Foundations* (Bachetti & Ehrlich, 2007), was published with the support of the Carnegie Foundation. The volume includes chapters on both public and higher education.

The potential for philanthropies to influence education policy and school reform is also the theme of recent research that emphasizes the more problematic aspects of this

trend (Ferris, Henschke, & Harmssen, 2008). Reckhow and her colleagues in the U.S. (Reckhow, 2010; Reckhow & Snyder, 2014) and Ball and his colleagues in the U.K. (Ball, 2010; Ball & Junemann, 2011) have used quantitative approaches, including network analysis, to trace relationships between philanthropic institutions and their implications for education. Couched in terms of a shift from “government to governance,” Ball and Junemann (2012, p. 34) have focused on the emergence of networks of private foundations and other actors as key players in education in the U.K. They also cited a blurring of the lines between private philanthropic actors and public entities as an emerging disruptive force. Importantly, Ball and Junemann (2012) observed that though still minor and only one of many contributing factor to changing educational policies:

...philanthropy has played a particularly important symbolic and strategic role. Symbolically, philanthropy provides an ‘acceptable’ alternative to the state in terms of its moral legitimacy...Strategically, philanthropy has provided a ‘Trojan horse’ for modernising moves that opened the ‘policy door’ to new actors and new ideas and sensibilities... ‘new philanthropy’ carries with it the perspectives and methods of business, and of finance capital in particular...and also has a transformative effect upon the services with which it becomes involved. (p. 32)

Like Ball in the U.K., Reckhow (2014) used a political lens to critique the influence of large philanthropic foundations on U.S. education as policy entrepreneurs. Philanthropies can have an outsized influence on education, even though they lack a

formal constituency and have small budgets compared to public agencies (Reckhow, 2014); influence that bears the *imprimatur* of the cream of U.S. society, the equivalent of Ball and Juneman's (2012, p. 32) "moral legitimacy." Three recent changes that have facilitated the increased influence of private philanthropy on education include the larger amounts of money being given away by philanthropies, more transparent efforts on the part of philanthropic foundations to become political actors, and the emulation of business practices facilitating more strategic grant making (Lipman, 2011; Ravitch, 2013; Reckhow, 2014). Philanthropic foundations as political actors are "jurisdictional challengers" (Reckhow & Snyder, 2014, p. 190) and impact entities such as charter schools, non-traditional educational groups such as Teach for America, and other organizations that could "create competition for the public sector" in U.S. education (p. 190).

In his edited volume: *The Assault on Public Education: Confronting the Politics of Corporate School Reform* (2016), Watkins echoes the idea that powerful, allied organizations are uniting to influence American education. He identifies "multiple factions of capital, who are committed to marketized solutions to educational problems" (foreword, no page number), but fail to challenge social justice issues related to these solutions. These failures include the inability to redress the societal stratification plaguing American society, embodied in the greater gains their reforms visit upon white students as opposed to brown. Watkins primary contribution is in keeping race as part of the conversation of neoliberal education reform.

It has been observed that the neoliberal agenda extends to controlling what is taught in schools, exemplified by arguments over history curriculum in the 1980s

(Spring, 2012; 2013). Neoliberalism in education also involves a recent hearkening back to the inflammatory claims of *A Nation at Risk* (National Commission on Excellence in Education, 1983). This report connects a perceived educational crisis with national security, making education a key pillar in the U.S. agenda for international competitiveness (Means, 2011). We are facing a moral dilemma where philanthropy is a private resource seeking to influence the public good (Sievers, 2010). Citing the tendency for private interests to move into traditionally public spheres in the face of perceived failure, Sievers's (2010) general critique applies well to education because it is traditionally situated within the public sphere and part of the American Commons (Frumkin, 2006). The "backlash" against the types of philanthropy identified with the neoliberal agenda has been recently documented in a volume suggesting that the methods used by these foundations are not new, and that criticisms largely reflect aspects of a liberal political agenda (McShane & Hatfield, 2015).

Though lacking in specific strategies to implement prescriptive solutions, Ravitch (2013), weighed in on the fraught role of philanthropy in education, especially in relationship to the passage of the 2002 No Child Left Behind Act and the subsequent growing reliance on standardized testing. Where others see the efforts of education philanthropies as part of reform, Ravitch views them as efforts to replace the current education system with something radically different. In a well-publicized and widely criticized about face (Dillon, 2010; Ravitch 2010a), Ravitch reversed her earlier support for the charter school movement and offered vehement dismissal of standardized testing as a legitimate means to measure education outcomes. Similar to Ravitch's rejection of standardized assessment as the primary instrument for measuring educational outcomes,

Sievers (2010) also criticized the “vast sums expended by both government and philanthropy in recent decades to improve public education (based in) heavy reliance on rigorous metrics of standardized tests... (which) have yielded unimpressive results” (p. 125).

It is unclear to what extent Reckhow and others in the United States were aware of the investigations of Ball and his colleagues in the U.K. They were all producing work around the same time and using similar analytical techniques, but I could not find references that would support their interaction. Both groups hit upon the use of network analysis as an analytical means to support their hypotheses, a technique expanded by Spring (2012), showing political networks providing strong support for the efforts of venture-type philanthropy in education in the U.K and U.S. First focusing on large, urban school districts in New York City and Los Angeles (2013) and then expanding their view to the entire U.S. using longitudinal data from the Foundation Center for 2000, 2010 and 2015, Reckhow and Snyder (2014) found strong evidence for what they call “convergence,” whereby “foundations are not only funding organizations with similar functions, but also providing financial support for the same organizations...indicat(ing) significant overlap in the agenda and policy goals of top education funders” (Reckhow & Snyder, 2014, p. 190). A potential problem of this trend is that it introduces the possibility that these groups can push political agendas via the projects they choose to fund.

Special Interest Foundation and Grantee Relationships

Culturally-Focused Education Philanthropy. Rooted in the missionary tradition, many faith-based foundations support the schooling of particular ethnic groups.

From what I can determine at this time, the literature focusing specifically on race and education philanthropy is not extensive. One example that examines race, philanthropy, and education is Anderson and Moss's *Dangerous Donations: Northern Philanthropy and Southern Black Education* (1999), which focuses on the historic role of philanthropies in pushing a white education agenda in the South. The lack of peer-reviewed literature may be the result of the powerful influence of philanthropies, which fund academic research, as well as community programs.

Other research focuses on blatant issues such as the lack of representation of persons of color on boards of directors of philanthropic organizations (Thurman, 2007), a phenomenon, which has reversed dramatically in recent years, but without necessarily positive outcomes; sometimes more of an "aesthetic" than actual diversity (Fondakowski, 2014). Also, I would suggest that it is more, or at least as important to look at boards of directors of the corporations that fund the philanthropy, which may provide a more accurate reflection of racial issues in our society.

Research focusing on the more subtle impact of philanthropy on communities of color has led some to conclude that philanthropy functions in part to de-radicalize racial movements by cultivating relationships between community leaders and funding organizations (Shiao, 2005). The basic idea is that these organizations buy the good behavior of radical leaders, who exchange their community influence for a position in the organization; a kind of institutional brainwashing. Research on the role of philanthropy in community building efforts in communities of color (which are disproportionately the focus of this type of work), demonstrates that philanthropic organizations, largely from outside of the communities where they work, fail to encourage structural approaches, and

“could do more to help construct a counter-narrative to the ‘underclass’ disadvantage that has informed public and private urban remedial attention for decades now” (Lawrence, 2010, p. 47). Additional research has attempted to shed light on the characteristics of philanthropic habits of minority groups (Mottino & Miller, 2005).

Another theme revealed in the literature is the idea that the practice of philanthropy is an act of privilege with racial dimensions, as the majority of philanthropic organizations rely on large American corporations for their funding. Even when these organizations seek to diversify their boards, which has been a major effort in recent years, the fact remains that the not-for-profit and corporate boards remain largely white and male (Thurman, 2007). Citing a Chronicle of Philanthropy article, Thurman discloses the following statistics on philanthropies in the United States: 1) 82% of not-for-profit CEOs are white; 2) 92% of foundation presidents are white; and 3) 86% of board members are white. Thurman asks why the demographics of these boards do not look like the demographics of our country, and questions whether privileged groups from outside the communities with whom they work are able to engage in authentic and effective initiatives.

In New Mexico, the largest non-white ethnic groups are Hispanic and Native American populations. In relation to education, the Native American population has one of the most fraught histories of all ethnic groups, with forced education of Indian children in Bureau of Indian Affairs boarding schools in the mid-nineteenth century and characterized by a general degradation of Native language and culture (Szasz, 2006). The General Education Board’s efforts with New Mexico’s Hispanic population are well documented (Getz, 1992).

Neoliberal Education Philanthropy. Many of the trends discussed in this chapter are related to the broader socio-economic paradigm of neoliberalism (Spring, 2012; 2013), a philosophy that espouses application of free market concepts and policy entrepreneurship across a broad spectrum of public activity, including education. A concise definition of neoliberalism is offered by Harvey (2005):

In the first instance, a theory of political economic practices that proposes that human well-being can best be advanced by liberating individual entrepreneurial freedoms and skills within an institutional framework characterized by strong private property rights, free markets and free trade. The role of the state is to create and preserve an institutional framework appropriate to such practices. (Harvey, 2005, p. 2)

Variouly referred to as “New Philanthropy,” “Venture Philanthropy” (Reckhow, 2014), “Strategic Philanthropy” (Covington, 1997), and even “Philanthropocapitalism” (Ramdas, 2011), this approach arose with the new fortunes of the likes of Bill Gates and Sam Walton in the 1990s and is frequently associated with concepts such as return on investment, more familiar in the business world. The media has contrasted it recently with earlier, traditional efforts, pitting charters supported by venture philanthropists with “failing neighborhood schools” (Piereson & Riley, 2015, p. 1). Venture philanthropists seek big wins and espouse approaches that will have wide ranging effects. A recent article by the New Schools Venture Fund purported to present a philanthropic approach whereby “every student finishes high school with an abundance of choices and the freedom to pursue them” (Childress & Amroffell, 2016). Powerful in prose, but vague in purpose, this is a classic example of venture philanthropy. Beginning around the year

2000, Reckhow (2014) identified a shift in philanthropic support from public school districts, to “sectors that may compete with traditional public schools, such as charter schools” (Reckhow, 2014, p. 39) in some locations in the U.S. The interface between education, commercial, and private concerns and the inherent tensions in this relationship is a key battleground in the promulgation of neoliberal policy, focusing on school choice (charters), public/private partnerships, and commercialization in schools as primary weapons in this battle (Frumkin, 2003; Kumashiro, 2012; Lipman, 2011).

No foundation has been more strongly identified with the charter school movement than the Walton Family Foundation. Founded in 1991, the foundation started making large gifts to support charter schools and related organizations in 1996 based on a deep commitment, “to a theory of change, which is that we have a moral obligation to provide families with high quality choices,” which will also influence the system by “compelling the other schools in an ecosystem to raise their game” (Rich, 2014, p. 1). Other major recipients of Walton Family funds include the Charter School Growth Fund, Teach for America, KIPP Charter Schools, the Alliance for School Choice, and Great Schools, Inc., all of which might be considered competitors with traditional public schools.

While not strictly politically partisan, the foundations identified with this type of philanthropy tend to be more conservative and the practices they support tend to be those we identify with conservative voters in the United States. In a report sponsored by the National Committee for Responsive Philanthropy, Cohen (2007) specifically looked at the connection between conservative foundations and school choice efforts and also provided an extensive analysis of the Walton Family Foundation’s giving.

Place-Based Giving and Local Schools. Many foundations choose to provide funding based on ties to school location as a strategy for their giving. As one example, a corporate foundation with a large presence in a particular county might choose to “give back” to the local population by focusing funding on the local educational system. This type of giving does not seek to make major changes to policy or overarching changes to education, but rather to provide support for education and schools that can make a local difference. It is also important to state that place-based giving is more of an approach than a categorization, and this approach crosses many different types of philanthropic organizations.

Simply stated, philanthropies engaging in place-based giving choose to focus on a specific place rather than a specific cause. An excellent overview of place-based giving, including its implementation challenges was prepared by the Center for Urban Economics at the University of Texas, Dallas (Murdoch, 2007). K-12 education is often a key tenet of this type of philanthropy, as it touches so many related issues including child poverty and health. The Kellogg Foundation has engaged in place-based giving as a key element of their philanthropic strategy, starting with their “Yes we can!” project, focusing on improving conditions in their Foundation’s hometown of Battle Creek, Michigan (Fishman & Long, 2009). The Kellogg Foundation is a major funder in New Mexico as well, with initiatives in numerous communities in Bernalillo, Dona Ana, McKinley and San Juan Counties. As opposed to simply granting funds to organizations in these areas, Kellogg maintains regional offices and staff in New Mexico, and funds a broad portfolio of projects rather than focusing narrowly on education (see: <https://www.wkkf.org/what-we-do/new-mexico>).

Critical Discourse Analysis of Philanthropy. Van Dijk (1993) provides an excellent introduction to the fundamentals of critical discourse analysis (CDA), and how it can be used to examine power relations, as they are manifest in written and verbal communications. He has explicitly presented the idea of macro and micro level expressions as worthy of study, identifying the macro level as the “contextual, interactional, organizational and global forms of discourse control”, and the micro level as the “less automatized, less consciously controlled” forms of communication where “more subtle and unintentional manifestations of dominance may be observed” (Van Dijk 1993, p. 261). I attempted to investigate both levels in relation to philanthropic discourse.

CDA emphasizes the role of discourse in enforcing social power and dominance (Van Dijk, 1993). The grantor-grantee relationship creates a situation in which the grantor controls the relationship in important ways, such as determining when meetings will occur and how money will be distributed and spent. In terms of discourse, typically the philanthropic organization controls websites and marketing campaigns that communicate a specific message about the work they do in communities. In this way, the community becomes a passive participant in the relationship, with little control over a situation that could impact them greatly. Typically, philanthropies are funding community projects, but much of the messaging may be originated by the granting organization.

Studies using Critical Discourse Analysis as a lens to specifically investigate education philanthropy are not abundant, however there are some studies that may have important lessons that can be applied. A number of studies have focused on “marketized

philanthropy” (Nickel & Eikenberry, 2009; Wright, 2015), using CDA to examine the tension between the use of philanthropy to generate real social change, and the desire of business to appear socially conscious. One popular example focuses on the Gap’s Product(REDF) advertising campaign, designed to raise money for and awareness of AIDS research (Wirgau, Farley, & Jensen, 2010). The study highlights that here is at least an inherent tension and possibly blatant contradictions between a corporation’s profit-creation mission and support of social causes.

Summary

The literature I analyzed in this section provided historic, philosophical, and practical contexts for my study. Schools have been a target of philanthropy since its inception. This philanthropy has, to some extent, followed policy trends. From a practical standpoint, it is now possible to get a more comprehensive picture of education philanthropy thanks in part to databases such as the one at the Foundation Center. In New Mexico, as in the rest of the United States, schooling is a largely publicly funded enterprise; nevertheless, private foundations donate millions of dollars each year to educational institutions.

Conclusion

Currently, there is no comprehensive picture of who is funding or who has funded what in New Mexico. Trends toward increased politicization and polarity of foundation-based funding nationally warrant heightened scrutiny of education funding sources individually and in the aggregate, to address issues of private control of traditionally public goods, such as education. My research was guided by these questions:

- Who have been the major foundation donors to and recipients of school-focused philanthropy in New Mexico over the past decade?
- What are they funding?
- How might value be understood in philanthropy?

I have presented in this chapter a context for exploring these questions and tying them to the larger themes in philanthropy studies. Philanthropies are largely reflective of the goals and values of their founders and boards of directors and do not generally face the scrutiny of the general public regarding how they invest their money in communities. Even if their projects and efforts are successful, without public knowledge of how education is being funded it is not possible for citizens to make informed decisions about how to allocate funds over which they exert control, e.g., bond elections.

While the choice to fund education via philanthropy has been a consistent theme for over the past 100 years in the U.S., the approaches used by foundations have changed radically, becoming increasingly political and strategic. We need tools and approaches to examine the ramifications of this type of giving. It is critical to be able to answer questions about the alignment of education philanthropy with the education goals and priorities of New Mexico in order to maximize public and private resources to address our issues. At this point, the data to address this have not been analyzed in a systematic way for New Mexico and its communities. To some extent, education philanthropy occurs in a vacuum. What potential lessons can be learned when we better understand the philanthropic landscape of the state? By examining whether or not New Mexico fits into the larger trends of education philanthropy, I believe it will be possible to engage funders, politicians and the public in a constructive dialogue about education funding

priorities. In addition, I introduce a method for assessing the value that philanthropy brings to education in our state. This will move the conversation beyond simple amounts to actionable information.

Chapter 3: Research Design

I conducted a study to explore these questions:

- Who have been the major foundation donors to and recipients of school-focused philanthropy in New Mexico in the past decade?
- What are they funding?
- How might value be understood in philanthropy?

This chapter provides a description of the methodological framework that guided this study. I begin with a description of the research design. I discuss how the sample for the study was collected, including sources of the data. I used two approaches: the calculation and discussion of descriptive statistics related to overall giving and one specific example.

Research Design

Questions 1 and 2. I utilized a primarily quantitative approach to data collection and analysis to address the first and second research questions: foundation donors to and recipients of school-focused philanthropy in New Mexico over the past decade and what has been funded. By answering these questions, I sought to provide the historic and current context for education philanthropy in the state. This required examining quantitative data on grantors, grantees, amounts, and longitudinal trends. Examples of this type of work include Sears (1922) and Bacchetti and Ehrlich (2007), whose edited volume includes numerous data appendices detailing amounts of grants, types of organizations receiving grants, granting by recipient institution type and numerous others. Shiao's study (2005) also incorporated numerous data presentations, broadening the scope to include demographic characteristics along with giving amounts. Shiao (2005) also included a scan of literature to derive counts of articles with specific mentions of

various ethnic groups in relation to philanthropy, which becomes an important quantitative grounding for qualitative work. Many existing New Mexico-specific reports include tabular data on grant amounts and recipients as well (New Mexico Association of Grantmakers, 2012). Another quantitative approach that has been used in studies of education philanthropy is social network analysis, which explores the relationships between organizations (in this case foundations) to try to create a picture of interlocking granting activities (Ball & Junemann, 2012; Reckhow, 2010; Reckhow & Snyder, 2014).

I answered the first and second research questions (who have been the major foundation donors to and recipients of education focused philanthropy in New Mexico in the past decade and what are they funding?), by compiling and analyzing individual and aggregate information. In addition to identifying the specific organizations that have received grants, I grouped recipients according to type, including institution type, and whether or not they are affiliated with a specific population (e.g., Native Americans, deaf children). Related to the first question, I enumerated how much was received individually and in aggregate. Where possible, I also parsed these data by funding level and repeat vs. first-time funding. The database I used lists specific projects for some grants, and more general descriptions for others. To the best of my ability, I attempted to determine the intended use of the money using the database and other ancillary research such as consulting annual reports and 990 forms. Where appropriate, I also mapped grants by location, seeking to identify geographic patterns in the data.

The actual presentation of these data can be vastly improved upon, moving from simple tables full of numbers into a more information-rich display style that facilitates dynamic data presentations of, for example, giving through time and to different types of

organizations. In addition, I calculated and interpreted descriptive statistics to aid the reader's understanding of the philanthropic context and how giving looks in different communities.

Some of the specific grant characteristics I wanted to look at included:

- Geographic distribution (local NM and grant makers' location)
- Types of institutions funded
- Type of foundations
- Types of projects
- Top donors and recipients in terms of dollar amounts

In addition, there is evidence of an informal funding network of Native American private schools in the state. Network analysis is an efficient, quantitative method for examining relationships between actors (persons or organizations) in professional and personal contexts (Carolan, 2014). Rooted in mathematical graph theory, this type of analysis has its own lexicon, software tools, and even textbooks and classes (Borgatti, Everett, & Johnson, 2013; Carolan, 2014; Daly, 2010). For this study, I used an informal network analysis approach to compare and contrast foundation giving to different categories of recipients (i.e., private schools, public schools, and public charter schools); and to attempt to identify convergence in philanthropic activity around particular themes, and groups in New Mexico, an approach used by education philanthropy researchers in the U.S. and U.K. (Ball & Juneman, 2011; Reckhow, 2014; Reckhow & Snyder, 2014). Reckhow and Snyder (2014) identified a "convergence" in philanthropic giving to non-traditional "jurisdictional challengers" over time at the national level. Such research has been conducted in the UK to analyze similar trends (Ball, 2011). While I did not use a

formal network analysis method, I did want to explore the existence of a network of interrelated funders around private Native American education.

Lastly, Critical Discourse Analysis (CDA) has as its focus “*the role of discourse in the (re)production and challenge of dominance,*” explored via critical examination of discourse, which may include documents, images or other vehicles for communication (Van Dijk, 1993, p. 249). This approach was particularly appealing in this instance due to the inherent power relationships and tension in the foundation/grantee relationship. Though I initially intended to conduct a formal CDA, I found it to be a potential dissertation unto itself. Therefore, in the spirit of CDA, I included a discussion of the communication styles of major foundations working in New Mexico and potential implications for power relationships.

Question 3. How might value be understood in philanthropy? Frumkin (2006) has written extensively on the use of analytical approaches to measuring philanthropic value and my approach was inspired by his work. Frumkin (2006) distinguishes expressive value and instrumental value in his approach. Expressive value refers to the more intangible and less strategic types of giving, such as spontaneous charitable donations at Christmas to the Salvation Army. This can also extend to foundations, however, especially those strongly identifying with values (religious, political, etc.). Instrumental giving is more strategic, and designed to create measureable, tangible results. While both certainly help foundations create meaning in their activities, I will focus on instrumental value in this analysis.

For the current analysis, I explore the instrumental value of foundation philanthropy in New Mexico education using goal alignment as a tool. Alignment

incorporates two separate elements: 1) Alignment of foundation giving with the goals of New Mexico education as reflected in education-related legislation; and 2) Alignment of foundation and recipient missions. I chose to limit this part of the analysis to a single category of recipient, Native American education institutions, based on overall amount of foundation funding received, and the availability of donor intent information in the Foundation Center database and auxiliary information sources.

Table 3

A Framework for Measuring Alignment

	Components	Data	Measure
Alignment of Intentions: NM Education Goals, Philanthropic Intent, Recipient Intent	NM Education Goals	NM education-related legislation	Alignment
	Donor Intent	Mission statements, grant-specific reporting	Alignment
	Recipient Intent	Institutional goals, mission	Alignment

I proceeded with the assessment of alignment by 1) enumerating New Mexico education goals based on the text of any relevant legislation; 2) listing the educational organization’s goals as put forth in mission, vision statements or other available information; 3) listing funding foundations’ statement of project purpose as listed in the Foundation Center database, if available; and 4) comparing 1-3 for alignment of intent. After I presented the key elements of the legislation, I provided a listing of foundation-

funded projects, which I categorized by key legislative elements. I then calculated a relative ranking based on the percentage of shared legislative, organizational and foundation goals. This forms the basis for the alignment discussion.

Data Sources and Collection

Foundation Center Database. The Foundation Center maintains an online database of grants over \$1,000 made by foundations and other organizations that can be searched by geographic location, subject area, granting foundation and other grant characteristics.

Dates for specific foundations vary somewhat, but for most foundations data are available from roughly 2003-2012. This database represents the most comprehensive collection of data available and has been used by other researchers (Bachetti & Ehrlich, 2007;

Reckhow, 2011; Reckhow & Snyder, 2014). Certainly, these data are not perfect representations of philanthropy in the state since they only capture grants over \$1,000.

The Foundation Center database is compiled from a variety of sources including 990 tax form filings, monitoring a variety of databases and direct staff contacts (Foundation Center website, FAQs <https://fconline.foundationcenter.org/welcome/faq>).

My search for all foundation-based grants related to education of any kind in New Mexico from 2003-2012 yielded approximately 4,300 records representing total grants of over \$327,000,000. However, this included grants to higher education, and other public entities providing education such as museums, which were not part of this study. I decided to focus this study on foundation giving to schools and closely-related entities (e.g., districts, not-for-profits working in schools). It is also important to note that I have included Community Foundations, which are charitable organizations that redistribute foundation funds via their own grants. The sample for this study included K-12 public

schools, public charter schools, public school districts, private schools, government educational organizations (e.g., Pueblo education departments), and not-for-profit education service providers and similar organizations, resulting in over 1,813 grants totaling just over \$94 million dollars (see Table 4).

Table 4

Total Foundation Grants Received by Recipient Type, 2003-2012

Recipient Category	Total Foundation Grants
Private school	\$44,612,945
Public charter school	\$7,406,182
Public school	\$4,277,832
Government	\$2,939,154
Public school district or govt.	\$10,333,555
Not-for-profit educational organization	\$16,564,073
Foundation (redistributing to K-12 school initiatives)	\$8,249,131
Grand Total	\$94,382,872

Source: Foundation Center Database (2015).

While most of the categories in Table 4 are straightforward, some require a bit of clarification. Organizations categorized as “Government” are organizations that do not provide education as their main function. School Boards and Departments of Education are in this category. Also, I considered grants received by a school’s foundation as part of the total for a school; that is, Albuquerque Public Schools and Albuquerque Public

Schools Foundation as a single recipient. Though housed within the realm of public education, I considered public charter schools as a unique category for the following reasons. First, though they are definitely part of the public school system, charter schools are not subject to many of the constraints that traditional public schools face in relation to testing, scheduling and other areas, and are can thereby theoretically provide a much more responsive and dynamic environment, making them appealing targets for strategic philanthropy. However, a New Mexico Legislative Finance Committee report found that gains made by students at charter schools are concentrated in students from higher socioeconomic status groups (Lussiez, 2015). Second, charter schools represent a major area of interest for conservative funders such as the Walton Family Foundation, for which charters are the major funding focus (Rich, 2014). New Mexico does not allow private organizations to run charter schools as is the case in other states, suggesting that they are less different from regular public schools than in other states.

Among all these categories, one requires additional clarification: the not-for-profit educational organization. These are independent organizations that provide support or services to public educational institutions. This category captures a wide variety of organizations, those that work in schools directly (e.g., Teach for America) and some that operate independently but provide educational support programs targeting K-12 students (e.g., National Dance Institute). I examined these organizations separately from schools themselves. This was the most difficult category to deal with in the analysis, because some of these organizations may fund both K-12 and other initiatives.

Attributes recorded in the database for each grant include grant maker name, grant maker state, recipient name, recipient city, year authorized, grant amount, type(s) of

support, and project-specific information. It should be noted, however, that not all grants include all this information. The Foundation Center online database also facilitates access to 990 forms filed by grant-making foundations. It is important to point out that the Foundation Center database does not represent a complete picture of foundation-based education funding in New Mexico, so conclusions drawn based on these data need to be qualified. I do believe that the data represent the major contributors to the type of K-12 funding critical to this study. As mentioned previously, community foundations, and foundations redistributing donations from private citizens are external to this study. United Way of New Mexico is a classic example of a community foundation providing significant funds to New Mexico education that is not part of this study. Likewise, foundations that primarily provide scholarships are not included, such as the Los Alamos Foundation.

Limitations

Data Collection. In terms of data collection, the primary limitation of this study is rooted in the use of the Foundation Center database as the study's main data source. As I described earlier, this database does not include all grants, even those over \$1,000. For this reason, any conclusions drawn must be taken advisedly, as is typically the case in studies of this type. In addition, it was necessary for me to assign some of the grant classification based on imperfect or incomplete information, as I relied on the limited information included in the database. For major gifts with no description of purpose in the database, if necessary, I researched this information to determine the purpose for which the gift was made. Also, I made every effort to assign the recipient to its correct

category (public school, private school, etc.) using available resources. Any categorization or other errors are my responsibility.

I also recognize that some major charitable organizations and foundations do not appear in this study due to particular limitations. United Way of Central New Mexico is a 501(c)(3) not-for-profit and a significant supporter of education. However, most of their funding comes from charitable donations from individuals, as opposed to private sources. For this reason, United Way is not included in this study. This is in no way meant to diminish the important work that this organization does in New Mexico communities, including initiatives such as Mission: Graduate. Similarly, other important organizations such as the Los Alamos Community Foundation, which makes major contributions to education (primarily in the form of scholarships) does not appear. I recognize that this is a shortcoming of the study, and in no way do I wish to slight the organizations doing important work in this area.

Theoretical Assumptions. While based on a limited sample, it is my belief that it is possible to draw some conclusions about school-focused K-12 philanthropy from the current study. Education philanthropy's intrinsic motivation is that there are existing challenges that are not being adequately addressed with the resources currently available. If everything were perfect, there would be no reason for outside groups to provide extra money to schools. Regarding private schools, there would be no reason for funders to earmark funds for specific applications, but rather all would be donated for general operations. We can also assume that funding organizations are going to seek to optimize the efficiency of their giving. But does education philanthropy make any real difference to either the communities that it seeks to support, or to the larger world of education?

The cases I identified in this study represent a broad spectrum of recipients including Native Americans (Rehoboth and Zuni Mission Schools), students from lower income situations (Charter Schools), and public schools grappling with the demands of accountability (Hobbs District).

Role of Researcher. In all types of theoretical investigations, but particularly in qualitative explorations, the experiences, cognition, and social position of the researcher cannot be divorced from her observations (Creswell, 2013). It is important, therefore, to position oneself by disclosing to the reader any affiliations, experiences or beliefs influencing the conclusions reached (Creswell, 2013). I am a white female who has lived an upper middle-class existence for my entire life in the United States. I have lived in safe, affluent neighborhoods and attended public schools that were well funded, and where most of the students looked pretty much like myself. The idea that schools might not be equitably funded or supported due to the ethnic/racial and socioeconomic status (SES) of the students attending is not one that I or my family had to face during my upbringing, though challenges to all education funding were a reality in Southern California in the 1970s as Proposition 13 tightened education funding. As a community college instructor for 10 years at a large New Mexico institution, I first came face to face with the impact of inequitable educational opportunities in a practical sense, teaching and interacting with students whose early education did not adequately prepare them for the rigors of college-level work. Not lazy, or intellectually unable, many of these students simply did not have access to the institutional and social supports that I had, which enabled me to smoothly move through the educational system.

Finally, and perhaps most saliently, in a recent professional position as an education researcher at the University of New Mexico, much of the work I did was primarily quantitative in nature, and funded directly by large philanthropic organizations, including the Kellogg, Daniels, and other foundations. This has given me a first-hand understanding of education philanthropy in New Mexico, much of which appears to be, in my opinion, extremely well intentioned. My position has also led me to believe that the issues we associate with educational “failings” are so complex that the work of any one organization, philanthropic or otherwise, is doomed to failure without a well-integrated system of support that brings long-term investment and community based activism together to create an environment where funded education projects can have enduring impact, beyond the span of a particular initiative.

I entered into this study with the assumption that most education philanthropists are motivated by the desire to improve the lot of those who benefit from their giving. If philanthropy were a silver bullet to solve all the problems that it targets, we would live in a much more educated, peaceful, healthy and verdant world. New Mexico would not dwell near the bottom of lists of educational outcomes and there would be no disparities between ethnic groups. If I have made make a small contribution to improving the understanding of how philanthropy currently functions in our state, with a larger but modest goal of examining the value of alignment between donors’ and recipients’ goals, I would consider the study a success.

Chapter 4: Findings and Analysis

This chapter presents a discussion of research findings related to these questions:

- Who have been the major foundation donors to and recipients of school-focused philanthropy in New Mexico in the past decade?
- What are they funding?
- How might value be understood in philanthropy?

I used data to perform a detailed examination of individual foundation funders and education recipients. I first parsed the data by major donors and then by recipients. I present the data for each group. To the extent possible, I identified specific funding intentions using the Foundation Center database information, however this was not available in all cases. I analyzed the question of philanthropic value using a method that examined the alignment of goals.

Question 1: Who have been the major foundation donors to and recipients of school-focused philanthropy in New Mexico in the past decade?

Major donors and recipients of school-focused philanthropy in New Mexico.

Total giving in New Mexico from 2003 through 2012 as documented in the Foundation Center database was \$94,382,872. Although some data were available for 2013 and 2014, the most complete data were available for 2003-2012, therefore, those are the years that I focus on here. Giving varies by year, with contributions to educational institutions reaching a high point in 2005, with a total of just under \$18 million dollars. The lowest amounts were in 2011, with just over \$5 million dollars in total donations, where most of the reduction resulted from reduced donations from community foundations (Figure 1). The remainder of this section provides a closer look at the characteristics of the charitable foundations making these donations and the recipient organizations.

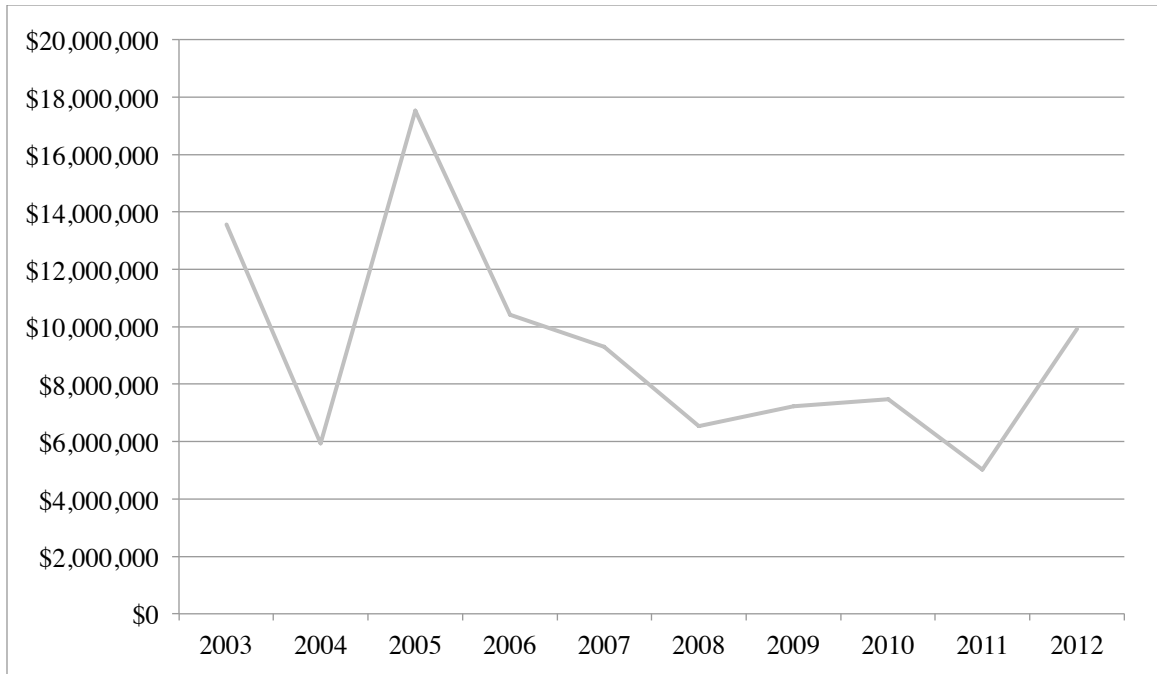


Figure 1. Foundation giving to New Mexico K-12 organizations by year.

The Foundations. As presented in Table 5, New Mexico K-12 educational institutions received just over \$94 million between approximately 2003 and 2012. This money came from a combination of 314 unique family, independent, corporate, community, and operating foundations. As can be seen in Table 5, there is an almost even split between family and independent foundations, with corporate and community foundations giving in similar amounts. It is worth remembering at this point that some, but not all, of the monies redistributed by community foundations are from other types of foundations, so there may be some duplication in amounts shown. In terms of individual grants, 665 came from family foundations, 505 came from independent foundations, 443 from corporate foundations, and 185 from community foundations. In terms of average grant size, simply dividing the total amount donated by number of grants reveals that the average family foundation grant was \$63,336, independent foundation grants averaged

\$83,130, corporate grants averaged \$11,692 and community foundation grants averaged \$25,132.

Table 5

Overall Giving to New Mexico K-12 Educational Institutions by Foundation Type 2003-2012

Foundation Type	Giving Amount
Family	\$42,118,639
Independent	\$41,980,634
Corporate	\$5,179,559
Community	\$4,649,477
Operating	\$431,875
Unknown	\$17,688
Private Not-for-profit Corporation	\$5,000
Grand Total	\$94,382,872

The nature of philanthropic giving can also be viewed in terms of amount and frequency, or dosage, which may have implications for the philanthropic relationship. Giving may be characterized by small or large amounts in a few or many grants. To clarify, in some cases, giving may come in the form of a single gift for a very specific purpose (purchase of a new building, support for a special event) or may reflect a sustained commitment to long-term projects or reform efforts or perhaps some combination of both. The general picture of philanthropic dosage for New Mexico educational institutions reveals a range in terms of both amounts and frequency, from a high of 203 individual grants from The McCune Charitable Foundation to 56 individual

recipient organizations, to a low of one grant to a single organization (there are 137 of this type of award). In terms of amount, overall giving from a single organization ranges from a high of just over \$16 million dollars from The Daniels Fund to 48 different organizations, to a low of a single gift of \$1,000 (the lower limit of the data kept by the Foundation Center). The largest single gift from a single foundation to a recipient was just over \$8 million, from the Richard and Helen DeVos Foundation to Rehoboth Christian School.

A question that can be partially answered with a map is: where are the education philanthropy dollars going in the state? New Mexico is large in landmass, and predominantly rural, with the population concentrated in three main urban areas: Albuquerque, Santa Fe and Las Cruces. Also unique is the fact that our Native American population is geographically concentrated in particular areas, especially in the northwest corner of the state on the Navajo reservation. The map in Figure 2 displays the general distribution of foundation dollars, showing concentrations in Santa Fe, Albuquerque, Rehoboth (Rehoboth Christian School) and Roswell (New Mexico Military Institute).

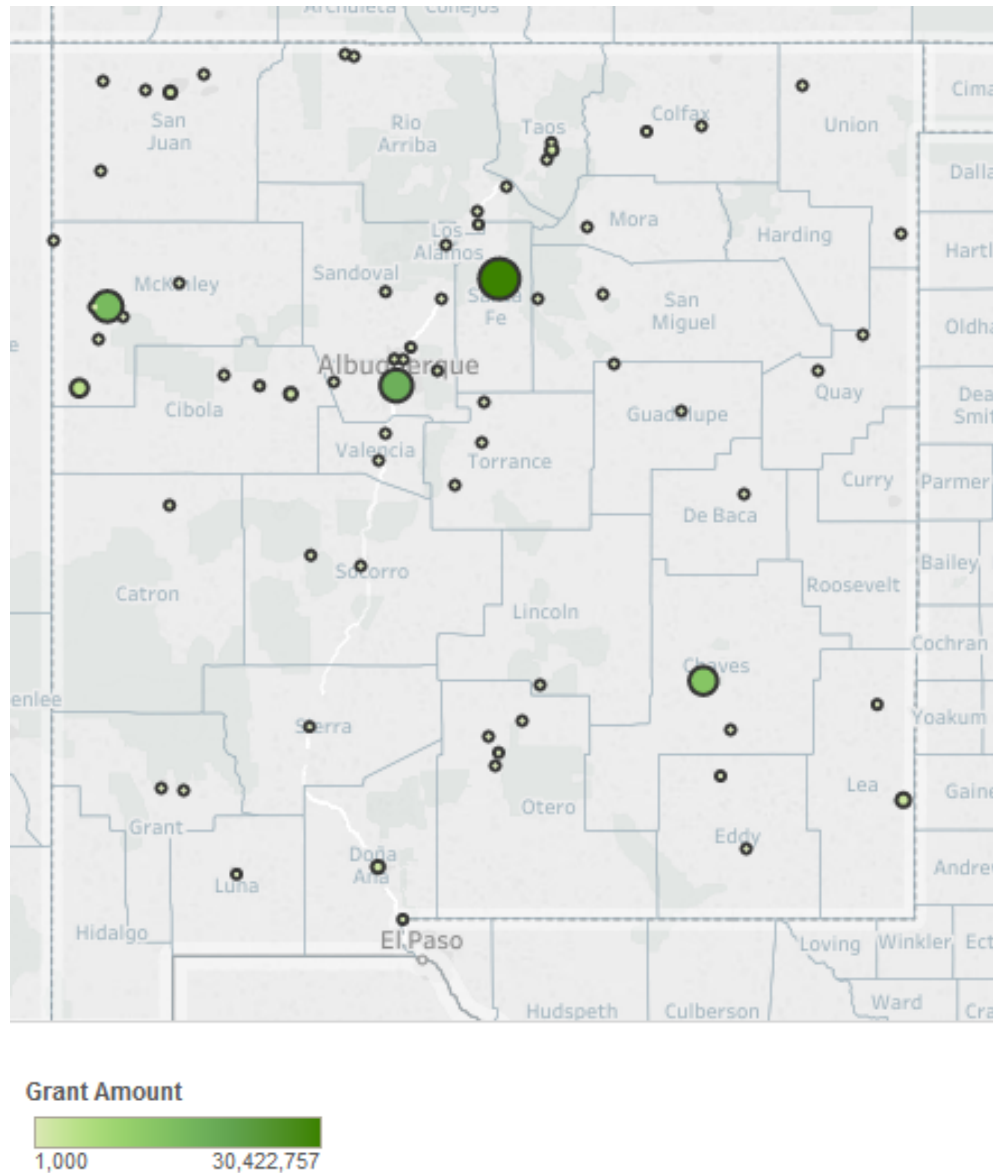


Figure 2. Geographic distribution of school-focused foundation philanthropy. Amounts aggregated by city in dollars.

Up to this point, I have created a general picture of foundation-based education philanthropy in New Mexico. The sheer number of individual gifts mandates a change in focus from overall generalities to individual organizations. To this end, I now shift the discussion to an examination of some of the individual foundations that are most active in the state. The top 10 donors to educational institutions in New Mexico account for

almost 70% of all giving, and are shown in Table 6, along with the number of individual gifts and total of all gifts made during the 2003-2012 period. The table also reveals that giving characteristics vary widely by foundation, with some focusing on smaller numbers of large grants, and others making many, smaller gifts.

Table 6

Top 10 Foundations by Total Gift Amount to All New Mexico Educational Institutions, 2003-2012

Foundation	Number of Gifts	Total All Gifts
1. Daniels Fund (CO)	106	\$16,504,177.00
2. The Richard and Helen DeVos Foundation (MI)	19	\$16,186,377.00
3. W. K. Kellogg Foundation (MI)	23	\$12,030,219.00
4. McCune Charitable Foundation (NM)	203	\$4,687,320.00
5. The New Mexico Community Foundation* (NM)	60	\$2,896,275.00
6. Walton Family Foundation, Inc. (AR)	22	\$2,889,112.00
7. J. F Maddox Foundation (NM)	43	\$2,372,442.00
8. Annenberg Foundation (NY)	6	\$2,325,000.00
9. The Malone Family Foundation (CO)	1	\$2,000,000.00
10. The J. E. and L. E. Mabee Foundation, Inc. (OK)	2	\$1,974,400.00
Grand Total		\$63,865,322.00

*Includes redistributed funds from other foundations

It also appears from the table that the donations of the top three foundations dwarf the others on the list. However, this requires some qualification. The amounts given by the top 2 foundations, Daniels Fund and Richard and Helen DeVos, include extremely large, single gifts to private schools. In the case of the Daniels Fund, this amounts to roughly \$12 million to New Mexico Military Institute; and in the case of DeVos, all their giving was to a single, private school: Rehoboth Christian School. If we take this into consideration, the Kellogg Foundation emerges as the standout in terms of overall dollars to New Mexico education.

What do we know about these foundations and their priorities, missions and focuses? In this section, I examine these foundations in greater detail and include perspective on their overall priorities and how New Mexico education aligns with these goals. Though finding the dollars that flow to educational institutions is aided greatly by the Foundation Center's data collection and organization, what the money is funding is not always easy to nail down. The database I used for this study includes an attribute for the type of support (capital campaign, program development, etc.), and description, but these fields are not always complete, and the description can be colored by the foundation's perspective of their activities. I have made my best attempt to clarify where the dollars are going. Finally, in order to address the potential to influence policy in a desired direction, I believe it is essential to establish the philosophical (political, social) leanings of a funding organization. Examining the orientations exhibited by the leadership of the organization via their public and private behavior and rhetoric, and their funding patterns can do this.

The Daniels Fund. The Daniels Fund is an independent foundation based in Colorado with a unique, geographic focus on the states where the Fund’s founder, Bill Daniels, lived, including New Mexico, Colorado, Utah and Wyoming. According to the Foundation Center’s website, the Fund has just over \$1 billion dollars in assets with total giving in 2014 of just under \$63 million. According to the Fund’s website, he lived in Hobbs, New Mexico as a youth and graduated from New Mexico Military Institute. In addition to community grants, which this study is focusing on, the Fund also grants scholarships to students. Among the eight thematic areas eligible for Daniels’ funding, early childhood education, ethics and integrity in education and K-12 education reform are listed as education-related priorities. The website also states: “In New Mexico, our grantmaking (sic) strategy focuses primarily on education-related initiatives. Given the state’s unique set of challenges, we maximize our impact by inviting grant requests from nonprofit organizations with a demonstrated ability to improve the education continuum, from cradle to career” (<http://www.danielsfund.org/Grants/NewMexico.asp>). The fortune behind the Daniels Fund is the result of Bill Daniels pioneering efforts in the cable industry, building an empire headquartered in Colorado. Daniels also owned three professional sports teams at different times.

An examination of the database for this study reveals that Daniels dollars in New Mexico have gone to private schools, not-for-profit education organizations, public charter schools, foundations, public schools and school districts, and government education organizations. The vast majority of the dollars have gone to private schools. Over \$12 million of the dollars to private schools went to the New Mexico Military Institute, Daniels’ alma mater, for two separate “capital campaigns” (Foundation Center

database). These campaigns were for the construction of the Daniels Leadership Center and a sports facility at the school. The Daniels Fund also funds numerous scholarships to individual New Mexico students each year, so-called “Daniels Scholars,” which are not included in this study.

Table 7

Daniels Fund New Mexico Education Philanthropy by Recipient Type, 2003-2012

Recipient Type	Number of Gifts	Total All Gifts
Private School	33	\$13,029,342
Non-Profit	27	\$1,410,000
Public Charter School	18	\$1,043,610
Foundation	7	\$678,725
Public School District	14	\$296,500
Public School	4	\$25,000
Government	3	\$30,000
Grand Total	106	\$16,504,177

After NMMI, major recipients of Daniels Fund dollars (at least \$250,000) include the New Mexico Community Foundation (\$688,725), Educate New Mexico (\$660,000), Teach for America (\$450,000), and the New Mexico Coalition for Charter Schools (\$405,000). The Foundation Center Database reveals that almost \$500,000 of the total funds to the New Mexico Community Foundation went to support the national Supporting Partnerships Assuring Ready Kids (SPARK) Initiative, which has subsequently enjoyed support from a number of other major foundations and focuses on aligning early childhood and elementary education. The Educate New Mexico funds

provided general operating support for a voucher-type scholarship program between 2003 and 2010. Teach for America is an organization that supports young, college graduates to provide support in underperforming and financially challenged school districts, including several in New Mexico. Opinions on this organization are mixed, with supporters citing an innovative education approach that can benefit both the student teachers and the underserved populations they work with; and detractors pointing to the limited training for recruits and job loss for experienced educators (M.S.L.J., 2013). Finally, the New Mexico Coalition for Charter Schools received monies earmarked for operating expenses, as well as some specific initiatives including Performance Management, Leadership Academies, and Certification and Accreditation support. Many of the Daniels gifts in New Mexico have a leadership theme, mirroring the Foundation's interest in this area.

The nature of Daniels' giving is reflected in the way that they fund their grantees. Of the over \$16 million to New Mexico education, around \$10 million supported one-off investments at educational institutions including capital campaigns, building construction and renovation, equipment purchases, and general operating support. Much less was spent on cultivating ongoing projects and initiatives such as curriculum development, educator training and others.

It is clear that the Daniels Fund is somewhat unique in that New Mexico is one of its specific focuses, and that education is a foundation priority, specifically in the areas of ethics, early childhood and education reform. The database reveals an emphasis on private schools, not-for-profit education organizations and public charter schools. The Daniels Fund is non-partisan and not specifically motivated by any religious affiliation. However, Bill Daniels had strong ties to the Republican Party, at one time running for

Governor of Colorado and also contributing very large amounts to the GOP during various campaigns (Wooster, 2013). George W. Bush also wrote the preface to Daniels's 2003 biography. Daniels is also Diane Denish's (former Democratic New Mexico Lieutenant Governor) Uncle.

The Richard and Helen DeVos Foundation. The Richard and Helen DeVos Foundation is a Family Foundation based in Grand Rapids, Michigan. It was founded in 1970 and is one of the largest conservative charitable foundations in the United States, with assets of \$96 million in 2011 (Source Watch, 2015). Richard DeVos founded and headed Amway Corporation, which is the source of the Foundation's funds.

The foundation is extremely active in Republican and Conservative causes; Richard DeVos has served as the Finance Committee Chairman of the Republican Party in the past. In a recent development, Betsy DeVos, from the same family and also involved in education giving, is the newly-confirmed and controversial Secretary of the Department of Education. Signature focuses of the Richard and Helen DeVos Foundation include education privatization, pro-school voucher and religious education. The Foundation has major ties to DonorsTrust, a Koch Brothers enterprise (Source Watch, 2015). They also are major contributors to other conservative organizations including the Heritage Institute, Focus on the Family, Americans for Prosperity, and the American Enterprise Institute. In the early 2000s, the Foundation was extremely active in attempting to influence pro-school voucher legislation, and has been very politically active.

The DeVos' Family foundations present a classic example of what Prince et al. (1993) would have classified as "devout" funders, whose giving is closely tied to their

relationship with a Christian God (in the U.S.), rooted in the tenets of Christian charity. While not explicitly identified as a mission statement, the Dick and Betsy DeVos website states: “Our faith motivates our giving; it is integral to who we are and what we do. Our giving is centered in cultivating leadership, accelerating transformation and leveraging support...” (<http://www.dbdvfoundation.org/what-we-do/>). Specifically, in relation to education they state: “We strive to be a catalyst for positive change by expanding choices and improving access opportunities in education” (<http://www.dbdvfoundation.org/what-we-do/>). Though close ties to conservative causes including school choice have been documented, there is no evidence that these motives are at work in their relationship with Rehoboth School. Since it is a private school, we might assume that there is less need to push a particular policy agenda. Their giving focuses exclusively on Rehoboth Christian School, as Table 8 shows.

Table 8

Richard and Helen DeVos Foundation Education Philanthropy by Recipient Type, 2003-2012

Recipient Type	Number of Gifts	Total All Gifts
Private School	19	\$16,186,377
Grand Total	19	\$16,186,377

Clearly, the DeVos Foundation has a strong philosophical orientation rooted in Christian philosophy. This relationship has a unique, historical component as well. Dutch Reformed Church Missionaries from Grand Rapids, Michigan, home of the DeVos Family, founded both Rehoboth and Zuni Mission Schools. The DeVos’ support of these Native American communities is therefore, in part, a continuation of an historic trend dating to the early 20th century in New Mexico, when the schools were founded, and in a

broader sense, to the mid 17th century, when Dutch missionaries began their work in North America. Of course, there is a complicated side to any colonial-type relationship. The activities of missionaries in Navajo are not without these complications (Krabbendam, vanMinnen, & Cott-Smith, 2009).

How significant are the DeVos donations to Rehoboth Christian School? Strictly based on amount, the overall gift size is significant in comparison to other education philanthropy considered in this study, representing approximately 24.2% (\$17 million out of a total \$70 million) of total K-12 school-based education philanthropy to the state over the study period. And it is certainly significant to Rehoboth and Zuni Christian Schools, whose total expenses for 2011-2012 were just over \$4.7 million (Annual Report 2011-2012, in Rehoboth Winter/Spring 2012 Newsletter). From the Foundation's perspective, in 2006, the year they made their largest gift to Rehoboth School, the Richard and Helen DeVos Foundation had total assets of approximately \$52 million according to their Form 990 filing, and made gifts totaling just under \$43 million. That year they awarded Rehoboth School \$2.8 million, or 5.8% of their total giving. This gift was also the second largest awarded to a single institution, second only to the University of Florida's gift of \$2.9 million. By most measures, this is a significant gift. Though over time the gifts fluctuate in size, there are many years when grants over \$1 million were made. DeVos grants are exclusively for general, ongoing operational support.

W. K. Kellogg Foundation. The W.K. Kellogg Foundation is based in Battle Creek, Michigan. Founded in 1930 by the eponymous breakfast cereal mogul, the Foundation currently has assets in excess of \$8 billion and gives to a variety of causes with a general guiding principle of support for vulnerable children (Foundation Center,

2016). The same source states that the Kellogg Foundation has identified New Mexico as one of its “priority places” where there are “high concentrations of poverty and where children face significant barriers to success.” According to their website, the foundation is committed to each of their priority places for at least a generation in order to build strong community ties (<https://www.wkkf.org/what-we-do/overview>). Within New Mexico specifically, they focus primarily on Bernalillo, McKinley, San Juan, and Dona Ana counties.

A strong focus on social justice has placed the Kellogg Foundation to the left of center in the minds of some pundits, who see priorities on health care access as indicative of socialist leanings and support for increased government (Brown, 2009; Discover the Networks.org; Wooster, 2007). Unlike the Daniels Fund and DeVos Foundations, the founder’s intent does not play a major role in selecting who receives funding, and there is a strong emphasis on evaluation of ongoing projects, the use of logic models and other “scientific” tools for analyzing and supporting grant effectiveness (W.K. Kellogg Foundation, 1998). The Kellogg Foundation also maintains a very large staff (approximately 200 employees) with offices across the U.S., including a small office in Albuquerque, exemplifying a very hands-on approach to grantees. In contrast, Daniels has around 40 employees, though its funding resources are less than those of the Kellogg Foundation.

In terms of education related giving in New Mexico, Table 9 reveals that the Kellogg Foundation’s donations are dominated by gifts to other Foundations, followed by Public School related giving. Giving to private education represents the smallest amount, and no money was given to not-for-profit organizations. The Kellogg Foundation tends

to give fewer, larger grants, with the average grant size of approximately \$503,000.

Major recipients of Kellogg Foundation education funds in New Mexico include the New Mexico Community Foundation (\$5,048,400); Native American Community Academy Charter School (\$1,675,900); Santa Fe Indian School (\$1,335,762); Farmington Municipal Schools (\$860,157); Albuquerque Public Schools (\$800,000); Architecture, Construction and Engineering Charter High School (\$600,000); Las Cruces Public Schools (\$600,000); Albuquerque-Bernalillo County Community Schools Partnership (\$400,000); New Mexico Public Education Department (\$350,000), and the Albuquerque Community Foundation (\$250,000).

Table 9

Kellogg Foundation Education Philanthropy by Recipient Type, 2003-2012

Recipient Type	Number of Gifts	Total All Gifts
Foundation	7	\$5,298,400
Public Charter School	4	\$2,275,900
Public School District	4	\$2,160,157
Public School	5	\$1,395,762
Government	2	\$900,000
Grand Total	23	\$12,030,219

What are the Kellogg Foundation's large gifts funding? The New Mexico Community Foundation is discussed later in this section, so its fund from the Kellogg Foundation will not be discussed here. The Native American Community Academy Charter School (NACA) received Kellogg Foundation funding in 2010, 2011 and 2012. The 2010 funds totaled \$495,000 and were earmarked for efforts related to implementing

the Community Schools model. Funds received in 2011-12 totaled around \$1.5 million and were earmarked for developing and implementing an Indigenous Education Network. All the Kellogg Foundation funds received by NACA have a strong component of enhancing New Mexico's Native American populations to strengthen their internal capacity for educating their youth. The funds received by Santa Fe Indian School were similarly targeted toward enhancing indigenous education.

The dollars to Albuquerque and Farmington Public Schools and Albuquerque Community Foundation funds were to support programs designed to promote family engagement, as a support to children's education. Architecture, Construction and Engineering Charter High School received \$600,000 as seed money for the Leadership for Education Professional Development Center, promoting industry-supported education efforts targeting vulnerable and underserved students. In a similar vein, the Las Cruces Public Schools' funding was given to support a health care-focused early college high school. The Albuquerque-Bernalillo partnership dollars were given to promote community schools. In a somewhat unique vein, the Kellogg Foundation granted the New Mexico Public Education Department \$350,000 to implement Common Core, in direct response to a federal mandate.

The McCune Charitable Foundation (aka McCune Foundation). The first New Mexico-based Foundation in this analysis, the McCune Charitable Foundation is based in Santa Fe, New Mexico, and was founded by Perrine McCune in 1989. Its assets in 2014 were just over \$125 million, making it much smaller than Daniels or Kellogg, but with a specific focus on “enriching the health, education, environment, cultural and spiritual life of New Mexicans” (McCune Charitable Foundation website (<http://nmmccune.org/>), so

that the vast majority of its funds remain in the state. Education is but one of many listed areas of focus for the foundation’s giving, and a 2014 article stated that the foundation was “looking for innovative approaches to education that have been home grown in New Mexico” (Quigley, 2014, paragraph 6), as one focus of a revamped set of priorities. The foundation was led for many years by Director Owen Lopez, whose philosophy of giving he once summed up as: “...you give them money; and you shut up” (Constable, 2011, paragraph 14), which suggests a very different approach from the more hands-on approach of the Kellogg Foundation.

Looking back to Table 6, the McCune Charitable Foundation gave twice as many education grants in New Mexico in terms of sheer number (206) than any other foundation. The largest grant was a single gift to a community foundation, much like the Kellogg Foundation, with additional large grants to not-for-profits (Table 10), at a similar level to the Daniels Fund. Major recipients of McCune funds include The New Mexico Community Foundation (\$801,000), the National Dance Institute New Mexico (\$370,000), the Council for Educational Improvement (\$350,000), and Amy Biehl Charter High School (\$230,000).

Table 10

McCune Charitable Foundation Education Philanthropy by Recipient Type, 2003-2012

Recipient Type	Number of Gifts	Total All Gifts
Not-for-Profit	81	\$1,785,300
Foundation	23	\$871,000
Private School	51	\$1,086,950
Public Charter School	24	\$740,000

Recipient Type	Number of Gifts	Total All Gifts
Public School District	17	\$134,070
Public School	5	\$46,000
Government	2	\$24,000
Grand Total	203	\$4,873,320

National Dance Institute (NDI), which received \$470,000 from McCune for general operating support, as well as helping to finance their Albuquerque facility, tops this Foundation’s giving. Overall, McCune is one of the largest donors to education not-for-profits in this study. Next in terms of giving amounts, is the New Mexico Community Foundation, whose giving is discussed below. Next, the Council for Educational Improvement was another major recipient, and solely funded by McCune during the period of this study, and about which very little information exists. Finally, Amy Biehl Charter School’s funds were designated for building renovations.

The New Mexico Community Foundation. This Foundation is the only community foundation in the top-ten education funders list. As described earlier, community foundations redistribute funds received from private individuals and other foundations to recipients. In this study, community foundations are therefore in a dual role, both as funders and fund recipients. The NMCF has received significant funding from the Kellogg Foundation and the McCune Charitable Foundation. Like the McCune Charitable Foundation, its giving is limited to New Mexico only. Founded in 1983, the foundation’s website lists the following as giving priorities: rural community development, Native philanthropy and entrepreneurship, NewMexicoWomen.Org, leadership and education, and health and wellness.

Examining the database reveals the NMCF’s giving pattern. In contrast to most of the other major foundations working in the state, NMCF’s funds are awarded primarily as smaller grants, with only three recipients receiving over \$200,000. In terms of size, their 2014 990 IRS Tax form shows total assets of just over \$26 million. Table 11 shows the breakdown of giving by recipient type. Major recipients of NMCF funds from 2003-2012 include the Pueblo of Laguna Department of Education (\$1,131,586), the Albuquerque Public Schools Foundation (\$555,360), and the College Success Network of New Mexico (\$235,000).

Table 11

New Mexico Community Foundation Education Philanthropy by Recipient Type, 2003-2012

Recipient Type	Number of Gifts	Total All Gifts
Government	15	\$1,368,754
Public School District	12	\$722,360
Public School	15	\$292,000
Non Profit	3	\$235,000
Private School	9	\$189,361
Public Charter School	5	\$72,500
Foundation	1	\$16,300
Grand Total	60	\$2,896,275

In the Foundation Center database, only one grant to the Laguna Pueblo Department of Education is described and is identified as operating expenses for extended day learning direct services and direct family services. The Albuquerque Public

Schools Foundation received gifts in 2005 and 2006 to support the SPARK initiative previously discussed, which was also supported by the Kellogg Foundation. The only other large gift (over \$200,000) given by the NMCF was to the College Success Network of New Mexico.

The Walton Family Foundation. Rooted in the fortunes of Sam Walton and his big box store empire, The Walton Family Foundation is one of the largest in the U.S., with 2014 assets in excess of \$2 billion and giving exceeding \$300 million. The Foundation is crystal clear about its philosophy of giving as well, with one of their signature goals stated as: “...to infuse competitive pressure into America’s K-12 education system by increasing the quantity and quality of school choices available to parents, especially in low-income communities” (National Alliance for Public Charter Schools, 2013, paragraph 1). An analysis of their involvement with the choice movement and plans for K-12 education are further enumerated in the Foundation’s *2020 K-12 Education Strategic Plan* (Walton Family Foundation, n.d.). Their commitment to school choice is also evident in their giving between 2003-2012, with the vast majority of their New Mexico giving to public charter schools directly, as well as the New Mexico Coalition for Charter Schools.

Table 12

The Walton Family Foundation Education Philanthropy by Recipient Type, 2003-2012

Recipient Type	Number of Gifts	Total All Gifts
Public Charter School	18	\$2,889,112
Grand Total	18	\$2,889,112

As discussed previously, the Walton Family Foundation presents an example of neo-liberal, or venture philanthropy, emphasizing policy change as a primary goal of giving, and criticized by some, including Ravitch, for supporting the “privatization of public education” (Strauss, 2011). A legitimate critique of this approach is that by allowing large, private foundations to supply large amounts of money to support public schools, we disrupt the traditional funding channels, with the danger that foundations’ priorities can change and potentially leave the schools they funded high and dry. However, in terms of impact, the Walton Family Foundation approach focuses on a very specific goal, which they have consistently funded over time. Their website states that since 1997, the foundation has contributed \$385 million to the charter school movement, and that enrollment in charters has expanded by 12% per year from 2006-2013. While other foundations might focus on a particular school over many years, Walton has chosen a nationally high-profile cause and has the resources to make an impact.

In New Mexico, the Walton Family Foundation dollars have supported a few individual charter schools (Amy Biehl, Alma D’Arte, Anansi, East Mountain, Lacy Simms, North Albuquerque Cooperative Community, Sidney Gutierrez, South Valley Academy, Turquoise Trail Elementary, Walatowa) but the majority of their dollars went to the New Mexico Coalition for Charter Schools (\$1,189,700) between 2003 and 2010.

As the study will also show, charter school support is not solely the purview of conservative foundations. Charter schools can be more nimble and responsive than traditional public schools, in many cases, to the efforts that foundations wish to pursue. This makes them an attractive target for any funder who is concerned with enacting impactful giving.

J.F. Maddox Foundation. The J.F. Maddox Foundation shares with some of the other New Mexico funders a New Mexico focus, although theirs is specifically on the welfare of the inhabitants of Lea County in southeastern New Mexico. The foundation reported assets of just over \$290 million in 2014. The foundation’s assets are built on the Maddox family’s involvement in real estate and utilities, beginning in the 1930s. Table 13 presents the foundation’s giving by recipient type. It should be noted that additional large gifts of approximately \$1.5 and \$5 million were made in the years just prior to the time period covered by this study.

Table 13

J.F. Maddox Foundation Education Philanthropy by Recipient Type, 2003-2012

Recipient Type	Number of Gifts	Total All Gifts
Public School District	33	\$2,158,442
Non Profit	8	\$212,000
Public Charter School	1	\$1,000
Private School	1	\$1,000
Grand Total	43	\$2,372,442

The vast majority of the Maddox Foundation’s gifts have gone to the Hobbs Municipal School district. A published report lists the following as key Maddox successes in Hobbs: 1) A low high school dropout rate; 2) Increased rigor in high school curriculum especially in relation to high rates of AP courses taken by students; and, 3) High ranking among New Mexico school districts (Chapin Hall, 2006). A review of their website reveals that beginning in the late 1990s, a large amount of funding was directed toward curriculum related initiatives, including implementation of the Common Core

curriculum, a national initiative introduced in legislation and adopted by many states as an alternative to other standardized testing requirements. A single, large gift to implement math-related initiatives was made in 2007, revealing a spike in giving for that year (Table 14).

Table 14

Funding to Hobbs Municipal School District from J.F. Maddox by Year

Year	Amount
2003	\$10,000.00
2004	\$657,077.00
2005	\$220,183.00
2007	\$820,137.00
2008	\$111,450.00
2009	\$38,003.00
2010	\$156,186.00

Note: Also granted \$1.5 million in 2001, and \$5.3 million in 1998 to research and implement Common Core Curriculum initiative.

The Annenberg Foundation. The Annenberg Foundation has one of the best-documented, though not necessarily most successful histories of giving to education-related causes nationally. As discussed earlier, the Annenberg Challenge was a large-scale effort to introduce an innovative approach to school improvement in the early 1990s that had decidedly mixed results. In New Mexico, their giving is limited to 2 recipients: Bosque School, a private school in Albuquerque; and the National Dance Institute, also in

Albuquerque. A single \$1 million gift was made to permanently endow the NDI’s summer institute in Santa Fe.

The Malone Family Foundation. The Malone Family Foundation’s giving to New Mexico educational institutions consists of a single gift of \$2 million to Santa Fe Preparatory School for operating support.

The J. E. and L. E. Mabee Foundation, Inc. The Mabee Foundation’s giving to New Mexico educational institutions consists of 2 large gifts totaling \$1.97 million to the National Dance Institute.

This section has presented information on the top 10 foundations making contributions to New Mexico K-12 education. The table below summarizes the top 5 foundations in terms of their connection to New Mexico, as well as their key characteristics and giving focuses.

Table 15

Summary of Top 5 New Mexico Education Funders

Foundation	Connection to New Mexico	Key Characteristics and Giving Focuses
The Daniels Fund	Founder spent part of childhood in New Mexico	Founder active in Republican party and causes, New Mexico Military Institute, Charter Schools, Voucher program
The Richard and Helen DeVos Foundation	Connection to Christian Reformed Church missionary work in New Mexico	Strong personal and family ties to Republican party, giving focused on Rehoboth Private School

Foundation	Connection to New Mexico	Key Characteristics and Giving Focuses
Kellogg	Long-time commitment to state; not rooted in NM origins	Liberal, strong social justice orientation, Native American education, early childhood education, community building
McCune Foundation	Based in Santa Fe where founders lived	Giving focused on New Mexico, many small grants as opposed to large ones, low profile outside New Mexico
The New Mexico Community Foundation	Specifically set up to support New Mexico Organizations	Giving focused on New Mexico

Important funders not in my database. As stated in the methods section, the database of funders identified for this study is not perfect. The necessity to restrict my sample to school-focused funding, and other data-related issues mean that some large education funders are not present in this database. The Thornburg Foundation, Los Alamos Foundation, Robert Wood Johnson Foundation and Atlantic Philanthropies have made significant monetary contributions to education-related issues and their absence from this study should not diminish their efforts.

Funders absent by choice. To close this section on the foundations that have been active in funding New Mexico schools over the past decade, it is also worthwhile to

consider those that have not. Aside from issues related to the database used to do this analysis, there are major foundations that have been extremely active on the national education reform scene, that are nearly or completely absent in New Mexico. The Bill and Melinda Gates Foundation made a single gift of \$500,000 in 2010 to implement Common Core standards but none to public education since that time. The Edith and Eli Broad Foundation has granted over \$500 million to education reform issues since 1999, but none to New Mexico.

Reform-minded funders such as Gates and Broad wish to be strategic in their giving. It is possible that New Mexico's ongoing failure to adequately support public education at the state level signals infertile ground in which to plant the seeds of education reform (Bradley, 2014). Another challenge to foundations wishing to effect education reforms may be that fact that New Mexico's education system is primarily funded at the state as opposed to the local level (Bradley, 2014); this centralization may make it more difficult for foundations to influence the activities of schools. Finally, signature reform efforts, such as charter schools, are offered less flexibility in New Mexico than other states in terms of funding models. By law, New Mexico prohibits for-profit management companies from running charter schools (NMSA 1978 22-8B-4R). This may discourage some foundations that would like to support this model of charter school activity. New Mexico is perceived by some as a state having economic policies hostile to business; this may negatively influence conservative foundations that identify with more hospitable financial climates (Gessing, 2016).

The Recipients. I will now turn my focus from the foundations to the recipients of education philanthropy in New Mexico. A simple review of the data reveals that

among the top 10 recipients of education philanthropy are Rehoboth Christian School, New Mexico Military Institute, National Dance Institute, the New Mexico Community Foundation and Santa Fe Preparatory School. Rehoboth and NMMI, both of which received huge grants from a single funding source (Richard and Helen DeVos Foundation and Daniels Fund, respectively) and Santa Fe Preparatory School, are all private schools. While I believe it is worthwhile to examine the volume of gifts to private schools, because they receive their funding almost exclusively from donations, they have completely different needs. Because they are private, alignment with a single funder or funding philosophy does not have the same implications as for those institutions that operate in the public realm.

For this reason, I will focus on the other recipient categories for this discussion. Likewise, community foundations, which redistribute foundation funds, will be excluded from this portion of the analysis. When the sample is parsed in this way, the top funded education organizations include those shown in Table 16. This table also attempts to make a rough calculation of the foundation dollars per student. This calculation uses the most recent count available (2015 school year for most public schools), but this figure is difficult to calculate for other organizations that do not report demographics on a stable school population. Appendix A provides detailed information for each.

Table 16

Top 10 Recipients of Education-focused Philanthropy in New Mexico from 2003-2012, Excluding Private Schools and Community Foundations, with Approximate Funding per Student

Organization	Total Gift Amount	Approximate \$ per Student***
1. National Dance Institute New Mexico	\$9,958,939	\$104.83 ¹
2. Albuquerque Public Schools*	\$3,670,870	\$4.32 ²
3. Santa Fe Indian School	\$2,223,305	\$317.62 ³
4. Hobbs Municipal Schools	\$2,053,036	\$2.28 ⁴
5. NM Coalition for Charter Schools	\$1,689,700	\$30.17 ⁵
6. Native American Community Academy	\$1,675,900	\$442.19 ⁶
7. Pueblo of Laguna Dept. of Education	\$1,171,586	\$442.11 ⁷
8. Farmington Municipal Schools	\$860,157	\$8.61 ⁸
9. Las Cruces Public Schools**	\$924,814	\$3.76 ⁹
10. NM Public Education Department	\$810,000	\$.02 ¹⁰
Grand Total	\$24,943,932	

*includes donations to the APS Foundation

**includes donations to the Las Cruces Public Schools Foundation

***See Appendix A for details on this calculation

National Dance Institute. The National Dance Institute (NDI) dominates the not-for-profit category, obtaining by far the largest amount of funding from a large number of individual foundations. NDI was founded in New York City in 1976 and provides arts education for children, specifically focused on underserved populations. According to the organization’s website it is “a collective of arts education programs inspired by NDI’s

pedagogy,” and has spawned programs, such as the one in New Mexico, across the country. Though not physically located within public schools, NDI partners with public schools and “provides dance classes as part of each school’s curriculum for students ages five to thirteen” (NDI website, <https://www.ndi-nm.org/>). NDI, then, fulfills a role in public schools that is not being met by the public sector, by providing an arts curriculum that would not otherwise exist. NDI’s primary benefactors include the J.E. and L.E. Mabee, Kresge, Annenberg and Delle Foundations, each of which contributed over \$1 million during the study period with Mabee contributions close to \$2 million. It is worthwhile to note that in the database used for this study, there are 16 foundations that gave NDI \$100,000 or more; and a total of over 150 individual foundations that contributed. Dollars received supported capital campaigns (e.g., construction of Albuquerque facility), general operating expenses, special programs, and others. The largest gifts, each over \$1 million, supported “facility investment and building reserves,” “building renovations,” and “permanent [endowment of] the Santa Fe summer institute” (from Foundation Center database).

Table 17

Top 10 National Dance Institute Funding Foundations

Foundation	Number of Gifts	Total All Gifts
The J. E. and L. E. Mabee Foundation, Inc.	2	\$1,974,400
The Kresge Foundation	2	\$1,048,000
Annenberg Foundation	2	\$1,025,000
The Delle Foundation	4	\$1,010,300
Eugene V. & Clare E. Thaw Charitable	11	\$817,600

Foundation	Number of Gifts	Total All Gifts
Trust		
Louisa Stude Sarofim Foundation	2	\$600,000
Thornburg Foundation	2	\$500,000
McCune Charitable Foundation	9	\$370,000
The Educational Foundation of America	4	\$325,000
Valerie & Charles Diker Fund, Inc.	8	\$253,425
Total from Top 10 Foundations		\$7,923,725

Overall, arts-related education in the not-for-profit sector received close to \$11 million, with two of the top five recipients of donations to educational not-for-profits in the arts category (NDI and Fine Arts for Children and Teens). Per pupil funding for NDI is difficult to calculate, as the organization serves students both at its facilities and in the public schools through curriculum outreach.

Albuquerque Public Schools (APS) and APS Foundation. APS and its foundation are next on the list, making APS the public institution receiving the greatest amount of foundation dollars in New Mexico. APS is the largest public school district in New Mexico, serving 85,000 New Mexico children and their families in 2016. APS and its foundation received over \$3 million from foundations during the period of this study. The top 10 funders are shown in Table 18. It should be mentioned that, like NDI, there were over 150 individual funding foundations listed in the database.

Table 18

Top 10 Albuquerque Public Schools Funding Foundations

Foundation	Number of Gifts	Total All Gifts
W. K. Kellogg Foundation	1	\$800,000
The Atlantic Philanthropies	1	\$600,000
The New Mexico Community Foundation	6	\$555,360
Bill & Melinda Gates Foundation	1	\$500,000
General Mills Foundation	9	\$210,000
Century Link-Clarke M. Williams Foundation	6	\$206,000
GE Foundation	2	\$202,000
The Wal-Mart Foundation, Inc.	2	\$123,050
Wells Fargo Foundation	10	\$117,000
Daniels Fund	6	\$108,000
Total from Top 10 Foundations		\$3,421,410

The three largest gifts to APS were the \$800,000 gift from the Kellogg Foundation, given “To improve early education, birth to age 8, with a focus on civic engagement within four targeted neighborhoods by increasing family engagement as it relates to the child's academic growth and development” (comment directly from Foundation Center Database, 2012). The Atlantic Philanthropies \$600,000 gift was to support School Based Health Centers and children’s health insurance enrollment. The Bill & Melinda Gates Foundation made a single gift of \$500,000 in 2010 to “To develop implementation plan for Common Core State Standards” (Foundation Center Database).

The Gates Foundation is widely known for their efforts to reform public school systems nationally; this is their single gift to New Mexico education. The New Mexico Community Foundation made two large grants to APS to support the SPARK initiative. Other foundations listed in Table 18 made a large number of small gifts.

Private foundation giving to APS and other public education entities is where some of the greatest potential for examining the tension inherent in education philanthropy exists. Unlike private schools or not-for-profit entities, public education institutions do not rely on private philanthropy for their budgets. So why is it that foundations would support public education, since their giving to these organizations is dwarfed by the monies they receive from the state? Per pupil funding by foundations for APS comes to \$4.32, though it is important to remember that it may not have been the specific goal of funding to reach every student.

Santa Fe Indian School. Santa Fe Indian School inhabits a unique administrative terrain in the landscape of K-12 education. Its roots lie in the Indian boarding schools established by white Americans in the nineteenth century to assimilate Native American children. However, evolving public sentiment about the appropriateness of this kind of approach to education has resulted in a reformation effort leading to the current status of SFIS as an autonomous entity. It is not a private school, but rather it is governed by the All Indian Pueblo Council, and was brought into being as a direct result of passage of the New Mexico Indian Education Act. The school's website states:

The Ideal Graduate will understand the issues facing tribes in the Southwest and will be committed to maintaining Native American cultural values. They will participate in the culture of their

communities, and will have the skills to pursue the education or careers that will benefit them, their families, and their people.

These skills include: Creative problem solving, using the analysis of complex problems, the synthesis of collected data, and the communication of clear solutions; critical, confident, independent and interdependent, life-long learning; Working productively with all types of people and making good choices.

(http://www.sfis.k12.nm.us/about_sfis)

Table 19 shows the top 10 foundation funders of Santa Fe Indian School as reported in the Foundation Center database used for this study.

Table 19

Top 10 Santa Fe Indian School Funding Institutions

Foundation	Number of Gifts	Total All Gifts
W. K. Kellogg Foundation	4	\$1,335,762
Intel Foundation	6	\$317,818
Lannan Foundation	11	\$287,500
Marguerite Casey Foundation	1	\$150,000
The Christensen Fund	1	\$100,000
First Nations Development Institute	2	\$17,875
Kalliopeia Foundation	1	\$7,500
Chamiza Foundation	1	\$4,250
PNM Resources Foundation, Inc.	1	\$2,600
Total from Top 10 Foundations		\$2,223,305

Clearly, the single largest SFIS private foundation benefactor is the Kellogg Foundation that made four large gifts totaling over \$1 million dollars during the period of the study. The Foundation Center Database reveals that these gifts were made in three main areas including faculty/staff development, community development, and community engagement. Intel Foundation made five separate gifts, all of which are identified with the same purpose: “For Community-Based Education Model (CBEM) that engages students in real work on the Pueblos in areas of math, science, government, communications, and technology” (Foundation Center Database). The Lannan Foundation’s gifts focused on supporting materials for an SFIS library. The Marguerite Casey Foundation’s single, large gift mirrors the intent of some of the Kellogg Foundation gifts, focusing on developing Native American leaders who can engage in “policy advocacy.” Per pupil funding for SFIS is \$317.62; a large number by comparison to many other institutions in this study.

Hobbs Municipal Schools. Joining APS as a public school district receiving significant funding from private foundations, Hobbs Municipal Schools is unique in that its primary relationship is with a single foundation: The J.F. Maddox Foundation. As such, the discussion presented earlier in relation to J.F. Maddox summarizes the information about the grants made to Hobbs. The single other large gift to Hobbs came from the Daniels Fund to support a capital campaign for an early college high school. Hobbs tops the public education institutions for per/pupil funding with \$22.80.

Table 20

Top Funders of Hobbs Municipal Schools, 2003-2012

Foundation	Number of Gifts	Total All Gifts
Daniels Fund	1	\$40,000
J. F Maddox Foundation	28	\$2,013,036
Grand Total from Top 10 Funders		\$2,053,036

New Mexico Coalition for Charter Schools. The New Mexico Coalition for Charter Schools is a not-for-profit corporation that serves the charter schools of New Mexico. It represents the culmination of organizational efforts that had failed previously, and has been successful in pushing for charter school-related legislation in New Mexico. Similar to other foundation fund recipients, the NMCCS has received most of its funding from a small number of foundations, shown in Table 21.

Table 21

Top Funders of the New Mexico Coalition for Charter Schools

Foundation	Number of Gifts	Total All Gifts
Walton Family Foundation, Inc.	7	\$1,189,700
Daniels Fund	6	\$405,000
McCune Charitable Foundation	6	\$95,000
Grand Total from Top 10 Funders		\$1,689,700

The Foundation Center Database does not give information on specific projects funded by the Walton Family Foundation, however, given the foundation's nationwide support of charter schools, and their general approach, it is likely that they were

providing ongoing, general support. The Daniels Fund funds two individual charter schools, as well as funding for a certification and accreditation program, leadership academies, and a performance management initiative. McCune provided support for funding a certified membership program, an effort to educate the public and policymakers on charter schools, a project to develop standards for charter schools in New Mexico, and performance management programs.

Native American Community Academy. NACA is a public charter school in Albuquerque serving students grades 6-12. In the current study database and timeframe, NACA has received three grants totaling \$1,675,900 from the Kellogg Foundation. The stated purpose of these grants as reported in the Foundation Center Database include: 1) To expand innovative community-based education models serving Native American children and youth in New Mexico by documenting and replicating the process for community-based school design, development, and implementation (\$495,000); 2) To increase the number of Native American K-12 educators who are trained in the Community Led Schools Model and Indigenous Education in New Mexico (\$250,000); and 3) To recruit and develop teacher and public staff leadership to support a statewide initiative to create Indigenous Education Network, and strengthen the relationships between school district and tribal leadership (\$930,000).

Pueblo of Laguna Department of Education. The Pueblo of Laguna Department of Education grew out of Pueblo efforts to achieve sovereignty over their educational system and oversees Pre-K, elementary, middle and high schools and related programs. It functions much as other educational administrative entities, with a mission to “improve and strengthen academic achievement by creating a disciplined, healthy and safe

environment that is conducive to learning” (http://www.lagunaed.net/about_us).

Foundation gifts to Laguna are dominated by the New Mexico Community Foundation, and also include the Andrea Waitt Carlton Foundation and Daniels Fund (Table 22).

Table 22

Top Funders of Pueblo of Laguna Department of Education, 2003-2012

Foundation	Number of Gifts	Total All Gifts
The New Mexico Community Foundation	10	\$1,131,586
Andrea Waitt Carlton Family Foundation	1	\$25,000
Daniels Fund	1	\$15,000
Grand Total from Top Ten Funders		\$1,171,586

Laguna Elementary School is a SPARK site, a program striving to strengthen ties between early childhood and elementary programs, largely funded by the Kellogg Foundation. They do not appear as a funder in the table because the New Mexico Community Foundation redistributed funds to Laguna and other SPARK sites.

Las Cruces Public Schools. LCPS received the third highest amount of foundation dollars to public school districts after APS and Hobbs. While giving is dominated by two foundations: the Kellogg Foundation and the Paso del Norte Health Foundation, LCPS exhibits a more diversified pattern of funders than other recipients in the top ten. Similar to other funding recipients, the Kellogg Foundation tops the list of funders with the largest gift to LCPS, in this instance they donated \$500,000 to develop an early college high school in Las Cruces. Dona Ana County, where Las Cruces is located, is an area of focus for the Kellogg Foundation in New Mexico. The Paso del Norte Health Foundation is the second largest giver, supporting programs focusing on

initiatives related to health, sexual health, and “improving school climate” (Foundation Center database). Paso del Norte focuses its giving on the U.S./Mexico border region and works at the intersection of health and education.

Table 23

Top Funders of Pueblo of Las Cruces Public Schools, 2003-2012

Foundation	Number of Gifts	Total All Gifts
W. K. Kellogg Foundation	1	\$500,000
Paso del Norte Health Foundation	17	\$315,439
The Comcast Foundation	5	\$85,775
The Medtronic Foundation	1	\$15,000
McCune Charitable Foundation	1	\$6,000
Wells Fargo Foundation	1	\$1,600
The UPS Foundation	1	\$1,000
Grand Total From Top Ten Funders		\$924,814

Farmington Municipal Schools. Located in the northwest part of the state near the Navajo Nation, the district received a total of \$860,157 from the Kellogg Foundation for program development. The Foundation Center database identifies the programs as having the following goals: 1) To ensure teachers utilize behavior modifications strategies that will increase student engagement and academic achievement, and 2) To expand evidence-based parent education and family support programs targeting vulnerable families in select New Mexico neighborhoods to promote parental knowledge of child development needs and parental advocacy skills. In addition to Kellogg Foundation funds received during the period of this study, Farmington Municipal Schools

received an addition \$500,000 in 2014 to support early reading initiatives by giving special training to teachers.

New Mexico Public Education Department. Rounding out the top 10 recipients of education philanthropy in New Mexico during the study period, the New Mexico Public Education Department received just over \$800,000 during the study period (Table 24). According to the Foundation Center Database, projects funded include support for implementing the Statewide After School Network (\$250K), implementing Common Core Standards (\$350K) and expanding efforts in rural elementary schools (\$10K).

Table 24

Top Funders of NMPED, 2003-2012

Foundation	Number of Gifts	Total All Gifts
Charles Stewart Mott Foundation	2	\$450,000
William K. Kellogg Foundation	1	\$350,000
McCune Charitable Foundation	1	\$10,000
Grand Total Top Ten Funders		\$810,000

Question 2: What are they funding?

This leads to a question about how the top ten funded institutions fit with some of the major themes of education philanthropy I discussed previously. Obviously, the funding that corresponds to each of these themes is not mutually exclusive. There may be funds to not-for-profit educational services that focus on students from a particular culture. The common threads that weave through all the themes will be part of the focus of this section.

Not-for-Profit Educational Institutions and Services. A number of the high dollar not-for-profit educational recipients fall into a category of educational helpers, or organizations working directly with public schools and districts to ostensibly fill gaps in the education system that are not being publicly funded. Overall, not-for-profit organizations received \$16.6 million dollars during the period of this study, leading all categories of recipients, dominated by the National Dance Institute.

Receiving the third most contributions during the study period (\$688,731), Santa Fe Partners in Education can be classified as an educational helper organization. Closely allied with the Santa Fe Public Schools, this organization supports specific, school-focused activities and other initiatives including field trips, awards for teachers, and materials and supplies grants for teachers, in effect, supplementing the support that teachers receive from traditional sources. They also partner with for-profit entities, such as Sylvan Learning Center, for funding and services.

Due to its high profile nationally in recent years, a brief review of Teach for America (TFA) in New Mexico is warranted. Between 2003 and 2012, Teach for America received \$648,000 in contributions, making it sixth overall in the not-for-profit education sector. What is not reflected in the database, however, is the \$800,000 made available to the organization through the Indian Education Act. TFA supplies young teacher recruits with a short training period (five weeks) and sends them into schools in poor and rural areas to help support education. Critics (M.S.L.J., 2013) have observed that this approach can displace others who would teach in these schools, and that the recruits may not remain in the teaching profession, nor in the community where they are

working. The largest amount to New Mexico TFA was from the Daniels Fund, consisting of five grants worth \$450,000.

The other not-for-profit education services organization in the top 10 is a now defunct program that was largely funded by the Daniels Fund, and though it is difficult to find information about it, it appears to have been a voucher-type program providing support for “children to attend the private school of their choice” (Daniels Fund website <http://www.danielsfund.org/Impact-Map/Grants-Story-Detail.asp?GrantID=4358>).

Culturally-Targeted Giving. I define culturally-targeted giving as education funding concentrated upon a particular cultural group in New Mexico. Many foundations include in their mission support for education in underserved and traditionally disadvantaged communities. New Mexico has large Hispanic and Native American populations, whose 4th grade reading and 8th grade math proficiency levels (common education indicators) persistently lag behind those of their white counterparts (Figures 3 and 4).

New Mexico

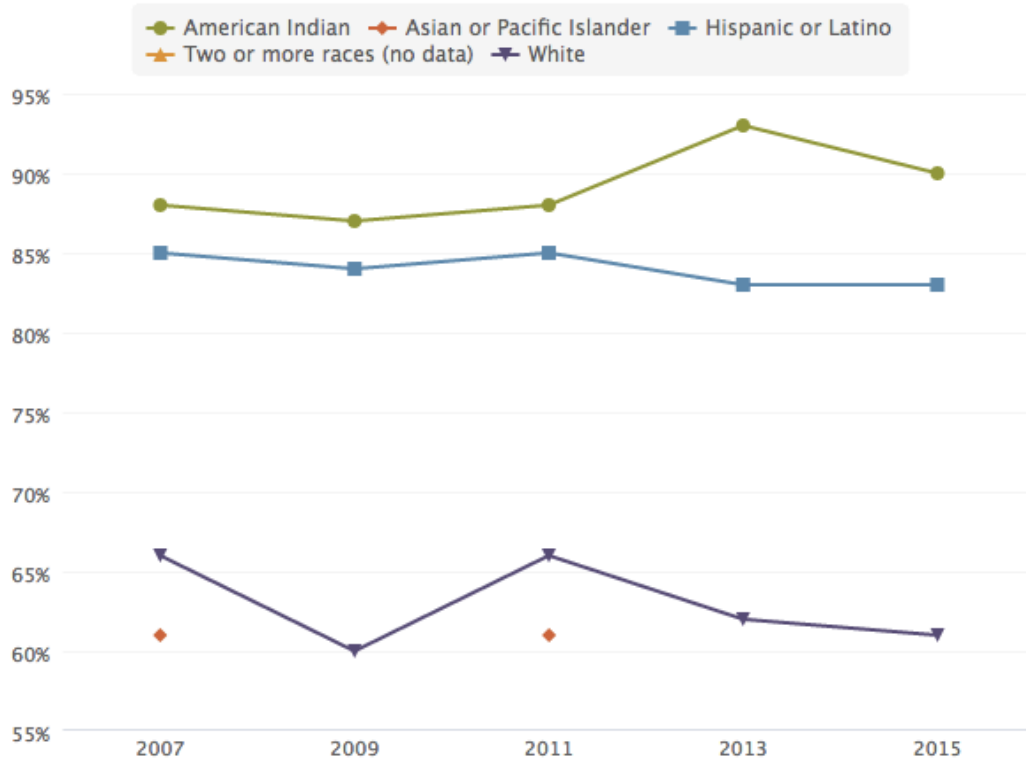


Figure 3. 4th Graders Who Scored Below Proficient Reading Level by Race (graph and data from KidsCount Data Center website, <http://datacenter.kidscount.org/data/line/5126-fourth-graders-who-scored-below-proficient-reading-level-by-race?loc=33&loct=2#2/33/false/573,36,867,38,18/asc/10,168,12,185,107/11557>).

New Mexico

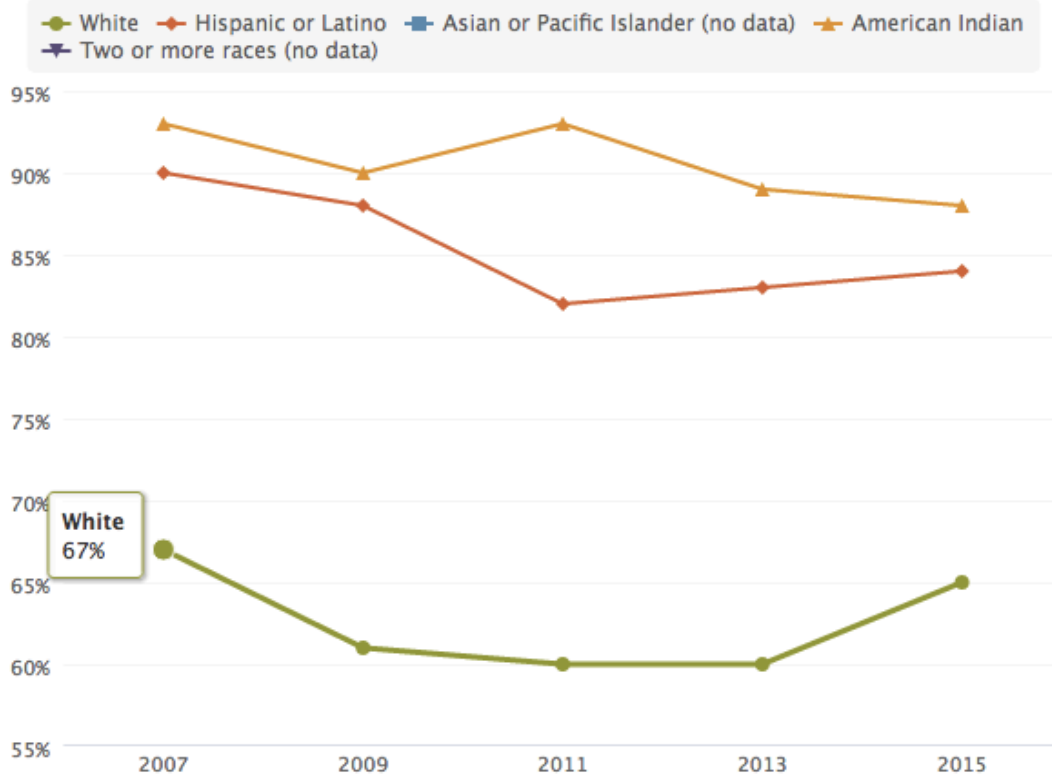


Figure 4. 8th Graders Who Scored Below Proficient Math Level by Race (graph and data from KidsCount Data Center website, <http://datacenter.kidscount.org/data/line/7665-eighth-graders-who-scored-below-proficient-math-achievement-level-by-race?loc=33&loct=2#2/33/false/573,36,867,38,18/asc/107,12,168,10,185/14819>)

Legislatively, the Indian Education Act of 2003 and the Hispanic Education Act of 2010 encode the value that the citizens of New Mexico put on supporting education efforts within these communities. Both provide mechanisms for funding education initiatives in these communities. In addition to legislative channels, based on funding amounts, private philanthropy has also prioritized educating marginalized New Mexico communities. Three of the top seven recipients of education philanthropy in the state are specifically Native American, including Santa Fe Indian School, the Native American

Community Academy, and the Pueblo of Laguna Department of Education. If we put private schools back into the mix, the number one overall recipient of philanthropic funds in New Mexico between 2003 and 2012 is Rehoboth School, a traditionally Native American private Christian school in Rehoboth, New Mexico that received just under \$16 million. Table 25 shows the breakdown of giving to Native American educational institutions by type.

Table 25

Giving to Native American Education by Recipient Type

Recipient Category	Total Number of Gifts	Total Amount All Gifts
Private School	119	\$19,638,402
Public School	28	\$2,223,305
Public Charter School	10	\$2,017,300
Government	17	\$1,294,586
Non Profit	72	\$907,500
Public School District	3	\$233,250
Foundation	9	\$117,100
Grand Total	258	\$26,431,443

Mirroring education philanthropy in general, Native American *private* schools dwarf the other recipient categories in number of gifts and total dollars. As presented above, the Rehoboth School in particular, and Zuni Mission School to a lesser extent, benefit from the largesse of the Richard and Helen DeVos Foundation, with which they have a long-term relationship. To be clear, the Rehoboth School is not exclusively but primarily Native American (70% of students). A closer examination of the network of

fundes of Rehoboth and Zuni reveal a strong connection between the Schools and the Dutch Reformed Church, a connection rooted in the historical ties between the Church and Native American education and health.

Education Policy Themes and Philanthropic Support

If we view each of the laws, policy recommendations, and other documents presented in Chapter 1 as attempts to reform New Mexico education, several themes emerge. These themes provide scaffolding on which to build a meaningful classification of New Mexico education philanthropy. By using the same themes to categorize the grants made to New Mexico educational institutions, these themes can also be used as a lens to examine the funding priorities of philanthropies. By classifying both of these elements, it will be possible to start to examine shared priorities between philanthropic organizations and New Mexico educational institutions. This will be a preliminary step in assessing alignment of state and philanthropic goals. To start, I categorize the policies, laws and reports presented in Chapter 2 with the overarching themes. Table 26 summarizes the themes, legislation, recipients, and donors. I will follow Table 26 with an examination of each theme.

Table 26

State Education Goals and Education Philanthropy

NEW MEXICO EDUCATION GOAL (SELECT RELATED LEGISLATION)	MAJOR FOUNDATION GIFT RECIPIENTS	MAJOR FOUNDATION DONORS
Theme 1: Ensure Equal Opportunity for All Students (Indian Education and Hispanic Education Acts; Tribal Dual Credit Act;)	<ul style="list-style-type: none"> • Native American Community Academy • Santa Fe Indian School 	<ul style="list-style-type: none"> • W. K. Kellogg • Intel • Lannan • Marguerite Casey • Christensen Fund

NEW MEXICO EDUCATION GOAL (SELECT RELATED LEGISLATION)	MAJOR FOUNDATION GIFT RECIPIENTS	MAJOR FOUNDATION DONORS
	<ul style="list-style-type: none"> • Pueblo of Laguna Department of Education • Rehoboth Christian 	<ul style="list-style-type: none"> • DeVos
<p>Theme 2: Enhance School Rigor (Public School Reform Act, Adoption of Common Core Standards; A-F School Grading; College/Workforce Readiness HS Redesign Task Force; Cyber Academy Act)</p>	<ul style="list-style-type: none"> • APS • Hobbs Municipal Schools • NMPED 	<ul style="list-style-type: none"> • WK Kellogg • Gates • J.F. Maddox
<p>Theme 3: Enrich Curriculum (Fine Arts Education Act; NM School for the Arts;)</p>	<ul style="list-style-type: none"> • National Dance Institute • NMPED • APS 	<ul style="list-style-type: none"> • J.E. and L.E. Mabee • Kresge • Annenberg • Delle
<p>Theme 4: Redesign School Finance (NM Funding Formula Task Force)</p>	NA	NA
<p>Theme 5: Provide More School Choice (Charter Schools Act; Charter Schools Bill)</p>	<ul style="list-style-type: none"> • New Mexico Coalition for Charter Schools • New Mexico Charter Schools • Educate New Mexico 	<ul style="list-style-type: none"> • Walton Family Foundation • Daniels Fund
<p>Theme 6: Strengthen Early Childhood/Pre-K/K-12/Higher Ed/Community Relations (Dual Credit Act, Pre-Kindergarten Act, P20 Education Data</p>	<ul style="list-style-type: none"> • NM SPARK 	<ul style="list-style-type: none"> • NM Community Foundation

Theme 7: Increase Use of and Access to Technology (Cyber Academy Act)	• IDEAL-NM	NA
Theme 8: Strengthen the Quality of Teachers and Administrators (Principals Pursuing Excellence, Teachers Pursuing Excellence)	• ACE Charter • Native American Community Academy • National Dance Institute	• Daniels Fund • McCune • Kellogg • Thaw Trust
Theme 9: Improve Educational Governance	• Not identified	

Theme 1: Ensure Equal Opportunity for All Students. In New Mexico, Hispanic and Native American student groups have had persistently lower education outcomes than their white, non-Hispanic counterparts (see Figures 3 and 4), resulting in efforts to redress this situation with a variety of efforts. These efforts have included creating entirely separate school systems (e.g., BIE); establishing culturally-specific private schools (Santa Fe Indian School) and public charter schools (Native American Charter Academy); and focusing scholarship support on students in particular groups. As I discussed earlier, legislative efforts in New Mexico have included the Indian and Hispanic Education Acts, both supported with funding.

Private philanthropy has also been an important part of this story in New Mexico, with significant funds from foundations across the political spectrum devoted to these efforts. There is little evidence of philanthropic synergy in this area, with some of the largest funders adopting radically different approaches to solving the pernicious problem of education gaps. This is embodied by the efforts of the Kellogg Foundation, with their focus on communities and a range of approaches, vs. the DeVos Foundation, with a singular focus on a single, private school for mainly Native American students.

However, both DeVos and Kellogg use an approach characterized by long-term commitment. The Richard and Helen DeVos Foundation have worked in the Rehoboth community for at least a decade; in 2006 a large gift to the school supported the construction of a sports facility (Rehoboth Christian School, 2006). The Kellogg Foundation has made a long-term commitment to communities in northern (Navajo, Pueblo Indians) and southern (Hispanic) New Mexico, working within the communities with community representatives (<https://www.wkkf.org/what-we-do/new-mexico>).

Controversy can also hound efforts in this area, which typically feature an outside entity (culturally, racially, geographically) working with extremely insular populations. The United States Government's early efforts to education Native American children were focused on assimilation in Bureau of Indian Education schools, with a goal to "Kill the Indian in him, and save the man," as stated in an 1892 speech by Capt. Henry Pratt, founder of the Carlisle Industrial Indian School in Pennsylvania (History Matters website, <http://historymatters.gmu.edu/d/4929/>). Even recent efforts such as Teach for America have been unable to avoid controversy in their work in Native American schools, becoming the target of a lawsuit related to improper uses of funds in the Gallup Public Schools (Cody, 2013).

Theme 2: Enhance School Rigor. This theme is characterized by aggressive legislation and reform efforts with a message of "accountability," and emphasis on measureable results and consequences. National efforts to reform education via direct intervention in schools include the well-publicized, controversial work of Michelle Rhee and former Mayor Adrian Fenty in Washington, D.C., which resulted in "underperforming" school closures (Risen, 2008). While some praised Rhee's laser

focus on holding schools and teachers accountable for success, others criticized her choice of metrics, strongly emphasizing standardized testing (Risen, 2008). Research (Burdick-Will, Keels, & Schuble, 2013) on school closures has identified that this approach may not be as successful as reported in some cases. For example, in Chicago, data purported to support the success of a charter that replaced a closed traditional school was confounded with low enrollment numbers (Burdick-Will, Keels, & Schuble, 2013).

The Public School Reform Act (2003) and A-F School Grading System are New Mexico parallels to the national school closure approach. Legislated as the A-B-C-D-F-Schools Grading Act of 2011 and implemented by the New Mexico Public Education Department, this law relies upon a complex formula to grade schools, with heavy reliance on standardized tests as a metric. Also mirroring the national situation, the law has been controversial, with some critics going so far as to file a lawsuit charging educational deprivation for underserved populations (Ujifusa, 2014).

Another New Mexico legislative mandate related to rigor enhancement is the adoption of the national Common Core Standards in 2010. The goal of the national Common Core is to provide a standardized benchmark for K-12 English language arts and mathematics outcomes at the end of each grade. The exams associated with Common Core are the awkwardly named Partnership for Assessment of Readiness for College and Careers (PARCC) tests. These tests set a high bar for New Mexico, which is one of only 11 states that has chosen to stick with their commitment to use them for student assessment, rather than phasing them in gradually (Monahan, 2015).

Philanthropically, there is no evidence that the Reform Act or A-F grading system has received any attention. However, New Mexico has received large grants from major

philanthropic players including the Bill and Melinda Gates Foundation, the J.F. Maddox Foundation and the Kellogg Foundation to support implementation of the Common Core standards. The Gates Foundation made nationwide gifts of billions of dollars to support the Common Core implementation, including a single \$500,000 grant to the New Mexico Public Education Department in 2010 (Foundation Center database, 2012). Kellogg's 2011 \$350,000 gift was made to New Mexico PED to support statewide implementation efforts. The Maddox Foundation has been a longstanding supporter of a trademarked curriculum called Core Knowledge (http://www.coreknowledge.org/mimik/mimik_live_data/view.php?id=1833&record_id=255), which has evolved to support the Common Core standards. They have focused implementation efforts on a single, public school district in Hobbs, New Mexico, where they focus their work in general.

Theme 3: Enrich Curriculum. One of the primary curriculum enrichment strategies in the state has been the addition of arts education in the public schools. Though excluded from formal standardized assessments such as the PARCC exam, New Mexico has legislatively recognized the importance of fine arts education, primarily via the Fine Arts Education Act of 2003 and legislation supporting creation of the New Mexico School of the Arts (2008). In fiscal year 2014-2015, \$33 million was allocated to New Mexico public schools to support fine arts education, including visual arts, music, theatre and dance (New Mexico Public Education Department, 2015). The New Mexico School for the Arts in Santa Fe is a public charter school that opened in 2010 with 138 students. It receives its funding from the state education budget as would any other public school.

Arts education is also a high philanthropic priority in the state, receiving close to \$12 million in foundation dollars over the period of this study. Contributions to the National Dance Institute (almost \$10 million) dominate this category. Other foundation-supported arts education organizations include Fine Arts for Children and Teens, and Art in the Schools.

Theme 4: Redesign School Finance. Legislation related to this effort includes the Constitutional Amendment on Land Grant Permanent Fund and the New Mexico Funding Formula Study Task Force. I could not find any evidence of philanthropic support for these efforts.

Theme 5: Provide More School Choice. Regardless of whether it is described as *neoliberal*, *philanthrocapitalist*, *venture philanthropic*, or some other descriptor, certain approaches to philanthropy and particular causes are strongly identified with a conservative political agenda. School choice has become a controversial and politically charged topic in the United States (Chen, 2017), and tends to be associated with more conservative organizations and voters. The conservative Philanthropy Roundtable includes advice to education funders including: 1) “Leverage charter schools as the leading edge of human capital reform”; 2) Identify and support promising charter leaders from minority communities; 3) Ensure equal access for charter schools in the pre-K sector; 4) Research the charter school sector’s ‘known-unknowns,’ and 5) Identify and cultivate a pool of charter-friendly policy leaders” (Kowal, Hassel, & Crittenden, 2009, pp. 105-112).

Charters are also strongly identified with education reform; for example, the New Mexico Coalition for Charter Schools website states: “Today, public charter schools are

seen as an innovative part of the state’s public education system; more important they act as the vehicle of reform for the traditional ‘one size fits all’ model of education” (<http://nmccs.org/about/>). Funding related to school choice in New Mexico includes support for public charter schools, and support for scholarships for students to attend private schools (vouchers). Charter schools operate according to state mandates governing finances, assessment reporting, etc., and New Mexico state law prohibits Educational Management Organizations and other for-profit entities, from operating public charter schools.

Theme 6: Strengthen Early Childhood and K-12 Relations/Higher Ed/Community Relations. The essence of this theme is the desire to promote ties between early childhood education, K-12 and higher education schools and communities, recognizing the importance of creating a scaffolding of support around educational institutions and creating seamless pathways for students to move from K-12 to higher education. Legislation in this category includes the Pre-kindergarten Act, the College/Workplace Readiness and High School Redesign Taskforce, the P-20 Data System and the Dual Credit and Tribal Dual Credit Acts.

The major area where philanthropies have provided support in relation to this theme is in the preparation of young children for their future education. To this end, the Kellogg Foundation created the national “Supporting Partnerships to Assure Ready Kids” (SPARK) initiative around 2003. The Kellogg Foundation provided a grant of \$4,000,000 in 2003 to the New Mexico Community Foundation, “To improve outcomes through strengthening partnerships and efforts to align early learning resources, services, practices, and policies” (Foundation Center database, 2012). The Daniels Fund followed

up with grants of \$375,000 in 2004, \$100,000 in 2005 and \$75,000 in 2006. The San Juan County Partnership received approximately \$80,000 for their SPARK site in 2006 and Laguna Pueblo has received over \$150,000 for theirs. The Albuquerque Public Schools Foundation received around \$130,000 in 2005 and \$135,000 in 2006. There is likely some duplication of total funding, since some of the money went to the New Mexico Community Foundation, which then made SPARK grants to grantees.

Theme 7: Increase the Use of and Access to Technology. The Cyber Academy Act of 2008 focused on online delivery of courses to New Mexico students. It has been supported with significant state funding of over \$6 million. The New Mexico State Educational Technology Plan lays out the strategies that will be used to achieve a collection of goals related to technology in classrooms, as well as describing alignment with related efforts including the Governor’s Broadband for Education initiative and Alliance for Excellent Education’s Future Schools Initiative (State of New Mexico, 2016). In 2010, over \$5 million were made available to support New Mexico education technology as part of funds received as part of the American Recovery and Reinvestment Act of 2009.

Theme 8: Strengthen the Quality of Teachers and Administrators. Some education reform efforts have focused on improving the quality of school faculty and staff. New Mexico’s Public School Reform Act (House Bill 212, 2003) and Effective Teacher Task Force exemplify legislative efforts in this vein. Implementation of the Public School Reform Act (House Bill 212, 2003), which “instituted a performance-and-incentive-based program to retain higher quality teachers” (Winograd, 2009: no page), and later, administrators and principals, was supported by the Wallace Foundation. The

Effective Teacher Task Force’s recommendations resulted in the 5-tier teacher evaluation system, among other things (New Mexico Effective Teacher Task Force, 2011). The Kellogg Foundation has also supported efforts along these lines, focusing on strengthening the skills of Native American educators.

Theme 9: Improve Educational Governance

In 2003, New Mexico passed a constitutional amendment (New Mexico Public Education Act, 2003) related to school board governance, replacing the state board of education with a public education department, headed by a cabinet-level secretary. No philanthropic efforts associated with this theme were identified during the study timeframe.

Funding Networks in New Mexico Education Philanthropy

As discussed previously, some researchers have focused on the presence and potential impact of foundation-based funding networks (e.g., Reckhow, 2014; Ball & Juneman, 2011). A funding network would consist of groups of common funders focusing their donations on the same grantees or issues, especially, but not always, to influence public policy in a desired direction, with a potential concern being that they are acting as “shadow bureaucracies” (Ball & Juneman, 2011), which wield a great deal of influence based on their wealth, outside the scrutiny of traditional regulatory efforts. In this section, I provide a brief review of the evidence for funding networks in New Mexico in relation to School Choice and Native American education.

School Choice Funding Networks. School choice includes efforts related to funding educational institutions outside of traditional public education. Eighteen individual New Mexico charter schools received just over \$5 million total during the

period of this study. In New Mexico, it is not apparent that charter schools are primarily the province of contributors of a particular philosophical or political bent, organized in a network of support. Rather, they have attracted bi-partisan legislative support and funding from foundations across the conservative to liberal spectrum. The best evidence of this is the striking contrast between the two top funders of charter schools and associated organizations in the state: the Kellogg Foundation and the Walton Family Foundation. Each has donated over \$2 million to charters in the state, but represent disparate philosophical approaches, with Kellogg more liberal and Walton more conservative. The third top funder of charters, the Daniels Fund, is also on the conservative side of the spectrum. However, Daniels and Kellogg have one common fund recipient: the Architecture, Construction and Engineering (ACE) Charter School, additional evidence that charters share support from across the political spectrum.

A possible exception to the seeming bipartisan support of charter schools is the New Mexico Coalition for Charter Schools, an umbrella organization advocating for all New Mexico Charters. Its top funder is the Walton Family Foundation, which donated over \$1.2 million of the total \$1.7 million they received between 2002-2010, during the time when they were working with New Mexico's Republican administration to pass charter school-related legislation. The second highest funder of the NMCCS is the Daniels Fund, also conservative, and also heavily funding Educate New Mexico, a second prong of the school choice-related efforts in New Mexico. This program provided funding for students to attend the private school of their choice, and received just over \$600,000 from the Daniels Fund from 2009-2010. This program seems to have been terminated at this time.

In the case of charter schools in New Mexico, it appears the divide is not between conservative and liberal funding organizations, but rather at least partly on what is funded. The Kellogg Foundation has focused its charter school giving on specific projects to be administered through two individual schools: the Native American Community Academy (NACA) and ACE Charter Schools. The largest amount of charter-related funding from the Walton and Daniels foundations has gone to the NMCCS, which focuses on political action related to charter schools in New Mexico, showing more of a concern with influencing a policy direction in the state, as opposed to a specific school or project. However, even this characterization is somewhat one-sided, as Walton does give to individual schools as well.

Native American Private Education Funding Network. One of the most remarkable funding networks in this study is revealed when examining the funders for two individual New Mexico private schools: Rehoboth Christian School and Zuni Christian Mission School. Rehoboth Christian School was founded in 1903 as a Christian Mission School in Rehoboth, New Mexico in the Four-Corners region near Gallup. Many of the schools that exist today in the Navajo area of New Mexico began as Christian Mission Boarding Schools (Rehoboth Christian Reformed Church website: <http://rehobothcrc.weebly.com/history.html>), but have evolved into modern education institutions. Control of RCH was shifted to a local board in the 1970s.

According to their website, Rehoboth's current student body is approximately 70% Native American, 20% Anglo, and 10% Hispanic, and consists of approximately 500 pre-K through 12th grade students. The school charges tuition rates on a scale according to family income.

During the study period, Rehoboth received Foundation gifts of approximately \$17,000,000, the vast majority from the Richard and Helen DeVos Foundation, and almost all funding coming from the network of DeVos Family Foundations and other conservative foundations based in Grand Rapids, Michigan. Other major DeVos family funders (gifts of over \$100,000) include the Edgar and Elsa Prince Foundation, the Dick & Betsy DeVos Family Foundation, the VanderWeide Family Foundation, and the Douglas & Maria DeVos Foundation. Overall, if you add all the DeVos Family Foundations, there are additional gifts to Rehoboth totaling \$1,061,000 (\$801,000 from the Dick and Betsey DeVos Family Foundation and \$260,000 from the Douglas and Maria DeVos Family Foundation). Zuni Christian Mission School shares a similar history with Rehoboth, founded by Dutch Christian missionaries from Grand Rapids, Michigan in 1908. Unlike Rehoboth, which is now an independent K-12 school, Zuni retains its status as a Mission School and teaches only K-8 students. The student body consists of approximately 70 students

<http://www.zunichristianmission.org/cms/One.aspx?portalId=1149757&pageId=1149779>.

Expanding beyond the DeVos Family foundations to include other foundations giving to Rehoboth and/or Zuni reveals that there are at least twelve of these foundations whose giving totals almost \$19 million (Table 27).

Finally, although Rehoboth students do not take the standardized tests that students at public schools take, by other accounts, their academic outcomes are very strong. For the 2015-16 school year, they report a 98% (n=41) graduation rate from high school, with 95% (n=39) of those students continuing on to college

(<http://www.rcsnm.org/about/facts.cfm>). It must be remembered that this is a small school, however, with a very different situation than public schools.

Table 27

Giving to Rehoboth and Zuni Mission Schools by DeVos Family Foundations

Foundation	Recipient	Amount
Dick and Betsy DeVos Family Foundation	Rehoboth (Current Sec. of Ed. Nominee, extensive ties to charter schools and conservative causes)	\$801,000
Edgar and Elsa Prince Foundation	Rehoboth (DeVos Family, funder of Focus on the Family and other conservative causes)	\$1,035,000
Huizenga Foundation	Rehoboth, Zuni (Founder Wayne Huizenga, Grand Rapids, cousin of J.C. Huizenga of for-profit National Heritage Academies)	\$296,000
Tassell-Wisner-Bottrall Foundation	Rehoboth (Grand Rapids, MI)	\$25,000
Richard and Helen DeVos	Rehoboth, Zuni (Heritage)	Approx. \$16 million

Foundation	Recipient	Amount
Foundation	Foundation, Focus on the Family, American Enterprise Institute)	
VanderWeide Family Foundation	Rehoboth (Part of DeVos family—daughter of Richard)	\$385,000
Vermeer Charitable Foundation	Rehoboth	\$181,000

Philanthropic Styles and Power Relationships

In the literature review, I identified the use of Critical Discourse Analysis (CDA) as a tool for examining power relationships using textual material produced by an organization of interest. While I desired to pursue this analysis, I found that to include a complete CDA in this study was an overwhelming task. However, I appreciate the spirit of CDA, and its ability to potentially lend unique insights to power relationships inherent in philanthropy, especially in relation to philanthropy to support underserved and underrepresented populations. To this end, I will briefly compare the styles of the two major foundations working in New Mexico: the W.K. Kellogg and Richard and Helen DeVos Foundations.

It has been suggested that transparency of foundation activities can help redress the inherent power imbalances that exist in the donor/recipient relationship (Frumkin, 2006). Even those that refute the idea of power asymmetry in this relationship suggest

that increased communication can go a long way toward alleviating misunderstandings (Tyler, 2013). Another means to address this power imbalance is the use by philanthropic foundations of professional staffs to administer and manage funded projects. It is suggested that this provides a buffer between the foundation board and the recipients, with project staff able to work more directly with recipients and communicate their concerns (Frumkin, 2006).

As we have seen, the Kellogg and DeVos Foundations are major foundation donors to New Mexico schools and associated organizations. When comparing the Kellogg and Richard and Helen DeVos foundations, there are similarities: both are based in Michigan, both have extremely large endowments, both have at least a partial focus on Native American education and both have given large amounts of money to educational institutions in New Mexico over long periods of time. In other ways, they are fundamentally different. As discussed earlier, the DeVos Foundations (including Richard and Helen), are extremely supportive of conservative and religious causes, while Kellogg is oriented to the liberal end of the spectrum with a fundamental social justice focus. Kellogg focuses its education philanthropy mainly on public schools, public charter schools, and public school districts. The DeVos Foundation funds a single private school.

Another way in which these foundations differ is in the transparency of their communications. Kellogg maintains a website with vast amounts of information related to their giving including how much is going to whom, and for what purpose. This is also evident in the Foundation Center database, which lists a specific purpose for all the Kellogg donations. In contrast, the Richard and Helen DeVos Foundation maintains no

website. I was unable to find a mission statement for the foundation, and all information comes from other organizations. They are required to file 990 forms with the IRS, which include brief descriptions of some funded projects; the other source I found are Rehoboth Christian School newsletters, which have the only direct quotes I could find related to their giving. Based on the information found in the newsletters, Richard and Helen DeVos have visited Rehoboth on at least one occasion, to dedicate the sports center they funded.

How do the foundations compare in terms of using professional staffs to manage their work with New Mexico education and other organizations? The Kellogg Foundation maintains an extensive professional national staff. They also maintain a New Mexico Office in Albuquerque, as well as staff specifically dedicated to New Mexico projects. This includes a Director, and project managers, one of whom is a former Santa Clara Pueblo Lieutenant Governor. The Richard and Helen DeVos Foundation is run by the founders out of an office in Grand Rapids, Michigan. No additional offices or staff could be identified.

To summarize, both the Kellogg and Richard and Helen DeVos Foundations focus their giving at least in part in the case of the former, or all in the case of the latter, on Native American educational organizations in New Mexico. Both engage in required reporting activities such as filing 990 forms with the IRS to document their giving. In terms of adopting potential strategies to manage potential foundation/recipient power asymmetries, the Kellogg Foundation engages in practices that increase transparency in two ways, by providing extensive information on projects and activities in a public-facing

forum (website), and by managing their activities with a professional staff, including staff in New Mexico. The DeVos Foundation does not employ these strategies.

One could argue that the situation explored here simply reflects the fact that Kellogg has complex projects that require extensive management, thus necessitating large staffs, while DeVos focuses on one school and therefore does not need professional staff here in New Mexico. However, the issue of lack of transparency is more concerning. DeVos supports a private school in New Mexico. As demonstrated earlier in this paper, there is a large network of related foundations that support this school, as well as another. The support for school choice, including the potential for taxpayer support for parents to select private schools for their children, by the DeVos family is now well-documented as a result of Betsy DeVos selected and confirmed as the U.S. Secretary of Education. Given these facts, the potential for private giving to shade into the public arena becomes more problematic (Docksai, 2016).

Question 3: How might value be understood in philanthropy?

In the methods section, I proposed examining alignment of foundation, grant recipient, and New Mexico's education goals as a way to understand value in philanthropy. This analysis focuses on the New Mexico education reform theme of Ensuring Equal Opportunity for All Students, and the specific case of Native American education in New Mexico. Based on legislation and funding support, supporting Native American students and schools are a high priority for New Mexico. The analysis considers major foundation donors and the school-related organizations that received the funding. The goal of investigating alignment is to identify shared, high priority

educational issues for New Mexico legislators, educational organizations and philanthropic foundations.

Alignment. As stated in Chapter 3, I assessed alignment by 1) enumerating legislative goals based on the text of any relevant legislation; 2) listing the organization's goals as put forth in mission and vision statements; 3) listing funding foundations' statement of purpose as listed in the Foundation Center database, if available; and 4) comparing 1-3 for alignment of intent. After I present the key elements of the legislation, I provide a listing of foundation-funded projects categorized by key legislative elements. This forms the basis for the alignment discussion.

How do the funding practices of these foundations align with the missions of the schools and the legislation related to Native American students? Schools included in this analysis include the Native American Community Academy (NACA), Santa Fe Indian School, and the Pueblo of Laguna Department of Education. Rehoboth Christian is excluded because as a private school, it is not subject to legislative actions that impact public education. Major funders include the Kellogg, Intel, Lannan, Marguerite Casey, and Christensen Foundations.

Legislative context. The Indian Education Act of 2003 is the signature New Mexico legislation related to Native American Education. Its tenets are as follows:

“A. Ensure equitable and culturally relevant learning environments, educational opportunities and culturally relevant instructional materials for American Indian students enrolled in public schools;

B. Ensure maintenance of native languages;

- C. Provide for the study, development and implementation of educational systems that positively affect the educational success of American Indian students;
- D. Ensure that the department of education partners with tribes to increase tribal involvement and control over schools and the education of students located in tribal communities;
- E. Encourage cooperation among the educational leadership of Arizona, Utah, New Mexico and the Navajo Nation to address the unique issues of educating students in Navajo communities that arise due to the location of the Navajo Nation in those states;
- F. Provide the means for a formal government-to-government relationship between the state and New Mexico tribes and the development of relationships with the education division of the bureau of Indian affairs and other entities that serve American Indian students;
- G. Provide the means for a relationship between the state and urban American Indian community members to participate in initiatives and educational decisions related to American Indian students residing in urban areas;
- H. Ensure that parents; tribal departments of education; community-based organizations; the department of education; universities; and tribal, state and local policymakers work together to find ways to improve educational opportunities for American Indian students;
- I. Ensure that tribes are notified of all curricula development for their approval and support;

J. Encourage an agreement regarding the alignment of the Bureau of Indian Affairs and state assessment programs so that comparable information is provided to parents and tribes;

and

K. Encourage and foster parental involvement in the education of Indian students.”

(Indian Education Act, 2003).

Organizational context. To continue the alignment exploration, I have reproduced portions of the mission statements of the major recipients of foundation funding. On their website, NACA lists the following goals for their organization: 1) Build youth to be confident in their cultural identities; 2) Encourage youth to persevere academically; 3) Support physical, emotional and spiritual wellness in youth; 4) Prepare youth academically & emotionally for college; and, 5) Strengthen youth to take their role as leaders. (<http://www.nacaschool.org/about/mission-and-vision/>).

From the Santa Fe Indian School’s Parent and Student handbook, their mission statement is as follows:

“Santa Fe Indian School graduates will understand the issues facing tribes in the Southwest and will be committed to maintaining Native American cultural values. They will participate in the culture of their communities, and will have the skills to pursue the education or careers that will benefit them, their families and their people.

These skills will include:

- “Creative problem solving, using the analysis of complex problems, the synthesis of collected data, and the communication of clear solutions;
 - Critical, confident, independent and interdependent lifelong learning;
 - Working productively with all types of people and making good choices.”
- (http://www.sfis.k12.nm.us/media/files/2016_17%20SFIS%20Student%20and%20Parent%20Handbook.pdf).

The Pueblo of Laguna Department of Education’s website lists the following as their vision statement: “Academic excellence develops successful life-long learners by demonstrating that we:

- Create exemplary environments that maximize staff and student satisfaction toward academic excellence
- Are rooted in love and respect
- Embrace our history, traditions, and culture by respecting our Laguna perspective to maximize holistic learning and bi-cultural prosperity/success
- Recognize learning opportunities from infancy through adulthood
- Encourage and demonstrate community support for self-sufficiency
- Are the school of choice for Laguna students & parents
- Are a nationally recognized educational system”

(<http://www.lagunaed.net/>)

For this study, I assumed that the closer the agreement between legislative and institutional goals, the better the alignment of intentions. Table 28 summarizes the alignment between legislative tenets and institutional goals. Not all organizational goals

align with a legislative tenet (Pueblo of Laguna’s “Are rooted in love and respect”, “Recognize learning opportunities from infancy through adulthood”, and “Encourage and demonstrate community support for self-sufficiency” do not align).

Table 28

Alignment of Legislative Tenets of the Indian Education Act of 2003 and Native American Educational Institution Stated Goals

Educational Institution	Goal or Mission	Related Legislative Tenet
Native American Community Academy (NACA)	1) Build youth to be confident in their cultural identities	A. Ensure equitable and culturally relevant learning environments, educational opportunities and culturally relevant instructional materials for American Indian students enrolled in public schools B. Ensure maintenance of native languages C. Provide for the study, development and implementation of educational systems that positively affect the educational success of American Indian students
	2) Encourage youth to persevere academically	C.
	4) Prepare youth academically & emotionally for college	C. H. Ensure that parents; tribal departments of education; community-based organizations; the department of education; universities; and tribal, state and local policymakers work together to find ways to improve educational opportunities for American Indian students
	5) Strengthen youth to	D. Ensure that the department of

Educational Institution	Goal or Mission	Related Legislative Tenet
	take their role as leaders	<p>education partners with tribes to increase tribal involvement and control over schools and the education of students located in tribal communities</p> <hr/> <p>E. Encourage cooperation among the educational leadership of Arizona, Utah, New Mexico and the Navajo Nation to address the unique issues of educating students in Navajo communities that arise due to the location of the Navajo Nation in those states</p>
Santa Fe Indian School (SFIS)	Santa Fe Indian School graduates will understand the issues facing tribes in the Southwest and will be committed to maintaining Native American cultural values	A.
	They (SFIS graduates) will participate in the culture of their communities	B.
	and will have the skills to pursue the education or careers that will benefit them, their families and their people	C.
	Creative problem solving, using the analysis of complex problems, the synthesis of collected data, and the communication of clear solutions	C.
	Critical, confident, independent and	C.

Educational Institution	Goal or Mission	Related Legislative Tenet
	interdependent lifelong learning	
	Working productively with all types of people and making good choices	H.
Pueblo of Laguna Department of Education	Create exemplary environments that maximize staff and student satisfaction toward academic excellence	C.
	Embrace our history, traditions, and culture by respecting our Laguna perspective to maximize holistic learning and bi-cultural prosperity/success	A.
		B.
		D.
	Are the school of choice for Laguna students & parents	K. Encourage and foster parental involvement in the education of Indian students
	Are a nationally recognized educational system	C.

Funding Foundation context. How do foundations fit into the framework of Native American education in New Mexico? As stated earlier, the major foundation donors to Native American education-related efforts over the period of this study include Kellogg, Intel, Lannan, Marguerite Casey, and Christensen Foundations. While legislative and organizational intent are fairly simple to identify from legislative

documents and mission statements specific to the funded Native American educational organizations, foundational intent can be more difficult to pin down. In part this is because these organizations are typically funding more than one cause, and also are not required to be specific about their funding intent. The Foundation Center database lists “purpose for specific grants,” but this field is often left blank, or is extremely generic. For this reason, it is useful to deepen this analysis by analyzing foundation discourse around a given issue. This approach has been taken especially in studies of philanthropic marketization (Nickel & Eikenberry 2009; Wright, 2015). The Kellogg Foundation, whose grants descriptions are always included, represents an exception to the lack of funding intent description in the Foundation Center’s database.

A review of the Kellogg Foundation’s website reveals extensive engagement with and funding of Native American-related projects. A search on the term “Native American” returns 493 individual pages. Adding the term “education” returns 175. Kellogg’s overall mission of supporting optimal child development supported by community and civic engagement and racial equity (see: <https://www.wkkf.org/what-we-do/overview>) makes Native American education a natural fit for this organization. In addition, New Mexico is listed as one of Kellogg’s “Priority Places,” where they concentrate the majority of their grant making. But what are the specific New Mexico-related Native American projects that Kellogg has focused on and how do these align with legislative and organizational goals of the schools? Table 29 summarizes the Kellogg-supported projects are listed for NACA and Santa Fe Indian School with their purpose statement (from the Foundation Center database) and the legislative tenets to which they relate.

Table 29

Kellogg Foundation Funded Native American Educational Institutions, Intent of Funding and Related Legislative Tenet

Funded Educational Institution	Funder Intent	Legislative Tenet
NACA	To recruit and develop teacher and public staff leadership to support a statewide initiative to create Indigenous Education Network, and strengthen the relationships between school district and tribal leadership	<p>C. Provide for the study, development and implementation of educational systems that positively affect the educational success of American Indian students</p> <hr/> <p>D. Ensure that the department of education partners with tribes to increase tribal involvement and control over schools and the education of students located in tribal communities</p> <hr/> <p>F. Provide the means for a formal government-to-government relationship between the state and New Mexico tribes and the development of relationships with the education division of the bureau of Indian affairs and other entities that serve American Indian students</p>
	To expand innovative community-based education models serving Native American children and youth in New Mexico by documenting and replicating the process for community-based school design, development, and implementation	<p>D.</p> <hr/> <p>H. Ensure that parents; tribal departments of education; community-based organizations; the department of education; universities; and tribal, state and</p>

Funded Educational Institution	Funder Intent	Legislative Tenet
		local policymakers work together to find ways to improve educational opportunities for American Indian students
	To increase the number of Native American K-12 educators who are trained in the Community Led Schools Model and Indigenous Education in New Mexico	A. Ensure equitable and culturally relevant learning environments, educational opportunities and culturally relevant instructional materials for American Indian students enrolled in public schools H.
		I. Ensure that tribes are notified of all curricula development for their approval and support
Santa Fe Indian School	To prepare skilled and conscientious educator-researcher-scholars to strengthen the network of Pueblo professionals, educators and leaders addressing acute educational and community needs of New Mexico's indigenous peoples	C. D. F. H.
	To enhance community development and support a new generation of leaders and scholars by creating unprecedented opportunity for Pueblo people to reflect upon the past and define proactive strategies for future action	A.
	To support community engagement among Pueblo communities in New Mexico	C.

Funded Educational Institution	Funder Intent	Legislative Tenet
	through community driven grant making	H.

Other Foundations that funded Native American education in New Mexico during this study include the Andrea Waitt Carlton Foundation, the Christensen Fund, the Intel Foundation, the Lannan Foundation, the Marguerite Casey Foundation, and the New Mexico Community Foundation. The Andrea Waitt Carlton Foundation does not have a website, but their areas of interest as listed on the Foundation Center website include, “social concerns, with an emphasis on helping Native Americans help themselves” (<https://fconline.foundationcenter.org/grantmaker-profile/?collection=grantmakers&activity=result&key=MESS025>). The Christensen fund has a focus on supporting Native American control of natural resources and “food sovereignty” (<https://www.christensenfund.org/programs/us-southwest/>). A search of Intel’s website on the term Native American, returns 56 results; adding the word Education, returns 14. Not surprisingly, the Intel Foundation’s efforts have focused on increasing Native American participation in Science, Technology, Engineering and Math (STEM) education, related to their place in the corporate technology sector. The Lannan Foundation is based in Santa Fe, and makes grants to Native Americans as part of their Indigenous Communities Program, emphasizing support of traditional culture and education. The Marguerite Casey Foundation does not have a specific Native American focus, but supports low income families and communities and has an anti-racism and

equity focus as well. The New Mexico Community Foundation has as its mission to support New Mexico communities, and redistributes monies from other foundations.

Table 30 summarizes foundation-supported (other than Kellogg) projects for Pueblo of Laguna Department of Education and Santa Fe Indian School with their purpose statement (from the Foundation Center database) and the legislative tenets to which they relate.

Table 30

Foundation Funded (other than Kellogg) Native American Educational Institutions, Intent of Funding, and Related Legislative Tenet

Funded Educational Institution	Stated Funder Intent	Legislative Tenet
Pueblo of Laguna Department of Education	For Extended Day Learning Direct Services and Direct family services	K. Encourage and foster parental involvement in the education of Indian students
	For NM SPARK Pueblo of Laguna Site	K.
	For capacity building program	A. Ensure equitable and culturally relevant learning environments, educational opportunities and culturally relevant instructional materials for American Indian students enrolled in public schools
	For Leadership for Community Change Project, evaluation component supporting group of 25 fellows from communities of Eastern Cibola County working on leadership development and educational improvement	C. Provide for the study, development and implementation of educational systems that positively affect the educational success of American Indian students

Funded Educational Institution	Stated Funder Intent	Legislative Tenet
Santa Fe Indian School	For development of Native American leaders and engagement in policy advocacy using the Equal Voice framework	D. Ensure that the department of education partners with tribes to increase tribal involvement and control over schools and the education of students located in tribal communities
	For participation of Pueblo Indian High School students in summer agriculture internship program with traditional farmers and for construction of greenhouse to produce seedlings of heirloom crop varieties	A. I. Ensure that tribes are notified of all curricula development for their approval and support
	For Community-Based Education Model that engages students in real work on the Pueblos in areas of math, science, government, communications, and technology	A. H. Ensure that parents; tribal departments of education; community-based organizations; the department of education; universities; and tribal, state and local policymakers work together to find ways to improve educational opportunities for American Indian students I.

Though I have used alignment as a key aspect of philanthropic value, it is also the case that foundations may, at times, prioritize changing the status quo rather than aligning with it. What I have sought to present here is alignment around a case of durable priority

(improving Native American education) for all stakeholders. Though strategies of how to improve outcomes may change, agreement about the importance of this issue endures.

As a final note, looking at foundation giving since 2012 reveals that at least one major foundation has continued supporting Native American public education to the tune of \$5+ million, and has plans to do so well into the future. Table 31 shows Kellogg Foundation commitments to funding these projects into 2020.

Table 31

Kellogg Foundation Funding Commitments to Native American Education Since 2012

Recipient	Amount	Start Date	End Date
Parents as Teachers National Center	\$109,000	2010	2017
Farmington Municipal Schools	\$100,000	2012	2015
Farmington Municipal Schools	\$170,000	2014	2016
Santa Fe Indian School	\$230,000	2014	2014
Santa Fe Indian School	\$200,000	2014	2016
Dream Diné	\$300,000	2014	2017
Farmington Municipal Schools	\$500,000	2014	2017
Farmington Municipal Schools	\$367,155	2014	2016
Santa Fe Indian School	\$230,000	2015	2016
American Indian College Fund	\$40,000	2015	2017
Pueblo of Santa Clara	\$75,000	2015	2017
Zuni Public School District 89	\$125,000	2015	2016
Santa Fe Indian School	\$600,000	2015	2018
Pueblo of Jemez Education Department	\$125,000	2015	2016

Recipient	Amount	Start Date	End Date
Santa Fe Indian School	\$230,000	2015	2016
Keres Children's Learning Center, Cochiti Pueblo	\$125,000	2015	2016
Santa Fe Indian School	\$630,000	2016	2020
To'hajillee Community School Board	\$112,000	2016	2017
Dual Language Institute of NM	\$1,490,000	2016	2019
Total	\$5,758,155		

Table 31 suggests that foundation-based funding for Native American education has the potential to be sustainable; though from one foundation, the amount is large and targets a range of institutions across early childhood, K-12 and higher education for Native Americans.

Summary

This chapter summarized the results of education philanthropy in New Mexico over the study period by attempting to answer the questions:

- Who have been the major foundation donors to and recipients of school-focused philanthropy in New Mexico in the past decade?
- What are they funding?
- How might value be understood in philanthropy?

The major foundation donors to school focused philanthropy in New Mexico include an array of foundation types, including private, family, corporate and community organizations. They fall along the political spectrum from conservative to liberal, and come from across the country. They give in different ways, with some focusing

exclusively on a single school (Rehoboth, DeVos) or theme (school choice, Walton) and others choosing to spread their gifts across a range of recipient types and projects (Kellogg). Some foundations appear to work in a network, for example the DeVos Family and related foundations, based out of Grand Rapids, Michigan, form a large, giving bloc targeting Native American private religious instruction. The foundations vary in terms of style; this study found that one of the major foundations working in the state provides very little information about their giving and does not maintain professional project management staff (DeVos).

Recipients include public schools, charters and school districts, private schools, not-for-profit organizations, government entities and foundations. The National Dance Institute, a national not-for-profit, and three Native American educational institutions, received the largest amounts of foundation dollars, even more impressive when calculated as a per-pupil amount. Not-for-profit organizations in general receive large amounts of funding for projects in the schools, sometimes controversially, as in the case of Teach for America's work funded by the Indian Education Act.

In answer to the question: what are they funding, the foundation dollars flowing into New Mexico's educational institutions fund everything from operating expenses to leadership programs. Some of the giving reflects larger, national education trends, such as support for school choice (i.e., charters), and implementation of Common Core standards. When contextualized by New Mexico education reform themes, it is evident that funders do support many of the issues that the state has prioritized such as ensuring equal opportunity for all students, which in this study includes supporting Native American educational organizations.

This study also looked beyond dollar amounts to try and assess what real value is being brought to New Mexico by foundation philanthropy. This analysis is based on shared goals, or alignment, between state education legislation, funded educational institutions, and foundation goals. For example, using this framework, foundation support for private education does not bring value, since it is not prioritized by the state at this time. I used Native American education as a test case for the value analysis and found that good alignment of priorities exists between the state, the Native American funded organizations and foundations around the general theme of Native American student academic success. In addition, common education indicators show modest improvement for Native American students. Finally, there is demonstrated sustainability of funding for Native American education from a large foundation (Kellogg), into the future. This method could be used to investigate alignment on other goals.

In answering these questions, I have also presented detailed information about where the nearly \$95 million given to support New Mexico K-12 education went and who gave it. This information has not been summarized in this way before. The first two questions are relatively straightforward, though the nature of data collection on foundation philanthropy is not. I have done my best to present the most complete data available for the time period. The question of philanthropic value is, of course, much more complicated, as even the concept of value must be defined. In this case, I sought a synergy of education as defined by the state, educational institutions, and foundations. Using a case study of Native American education, a cautiously optimistic picture emerges. I believe the analysis used to investigate philanthropic value has wide applicability across the spectrum of educational issues that New Mexico faces.

Chapter 5: Conclusions

The quote that opens this study implies that lack of understanding about the nature of education philanthropy can lead to ineffective giving at best, and the opportunity for more insidious malfeasance at worst. Sears was concerned about the potential for private donors to wield influence on the public sector, since much of private foundation philanthropy occurs beyond the scrutiny of the public. Since Sears's time, we have not made much progress toward a clear picture of foundation philanthropy to education; perhaps not surprising as private foundation funds to public schools represent a small percentage of their budgets. As this study has demonstrated, private foundation dollars are, indeed, used to support projects in New Mexico public education institutions. I can attest to the fact that gathering data related to foundation philanthropy and public education is not straightforward, and currently there is no single report that attempts to specifically capture this information. This means that at the present time it is extremely difficult to answer the questions: Who have been the major foundation donors to and recipients of school-focused philanthropy in New Mexico in the past decade? and What are they funding?

The third question addressed by this study, how might value be understood in philanthropy, was even more difficult to address because it relies not just on data, but on an approach for determining what "value" means.

It is my hope that this study has presented a model approach for compiling this information. Though foundation donors, grant amounts, and gift recipients are in the public record due to the requirement for foundations to file tax returns with information about their giving, information about specific projects and intentions of gifts is extremely

difficult to find and is always presented from the point of view of the foundation. The existence of follow-up information on the success of funded projects is completely hit or miss, and researchers are reliant on information provided by foundation websites, published materials and other media for this type of information.

Summary of Findings

1. Who are the Donors to and Recipients of Education Philanthropy?

Foundation philanthropy to New Mexico K-12 education institutions is divided between private, public, government and not-for-profit institutions; with approximately two-thirds of funding to private schools and the remaining third divided between public schools and not-for-profit institutions. Within the broad categories of public and private, funds to private institutions are focused on individual private schools, while fund to public institutions are divided between traditional public charter schools, government organizations and districts. The higher amount of funding to private schools is not surprising given that these organizations receive little or no funding from federal or state sources, and must depend on private giving to support everything required by the school. This includes large capital giving projects. Rehoboth Christian and New Mexico Military Institute are the best-funded private schools in the state, receiving millions of dollars from the Richard and Helen DeVos and Daniels Fund foundations, respectively. Giving to not-for-profit educational organizations is dominated by the funds received by the National Dance Institute to support arts programs, including some offered in the public schools. On the public education side, the Kellogg Foundation dominates giving.

Private foundations giving to New Mexico public education institutions include family, corporate, community, independent and operating organizations. The Richard

and Helen DeVos Foundation, the Daniels Fund and the Kellogg Foundation dominate giving. The Daniels and DeVos Foundations are rooted in largely conservative attitudes and causes, reflecting the lives and beliefs of their founders. The Kellogg Foundation has a strong social justice emphasis, and utilizes a large staff, some located in New Mexico, to administer millions of dollars worth of awards.

In addition to the formal research questions about who funds, insights into the question of “how” foundations fund have also emerged from this study. This is an important question, since foundation funding occurs, to some extent, in a vacuum, beyond the scrutiny of the public and without the need for public support. A comparison of the two major foundations working in New Mexico, the Kellogg and the Richard and Helen DeVos Foundations, reveals striking differences in foundation characteristics. Kellogg provides extensive information about the projects they fund and maintains local staffs working on projects in New Mexico. The DeVos Foundation has no website and provides very little information other than required financials in their 990 form. In addition, the DeVos Foundation is clearly involved in a network of interrelated private, conservative, religious funding organizations, supporting the Rehoboth and Zuni mission schools with millions and millions of dollars. With their known ties conservative political organizations, political power (Betsey DeVos’s cabinet position) and specifically to strong support for school choice initiatives, their private giving can cross into the public sector.

2. What are they funding?

Foundations fund a variety of projects and initiatives that relate to New Mexico’s education priorities. Over the period of this study and based on the available information,

funding amounts were highest among for projects focusing on ensuring equal opportunity for all students; enhancing school rigor; enriching curriculum; providing more school choice; and strengthening the quality of teachers and administrators. On a per-pupil basis, Native American education receives the largest amount of foundation funding. National Dance Institute has also received a huge amount of support from numerous foundations.

3. How might value be understood in philanthropy? To assess the value brought to the State by education philanthropy, the current study examined alignment between state, foundation, and educational institution goals. This was used as proxy for shared priorities among these three stakeholders. Reviewing New Mexico education-related legislation reveals nine fundamental state priorities. Of these, increasing school choice and insuring equal opportunity for all students are major shared priorities by all three stakeholders, based on dollar amounts dedicated to these efforts. School choice programs receiving private foundation funding include funds directly to charter schools as well as those given to the New Mexico Charter School Coalition, and some giving to voucher programs. In the realm of equal opportunity, Native American education institutions receive a great deal of funding to schools as well as tribal departments of education, especially when considering the relatively small percentage of students served as a percentage of all New Mexico students. The text of the Indian Education Act, mission statements of foundation fund recipients and the goals of foundation-funded projects demonstrate alignment of goals in the area of demonstrated student success.

Lessons for researchers and practitioners

1. Education philanthropy exists within an ecosystem of state and federal legislation and educational organizations. Rather than viewing education philanthropy as an independent endeavor undertaken between a single foundation and recipient organization, there are lessons to be learned by using the state and federal education climate as a framework for understanding. This study revealed that education philanthropy in the state aligns with legislation in some cases, and not in others. Understanding what is being prioritized by the state could help foundations enhance the efficacy of their giving. Having a clearer picture of funding priorities for private foundations is critical to telling a coherent story about education in our state. Having a practical method for identifying alignment of goals of legislators, educational institutions and funders is critical to support better funding decisions.

2. K-12 education philanthropy needs to be better understood and documented. This study has contributed to the general understanding of education philanthropy in New Mexico, as well as to very specific understanding of foundation giving over the decade from approximately 2002-2012. As cited earlier, foundation support of K-12 education increased 32% roughly during the period covered by this study (Snyder, 2017). We currently do not regularly report on the amount and focus of giving. As we face the future with a cabinet-level U.S. Secretary of Education with strong family ties to education philanthropy and no ties to public education, who has personally donated over \$1million to private education in New Mexico, the system as we currently know it is threatened. The line between public and private is becoming more blurred as

challengers to traditional education such as charter schools, vouchers, and other programs compete for funds from both public and private sources.

This research can support various constituencies with ties to education philanthropy including foundation project managers, those seeking foundation support, and those in state government working with less and less budget to support public education. As state funding is increasingly threatened and unstable, it will be necessary to leverage the money available from private foundations in a strategic and thoughtful way.

The budget to support public education in New Mexico is shrinking, and political pressures prevent increasing taxes to alleviate this situation. While there is a natural temptation to let private funders step into this funding vacuum, education and other leaders must continue to advocate for strong government support of education and equitable resourcing of all schools. In addition, Foundation leaders are not education experts. It is incumbent upon New Mexico education leaders to take an active role in the work of private foundations in public education and to articulate priorities that can be shared.

Recommendations for Future Research

This study points to many avenues for future research. Most obvious is to do a similar study for the years since 2012, to see how priorities have changed among legislators, recipients and funders; or whether some themes have shown persistence and sustainability. In addition, this study only used one of New Mexico's signature education reform themes, equal opportunity for all students, to attempt an analysis of the value brought to the state by education philanthropy. Using the same technique for the other

reform themes would be a valuable exercise. This study has focused exclusively on New Mexico. The field is wide open for studies using the techniques presented here to compare New Mexico's education philanthropy context and outcomes with other states. Is New Mexico's situation unique or are there similarities with other states? Along the same lines, what is the context for education philanthropy internationally? There may be lessons to learn from other countries.

The current study did not incorporate any type of benchmarking, or examination of best practices in education philanthropy reporting into consideration. There may be states that have been extremely successful in reporting education philanthropy in a transparent way, making this information available at a state level to those with influence in the education arena. Future research could focus on identifying and incorporating lessons from other states. Relatedly, in many other countries around the world, private funding sources must step up to fund education due to lack of funds. Models of community financing could provide valuable lessons for New Mexico and other states when wrestling with the challenges of private foundation funding of public schools.

Recommendations for Practitioners

The Prisoner's Dilemma is a classic example from game theory wherein two prisoners are faced with the choice of either confessing to a crime to reduce the consequences they will face if convicted (pleading), or remaining silent in hope that the other will confess and take all the blame. Philanthropists face a similar situation, whereby they must choose between cooperative giving with other foundations resulting in larger donations to an entity, or choosing to fund another organization to spread the wealth. This "giver's dilemma" (Karnofsky, 2015) incentivizes withholding information

about philanthropic giving in order not to tip one's hand and maximize credit for supporting an organization. Research suggests that donors do not typically coordinate giving by sharing information, but rather hope to be the "donor of last resort" (Todd, 2016) and receive all the credit. Along with these philosophical challenges, there are logistical challenges to sharing giving information. This sharing would require some kind of coordinated reporting mechanism as well as a willingness on the part of foundations to share this information in the first place.

A first step might be to provide an annual report on education philanthropy in New Mexico that includes donors, recipients and amounts, as well as an attempt to identify alignment of state, donor and recipient goals, much like the analysis presented by this study. Questions that need to be addressed include: Who would develop this report? What would be done with the results?

In addition to lessons for funding recipients, what can foundations learn about funding education and schools in New Mexico? What is the answer to a foundation that wants to know how and why to invest their money in New Mexico education? First, do your research. This study has presented a method for examining the priorities of the state and educational institutions. This can provide insights both for foundations that wish to support current education efforts, as well as those that wish to challenge the status quo. On an even more basic level, understand the key education reform themes in New Mexico and consider whether it is of greater value to your organization to continue working in an area where others are working (collaborate), or to forge into uncharted funding territory as a trailblazer.

It is also important for foundations to understand the structures related to education in New Mexico, where public education funding is based on a state funding formulas. Identify the key levers that will be required to effect change, and what inputs are required to make change happen. Some large, successful foundations have decided not to fund New Mexico education; learning from their experience may be valuable. Finally, seek the advice of experts. There are organizations working in and with New Mexico education that can provide guidance and advice for foundations. The University of New Mexico's Center for Education Policy Research has worked extensively with numerous foundations seeking meaning from their giving. They are one of many groups with the resources to support funding decisions.

Study Limitations

This study attempts to draw conclusions about the amount and value of education philanthropy based on the best data and evidence available. This pursuit is fraught with complications and also occupies the sensitive realm of finances. For these reasons, it is important to summarize the many limitations of the results I have reported.

Data limitations. First, there are limitations related to the data used for the study, which have been discussed previously, primarily related to how recipients are categorized in the Foundation Center database, and by the author. In the first case, I culled my sample from the universe of education philanthropy during the study period. I did my best to capture giving to schools, districts, governments, and not-for-profits working directly in or with schools; but there may be errors of omission in this area. I believe that I have included the largest grants made. In the second case, the Foundation Center database does not include recipient categories (e.g., public school, public charter, etc.);

the author added these. The main potential issue in this area, based on my thorough review of the data, is the possibility that in some cases a public school may have been categorized as a charter or vice versa. Both of these types of errors may contribute to slight inaccuracies in the reporting of dollar amounts given to organizations, and given by foundations. It should not impact the top foundations, which were the focus of this study.

Education does not occur in a vacuum, and the philanthropic focuses of many foundations support the ecosystem in which schools can thrive. This could include early childhood education, health initiatives, and many others. These are not part of this study, which I also recognize as a limitation.

Analysis Limitations. Limitations of the analysis result first from the need to select a single example (Native American Education) to engage the value critique method (research question 3). By focusing on a single category of recipients, the findings are limited, really, to the single example. I selected this example due to the availability of information to draw on, including legislative text, recipient mission statements, and funder goals. Also, the per-pupil foundation funding to Native American education is high in New Mexico. This factor also contributes to making Native American educational institutions a unique case that may not have universal lessons for all education. In retrospect, an entire dissertation devoted to Native American education philanthropy may have been a greater contribution to the literature.

The most serious limitations of this study are related to analyzing the value of philanthropic donations, and the need to infer alignment of intent on the part of the State (via legislation), recipient organizations (via mission/vision statements), and philanthropic foundations (via stated funding intent from Foundation Center database and

other sources). Because the intent is expressed in public-facing language crafted by the organizations themselves, it is susceptible to vanity, or to the influence of wishing to present themselves in a certain way. Also, some of the categories in the Alignment analysis are not mutually exclusive. I did my best to determine the closest fit for each.

Concluding Thoughts

My initial forays into analyzing education philanthropy came as a Senior Policy Analyst at the University of New Mexico's Center for Education Policy Research. Based on the projects we worked on for a variety of foundation clients, it was clear that these donors are extremely keen to affect measureable change in New Mexico's education outcomes. It also became clear that in most cases connecting the projects they fund with outcomes was fraught with complications, except, perhaps when funding individual student scholarships. Regardless, when choosing my dissertation research topic I waded back into the fray, hopeful that by analyzing a larger data set it would be easier to talk about education philanthropy outcomes in New Mexico in a more universal way, identifying lessons for all foundation donors and organizational recipients.

Because of this larger goal, as my work evolved, I found it necessary to concentrate at least in part on developing a method to be able to make statements about the value of education philanthropy in New Mexico. In this I feel I have succeeded. A method to assess the alignment of goals between The People, The Organizations and The Foundations; which can be used to produce more nuanced reporting at the state level about education philanthropy will lead to better reporting and transparency. In this way we can make strides toward avoiding the "waste and mismanagement" that Sears warned of when the philanthropic landscape was a much simpler place than it is now.

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Appendix A

Calculating Funding per Student

Total Funding Over 10 Years / (Number of Students in 2016 * 10)

- APS: 85,000 students according to website (\$3,670,870/850,000=
- Santa Fe Indian School: 700 students according to website
- National Dance Institute New Mexico: 9,500 students according to website
- Hobbs Municipal Schools: 9,000
(http://www.hobbsschools.net/UserFiles/Servers/Server_6/File/Starla/HMS%20Brochure%20April%202013.pdf)
- New Mexico Coalition for Charter Schools: 22,715. Dollars per student calculated against total giving to all charter schools, NOT just the NMCCS (\$6,853,826).
- Native American Community Academy: 379 students
(<http://www.schooldigger.com/go/NM/schools/0006000918/school.aspx>)
- Laguna Pueblo Department of Education: Serves Laguna Pueblo Elementary (169 students: AdvanceED Executive Summary, 2015); and Laguna Pueblo Middle School (96 students: AdvanceED Executive Summary, 2015).
- Farmington Public Schools: 9,995 (2015)
(<http://www.farmington.k12.mi.us/district/enrollment/counts.php>)
- Las Cruces Public Schools: 24,613 (2015) (<http://lcps.k12.nm.us/wp-content/uploads/2012/06/Grade-Counts-Public.pdf>)
- New Mexico Public Education Department had a total enrollment of 383,223 students during the 2012-2013 school year
<http://www.ped.state.nm.us/it/schoolfactsheets.html>