

**GIVING FOR THE CITY:
HOW CIVIC CAPACITY INFLUENCES PHILANTHROPIC SUPPORT FOR
EDUCATION REFORM IN SMALL-TO-MID-SIZED URBAN SCHOOL DISTRICTS**

By

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Dedication

To my family—
May my ceiling be your floor.

Acknowledgment

My name and the names of my doctoral committee adorn the front cover of this dissertation. However, this excludes the countless people who helped me accomplish this monumental task. Accordingly, I share this honor with countless family and friends, including those who inspired my path did not see its completion—namely, my late grandmother, Earsalene, who encouraged me to “learn all you can, while you can” and my mentor, Dr. Nathel Burtley, who inspired my doctoral aspirations early in my career.

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Finally, I would not have been able to complete this study without my wife and son, Phaejaré and Asahn, whose uncompromising belief in me throughout this process provided me the strength to persevere. Sir Isaac Newton once stated that “if I have seen further, it is by standing on the shoulders of giants.” I extend my sincere gratitude to these “giants” in my life, without whom this study would not have been possible.

Abstract

School-community partnerships enhance school districts' capacity to provide effective educational services to their students. In under-resourced schools—such as small-to-mid-sized urban school districts—these partnerships play a crucial role, as resource limitations often inhibit the availability of services traditionally provided by public schools. Philanthropic foundations have played a vital role in catalyzing school-community education reform partnerships in urban school districts. Although bureaucratic challenges have limited the success of such partnerships in large urban school districts, small-to-mid-sized urban school districts are more amenable to school-community partnerships, having fewer layers of bureaucracy and greater financial need. Using correlational research methods, the present study examined the civic capacity characteristics of small-to-mid-sized urban school districts and the funding allocations of local philanthropic foundations to identify factors that delineate school districts receiving education reform grants from those not, illustrate the grantmaking preferences of local philanthropic foundations, and explain how school districts' civic capacities are associated with their likelihood of receiving education reform grants.

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Chapter 1

Introduction

Urban education reform has been an integral aspect of philanthropic foundations' efforts to improve social conditions in the U.S. since their modern origins at the turn of the twentieth (National Philanthropic Trust, 2020; Parker, 1961; Southern Education Foundation, 2021). While philanthropic support for education reform has persisted and evolved over the past century and a half, continued underinvestment in urban schools necessitates ongoing partnerships between schools and community stakeholders to ensure schools have sufficient capacity to mitigate the impact of social determinants that limit students' prospects and outcomes (Boser, 2013; Shipps, 2003; Valli et al., 2014). Small-to-mid-sized school districts are further constrained by higher overhead costs, which limit the resources available to implement and sustain meaningful education reforms (Boser, 2013). Therefore, school-community partnerships between small-to-mid-sized urban school districts and philanthropic foundations are mutually beneficial, as they provide philanthropic foundations a platform to achieve their mission of improving social conditions and provide urban school districts the flexible funding needed to develop responsive reforms that improve learning conditions and outcomes (Frumpkin, 2005; Tompkins-Stange, 2016). Despite the mutual benefit of school-community partnerships between philanthropic foundations and small-to-mid-sized urban school districts, little is known about the factors that influence such partnerships.

The present study examined how small-to-mid-sized urban school districts' civic capacity influenced their likelihood of receiving education reform grants from local philanthropic foundations. This chapter introduces the present study, including the problem statement, research questions, purpose, significance, key terms, limitations, and delimitations.

Problem Statement

The U.S. public education system has been vital to efforts seeking to address social and economic disparities since the emergence of contemporary conceptualizations of public schools (Dewey, 1902; Ealy & Ealy, 2006). Notwithstanding reformers' initial aspirations of public schools' role in mitigating societal issues—such as illiteracy, poverty, and crime—urban schools in the U.S. continue to be mired by social determinants that limit the prospects of the students attending them (Dewey, 1902; Ealy & Ealy, 2006; Hudley, 2013; Lippman et al., 1996; Valli et al., 2014). The efficacy of urban schools is further limited by higher proportions of underqualified teachers who have fewer resources and experience higher rates of absenteeism, which restrict the quality of educational services available to students (Hudley, 2013; Lippman et al., 1996). These challenges are amplified in small-to-mid-sized urban school districts, which have higher overhead costs that constrict the resources available to reform educational services (Boser, 2013).

School-community partnerships build capacity in under-resourced schools to improve educational services and outcomes for their students (Massey et al., 2014; Shipps, 2003; Strauss, 2014; Valli et al., 2014, 2016). Philanthropic foundations often serve as catalysts in school-community partnerships through place-based philanthropy—focusing their grantmaking within a given geographic area where education reforms are informed by community stakeholders (Dalma et al., 2022). Place-based education reform initiatives in large urban school districts have demonstrated limited success in improving the quality of learning conditions and outcomes due to bureaucratic and political challenges that often limit the extent to which education reform initiatives are implemented and monitored at the school-level, leading to limited student-level impact (Annenberg Foundation, 2002; Gates, 2009; Koran, 2016; Tompkins-Stange, 2016). Small-to-mid-sized urban school districts are more amenable to school-community partnerships

with philanthropic foundations, as they have fewer layers of bureaucracy—allowing them to manage agile cycles of continuous improvement with varied community partners (Cushman, 1997; Husock, 2021; Koran, 2016). However, differences in school districts' civic capacity can influence the extent to which urban school districts engage in such partnerships (Shipps, 2003).

Despite the benefits of school-community partnerships for small-to-mid-sized urban school districts, the students who attend them, and philanthropic foundations, few research studies have examined how civic capacity in small-to-mid-sized urban school districts influences philanthropic support for education reform. Failure to address this research gap limits opportunities for small-to-mid-sized urban school districts to build and strengthen philanthropic partnerships that provide additional resources to improve educational services and outcomes for students.

Purpose & Significance of Study

The purpose of the present correlational research study was to explain how civic capacity in small-to-mid-sized urban school districts influenced school-community partnerships with local philanthropic foundations for education reform through an examination of (1) the civic capacity characteristics that delineate school districts receiving education reform grants from those not receiving such grants, (2) the local place-based grantmaking patterns and funding allocations of philanthropic foundations, and (3) school districts' likelihoods of receiving education reform grants from local philanthropic foundations. Civic capacity was codified to include school districts' levels of governmental and non-governmental funding, governmental and non-governmental partners, and a catalyst for partnerships and reforms (Shipps, 2003).

The present study benefits small-to-mid-sized urban school districts, the students who attend them, and local philanthropic foundations of varying types by providing practical information that enhances understandings about and supports the development of school-

community partnerships that build schools' capacity to improve educational services and outcomes for their students.

Research Questions

The following research questions were examined to investigate how civic capacity in small-to-mid-sized urban school districts influenced and contributed to school-community partnerships with local philanthropic foundations:

1. How do the civic capacities of small-to-mid-sized urban school districts that receive grant funding from local philanthropic foundations for education reform initiatives differ from those not receiving such funding?
2. Do statistically significant differences exist between education reform initiatives in the amount of grant funding local philanthropic foundations provide?
3. To what extent is the likelihood of small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations associated with school districts' civic capacities?

Definitions

The present study's key terms include civic capacity, education reform initiative, local philanthropic foundation, urban areas, and small-to-mid-sized urban school districts. These terms are defined to justify their use and clarify their meanings within the context of the study.

Civic Capacity

Civic capacity refers to the extent of participation among coalitions in working together on a matter of communitywide importance (Shipps, 2003; Stone, 1989). The concept of civic capacity expands on the "passive" view of urban education governance to include the "active participation of educators and non-educators in pursuit of a change agenda for public schools" (Shipps, 2003, p. 844; Stone, 1989). Civic capacity was defined in the present study to include (1) governmental partners and funding, (2) non-governmental partners and funding, and (3) an initial catalyst to build capacity for reform initiatives (Shipps, 2003).

Education Reform Initiative

The present study embraced Warren's (2005) conceptualization of education reform initiatives, which includes grant-funded endeavors that seek to (1) improve the "social context of education," (2) foster parent and community participation in schools, (3) transform the culture and practice of schooling, and (4) build a "political constituency" for urban schools as a method of supporting better education service delivery systems and outcomes (p. 135).

Local Philanthropic Foundation

Philanthropic foundations were defined in the present study as all charitable organizations that support unrelated organizations or individuals through grants for scientific, educational, or other charitable purposes—including private, family, community, and corporate foundations (Council on Foundations, 2020). The present study examined the localized place-based grantmaking activities of private, family, and community foundations located in sampled counties. Therefore, all sampled counties' private, family, and community foundations were considered local philanthropic foundations.

Small and Mid-Sized Urban School Districts

U.S. school districts range in size from fewer than 500 students to more than 100,000 students (National Center for Education Statistics, 2020). This study examined civic capacity in small-to-mid-sized urban school districts located within five Michigan counties. Augenblick et al. (2018) defined mid-sized school districts in Michigan as those with enrollments between 5,020 and 13,589 students. "Very small" and small school districts were represented by those with enrollments between 670 and 1,699 students and 1,700 and 5,019 students, respectively (Augenblick et al., 2018, p. 9). In the present study, very small and small districts were combined into one category to simplify the interpretation of results. Therefore, small school districts were defined in the present study as districts with enrollments between 670 and 5,019 students. Mid-

sized school districts were described as districts with enrollments between 5,020 and 13,589 students.

The U.S. Census Bureau (2018) classifies geographical areas as urban and rural, with urban regions being further delineated as either Urbanized Areas (UAs) or Urban Clusters (UCs). UAs encompass 50,000 or more people (United States Census Bureau, 2018). UCs encompass 2,500 and 49,999 people, with at least 1,500 living outside institutional quarters (U.S. Census Bureau, 2018). Rural areas include all “population, housing, and territory” not included in urban areas (United States Census Bureau, 2018, para. 3). All small-to-mid-sized school districts located in UAs and UCs were considered in the present study as small-to-mid-sized urban school districts.

Limitations

The present study contained limitations in its sample size, timeframe, and design. The first limitation involved the study’s sample size, which included 64 small and mid-sized urban school districts in five Michigan counties. While the sample represented all Michigan school districts that met the study’s selection criteria of small-to-mid-sized urban school districts located in proximity to a diverse representation of philanthropic foundations, the sample was a small representation of school districts in Michigan. Therefore, limitations in sample size contributed to reductions in the power of the study’s statistical analyses, potentially increasing its margin of error and influencing Type II errors (Shreffler & Huecker, 2022). Additionally, limitations in the sample size limit the generalizability of research findings.

The present study analyzed one year of data to identify the civic capacity factors that influenced school-community partnerships between local philanthropic foundations and small-to-mid-sized urban school districts for education reform. Therefore, the present study’s findings demonstrate a single point in time and do not illustrate the relationships among the variables over

time. Finally, the study's non-experimental research design determined the strength of relationships between variables but did not generate information that could imply causation.

Delimitations

The quantitative data used in this study were drawn from publicly available government-managed data sources. The use of publicly available secondary data eliminated potential limitations on data collection, including data availability and consent.

Chapter Summary

This chapter provided an overview of the present study, which investigated how civic capacity in small-to-mid-sized urban school districts influenced the existence of school-community partnerships with philanthropic foundations for education reform. The problem, purpose, and significance statements identified the issues addressed through the study, clarified its scope, and outlined the implications of the study's findings. Key terms were defined to justify their use throughout the study. The research questions specified the study's scope of inquiry and provided a basis for the methodological design used to answer the research questions. Finally, limitations and delimitations were described.

Chapter 2

Literature Review

This chapter reviews the research literature on philanthropic foundations' engagement in and support of school-community partnerships for education reform in the U.S. The first section provides a historical review of philanthropic foundations' seminal education reform efforts in the U.S. The second section provides a thematic review of research literature on school-community partnerships, highlighting the role of philanthropic foundations in catalyzing and expanding education reform partnerships. Typologies of school-community partnerships and education reform initiatives are also described, providing a framework for analyzing education reform efforts. The third and final section synthesizes the research methods used in related studies to justify the selection of the present study's statistical analyses.

Historical Review of the Research Literature

Philanthropic foundations have served as critical stakeholders in U.S. education reform since their modern origins. Toward the end of the 19th century, the U.S. experienced unprecedented social and economic changes brought on by the Reconstruction era, swelling immigration patterns, urban industrialization, and widespread urban and rural poverty (Ealy & Ealy, 2006). The growing complexity of social and economic conditions within U.S. cities threatened the relevance of traditional social institutions, as they were ill-equipped to address the challenges of the period (Ealy & Ealy, 2006). In response, scholars, philanthropists, and social critics—known as Progressives—forged new social and institutional reforms by adopting scientific objectivist views, emphasizing the need for “centralized, professionalized, and tax-supported” social services (Ealy & Ealy, 2006, p. 35).

Evolution of Modern Education Philanthropy

The era of institutional reform and social activism between 1886 and 1920 is referred to as the Progressive Era (Encyclopedia Britannica, 2021). Before this period, wealthy philanthropists were already involved in addressing social disparities by donating to causes and educational institutions (National Philanthropic Trust, 2020; Philanthropy New York, 2008). However, the Progressive Era signified a shift in philanthropists' practices toward more systematized approaches — providing grants to public, private, and non-profit entities through organized philanthropic foundations (National Philanthropic Trust, 2020; Philanthropy New York, 2008). George Peabody, a wealthy industrialist, is widely credited as the "founder of modern philanthropy" due to his role in establishing the Peabody Education Fund (Peabody Institute of The John Hopkins University, 2021, para 1).

Origins of Modern Philanthropy. The Peabody Education Fund was established in 1867 to encourage the development of permanent education systems throughout southern U.S. states (National Philanthropic Trust, 2020; Parker, 1961; Southern Education Foundation, 2021). To achieve this goal, the Peabody Education Fund provided charitable grants to cities on the condition that (1) Peabody grants were matched with public funding and (2) schools were operated under a form of public control (West, 1966). Further, given the large number of formerly enslaved Black citizens in the American South, charitable grants were used by the Peabody Education Fund to encourage Black students' enrollment in southern schools (West, 1966). By leveraging its influence and funding to advance education reforms, the Peabody Education Fund established a framework for the prominent role that modern philanthropic foundations have continued to fulfill in reforming education in the U.S.—the role of a catalyst for education reform (Greene, 2005, 2015; Jenkins & McAdams, 2005; Kramer, 2009; Reckhow, 2013; Tompkins-Stange, 2016).

Diversification of the Philanthropic Sector. More than two decades after the Peabody Education Fund's establishment, Andrew Carnegie, a notable industrialist and philanthropist, authored the *Gospel of Wealth*, detailing the methods by which the country's wealthiest citizens could administer their surplus wealth as "trustees for the public good" (The Spectator, 1901, p. 926). Accordingly, the Carnegie Corporation of New York was established in 1911 to "promote the advancement and diffusion of knowledge and understanding" (Carnegie Corporation of New York, 2020). The Rockefeller Foundation was established by John D. Rockefeller soon thereafter in 1913 (Rockefeller Foundation, 2020). The first U.S. community foundation, the Cleveland Foundation, was also established during this period as a mechanism to allow individuals of modest wealth to pool their assets to create "a permanent vehicle for addressing pressing local needs" (The Cleveland Foundation, 2021, para 1).

Influence of Federal Tax Policy. During and after World War I, federal tax policy influenced the expansive growth of private and community foundations by motivating high-wealth individuals to seek tax relief (Philanthropy New York, 2008). The ratification of the 16th Amendment to the U.S. Constitution enacted income taxes, which increased for individuals with the highest incomes from 7% in 1913 to 77% in 1918 (Gersick et al., 2004; United States National Archives and Records Administration, 2021). The federal estate tax was introduced in 1916 and allowed the federal government to levy excise taxes on "the privilege of transferring property at death" (Jacobson et al., 2007, p 118). However, the War Revenue Act of 1917 allowed individuals to reduce their tax liabilities by authorizing income tax deductions of up to 15% of an individual's adjusted gross income for donations to charitable organizations and not taxing assets transferred to irrevocable trusts and private foundations at death (Gersick et al., 2004; Thorndike, 2013).

Given the tax avoidance provisions created by federal wartime tax policies, philanthropic foundations became effective methods for reducing the tax liabilities of the wealthy by providing a vehicle for systematized charitable giving and allowing donors to retain a form of control over donated assets (Gersick et al., 2004). These tax policies also influenced the growth of family foundations, whose funds derive from members of a single family and have at least one family member serving as an officer or board member (Council on Foundations, 2021). By World War II, nearly 44% of all new philanthropic foundations were family foundations (Gersick et al., 2004).

The growth of the philanthropic sector incited several federal regulations of philanthropic foundations, beginning with The Revenue Act of 1950, which placed limits on foundations' business activities (Latcham, 1951). Notably, Congress permitted taxation on philanthropic foundations' "unrelated business net income," thereby invalidating the tax-exempt status of income generated from sale-leaseback transactions and third-party feeder organizations that held financial interests for philanthropic foundations (Latcham, 1951, p. 100).

The Tax Reform Act of 1969 established new rules for how private philanthropic foundations operated by restricting their direct influence on public policy and limiting potential abuses of their tax-exempt status (Tompkins-Stange, 2016; United States Senate Committee on Finance, 1973). Notably, the Tax Reform Act of 1969 adopted rules to categorize philanthropic foundations as either public charities or private foundations (Hackney, 2020). Under this categorization, community foundations were designated as public charities, recognizing them—like churches, schools, and hospitals—as institutions that "build a broad public base by seeking donations from a large percentage of the public" (Hackney, 2020, p. 237). Conversely, private

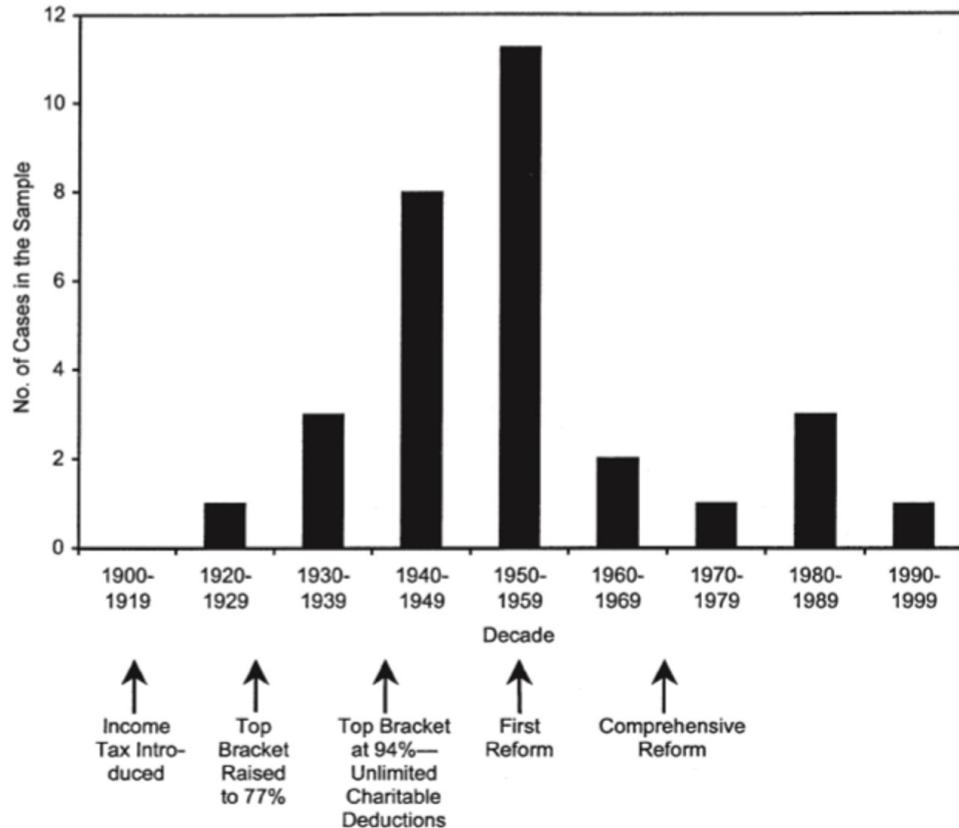
foundations, including family foundations, were delineated from public charities as those supported primarily by contributions from a single benefactor or family (Hackney, 2020).

Following the Tax Reform Act of 1969, philanthropic foundations began organizing through intermediary organizations, such as the Council on Foundations and the Foundation Center, to standardize governance in accordance with the newly enacted tax policy (Wadsworth, 1975). Additionally, the “complex requirements” of the Tax Reform Act of 1969 influenced numerous small private trusts to dissolve and entrust their assets to community foundations or family foundations (Wadsworth, 1975, p. 257). Consequently, community foundations’ assets increased in the period immediately following the enactment of the Tax Reform Act of 1969, totaling more than \$1 billion by 1975 (Wadsworth, 1975). Donors were particularly attracted to community foundations because they offered Donor Advised Funds (DAFs), which allow donors to bequeath funds and then advise the funds’ charitable distribution (Berman, 2015). Studies conducted by the Council on Foundations between 1968 and 1972 indicated that community foundations received more than \$100 million from the liquidation of private trusts and foundations (Wadsworth, 1975).

Finally, the Tax Reform Act of 1969 increased transparency in philanthropic foundations’ assets and expenditures, allowing for a more explicit understanding of the relationships between philanthropic donations and social services (Wadsworth, 1975). Figure 2.1 displays the distribution of founding dates of family foundations between 1900 and 1999, demonstrating the influence of federal tax policy on the expansion of the philanthropic sector.

Figure 2.1

Distribution U.S. Private Family Foundation Founding Dates 1900-1999 (Gersick et al., 2004, p. 43)



Philanthropic Support for Education Reform: Pre-1969. Education reform initiatives supported by modern philanthropic foundations can be traced back to the Peabody Education Fund's financing of public education systems in the American South (National Philanthropic Trust, 2020; Southern Education Foundation, 2021). However, the philanthropic sector's growth, diversification, and professionalization between 1920 and 1969 created a more prominent role for philanthropic foundations in influencing education reform (Colvin, 2005). During this time, national private foundations—like the Carnegie Corporation of New York (Carnegie Corporation), Ford Foundation, Charles Stewart Mott Foundation (Mott Foundation), and the W.K. Kellogg Foundation (Kellogg Foundation)—spearheaded seminal education reform

research and demonstration programs that contributed to the creation of standard components of the U.S. education system (Carnegie Corporation of New York, 2004; Charles Stewart Mott Foundation, 2021; Colvin, 2005; W.K. Kellogg Foundation, 2021;). Community foundations, like the Cleveland Foundation, made similar contributions to local education reform efforts that demonstrated foundation support for innovative initiatives (The Cleveland Foundation, 2021).

Research and Demonstration Era: 1930-1949. Building on the Progressive Era's influence, philanthropic foundations took methodical approaches to professionalize the public educational system (Colvin, 2005). Between 1930 and 1949, philanthropic foundations supported research and demonstration programs that influenced national educational reform movements, including community education initiatives, standardized testing, and comprehensive high schools.

The Mott Foundation initiated its support for community education initiatives in 1935, encouraging schools to offer educational and recreational programs for residents beyond the traditional school day (Charles Stewart Mott Foundation, 2021). The Mott Foundation's support of educational reform in its hometown of Flint, Michigan, influenced a significant transformation of the city's public school district until regulatory changes "led to the separation of the Mott Foundation and the Flint Board of Education" (Charles Stewart Mott Foundation, 2017, para 8). Similarly, the Kellogg Foundation provided grants to transform small rural schoolhouses near its hometown in Michigan into larger comprehensive schools (W.K. Kellogg Foundation, 2021). The early demonstration projects of the Mott and Kellogg Foundations also approximate the characteristics of place-based philanthropy approaches, which provide long-term support within a given geographic area for collaborative partnerships that create, nurture, and sustain systemic changes (Dalma et al., 2022; Fehler-Cabral et al., 2016, p. 84).

The trend of demonstration projects was not exclusive to private foundations. In 1938, the Cleveland Foundation financed a demonstration nursery school located in a public housing development on the city's west side (The Cleveland Foundation, 2021). The foundation financed the nursery school for two years before transferring ownership to the Cleveland Metropolitan Housing Authority (The Cleveland Foundation, 2021). In doing so, the Cleveland Foundation demonstrated a key component of philanthropic foundations' catalytic role by transitioning oversight for the initiative to public or non-profit entities (Tompkins-Stange, 2016). The early efforts of the Mott, Kellogg, and Cleveland Foundations demonstrate an early commitment among philanthropic foundations of all types to influencing sustainable education reforms within their local communities through place-based philanthropy.

In 1944, the Carnegie Corporation financed the publication of *An American Dilemma: The Negro Problem and Modern Democracy* to "crystalize the emerging awareness that racial discrimination and legal segregation could not endure in the U.S." (Carnegie Corporation of New York, 2004, p. 1). The study was cited in various civil rights cases, including the pivotal school reform case, *Brown v. Board of Education*, which led to the desegregation of U.S. public schools (Carnegie Corporation of New York, 2004). The Carnegie Corporation also supported the establishment of the Educational Testing Service (ETS) in 1947 to provide an objective method of measuring students' academic merit in higher education, including pre-service K-12 teachers (Carnegie Corporation of New York, 2021). The early efforts of philanthropic foundations—such as the Mott, Kellogg, Cleveland Foundations, and Carnegie Corporation—laid the groundwork for the institutional reform initiatives supported by philanthropic foundations in the following decades.

Institutional Reform Era: 1950-1969. The Kellogg Foundation sponsored the development of the Cooperative Program in Educational Administration (CPEA) in 1950 out of concern about “the continuing improvement of educational leadership” (Carroll, 1952, p. 105). CPEA provided pre-service and in-service training for public school administrators through eight foundation-sponsored centers at colleges and universities throughout the U.S. (W.K. Kellogg Foundation, 1979). CPEA engaged “most state departments of education” and nearly 3,000 county school systems, colleges, and universities in improving the preparation of public education administrators (W.K. Kellogg Foundation, 1979, p. 32).

Starting in 1952, the Ford Foundation began providing grants to entities, such as the NAACP Legal Defense and Education Fund, to support public defenders, legal aid, and litigation to advance civil rights in U.S. education and social service systems (Ford Foundation, 2007). By 1967, the Ford Foundation elevated the Civil Rights Movement to be one of its top priorities, appropriating nearly 40% of its annual giving to the cause (Schindler, 2007a). Litigation sponsored by the Ford Foundation had far-reaching implications, including “making New York City schools and the City University of New York more accessible” to minority students (Schindler, 2007b, p. 2).

In 1952, the Carnegie Corporation responded to growing criticisms from educators about the emphasis on memorization and repetition in mathematics education by funding the development of textbooks and teachers’ manuals for a “New Math” curriculum for students in grades 9 through 12 (Carnegie Corporation of New York, 2021, para 24). Like the Mott Foundation, the Kellogg Foundation increased its support for community education initiatives by 1955, citing the reform initiative’s ability to help “large numbers of citizens participate more actively in public education” (W.K. Kellogg Foundation, 1955, p. 31). The Mott Foundation

subsequently produced and published the documentary *To Touch a Child*, which was instrumental in nationally elevating the community education initiative (Charles Stewart Mott Foundation, 2021).

The aeronautics competition between the U.S. and the Soviet Union between 1957 and 1975 enhanced charitable support for educational reform. In 1959, the Carnegie Corporation published *American High School Today: A First Report to Interested Citizens* to encourage national support for public schools (Carnegie Corporation of New York, 2021). The study built on the Kellogg Foundation's previous work of transforming "small, isolated schools with limited offerings" into large comprehensive high schools by encouraging the expansion of such strategies (Carnegie Corporation of New York, 2021, para. 28). In 1964, the Carnegie Corporation also sponsored the development of the National Assessment of Educational Progress (NAEP) as the first assessment tool created to "monitor student performance comprehensively and consistently" (Schindler, 2007b, p. 1). Grants provided by the Carnegie Corporation between 1964 and 1969 enabled NAEP to be adopted by the U.S. Department of Education in the following decades (Schindler, 2007b).

The Ford Foundation and Carnegie Corporation were instrumental in establishing the federal Head Start program, which provides early care and education to preschool children from low-income families throughout the U.S. (Carnegie Corporation of New York, 2021; Ford Foundation, 2021). Early childhood initiatives piloted by the Ford Foundation before the Head Start program's enactment in 1965 informed "the federal government's thinking around early intervention" (Ford Foundation, 2007, para 2). Additionally, the Carnegie Corporation and Ford Foundation supported research used to safeguard federal funding for the Head Start program in later years (Carnegie Corporation of New York, 2021; Ford Foundation, 2021).

The Tax Reform Act of 1969 changed how private philanthropic foundations operated (Fei, 2018; Hackney, 2020; Tompkins-Stange, 2016). First, the legislation prohibited private foundations from “self-dealing” with donors, which includes (1) the sale or lease of property, (2) lending money or extending credit, (3) providing goods, services, or facilities, (4) paying compensation or issuing reimbursements, and (5) agreements to make payments to government officials (Internal Revenue Service, 2020). Second, philanthropic foundations were required to disburse eligible charitable expenditures equaling or exceeding 5% of their endowments’ corpus annually (Hackney, 2020). Additionally, private foundations were prohibited from holding “a significant interest in a private company” and had limits placed on investments that could negatively impact the foundation’s endowment (Hackney, 2020, p. 238). Finally, the Tax Reform Act of 1969 allowed the government to levy taxes on private foundations’ non-charitable expenditures (Hackney, 2020).

Philanthropic Support for Education Reform: 1970-Present. With new regulations in place due to the Tax Reform Act of 1969, philanthropic support for educational reform transitioned to an era of “strategic philanthropy,” signified by foundations providing “planned, organized, and deliberately constructed means” to achieve social outcomes (Carnegie Corporation of New York, 2021, para. 36). Therefore, philanthropic foundations no longer sought to support socially desirable projects and, instead, sought to support socially desirable outcomes that could be “communicated to the public, the media, and decision-makers” to foster policy debate (Carnegie Corporation of New York, 2021, para 26). Given the limitations on private philanthropic foundations’ ability to directly influence public policy, the 1970s gave rise to philanthropic support for independent education reform organizations—like the Children’s Defense Fund and Education Law Center—to achieve foundation-supported education reforms

(Children's Defense Fund, 2018; Ford Foundation, 2021). Conversely, because community foundations had fewer constraints on their ability to influence public policy, they leveraged their resources and influence to engage directly in public policy reform during the 1970s and 1980s (Fei, 2018; Hackney, 2020).

The beginning of the 21st century signified another notable shift in philanthropic support for educational reform. In the early 2000s, a new class of philanthropic foundations emerged, characterized as having living benefactors who amassed their wealth near the end of the 20th century (Snyder, 2015). These philanthropic foundations embraced a venture philanthropy approach, drawing on venture capital's analytical principles to assess the organizations and causes they support (Bildner et al., 2020).

Strategic Philanthropy Era: 1970-1999. By 1970, the Carnegie Corporation's motives shifted toward developing programs that could be replicated and scaled by key education constituencies, particularly government entities (Carnegie Corporation of New York, 2021). Likewise, the newly established Spencer Foundation proclaimed in its 1971 annual report that "critical inquiry into the process of learning and into educational practices is badly needed in our time" (Spencer Foundation, 2021, para. 8). Resultingly, the Spencer Foundation committed to funding efforts that had the most significant potential to reform teaching and learning processes in public schools (Spencer Foundation, 2021). The subsequent investments of these foundations and others typify the strategic philanthropy approach, in which philanthropic investments are designed to achieve foundations' missions, goals, and values while providing a public benefit (Carroll, 2018).

In 1972, the Carnegie Corporation created the Carnegie Council on Children to research the educational, social, and economic influences on child development (Carnegie Corporation of

New York, 2021). The council's report, *All Our Children: The American Family Under Pressure*, raised national awareness about the impact of social determinants on children's development (Carnegie Corporation of New York, 2021). Subsequently, in 1973, the Carnegie Corporation and the Ford Foundation provided support for the development of the Children's Defense Fund and other school reform entities, resulting in seminal education reforms, such as the Education for All Handicapped Children Act of 1975 and the Act for Better Child Care of 1990 (Children's Defense Fund, 2018).

In 1973, the Ford Foundation sponsored the development of the Education Law Center (Ford Foundation, 2021). With support from the Ford Foundation, the Education Law Center led the *Robinson v. Cahill* and *Abbott v. Burke* school finance cases in New Jersey, which overturned the state's inequitable school finance system that awarded higher amounts of funding to suburban schools when compared to their urban counterparts (Education Law Center, 2021a). Throughout the 1970s, private philanthropic foundations—such as Ford, Rockefeller, Spencer, and Carnegie—supported research and advocacy that led to other seminal school finance litigation in California, Texas, Kentucky, New York, and Ohio (Colvin, 2005).

In the 1973 *Reed v. Rhodes* case, Plaintiffs alleged that the Cleveland Public Schools and the state of Ohio intentionally maintained a system of race-based school segregation in violation of federal civil rights laws (Dunne, 2017). Preemptively, the Cleveland Foundation reviewed similar cases and determined that a court-ordered desegregation ruling was inevitable (The Cleveland Foundation, 2021). To “prevent the violence that greeted court-ordered bussing in Boston,” the Cleveland Foundation invested more than \$100 million in a multi-year public awareness campaign promoting peaceful public school desegregation (The Cleveland Foundation, 2021).

Similarly, in 1981, the New York Community Trust produced research that confirmed high-need public school districts in New York were negatively impacted by an inequitable state funding formula (New York Community Trust, 2021). The study served as an impetus for the Levittown Union Free School District v. Nyquist school finance case in 1982, where the Plaintiffs argued that the school finance formula violated the state constitution's equal protection clause by providing unequal funding to students attending high-need public school districts (Hildebrand, 1982). However, the Plaintiffs were unsuccessful in their attempt to reform the New York school finance system, as the Court ruled that the state's constitution mandated schools to provide students "the opportunity" to obtain a basic education, not equal per-pupil funding across all school districts (Education Law Center, 2021b, para. 2).

The *A Nation at Risk* report was released in 1983, detailing inadequacies in the U.S. education system and giving education reformers a renewed platform for advocacy focused on measurable outcomes (Snyder, 2015). During this period, the Spencer Foundation sponsored the Good Neighbor program in Chicago to provide funding to action-oriented projects that sought to broaden "the definition of what might be seen as quality" within education programs (Spencer Foundation, 2021, para. 11). In 1986, the Carnegie Corporation established the Carnegie Council on Adolescent Development to increase public awareness about the importance of adolescent development (Carnegie Corporation of New York, 2021). In its report, *Turning Points: Preparing American Youth for the 21st Century*, the council brought national attention to the developmental needs and cognitive abilities of adolescents, as well as the importance of public schools in addressing their needs (Carnegie Corporation of New York, 2021). The report catalyzed the expansion of middle schools by solidifying consensus among education institutions on the supportive services needed by students in the middle grades (Juvonen et al., 2004). At the

same time, various philanthropic foundations, including the Lilly Endowment, Edna McConnell Clark, and Kellogg Foundations, began advocating and providing support for education reform initiatives related to the middle-grade levels (Juvonen et al., 2004). Relatedly, in 1988, the Mott Foundation sponsored the establishment of the first middle college in Flint, Michigan, which allowed students to accrue college credits while earning a high school diploma (Charles Stewart Mott Foundation, 2021).

In 1989, the Carnegie Corporation catalyzed the Common Core education reform initiative by sponsoring the American Association for the Advancement of Science's research and report entitled *Science for All Americans and Benchmarks for Science Literacy* (Carnegie Corporation of New York, 2021). The report identified numerous gaps in U.S. education standards and recommended developing common core learning standards for science, mathematics, and technology (Carnegie Corporation of New York, 2021). Also, in 1989, while still in its infancy, the Wallace Foundation invested more than \$50 million in the Pathways to Teaching Careers initiative to address the projected teaching shortage in urban schools due to retirements, high turnover rates, and challenges in recruiting teachers (Wallace Foundation, 2021). The initiative engaged 40 higher education institutions in 23 states to develop strategies for teacher recruitment and teachers' preparation from nontraditional candidate pools (Wallace Foundation, 2021). By its conclusion, the initiative prepared 2,000 teachers and was institutionalized at 32 higher education institutions (Wallace Foundation, 2021).

In 1993, the New York Community Trust, once again, supported a challenge to the New York school finance system by sponsoring the Campaign for Fiscal Equity, a parent-led coalition with the aim of providing equity in school finance (Brennan Center for Justice, 2006; New York Community Trust, 2021). In *Campaign for Fiscal Equity v. State of New York*, the Plaintiffs

argued, and the Court agreed, that the state failed to meet its constitutional obligation to provide students the opportunity to obtain a basic education (Brennan Center for Justice, 2006). After multiple appeals, the State Supreme Court ruled in favor of the Plaintiffs and ordered a restructuring of the state's school finance system, establishing minimum foundation funding for public schools in New York (Brennan Center for Justice, 2006).

Concurrently, in 1993, the Annenberg Foundation announced a \$500 million grant to catalyze support for public schools and "unite the resources and ideas" of public education stakeholders (Annenberg Foundation, 2020, para. 2). It remains the largest private gift to public education in the US (Annenberg Foundation, 2002; Tompkins-Stange, 2016). Working with the Annenberg Institute for School Reform at Brown University, the initiative sought to stimulate innovative education reforms by enlisting local leaders to develop strategies that addressed disparities for children in urban and rural school districts (Annenberg Foundation, 2002). The Foundation also required grantees to match philanthropic funding with other public and private funds, resulting in a combined investment of more than \$1 billion (Annenberg Foundation, 2002). Distinct from previous efforts, the Annenberg Challenge's education reform initiatives were generally implemented without significant input from the superintendents, school boards, and teacher unions (Annenberg Foundation, 2002). Instead, grants supported the development of intermediary organizations, which allowed the projects to "avoid entanglement in local politics" and ensured that grants did not "disappear" inside larger school district budgets (Annenberg Foundation, 2002, p. 13).

Philanthropic support for education reform continued after the Annenberg Challenge from various philanthropic foundations, including the Mott Foundation, which committed \$55 million in 1998 to support technical assistance and training initiatives that helped communities

implement the federal 21st Century Learning Centers initiative, ultimately providing more than \$300 million for the initiative (Charles Stewart Mott Foundation, 2021). Notwithstanding philanthropic support for education reform initiatives during this era, initiatives like the Annenberg Challenge were criticized as failures because they (1) maintained the status quo by relying on too many traditional stakeholders and practices to influence reforms, (2) diluted capital across too many communities, resulting in a lack of meaningful education reform, and (3) supported efforts that could not be sustained after grant funding was withdrawn (Snyder, 2015; Tompkins-Stange, 2016).

Public pressures on states to address the uneven progress of local education reform initiatives influenced the adoption of high-stakes testing and other reforms in schools during the late-1990s (Annenberg Foundation, 2002). Therefore, to avoid the shortcomings demonstrated through the Annenberg Challenge, many philanthropic foundations transitioned toward venture philanthropy approaches, using market-based values to generate social change (Boggs, 2014; Reckhow & Snyder, 2014; Tompkins-Stange, 2016).

Venture Philanthropy Era: 2000-Present. The Wallace Foundation described the transition from strategic philanthropy to venture philanthropy approach as transitioning from “doing good” to “making change” (Wallace Foundation, 2021, para. 7). As a result, the Wallace Foundation and many of its peers refined their education reform efforts by shifting support from traditional stakeholders, like universities, to influence education reforms aligned with the interest of philanthropic foundations (Tompkins-Stange, 2016; Wallace Foundation, 2021). The venture philanthropy approach is most directly associated with newer philanthropic foundations, like the Bill and Melinda Gates Foundation (Gates Foundation), Eli and Edyth Broad Foundation (Broad

Foundation), and the Silicon Valley Community Foundation (Foundation Center, 2017; Tompkins-Stange, 2016).

The Gates Foundation launched its education grantmaking in March 2000, with a \$350 million investment into “model schools and districts,” teacher and administrator professional development, and higher education scholarships (Bill and Melinda Gates Foundation, 2000, p.51). That year alone, the Gates Foundation awarded more than \$46 million throughout the U.S. to convert large comprehensive schools into smaller learning communities (Bill and Melinda Gates Foundation, 2000). However, in 2006, when evidence emerged that the Small Schools Initiative was ineffective at influencing improved academic achievement and graduation rates, the Gates Foundation shifted its priorities to focus on teacher effectiveness (Gates, 2009; Tompkins-Stange, 2016). The Gates Foundation typified the venture philanthropy approach in supporting the Small Schools Initiative to demonstrate results, then withdrawing its support when the reform proved to be ineffective (Boggs, 2014; Reckhow & Snyder, 2014; Tompkins-Stange, 2016).

In 2001, the Gates, Wallace, and Broad Foundations, in addition to the Carnegie Corporation, sponsored the development of the James R. Hunt, Jr. Institute for Educational Leadership and Policy to “promote education reform” by assisting government leaders in developing, implementing, and sustaining their education reform agendas (Carnegie Corporation of New York, 2021, para. 73). In contrast to reform strategies during previous eras, which supported research and advocacy to influence educational policy, these philanthropic foundations sought to influence education reform by providing ongoing technical assistance and capacity-building directly to educators and policymakers (The Hunt Institute, 2021). The practice of engaging policymakers through intermediary organizations epitomizes the venture philanthropy

approach, which emphasizes working at the various levels of government to “create a policy environment that (is) supportive to the kinds of changes they want to make” (Tompkins-Stange, 2016, p. 22). The Wallace Foundation also typified this approach in its establishment of the State Action for Education Leadership Project (SAELP) — a national consortium led by The Council of Chief State School Officers— to address a comprehensive range of education policy issues by providing technical assistance and a cohesive grantee network (Wallace Foundation, 2009). The Wallace Foundation also established a venture fund to “seed innovation” in public education systems using philanthropic grants (Wallace Foundation, 2009, p. 10).

In 2002, the Broad Foundation established the Broad Center as an independent non-profit organization focused on developing K-12 educational leaders through the Broad Residency in Urban Education and the Broad Academy (Eli and Edythe Broad Foundation, 2021). The Broad Academy is a two-year advanced fellowship for public educators to gain knowledge and experience from veteran educational leaders to “transform America’s public education system” (Eli and Edythe Broad Foundation, 2021, para 1). Similarly, the Broad Residency in Urban Education is an intensive two-year professional development program for practicing educational leaders in which fellows serve full-time in urban school districts, public charter school networks, and state education agencies (Eli and Edythe Broad Foundation, 2021). The Broad Center’s initiatives have supported more than 850 educational leaders in building the capacity necessary to facilitate educational reform (Eli and Edythe Broad Foundation, 2021).

Lessons learned from its investments in SAELP influenced the Wallace Foundation to decrease its emphasis on superintendents to focus solely on “changing principals’ conditions” (Wallace Foundation, 2009, p. 10). To this end, in 2003, the Wallace Foundation sponsored the development of the New York City Leadership Academy as an alternative to leadership training

offered through universities, training more than 600 principals for leadership in New York City's public schools (The Leadership Academy, 2021; Wallace Foundation, 2009). The Broad Foundation also began supporting charter schools in 2004 by sponsoring the establishment of Knowledge is Power Program (KIPP) Schools in multiple cities and supporting KIPP's charter management organization in achieving its national objectives (Eli and Edythe Broad Foundation, 2021). Beginning in 2007, the Silicon Valley Community Foundation provided support for the NewSchools Venture Fund, an organization created to enable "a new type of philanthropic support for innovative" educational reforms, primarily through charter schools for children in underserved communities (NewSchools Venture Fund, 2021, para. 1; Foundation Center, 2017). By 2016, the Silicon Valley Community Foundation had contributed more than \$100 million to the initiative (Foundation Center, 2017).

In 2007, the Carnegie Corporation joined the Gates Foundation in support of the Small Schools Initiatives by sponsoring the New Century High Schools initiative, which catalyzed the opening of small urban high schools within the New York City Public Schools system (Carnegie Corporation of New York, 2021). Additionally, in 2009, the Gates Foundation made its largest donation of the decade in the amount of \$290 million to support three urban school districts and five charter groups in transforming the systems of teacher recruitment, compensation, recognition, and retention (Bill and Melinda Gates Foundation, 2009; Dillon, 2009).

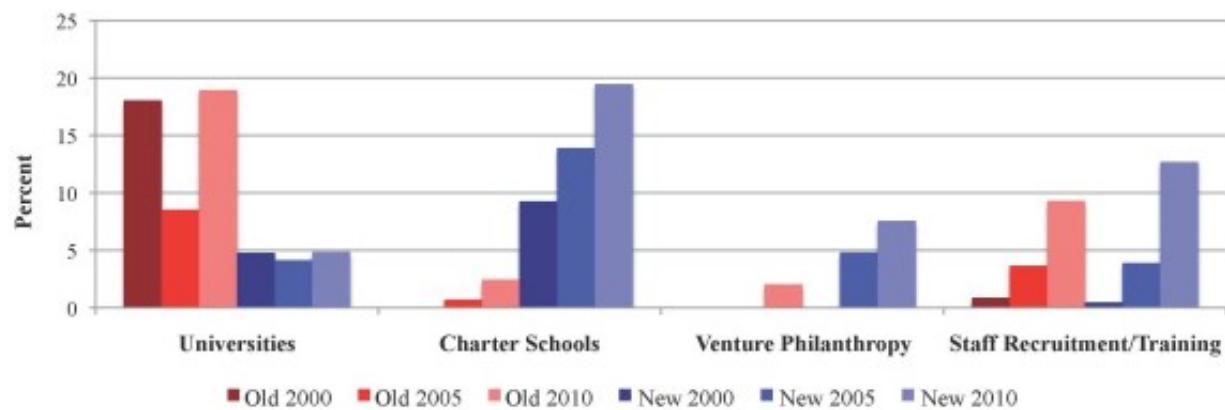
Philanthropic foundations' efforts between 2000 and 2009 demonstrate another notable shift in their education reform approaches by providing more funding to charter schools (Snyder, 2015). The Silicon Valley Community Foundation, Ford Foundation, and Carnegie Corporation's efforts demonstrate that community foundations and older private foundations also embraced venture philanthropy principles. Although older foundations adopted venture

philanthropy principles during the period, their support remained high for traditional education stakeholders, such as universities, to advance educational reforms (Snyder, 2015). Philanthropic foundations' efforts during this period also demonstrate that foundations of all types committed to place-based and national education reform efforts.

Figure 2.2 displays the distribution of education grants by the ten largest old and new foundations in 2000, 2005, and 2010. Figure 2.2 substantiates that older philanthropic foundations provided higher amounts of education reform grant funding to universities and training initiatives. In contrast, newer philanthropic foundations awarded a larger proportion of their resources to charter schools and venture philanthropy (Snyder, 2015).

Figure 2.2

Distribution of K-12 Education Giving by Old & New Foundations; 2000, 2005; 2010 (Snyder, 2015, p. 38)



In 2010, Bill and Melinda Gates and Warren Buffet created *The Giving Pledge* to "collectively set a new standard of generosity" by encouraging the wealthiest Americans to bequeath their wealth to philanthropy (The Giving Pledge, 2021, para. 1). Engaging more than 200 of the world's wealthiest individuals, The Giving Pledge "movement" is a long-term effort that seeks to reform the approaches of philanthropists to give more and in "smarter ways" (The Giving Pledge, 2021, para. 8). The movement recognized philanthropists' role as catalysts in

areas of funding scarcity, particularly those that cannot or would not be funded by the government or businesses (The Giving Pledge, 2021). Additionally, *The Giving Pledge* incited increased support for community foundations, with several wealthy donors establishing DAFs in the wake of the pledge (Foundation Center, 2017).

In 2012, The Cleveland Foundation supported the development of Cleveland's Plan for Transforming Schools to serve as a framework for drastically increasing the number of students attending high-performing public schools (The Cleveland Foundation, 2021). In partnership with various stakeholders and the public school district, the plan called for eliminating top-down governance structures and created a non-elected community advisory council to monitor accountability (The Cleveland Foundation, 2021). Additionally, the plan adopted various reforms related to teacher management systems espoused by the Gates Foundation, such as a performance-based evaluation and compensation system (The Cleveland Foundation, 2021). The plan is acknowledged as the most comprehensive reform of local schools in Cleveland's recent history (The Cleveland Foundation, 2021).

The 2013 Flint, Michigan Master Plan called for a renewal of the community education model for public schools (City of Flint, 2013). In response, the Mott Foundation granted more than \$36 million to the Crim Fitness Foundation to support a redeveloped community education model in Flint (Charles Stewart Mott Foundation, 2021). Two years later, when the city experienced a water crisis, which exposed thousands of children and families to harmful contaminants through the public drinking water system, the Mott Foundation expanded its support for place-based early childhood education initiatives in Flint to mitigate the potential effects of childhood lead exposure (Charles Stewart Mott Foundation, 2021; Kennedy, 2016).

The Mott Foundation later established place-based support for charter schools in 2018 by sponsoring a public charter school in Flint (Charles Stewart Mott Foundation, 2021).

Thematic Review of Literature

The evolution of philanthropic foundations demonstrates their role as catalysts for education reform through school-community partnerships with educational leaders and community stakeholders. However, school-community partnerships with philanthropic foundations in urban school districts depend on the characteristics of schools and their communities (Hands, 2010). Banathy's (1992) conceptualization of modern educational systems calls for "the integration of all systems in the community that can provide resources, opportunities, and arrangements that can support learning and human development" to address the various issues that impact student success (p. 35). Therefore, analyses of factors influencing partnerships that contribute to improved student outcomes must be broadened to include "civic capacity," which refers to the diversity of non-governmental actors—including philanthropic foundations—that support integrating community systems and services into schools (Shipps, 2003, p. 845).

The research literature on school-community partnerships clarifies the phenomenon of shared governance in education systems between governmental and non-governmental stakeholders. Relatedly, the research literature on school-community collaboration, wrap-around services, co-production, and integrated services is also helpful in clarifying the background, structure, and impact of school-community partnerships in influencing education reform.

School-Community Partnerships Background

Contemporary conceptualizations of school-community partnerships originated during the Progressive Era when social services evolved to respond to societal changes brought on by various social phenomena (Dewey, 1902). In 1902, John Dewey, a respected education reformer

and philosopher, proclaimed that for public schools to remain relevant in the 20th century, they must become the “center for full and adequate social service” (Dewey, 1902, p. 73). Dewey (1902) observed that while schools previously focused on devolving to students information that was obscure from relevance in daily life, the new era demanded that schools prepare students for the occupations and concerns of society. To do this, Dewey (1902) recommended utilizing schools as centers for community gatherings, recreation, and extended learning opportunities. Accordingly, social reformers from various disciplines worked with and within schools to improve prospects for children and their families (Valli et al., 2016).

Dewey’s (1902) reconceptualization of public schools coincides with the emergence of modern education philanthropy approaches, which shaped educational policy throughout the 20th century (National Philanthropic Trust, 2020; Philanthropy New York, 2008). Philanthropic foundations supported school-community partnerships for education reform as early as the 1930s with the Mott Foundation’s support for community education initiatives (Charles Stewart Mott Foundation, 2021). For the remainder of the century, various educational stakeholders engaged in school-community partnerships to improve students’ social, academic, and economic conditions (Charles Stewart Mott Foundation, 2021; Shipps, 2003; Valli et al., 2016). However, starting in the mid-20th century, urban schools’ operational capacities and conditions significantly decreased as affluent families migrated to suburban communities, leaving primarily poor, minority residents in urban centers (Gibson, 2010).

By the 1990s, community education initiatives resurged, focusing on providing “full-service” schools to address the health and social needs of the times (Dryfoos, 1994; Haig, 2014; Valli et al., 2016, p. 720). Federal support soon followed for such reforms and emphasized involvement from the private and non-profit sectors to maximize governmental investments,

making philanthropic foundations key actors in school-community partnerships for education reform (Dryfoos, 1994; Valli et al., 2014, 2016; Tompkins-Stange, 2016). School-community partnerships and other place-based educational reform initiatives continue to rely on a range of non-governmental partnerships (Gazley & Brudney, 2007; Reckhow et al., 2020; Valli et al., 2016).

Typology of School-Community Partnerships

Various approaches are used to coordinate school-community partnerships; however, approaches can be differentiated by their scope, purpose, structure, and outcomes (Valli et al., 2016). Valli et al. (2016) developed typologies of school-community partnerships based on an extensive review of existing research literature. These typologies coincide with the research of Wheeler et al. (2003), which clarifies the scope, purpose, and resources different types of school-community partnerships require.

Valli et al. (2016) found that school-community partnerships differ in their scope, purpose, and requirements for partnership success. Through a comparative analysis of various school-community partnership structures, Valli et al. (2016) developed a general theory of change for school-community partnerships in addition to four discrete typologies, which emphasizes the value of “partnerships as a way of increasing the school’s capacity to engage in strategies that meet the needs of children and their families” (Valli et al., 2016, p. 723). To implement this theory of change, reformers may structure school-community partnerships using four typologies: (1) family and interagency collaboration, (2) full-service schools, (3) full-service community schools, or (4) the community development model, with each model ranging in the complexity of partners and outcomes (Valli et al., 2016).

Family and Interagency Collaboration Model. The Family and Interagency Collaboration model represents the simplest typology developed by Valli et al. (2016) and

focuses on coordinating with community agencies to deliver social services and increasing parents' involvement in schools. While these partnerships may attempt to address the needs of children and their families, they do not offer a comprehensive set of social services nor offer these services "at or near the school site" (Valli et al., 2016, p. 724). Instead, services are provided through a case management approach, providing referrals for specialized off-site services on a case-by-case basis (Valli et al., 2016). As such, Family and Interagency Collaboration reforms are often school-initiated, short-term, and service-based (Wheeler et al., 2003). These characteristics generally indicate that the partnership will conclude when the initial need of the student is met (Wheeler et al., 2003).

Conditions for success in the Family and Interagency Collaboration Model include school leadership, non-budgetary funding, site coordinators, and evaluation capacity (Valli et al., 2016). In examining the influence of school- and district-level leadership on the quality of student and family programs in more than 400 schools, Epstein et al. (2011) found that leadership at both levels was crucial in partnership quality and sustainability. Further, although schools can redirect some funding to support partnership efforts, they rely on a mix of non-budgetary resources to fill gaps (Valli et al., 2016). The presence of a "sponsoring organization," like the National Education Association (NEA) and Communities in Schools (CIS), provided additional capacity and network support for evaluation (Valli et al., 2016, p.727).

In each model, reformers monitored students' performance on standardized tests as an outcome of reform initiatives (Valli et al., 2016). In addition to performance on standardized tests, reformers who used the Family and Interagency Collaboration model also sought to improve students' attendance, graduation rates, educational aspirations, homework completion, and civic engagement (Valli et al., 2016). Finally, the Family and Interagency Collaboration

model was used by reformers to improve the coordination of service delivery and the community's attractiveness for economic development (Valli et al., 2016).

Full-Service Schools Model. Like the Family and Interagency Collaboration model, the Full-Service Schools (FSC) model seeks to address children's and families' holistic needs by establishing school-community partnerships with community agencies to offer various services (Haig, 2014; Valli et al., 2016). However, the FSC model is distinguishable because it attempts to integrate such services into schools by designating spaces for health, social, and family service agencies to provide "wrap-around services" for students and their families (Valli et al., 2016, p. 728). The FSC model has been shown to influence student achievement positively, behavioral outcomes, motivation, student retention, and grade-level promotion in schools (Cook et al., 1999; Valli et al., 2016).

Shared governance is essential for success in the FSC model (Dryfoos, 1994; Haig, 2014; Valli et al., 2016). Through shared governance structures, schools and community-based organizations agree on shared goals and resources, make decisions, and leverage their institutional authority to effect change (Valli et al., 2016). Therefore, schools agree to share authority by entrusting a multi-agency governance body to manage wrap-around services (Valli et al., 2016). Generally, such partnerships are formalized in the FSC model through memoranda of understanding, formal decision-making structures, and formal evaluation systems (Valli et al., 2016). The absence of these formalized structures, as well as high staff turnover, redundancy in data requests, and a lack of clarity on the role of ad hoc committees, threaten the effectiveness and sustainability of reforms utilizing the FSC model (Cook et al., 1999; Valli et al., 2016).

Full-Service Community Schools Model. The focus on changing schools' culture and services distinguishes the Full-Service Community Schools (FSCS) model from the FSC model

(Valli et al., 2016). In contrast to FSC, which only integrates community-based resources into schools, reformers who utilize the FSCS model seek to “democratize schools by opening them” to decision-making and influence from families, neighborhoods, and communities (Valli et al., 2016, p. 732). Therefore, FSCS reformers advocate for community services to be integrated into schools and for community voices to be integrated into their decision-making (Valli et al., 2016). In addition to student performance on standardized tests, reformers who implement the FSCS model seek to improve student achievement in school, family and community engagement, community partnerships and trust, health and safety, and student confidence (Valli et al., 2016).

According to Valli et al. (2016), a necessary condition for the success of the FSCS model is a focus on democratizing schools by “bridging culture and power gaps between parents and educators, transforming school leadership, and fostering leadership in parent and community members” to effect change (p. 734). Whereas schools share authority with a central governance committee in the FSC model, schools share control with various committees in the FSCS model to sustain the partnership and achieve outcomes (Valli et al., 2016). Therefore, cross-sector leadership and the presence of educational leaders who manage various school-level partnerships are essential elements needed to sustain reforms through the FSCS model (Valli et al., 2016).

Community Development Model. The Community Development model is inclusive of the elements of FSCS but seeks to improve conditions in neighborhoods and communities to improve student achievement (Valli et al., 2016). Therefore, reformers who espouse the Community Development model believe that “conditions in distressed communities must be changed for students' educational and developmental outcomes to improve” (Valli et al., 2016, p. 737). In this model, schools are part of a broader community and economic development strategy that promotes workforce access and leadership development, centering high-quality

neighborhood schools as a community sustainability strategy (Valli et al., 2016). Accordingly, partnerships in the Community Development model are generally partner-initiated, long-term, and formal (Wheeler et al., 2003).

In addition to the measures of student achievement included in the previous models, the Community Development model has also been used by reformers to improve relationships and communication among partner organizations and to operate schools as “hubs” (Valli et al., 2016, p. 739). An essential condition for the Community Development model’s success is the investment in services that create the features of strong communities and improve living conditions for children and families who live near schools (Valli et al., 2016). Valli et al. (2016) also emphasize the importance of a “catalytic partnership leader” who can build consensus around viable reforms and “anticipate opposition” by providing a space for shared dialog and collective ownership (p. 738). Given this, independent “learning organizations” that lead a common agenda, attract investment, and build capacity, are a common feature of successful Community Development models (Valli et al., 2016, p. 738).

School-Community Partnerships and Education Reform

School-community partnerships are practical in “distressed urban areas” where economic challenges may inhibit the progress of public policy reforms (Reckhow et al., 2020; Shipps, 2003; Valli et al., 2016, p. 719). Recognizing that under-resourced public schools, alone, cannot address all the dynamic needs of high-need students, school-community partnerships allow school districts to engage in coalitions that establish shared education reform goals (Shipps, 2003). In these partnerships, the education reform agenda dictates the technical expertise, organizational capacity, credibility, administrative support, and “sanctioning authority” needed by the coalition to initiate and achieve desired reforms (Shipps, 2003, p. 845). The typologies of school-community partnerships described in the previous section clarify the differences in

education reformers' approaches to managing school-community partnerships. The research of Shipps (2003) extends upon these typologies by classifying the types of reforms influenced by school-community partnerships. These studies illustrate the relationship between civic capacity, school-community partnership approaches, and educational reform initiatives.

Civic Capacity. The concept of civic capacity refers to the "active participation of educators and non-educators in pursuit of a change agenda for public schools" (Shipps, 2003, p. 844). Civic capacity is defined by several features, which include (1) indirect connections to elected authority and oversight, (2) agenda-specific efforts, (3) governmental and non-governmental partners and funding, (4) an initial catalyst and ongoing leadership to maintain partnerships and build capacity for reforms, and (5) a coalition of partners whose relationships influence the agenda (Shipps, 2003).

The composition of education reform coalitions depends on the local economy, community demographics, the history of education reform, and the local dynamics of school governance (Shipps, 2003; Stone, 1989). Local school boards are the official policymakers in public education systems; however, Shipps (2003) indicates that school boards are not often central actors in urban school-community partnerships. Therefore, civic capacity is best assessed by the participation of the actors "who have the most to contribute to educational improvement," including non-governmental actors (Stone, 1989, p. 254). Additionally, because school-community partnerships are often influenced by an external stimulus that calls partners to action, leadership is needed to maintain the coalitions after the initial stimulus diminishes (Shipps, 2003). Under such leadership, partners shape the education reform agenda through partner interactions, deliberations, investment of resources, and "loyalties in implementation" (Shipps, 2003, p. 846).

Education Reform Agendas. Using urban regime theory principles, Shipps (2003) classified urban education reform agendas as performance-, empowerment-, and market-based. Urban regime theory emphasizes the relationship between government and civic capacity to determine the resources and coalitions needed to sustain reforms (Shipps, 2003; Stone, 1989). Shipps (2003) notes that non-governmental funding is vital in the development of successful education reform coalitions because it can (1) easily shift from one agenda to another if priorities change, (2) provide an immediate response to challenges identified through the reform agenda, and (3) catalyze groups into “collective action” who do not traditionally work together (p. 845). As such, philanthropic foundations are poised to play an instrumental role in catalyzing successful education reform coalitions in urban school districts.

Performance-Based Reform Agendas. Performance-based reform agendas aim to reform school performance through changes in curriculum and instruction. Performance-based reforms include those that (1) adopt new standards, curricula, and instructional techniques, (2) build the instructional capacity of teachers, and (3) strengthen the relationship between teachers, parents, and social service providers (Shipps, 2003). Thus, teachers, parents, and the community organizations representing them are important constituencies of school-community partnerships seeking performance-based reforms (Shipps, 2003).

Teachers must embrace performance-based reforms for them to be implemented effectively at the classroom level, and parents must support changes that may challenge widely held beliefs about what constitutes a quality education (Shipps, 2003). However, it is important to note that the relationship between professional educators and parents in performance-based reform agendas is top-down, with professional educators recommending needed changes and gaining support from parents (Shipps, 2003). This top-down approach often requires community-

based organizations to serve as intermediaries between educators and parents “whose experience of school may have left them skeptical of educators’ motivations” (Levine, 2016; Shipps, 2003, p. 853).

Elected officials also play an essential role in performance-based reform agendas by providing legitimacy to reform efforts and allocating funding for reforms when possible (Shipps, 2003). However, school districts’ financial and human resources capacities in urban communities have significantly decreased since 1970; therefore, elected officials may be drawn toward less expensive reform initiatives (Milward & Provan, 2000; Reckhow et al., 2020; Shipps, 2003). The required relationships between parents and teachers and the commitment of material resources from elected officials make performance-based reform agendas challenging to create and sustain (Shipps, 2003).

Empowerment-Based Reform Agendas. Empowerment-based reform agendas aim to reform public school governance by creating new decision-making arrangements among the stakeholders who contribute to the continuous improvement of public schools (Shipps, 2003). Reformers who utilize empowerment-based reform agendas “authorize” decision-makers based on the agenda’s goals (Shipps, 2003, p. 855). Specifically, in cases where the school district’s legitimacy has decreased, reformers may seek to implement empowerment-based reform agendas as a method of “re-legitimizing the schools” to enhance the image and prospects of the broader community (Shipps, 2003, p. 855). Accordingly, governmental actors must sanction empowerment-based reform agendas (Shipps, 2003).

Philanthropic foundations also play an important role by providing social capital and financial resources to authorize non-governmental actors to influence aspects of education governance (Shipps, 2003). However, the transference of authority to non-elected officials makes

empowerment-based reform efforts vulnerable to “legal and moral challenges” as governments’ authority becomes diluted and replaced by unelected elites (Reckhow et al., 2020; Shipps, 2003, p. 855). Therefore, various partners are needed to buffer empowerment-based reform agendas from such challenges (Shipps, 2003).

Market-Based Reform Agendas. Market-based reform agendas seek to reform the incentives and rewards that public schools offer students and professionals by adopting market-based principles that highlight choice and competition (Shipps, 2003). Business leaders are core constituencies in market-based reform efforts because of their acumen in efficiency and cost savings, as well as their ability to “factor public schools into the decisions they routinely make” for communities (Shipps, 2003, p. 856). Support from elected officials and educational leaders—such as superintendents, professors, and economists—is imperative to market-based reform efforts, as elected officials can ease regulations that inhibit the agenda’s success (Shipps, 2003).

Market-based reform efforts are categorized by Shipps (2003) as either entrepreneurial or corporate. Entrepreneurial market-based reform efforts aim to reform individual schools by engaging parents as a core constituency to offer educational alternatives (Shipps, 2003). Alternatively, corporate market-based reform efforts solely engage corporate elites and elected officials to achieve reforms, especially when sufficient resources exist between constituents to achieve desired reforms (Shipps, 2003). Although teachers and their unions are not key constituencies of market-based reform efforts, reformers must ensure that powerful unions do not oppose desired reforms (Shipps, 2003). Failure to do so can threaten the sustainability of market-based reform efforts (Shipps, 2003).

Philanthropic Foundations and School-Community Partnerships. Despite the substantial contributions made by philanthropic foundations to education reform initiatives, grant

funds alone are insufficient to reform public schools (Greene, 2015). Table 2.1 displays a comparison of public and philanthropic spending on pre-K through 12 education. Table 2.1 demonstrates that philanthropic foundations in the U.S. provide less than \$2 billion in aggregate annual education grant funding to educational stakeholders, representing less than 1% of governmental spending on public education (Greene, 2015). Additionally, educational reforms influenced by philanthropic foundations are difficult to sustain after grant funding has been withdrawn (Greene, 2015; Snyder, 2015).

Table 2.1

Comparison of Public and Philanthropic Spending on K-12 Education (Greene, 2005, p. 55)

K-12 Education Spending	Total	Per Pupil
Public	\$ 427,522,379,628.00	\$ 8,922.00
30 Largest Foundations	\$ 649,203,841.00	\$ 14.00
<i>as a percentage of public spending</i>	0.15%	0.15%
Philanthropic Donations Reported by Public Schools	\$ 1,275,091,966.00	\$ 27.00
Other Philanthropic Spending for K-12 Education	\$ 272,850,161.00	\$ 6.00
Total Philanthropic Spending	\$ 1,547,942,127.00	\$ 32.00
<i>as a percentage of public spending</i>	0.36%	0.36%

The limited impact of philanthropic funding on educational reform has been demonstrated through various education reform initiatives, including the Annenberg Challenge and the Gates Small Schools Initiative, which effectuated broad place-based systemic reforms that later ended when grant funds were withdrawn (Greene, 2015; Snyder, 2015). Therefore, foundation-supported reforms can only influence sustainable systemic change if public funds are used to sustain such reforms. Finally, the decentralized nature of the U.S. educational system

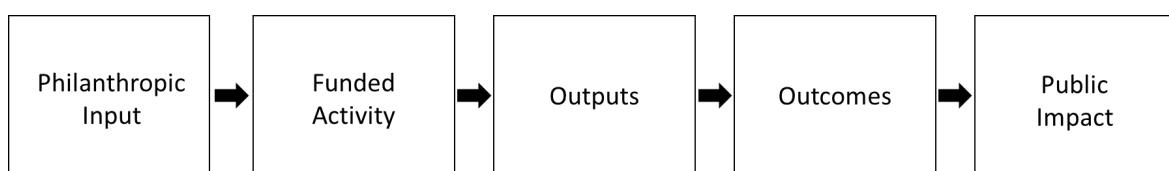
requires philanthropic foundations to engage in multiple states and locales to achieve widespread educational reform (Greene, 2015). However, most philanthropic foundations do not have the operating capacity to manage the nuanced politics of various communities at a scale that would influence the broad adoption of desired reforms (Tompkins-Stange, 2016). Therefore, many philanthropic foundations utilize place-based approaches to influence education reform (Dalma et al., 2022; Fehler-Cabral et al., 2016).

Given the barriers to philanthropic foundations' ability to independently effectuate sustainable educational reform, school-community partnerships between philanthropic foundations and educational stakeholders are mutually beneficial. These partnerships provide educators the benefit of addressing short-term challenges through grant-supported initiatives and provide philanthropic foundations with a method to sustain education reform initiatives through government funding.

Figure 2.3 displays a general theory of change that can be applied to philanthropic foundations' education reform grantmaking practices. Depending on the approach used by philanthropic foundations, the outputs and outcomes may be either predetermined by the foundation or advised by a broader group of stakeholders (Frumpkin, 2005; Tompkins-Stange, 2016). These approaches can be categorized as either outcome-oriented or field-oriented approaches.

Figure 2.3

Philanthropic Foundations' Theory of Change (Frumpkin, 2005, p. 277)



Outcome-Oriented Approach. Typically, philanthropic foundations that espouse an outcome-oriented approach utilize top-down methods, with donors articulating priorities for grantees to follow (Tompkins-Stange, 2016). Therefore, outcome-oriented philanthropic foundations use school-community partnerships as a “means to an end” for institutionalizing education reforms (Tompkins-Stange, 2016, p. 54). In school-community partnerships supported by outcome-oriented philanthropic foundations, partnership priorities are driven by alignment with the goals of philanthropic foundations (Shipps, 2003). Consequently, if funded activities do not produce desired outputs and outcomes, outcome-oriented philanthropic foundations may withdraw their support in favor of education reform efforts that are perceived to be more effective or efficient at producing foundations’ sought-after outcomes (Tompkins-Stange, 2016).

Field-Oriented Approach. Philanthropic foundations use field-oriented approaches to transform the education system by investing in organizations’ capacity to effect social change over an extended timeframe and prioritizing the democratic engagement of diverse populations in decision-making (Tompkins-Stange, 2016). In field-oriented approaches, grantees and the community writ large inform philanthropic foundations’ priorities (Tompkins-Stange, 2016). Therefore, field-oriented philanthropic foundations utilize school-community partnerships to build educational stakeholders’ capacity to effectuate desired reforms (Tompkins-Stange, 2016). Figure 2.4 displays the differences between outcome- and field-oriented approaches.

Figure 2.4

Outcome- versus Field-Oriented Approaches to Grant Management (Tompkins-Stange, 2016, p. 55)

Outcome-Oriented Approach	Managing Grantees		Field-Oriented Approach	
	Centralized Control of an initiative is maintained by the foundation	Decentralized Control of an initiative is maintained by the foundation		
	Selecting Partners			
	Grasstops Foundations prefer to work with elite and/or expert organizations	Grassroots Foundations prefer to work with community-based organizations		
	Framing Problems			
	Technical Foundations pursue problems that are amenable to technical solutions with a clear line of causality	Adaptive Foundations pursue problems that are complex and multifaceted with less clear solutions		
Evaluating Results				
	Quantifiable Foundations prefer metrics that are calculated and prove impact	Integrated Foundations use both qualitative and quantitative metrics to show plausibility rather than proof		

Criticisms of Philanthropic Influence on Education Reform. The role of philanthropic foundations in education reform has become increasingly prevalent in public discourse (McShane & Hatfield, 2015). In an analysis of national media coverage since 2000, McShane and Hatfield (2015) identified a substantial increase in the amount of news media content on philanthropic foundations' education reform efforts. While most media coverage was positive, the frequency of negative reports about philanthropic foundations' involvement in education reform increased by 133% between 2000 and 2013 (McShane & Hatfield, 2015). Such criticisms extended across conservative, moderate, and liberal media outlets.

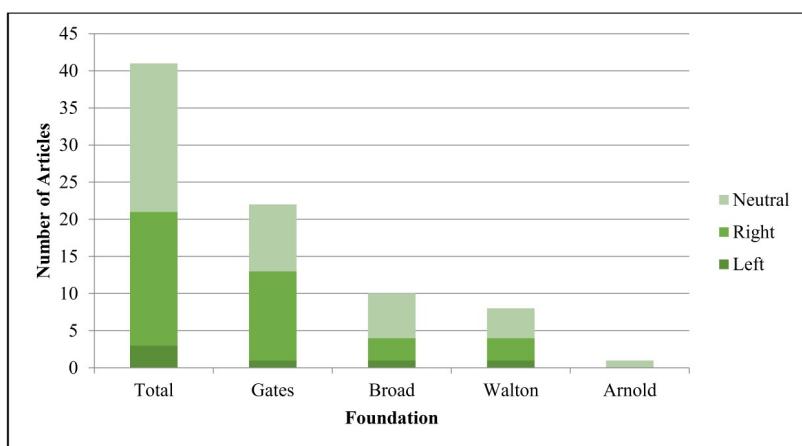
Liberal media outlets generally took issue with philanthropic foundations' support for school choice, pension reform, and standards-driven leadership (McShane & Hatfield, 2015).

Accordingly, the Walton, Broad, and Arnold Foundations' efforts were consistent targets of liberal media criticisms (McShane & Hatfield, 2015). Moderate media outlets decried philanthropic foundations' involvement in educational reform as the "erosion of democracy by moneyed interests" and unelected elites who influence policy for public schools (McShane & Hatfield, 2015, p. 130). Conservative media outlets criticized philanthropic foundations' support for Common Core standards, making the Gates Foundation a major target (McShane & Hatfield, 2015). From all sides, critics argued that philanthropic foundations do not know what is best for U.S. schoolchildren and promote policies they would not accept for their own children (McShane & Hatfield, 2015).

Figure 2.5 displays the distribution of critical media references to philanthropic foundations by conservative (right), moderate (neutral), and liberal (left) news media outlets. As Figure 2.5 demonstrates, most criticisms of philanthropic foundations' involvement in educational reform were from moderate and conservative media outlets, while liberal media outlets generally criticized philanthropic foundations less frequently.

Figure 2.5

Criticisms of Foundation Influence on Education Reform (McShane & Hatfield, 2015, p. 131)



Methodological Review of Literature

In researching philanthropic foundations' involvement in school-community partnerships for education reform, researchers have applied various quantitative methods to explain the grantmaking patterns of philanthropic foundations, the frequency of media references to philanthropic foundations, and the impact of grant-supported reform initiatives on student achievement (Andersen, 2002; Greene, 2005, 2015; McShane & Hatfield, 2015; Sheldon, 2003; Tompkins-Stange, 2016). Researchers used qualitative ethnographic approaches to examine the nature of non-profit governance in urban settings and the effectiveness of school-community partnerships in inciting education reforms (Levine, 2016; Lunnebald, 2019; Pill, 2020). Mixed-methods research approaches to explore non-state governance of social services and philanthropic foundations' operating principles in school-community partnerships (Gazley and Brudney, 2007; Jenkins & McAdams, 2005; McShane & Hatfield, 2015; Reckhow, 2013; Reckhow et al., 2020). Distinctive from the research on philanthropic foundations, researchers on school-community partnerships often utilized grounded theory approaches in developing typologies of school-community partnerships (Shipps, 2003; Valli et al., 2016; Wheeler et al., 2003).

Philanthropic Foundation Involvement in Education Reform

Philanthropic foundations' grantmaking patterns and funding allocations have become topics of increasing interest for researchers, as their role in influencing education reform has become more prevalent (McShane & Hatfield, 2015; Tompkins-Stange, 2016). Transparency reporting mandated by federal and state tax policy has provided researchers with valuable quantitative data on philanthropic foundations' investments in education reform. Additionally, the annual reports of philanthropic foundations offer quantitative and qualitative data on the impact of such investments. Despite the availability of information on philanthropic foundations'

grantmaking, a narrow body of literature exists on the factors that influence them to engage in school-community partnerships for education reform, which is primarily attributed to the elusive nature of their operations to the public (Tompkins-Stange, 2016). Community foundations are exceptions to this phenomenon, as they operate with financial and operational oversight from the public (Hackney, 2020).

Greene (2005) conducted a descriptive research study on the 30 largest philanthropic foundations' investments in education reform initiatives to clarify their grantmaking patterns. Grants were classified as either high-leverage or low-leverage and then placed into sub-categories. High-leverage sub-categories included: (a) small public schools, (b) research and advocacy, (c) charter schools, (d) vouchers, (e) public early college schools, (f) other special public schools, (g) national board certification, (h) vocational and alternative public schools, and (i) alternative professional associations (Greene, 2005). Low-leverage sub-categories included: (a) public school professional development, (b) private school grants, (c) public-school general-purpose grants, (d) public school special purpose grants, (e) public school curriculum, (f) disability focus, and (g) technology in public schools (Greene, 2005). Grants were totaled for each philanthropic foundation by sub-category and classification to reveal consistencies in education reform investments among the thirty largest philanthropic foundations (Greene, 2005). The researcher used this information to conclude why philanthropic foundations' investments do not yield substantial education reform advancements.

Building on previous analyses, Greene (2015) analyzed descriptive statistics to clarify philanthropic foundations' education reform grantmaking patterns. Using a previously published analysis of philanthropic foundation grantmaking from 2010, Greene (2015) determined the 30 largest philanthropic foundations in the U.S. and classified their grants into eight categories,

including not education, self-sustaining advocacy, non-self-sustaining advocacy, indeterminate advocacy, research, self-sustaining program, non-self-sustaining program, and indeterminate program. Multiple researchers contributed to classifying grants (Greene, 2015). Therefore, interrater reliability was used by Greene (2015) to demonstrate the consistency of classifications between raters. The researcher then combined quantitative and qualitative data to reveal the distribution of grantmaking in each category per philanthropic foundation (Greene, 2015). These data were used to conclude why philanthropic foundations' education reform efforts yielded limited widespread public education reform (Greene, 2015).

Andersen (2002) analyzed grants from the 12 largest private philanthropic foundations to explore their role as patrons of interest groups. Grants from philanthropic foundations to interest groups were identified from the Foundation Grants Index, categorized by policy area, then ranked by the total dollar amount within each policy area to identify the top funders to policy areas (Andersen, 2002). The annual reports, websites, and other published materials of the largest twelve philanthropic foundations were analyzed using document review methods to identify the outcomes each foundation sought to achieve through their grantmaking (Andersen, 2002). The interest groups receiving the most significant funding from philanthropic foundations were also identified (Andersen, 2002). Andersen (2002) then used a web search to locate each interest group organization's mission statements, which were analyzed to reveal the classification of interest groups and their associated policy goals. This information was used to uncover the types of interest groups and reform initiatives philanthropic foundations supported to achieve sought-after reforms (Andersen, 2002).

Jenkins and McAdams (2005) conducted an explanatory mixed-methods study to examine philanthropic foundations' approaches to influencing educational reform. In this three-

phased study, researchers first collected quantitative data using survey methods to quantify the charitable grants received by public school districts over ten years (Jenkins & McAdams, 2005). Respondents were asked to provide information on the (1) purpose, terms, and origin of grants, (2) relationship between the grant and the district's reform agenda, and (3) the evaluation process and results (Jenkins & McAdams, 2005). Additionally, respondents were asked to share their perceptions of philanthropic foundations' efforts in their respective school districts (Jenkins & McAdams, 2005). Researchers then conducted structured qualitative interviews with the school district and local leaders to collect more detailed information on the largest grants received by districts during the 10-year timeframe (Jenkins & McAdams, 2005). Finally, researchers reviewed grant proposals, evaluation reports, news archives, and literature on education reform initiatives supported by grants identified in the first two research phases (Jenkins & McAdams, 2005). Researchers used this information to explain how philanthropic investments influence educational reform.

Jenkins and McAdams' (2005) analysis of philanthropic foundations' involvement in educational reform conceptualized school districts as the government agencies responsible for public education administration within a given locale. However, this conceptualization of public school governance is limited, given the increasingly diverse nature of the education sector due to market-based reforms, such as school choice. Reckhow (2013) expanded on the conceptualization of school districts to include all organizations within a specific geographic area that receive funding from philanthropic foundations to impact public education. The researcher examined grants made by philanthropic foundations for public education reform using the federal Form 990-PF reports from 2000 and 2005 (Reckhow, 2013). For each grant directly supporting education, training and support, policy and advocacy, research, and supplementary services for

K-12 education, the researcher recorded the grant amount, location, and purpose when available (Reckhow, 2013). The researcher conducted a web search for grants whose locations or purposes were unavailable or unclear (Reckhow, 2013).

Grant recipients were then coded into 46 categories based on their function or role to determine the total grant dollars provided within a given school district's geographic boundaries (Reckhow, 2013). The researcher used these data to determine which school districts received the most funding from philanthropic foundations (Reckhow, 2013). The researcher also used these data to conduct a Tobit Regression on grants to the largest 100 school districts and developed models explaining philanthropic foundations' support for education reform (Reckhow, 2013). Variables included mayoral/state control, nonprofit advocacy density, percent of post-graduate degrees, percent of poverty among children ages 5-17, high school graduation rate, and grantee proximity to the headquarters of philanthropic foundations (Reckhow, 2013). The variables with the strongest regression coefficient were shown to significantly influence philanthropic foundations' support for public schools (Reckhow, 2013).

Two school districts—New York City and Los Angeles—were selected for a more detailed case study using qualitative social network analyses, surveys, and interview techniques (Reckhow, 2013). Using the UCINET NetDraw program, researchers mapped the social networks created by philanthropic foundation grants in both districts to identify instances where more than one foundation supported the same grantee (Reckhow, 2013). This information was used to determine where concentrations of philanthropic foundation funding existed and the characteristics of these concentrations (Reckhow, 2013). Finally, Reckhow (2013) surveyed educational stakeholders in both districts to explain how the goals of entities that receive the most significant amounts of funding differ from parents and other advocates. The survey was

conducted with the five sectors of the local education policy community, which included the public school district, unions, nonprofit service providers, advocacy organizations, and parent leaders (Reckhow, 2013).

McShane and Hatfield (2015) conducted an explanatory mixed-methods approach to analyze critiques of philanthropic foundations' involvement in public education reform. Using the Lexis-Nexis software, researchers examined national news media articles for references to the four largest private philanthropic foundations (McShane & Hatfield, 2015). Researchers used this information to determine how philanthropic foundations' involvement in public education reform has attracted attention over time (McShane & Hatfield, 2015). Researchers also used these data to classify articles as either positive, neutral, or negative using a five-point scale that ranged from "overwhelmingly negative" to "overwhelmingly positive" (McShane & Hatfield, 2015, p. 128). Researchers then used qualitative document review procedures to assess each news article's sources to determine the political alignment of philanthropic foundations' critics (McShane & Hatfield, 2015). Finally, researchers conducted qualitative interviews with six "prominent critics" of philanthropic foundations' involvement in education reform from across the political spectrum to explain the critiques (McShane & Hatfield, 2015).

Tompkins-Stange (2016) employed an inductive approach to reveal the influences of philanthropic foundations' involvement in public education reform. In inductive research, the investigator does not predetermine a hypothesis but instead allows the story to emerge as data is compiled (Tompkins-Stange, 2016). This approach is characterized as moving from the specific to the general (Soiferman, 2010). Therefore, subjects' experiences are analyzed individually to determine themes based on various characteristics.

Tompkins-Stange (2016) began investigating large foundations by establishing hypotheses based on available information and then refining hypotheses through qualitative interviews. Qualitative data were then cross-validated with archival quantitative data to determine key themes (Tompkins-Stange, 2016). Using themes and evidence from interviews, the researcher developed case studies of each philanthropic foundation (Tompkins-Stange, 2016). To complete the case studies, the researcher analyzed the annual reports of each foundation over ten years, websites, and press activity (Tompkins-Stange, 2016).

School-Community Partnerships

Wheeler et al. (2003) documented 16 case studies through field observations, interviews, and group sessions with school leaders, teachers, students, parents, and community partners (Wheeler et al., 2003). Existing school-community partnerships were identified by researchers as exemplars and were described using document review procedures (Wheeler et al., 2003). Researchers also used the Most Significant Change (MSC) approach—a tool for monitoring the participatory impact of projects—to document and examine cases in urban and rural areas (Wheeler et al., 2003). Three narratives were produced from the data collected from student, staff, and community perspectives (Wheeler et al., 2003).

Researchers then held a combined workshop with all participants, asking them to select the “most important change” being demonstrated in each narrative (Wheeler et al., 2003). Finally, researchers developed four approaches to school-community partnerships based on partners’ roles, duration of the partnership, type of resources involved, and formality of partnerships (Wheeler et al., 2003). Wheeler et al. (2003) used a grounded theory approach, which constructs a theory from data that is “systematically obtained and analyzed using comparative analysis” (Tie et al., 2019, para. 1).

Shipps (2003) used urban regime theory principles to develop typologies of school-community partnerships focused on education reform. To measure civic capacity, the study's unit of analysis was the city rather than school districts singularly (Shipps, 2003). The researcher conducted semi-structured interviews with 180 educational stakeholders "of the same social status relative to one another," including, but not limited to, leaders of non-profit organizations, school districts, and philanthropic foundations (Shipps, 2003, p. 843). The researcher also reviewed available literature on the background and politics of two state laws that reformed public schools' operations (Shipps, 2003). These data were used to conduct historical and network analyses (Shipps, 2003). Finally, the researcher developed a typology of urban education reform, which was applied to observations of urban education reform in a major U.S. city (Shipps, 2003).

Valli et al. (2016) developed typologies of school-community partnerships using a comprehensive review of research literature. The study concluded that partnerships differed most considerably in (1) their scope and purpose and (2) the implications and requirements for partnership success (Valli et al., 2016). Researchers conducted a comparative analysis of the theories of action represented by each partnership structure (Valli et al., 2016). A general theory of action for school-community partnerships was developed, from which four progressively complex categories of school-community partnerships were produced (Valli et al., 2016).

Lunnebald (2019) conducted an ethnographic study of a school-community partnership to explain how the partnership was designed to address achievement disparities among students in public schools. Using a selective strategic research approach, the researcher conducted 110 hours of fieldwork, consisting of meetings and school-based observations over 18 months (Lunnebald, 2019). Notes from meetings, policy documents, and news media reports about the

schools were collected and analyzed (Lunnebald, 2019). Before meetings, the researcher regularly met with stakeholders to gain insights into their stories in managing the partnership (Lunnebald, 2019). These data were used to describe (1) needs and challenges, (2) how strengths and weaknesses were associated with different stakeholders, and (3) how various stakeholders were positioned within the school-community partnership (Lunnebald, 2019, p. 433). These data were coded and organized into themes corresponding to the study's research questions and purpose (Lunnebald, 2019).

Sheldon (2003) utilized correlational research methods to examine the relationship between the quality of school-community partnership programs and student performance on standardized test scores. The researcher combined secondary partnership data with student achievement data for elementary schools in an urban district (Sheldon, 2003). Researchers also administered the UpDATE survey to ascertain school leaders' perspectives on the quality and progress of school-community partnerships (Sheldon, 2003). Student achievement data on standardized tests were gathered for all third- and fifth-grade students from elementary schools within the sample district, with performance on standardized tests serving as the dependent variable for quantitative analyses; school demographic information, overall partnership quality, program organization, and program outreach were dependent variables (Sheldon, 2003). The researcher conducted a pairwise *t*-test to determine if differences existed between respondents in size, mobility, and poverty levels (Sheldon, 2003). Ordinary least squares (OLS) regression analyses were conducted to determine whether the quality of school-community partnerships predicted student achievement on standardized tests after controlling for school size, poverty, and student mobility (Sheldon, 2003).

Non-State Governance of Social Services

Reckhow et al. (2020) conducted a cross-sectional survey of non-profit organizations in Flint and Detroit to capture the role of nonprofit organizations in “local governing” and their perceptions of the government’s capacity in various areas. Researchers developed a list of nonprofit organizations involved in local social service activities using the National Taxonomy of Exempt Entities (NTEE) (Reckhow et al., 2020). Survey questions were designed to assess the status of nonprofit activity and the partnerships between nonprofits and the local government (Reckhow et al., 2020). Researchers also conducted participant observations during community meetings and guided interviews with a subset of nonprofit organizations (Reckhow et al., 2020). Using survey data, researchers assessed the relationship between nonprofits and their views of local government (Reckhow et al., 2020). Gazley and Brudney (2007) utilized similar research techniques to examine why local governments and nonprofits choose to collaborate. In this study, researchers facilitated parallel surveys with two comparable samples of government and nonprofit executives on the scope and existence of partnerships, level of formality, reasons for partnership, and reported accomplishments (Gazley & Brudney, 2007).

Levine (2016) conducted a multi-site ethnography to understand the role of community-based organizations (CBO) in high-poverty communities. The researcher gathered qualitative data by attending 214 public and private meetings where partner organizations, government officials, and philanthropic foundations negotiated community development projects (Levine, 2016). The researcher also worked part-time in local government offices to gain qualitative insights into the perceptions of agencies and funders about CBO (Levine, 2016). These data were organized and analyzed to clarify the role of CBO as unelected representatives in high-poverty neighborhoods (Levine, 2016).

Pill (2020) conducted 42 individual and group semi-structured interviews with elected officials, government officials, philanthropic foundation staff, education and medical institutions, nonprofit staff, and community groups to explore the normalization of austerity governance in a major U.S. city. The researcher also conducted five observations of routine meetings and professional convenings related to neighborhood redevelopment (Pill, 2020). A nested approach was used to code data collected from interviews and observations, starting with the “main nodes” determined by the interview guide and then refined with the “child nodes” to generate themes inductively (Pill, 2020, p. 145). Initial findings were presented by researchers during a stakeholder workshop to a subset of interviewees to validate and refine research findings (Pill, 2020). Respondents were coded as city politicians, public officials, philanthropic foundations, anchor institution staff, nonprofit organization staff, community members, and citizen activists (Pill, 2020).

Analysis of Research Gaps

The research literature demonstrates the breadth and depth of philanthropic foundations’ involvement in school-community partnerships for education reform and highlights the value proposition of such partnerships for small-to-mid-sized urban schools and philanthropic foundations alike ((Andersen, 2002; Greene, 2005, 2015; Jenkins & McAdams, 2005; Koran, 2016; McShane & Hatfield, 2015; Loveless, 2005; Reckhow, 2013; Stone, 1989; Tompkins-Stange, 2016).). However, the preponderance of studies in the research literature examines the largest philanthropic foundations and a diverse array of school districts, skewing perspectives toward larger systems, which are influenced by more nuanced bureaucratic and political factors (Andersen, 2002; Greene, 2005, 2015; Jenkins & McAdams, 2005; Koran, 2016; McShane & Hatfield, 2015; Loveless, 2005; Reckhow, 2013; Stone, 1989; Tompkins-Stange, 2016). Examinations of philanthropic foundations’ place-based grantmaking patterns suggest that their

localized grantmaking approaches may be more nuanced than the research literature has previously implied (Noland, 1989; Strawser, 2021). Despite this, few research studies have examined factors that influence and contribute to school-community partnerships between small-to-mid-sized urban school districts and local philanthropic foundations for education reform. This research gap limits the information available to stakeholders in small-to-mid-sized urban school districts to build and strengthen partnerships that provide additional resources to improve educational services and outcomes for students.

The present study's examination of how small-to-mid-sized urban school districts' civic capacity influenced school-community partnerships with local philanthropic foundations addressed these gaps by including small-to-mid-sized urban school districts, a diverse representation of local philanthropic foundations, and grantees drawn from a place-based sample. The inclusion of these characteristics in the present study provided a basis to either confirm the findings of previous studies or reveal a more dynamic understanding of the factors that influence and contribute to philanthropic foundations' funding allocations and grantmaking patterns within the context of localized small-to-mid-sized urban school districts.

Chapter Summary

The literature provided a historical, thematic, and methodological review of the research literature on philanthropic foundations' engagement in and support of school-community partnerships for education reform in the U.S. As highlighted in the historical review, modern philanthropic foundations have played an active role in influencing educational reform within the U.S. since their inception at the end of the 19th century (Ealy & Ealy, 2006). The sector's rapid growth in subsequent decades expanded and solidified the approaches presently used by philanthropic foundations in influencing educational reform (Gersick et al., 2004).

The thematic literature review highlighted school-community partnerships as a method of influencing educational reform. Four typologies of school-community partnerships, three typologies of education reform agendas, and two approaches used by philanthropic foundations to influence education reform were described. Together, these classifications of partnership structures, reform agendas, and philanthropic approaches provide a framework by which educational reform initiatives, philanthropic grants, and school-community partnerships can be classified and analyzed. The methodological review of the research literature synthesized the methods used by researchers in analyzing related topics. Researchers' methods in examining the influence of philanthropic foundations on educational reform, the structure and impact of school-community partnerships, and the governance of public social services by non-governmental entities were described. An analysis of research gaps revealed that a preponderance of existing studies focuses on the largest philanthropic foundations and an array of school districts without delineating small-to-mid-sized urban school districts and philanthropic foundations' localized place-based grantmaking approaches. This research gap leaves opportunities for additional examinations of philanthropic foundations' educational reform grantmaking, particularly in small and mid-sized urban school districts.

Chapter 3

Methodology

This chapter describes the methodological design used to examine how civic capacity influenced and contributed to school-community partnerships between local philanthropic foundations and small-to-mid-sized urban school districts for education reform. The problem statement provides background on philanthropic foundations as catalysts of education reform through school-community partnerships and describes the research gaps the present study addresses. The research questions detail the study's specific scope of inquiry. The conceptual framework explains the study's relevant variables, clarifies how variables relate to each other, and describes the related research literature that validates the use of variables. The methodological design describes the data collection and analysis techniques. Finally, the protocols used by the researcher to ensure ethical research are explained.

Problem Statement

The U.S. public education system has been vital to efforts seeking to address social and economic disparities since the emergence of contemporary school districts during the Progressive Era (Dewey, 1902; Ealy & Ealy, 2006). Notwithstanding reformers' initial aspirations of public schools' role in mitigating societal issues—such as illiteracy, poverty, and crime—urban schools in the U.S. continue to be mired by social determinants that limit the prospects of the students attending them (Boser, 2013; Dewey, 1902; Ealy & Ealy, 2006; Valli et al., 2014). The efficacy of urban schools is further limited by higher proportions of underqualified teachers who have fewer resources and experience higher rates of absenteeism, which restrict the quality of educational services available to students (Lippman et al., 1996). These challenges are amplified in small-to-mid-sized urban school districts, which have higher

overhead costs that constrict the resources available to reform educational services (Boser, 2013; Shipps, 2003).

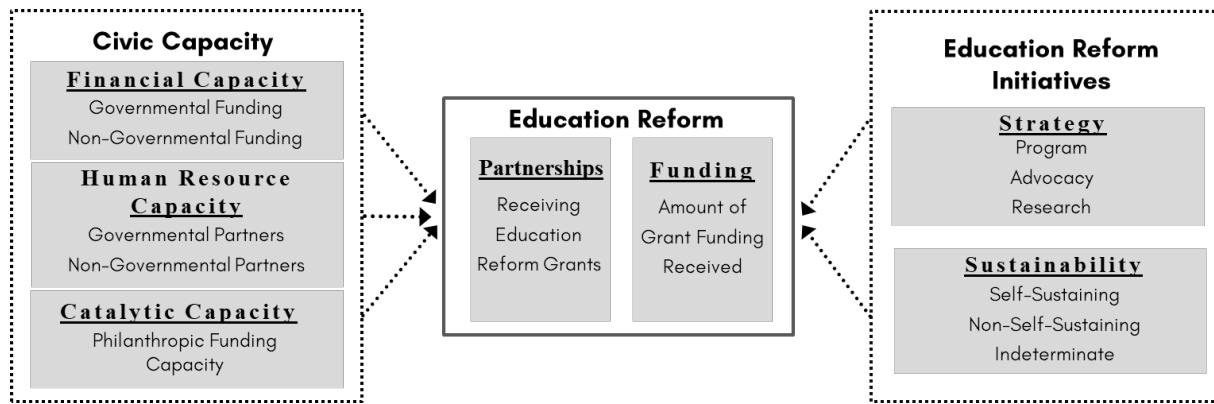
School-community partnerships build capacity in under-resourced schools to improve educational services and outcomes for their students (Massey et al., 2014; Shipps, 2003; Strauss, 2014; Valli et al., 2016). Philanthropic foundations often serve as catalysts in school-community partnerships through place-based philanthropy—focusing their grantmaking within a given geographic area where education reforms are informed by community stakeholders (Dalma et al., 2022). Place-based education reform initiatives in large urban school districts have demonstrated limited success in improving the quality of learning conditions and outcomes due to bureaucratic and political challenges that often limit the extent to which education reform initiatives are implemented and monitored at the school-level, leading to limited student-level impact (Annenberg Foundation, 2002; Gates, 2009; Koran, 2016; Tompkins-Stange, 2016). Small-to-mid-sized urban school districts are more amenable to school-community partnerships with philanthropic foundations, as they have fewer layers of bureaucracy—allowing them to manage agile cycles of continuous improvement with varied community partners (Boser, 2013; Cushman, 1997; Koran, 2016). However, differences in school districts' civic capacity can influence the extent to which urban school districts engage in such partnerships (Shipps, 2003).

Despite the benefits of school-community partnerships for small-to-mid-sized urban school districts, the students who attend them, and philanthropic foundations, few research studies have examined how civic capacity in small-to-mid-sized urban school districts influences philanthropic support for education reform. Failure to address this research gap limits opportunities for small-to-mid-sized urban school districts to build and strengthen philanthropic

partnerships that provide additional resources to improve educational services and outcomes for students.

Conceptual Framework

The conceptual framework that guided the present study was rooted in urban regime theory, which examines the informal governance relationships among non-governmental actors that complement the formal workings of government (Stone, 1989). Urban regime theory considers local governance a condition of mutual dependence between the public and non-profit sectors, which cannot survive without continued mutual investment and participation (Smith, 2019). The extent of participation among coalitions in working together on a matter of communitywide importance is defined as civic capacity, which can influence school districts' ability to manage complex school-community partnerships (Shipps, 2003; Stone, 1989; Valli et al., 2016). When applied to urban school districts, civic capacity can be codified by several factors, which include, but are not limited to, (1) governmental and non-governmental funding, (2) governmental and non-governmental partners, and (3) a catalyst to build capacity for reforms (Shipps, 2003). Therefore, civic capacity is summarized to consider factors related to financial capacity, human resource capacity, and catalytic capacity in urban school districts. Figure 3.1 depicts the study's conceptual framework, illustrating the relationships between civic capacity and education reform.

Figure 3.1*Conceptual Framework*

As Figure 3.1 demonstrates, education reform is a dependent variable, codified by school districts' receipt of education reform grants (partnerships) and the amount of grant funding philanthropic foundations provided for education reform grants (funding). Civic capacity was represented as an independent variable, including governmental and non-governmental funding (financial capacity), governmental and non-governmental partners (human resource capacity), and the amount of grant funding available for distribution from local philanthropic foundations (catalytic capacity). Education reform initiatives were also included as an independent variable and were categorized by strategy, including program, advocacy, and research initiatives, and by sustainability, including self-sustaining, non-self-sustaining, and indeterminate initiatives.

Civic Capacity

Civic capacity was explored in the present study to examine how discrete variables influenced the receipt of education reform grants from local philanthropic foundations. The researcher codified Shipps' (2003) conceptualization of civic capacity in practical terms to ensure the study's relevance to education leadership and practice.

Financial Capacity. Financial capacity in the present study was identified by governmental and non-governmental funding. In Michigan, public school districts are

governmental entities that are primarily funded by the state, with additional public funding from local and federal sources (Augenblick et al., 2018; DeGrow, 2017). In addition to public funding, Michigan school districts' budgets include non-governmental funding from various sources, including tuition and fees (Michigan Department of Education, 2019). Accordingly, governmental funding was represented in the present study by the amount of local, state, and federal funding per student included in sampled school districts' budgets during the 2018/19 school year. Non-governmental funding was represented by the amount of funding included in the "other" category of school districts' budgets during the 2018/19 school year.

Human Resource Capacity. Governmental and non-governmental partners relate to the human resource capacity of urban school districts. The Michigan Department of Education categorizes school districts' staff into several staffing groups, including administrators who are most likely to represent school districts in school-community partnerships (Center for Education Performance and Information, 2021a; Valli et al., 2014). Therefore, the present study codified governmental partners by the number of full-time equivalent administrators (administrative FTE) employed by sampled school districts. A similar approach was used by Reckhow et al. (2020) in examining human resource capacity in two Michigan cities, where FTE represented governmental partners and non-governmental partners were represented by the number of non-profit organizations.

Non-profit organizations have become increasingly prevalent in the provision of public services within urban communities (Reckhow et al., 2020). Reckhow et al. (2020) note that the roles of non-profit organizations in urban regimes range from serving as extensions of government capacity through formal, contracted relationships to supplanting the role of government entities through the provision of direct services. In either form, the research

literature on relationships between non-profit and governmental organizations establishes the role of non-profit organizations as critical non-governmental partners in urban regimes (Gazley & Brudney, 2007; Milward & Provan, 2000; Pill, 2020; Reckhow et al., 2020; Shipps, 2003; Smith, 2019; Stone, 1989). Therefore, non-governmental partners were represented in the present study by the number of education-related non-profit organizations within sampled school districts' boundaries.

Catalytic Capacity. Philanthropic foundations often serve as catalysts of education reform initiatives in school-community partnerships by leveraging their financial and social capital to support the implementation of education reform initiatives (Kramer, 2009). Shipps (2003) notes that scarcities in funding among urban school districts often influence the development of school-community partnerships. Philanthropic foundations have addressed such scarcities in urban school districts by providing resources directly to schools to enhance services or by supporting non-profit organizations to supplement or supplant the role of schools in providing specific social services (Greene, 2005, 2015; Reckhow et al., 2020). Given the role of philanthropic foundations as catalysts of education reform initiatives, catalytic capacity was demonstrated in the present study by the aggregate amount of grant funding available for distribution from sampled local philanthropic foundations.

Education Reform Initiatives

Shipps (2003) typologized the education reform agendas in school-community partnerships as empowerment-, performance-, and market-based agendas, each being distinguishable by the types of education reform initiatives implemented (Shipps, 2003). Greene (2015) categorized education reform initiatives by strategy, including program, advocacy, and research. The program and advocacy categories were further sub-categorized by sustainability, including self-sustaining, non-self-sustaining, or indeterminate (Greene, 2015). The method

described by Greene (2015) was used in the present study to represent the types of education reform initiatives supported by local philanthropic foundations. Using this method, grants were categorized as (1) self-sustaining advocacy, (2) non-self-sustaining advocacy, (3) indeterminate advocacy, (4) research, (5) self-sustaining program, (6) non-self-sustaining program, and (7) indeterminate program.

Research Questions & Hypotheses

To examine how civic capacity influenced school-community partnerships between philanthropic foundations and small-to-mid-sized urban school districts for education reform, the researcher analyzed the following research questions and hypotheses:

- 1. *How do the civic capacities of small-to-mid-sized urban school districts that receive grant funding from local philanthropic foundations for education reform initiatives differ from those not receiving such funding?***

Null Hypothesis: Statistically significant differences do not exist in the civic capacity of small-to-mid-sized urban school districts receiving grant funding from philanthropic foundations for education reform initiatives and small-to-mid-sized urban school districts not receiving such funding.

Alternative Hypothesis: Statistically significant differences exist in the civic capacity of small-to-mid-sized urban school districts receiving grant funding from philanthropic foundations for education reform initiatives and small-to-mid-sized urban school districts not receiving such funding.

- 2. *Do statistically significant differences exist between education reform initiatives in the amount of grant funding local philanthropic foundations provide?***

Null Hypothesis: Statistically significant differences do not exist between education reform initiatives in the amount of grant funding provided by local philanthropic foundations in small-to-mid-sized urban school districts.

Alternative Hypothesis: Statistically significant differences exist between education reform initiatives in the amount of grant funding provided

by local philanthropic foundations in small-to-mid-sized urban school districts.

3. To what extent is the likelihood of small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations associated with school districts' civic capacities?

- Null Hypothesis:** Civic capacity does not better improve small-to-mid-sized urban school districts' likelihood of receiving education reform grants from local philanthropic foundations than random chance.
- Alternative Hypothesis:** The likelihood of small-to-mid-sized urban school districts receiving grants from local philanthropic foundations for education reform initiatives is better improved by civic capacity than random chance.

Methodological Design

Non-probability sampling and deductive research methods were used to examine the research questions. Hypotheses were tested using parametric statistical tests consisting of correlational methods.

Data Collection Sources and Techniques

Purposive sampling techniques were used to identify the philanthropic foundations and small-to-mid-sized urban school districts included in the sample. Data collection sources include the United States Census Bureau, Internal Revenue Service (IRS), GuideStar Star by Candid, and the Michigan Center for Educational Performance and Information (CEPI). In instances where the purposes of grants were unclear, the researcher used web search techniques and analyses of philanthropic foundations' annual reports to complete the dataset.

Sampling Method and Participants. In purposive sampling techniques, the researcher is not merely studying whoever is available but uses judgment to select a sample that is believed to provide data that cannot be obtained from other sources (Fraenkel et al., 2015). The present study identified local philanthropic foundations and small-to-mid-sized school districts for the

sample that were located in census-designated urban clusters (UCs) and urban areas (UAs) that included the offices of a top 100 U.S. foundation (in terms of assets), a family foundation, and a community foundation. These criteria were established to align the present study's analyses with previous examinations of philanthropic foundations' involvement in education reform and to expand on these analyses by including a diverse representation of local philanthropic foundations and their place-based grantmaking in the study's analyses.

The research literature on community foundations suggests that the place-based focus of sampled local philanthropic foundations in the present study may influence contrasting outcomes to the results of previous analyses, which indicated that large private foundations' primarily support non-self-sustaining program initiatives (Greene, 2015; Noland, 1989; Sacks, 2014; Strawser, 2021). The grantmaking strategies of community foundations center on self-sustaining reform initiatives, including those that (1) develop and strengthen institutions, (2) enhance individual skills and capacities, (3) enhance governance and finance, (4) expand awareness of issues, and (5) build and sustain communities (Noland, 1989; Sacks, 2014; Strawser, 2021). Community foundations' focus on self-sustaining initiatives can be explained by their staff and trustees predominately being residents of the communities they serve, making them more likely to be aware of nuanced community needs, issues, and opportunities that can be addressed through place-based grantmaking strategies (Sacks, 2014; Strawser, 2021). Including a diverse representation of local philanthropic foundations and analyses of local place-based support for education reform initiatives expands on previous research findings, potentially revealing a more dynamic illustration of philanthropic foundations' grantmaking patterns and funding allocations in urban school districts.

The researcher obtained a listing of the largest 100 U.S. foundations (in terms of assets) from Foundation Center (2014) and conducted a web search to identify the top 100 foundations with offices in Michigan. In the present study, these included the C.S. Mott Foundation, W.K. Kellogg Foundation, and Kresge Foundation, located in Calhoun, Genesee, Kent, Oakland, and Wayne counties. The researcher then examined the Council on Michigan Foundations (2021) database to identify other private, family, and community foundations located in the identified counties. The researcher refined the sample through examinations of IRS Form 990 from 2018, which was the most recent tax year available for all philanthropic foundations located in the identified counties. Using information from Form 990, the researcher eliminated all philanthropic foundations that did not provide more than \$100,000.00 in education reform grants during the 2018 tax year.

The researcher identified 14 philanthropic foundations, including Battle Creek Community Foundation, Carls Foundation, Community Foundation for Southeastern Michigan, Community Foundation of Greater Flint, Frey Family Foundation, Grand Rapids Community Foundation, Janderno Foundation, Kresge Foundation, Max and Marjorie Fischer Foundation, Ralph C. Wilson Foundation, Ruth Mott Foundation, Skillman Foundation, and the Children's Foundation. Philanthropic foundations providing less than \$100,000.00 in grant funding for education reform initiatives were excluded from the sample.

The researcher then examined student enrollment data to determine the school districts that were small-to-mid-sized in Calhoun, Genesee, Kent, Oakland, and Wayne counties. The researcher then compared school district boundary maps to Census Urban Area Reference Maps to determine which small-to-mid-sized school districts existed in urban clusters (UC) and urban areas (UA). This analysis determined that 64 school districts in sampled counties were small or

mid-sized urban school districts (Augenblick et al., 2018; Center for Education Performance and Information, 2021b). School districts with student enrollment counts higher than 13,589 were excluded from the sample.

Data Collection Sources. Data were collected from several sources, including the Center for Educational Performance and Information (CEPI), GuideStar by Candid, the IRS, the U.S. Census Bureau, web searches, and annual reports. Table 3.1 displays the study's variables and data sources. The researcher implemented measures to safeguard against changes in collection processes and clerical errors. During the transcription phase, the researcher verified the units of measure for all data, which was entered into an electronic spreadsheet. The researcher verified all entries through a second examination of the original sources to confirm entered data and correct any errors.

Table 3.1*Data Set Variables by Source*

Dataset Variables	Source
Dataset Sources for Key Variables	
Education Reform Grants by Type	IRS Form 990 & 990PF; Foundations' Annual Reports
Governmental Funding Per Student	Calculation: Local Revenue + State Revenue + Federal Revenue/ Student Enrollment
Non-Governmental Funding Per Student	Calculation: Other Revenue/ Student Enrollment Count
Non-Profit Capacity	GuideStar by Candid; IRS: Tax Exempt Organization Search; ArcGIS
School District Revenue	CEPI Report: School District Revenue by Source
School District Counties	CEPI Report: School Districts by County
School District Enrollment	CEPI Report: Student Enrollment Count
School District Administrative FTE	CEPI Report: FTE (Administrative)
Total Education Reform Funding	IRS Form 990 & 990PF
Total Philanthropic Funding Capacity	IRS Form 990 & 990PF
Urban Areas and Urban Clusters	U.S. Census Bureau Urban Area Reference Maps

Center for Educational Performance and Information. CEPI is a government agency responsible for collecting, managing, and reporting Michigan's education data (Center for Educational Performance and Information, 2021). Aggregate de-identified data is publicly available from CEPI at the school, district, intermediate school district (ISD), and state levels (Center for Educational Performance and Information, 2021). District-level data were collected from CEPI for the present study's analyses, including the (1) student count, (2) number of full-time equivalent (FTE) administrative staff, (3) budgeted governmental funding, and (4) budgeted non-governmental funding for sampled school districts.

GuideStar by Candid. GuideStar by Candid is the world's largest database for information on non-profit organizations (Candid, 2021). The GuideStar by Candid database includes comprehensive, up-to-date information on more than 1.8 million IRS-recognized tax-exempt organizations and faith-based non-profit organizations, with data derived from validated sources, including IRS Form 990 and direct reporting (Candid, 2021). Non-profit organizations located in Calhoun, Genesee, Kent, Oakland, and Wayne counties within the education and youth development categories of the GuideStar database were included as non-profit education organizations in the present study. Information obtained from GuideStar by Candid was verified using the IRS Tax Exempt Organization Search Tool. The school district locations of non-profit education organizations were confirmed using the ArcGIS system, which is supported by the Michigan Department of Technology, Management, and Budget (DTMB).

Internal Revenue Service. Tax-exempt organizations and nonexempt charitable trusts provide the IRS annual information on their tax-exempt activities, finances, governance, compliance with federal tax policy, and compensation paid to specific individuals using Form 990 and 990PF, which are publicly available (Internal Revenue Service, 2020). Therefore, all

community foundations file Form 990 annually (Internal Revenue Service, 2020). Private philanthropic foundations file Form 990PF (Internal Revenue Service, 2020). The 2018 IRS Form 990 and 990PF filings of the local philanthropic foundations included in the sample were reviewed to obtain information on (1) the organizations receiving education reform grants within sampled school districts, (2) the purpose of grants, and (3) the amount of grant funding distributed. Education reform grants made outside UAs and UCs in Calhoun, Genesee, Kent, Oakland, and Wayne counties, all non-education grants, and all grants provided for general support were excluded from analyses.

Grants from philanthropic foundations were coded using the method described by Greene (2015), which categorizes grants by strategy and sustainability. The researcher coded grants by strategy, including program, advocacy, or research initiatives. The program category included grants intended to provide direct services to individual recipients (Greene, 2015). The advocacy category consisted of grants designed to persuade others to adopt an educational policy or practice (Greene, 2015). The research category included grants intended to evaluate educational policies and practices (Greene, 2015). Grants in the advocacy and program categories were subdivided by sustainability, including self-sustaining, non-self-sustaining, or indeterminate. The self-sustaining reform initiative category included grants that mobilize beneficiaries to advance education reform goals (Greene, 2015; Noland, 1989; Strawser, 2021). The non-self-sustaining reform initiatives category included grants that are "unlikely to generate constituencies that can provide the necessary political backing" to sustain the efforts beyond the philanthropic catalyst (Greene, 2015, p. 20). The indeterminate reform initiatives category includes grants that are neither self-sustaining nor non-self-sustaining (Greene, 2015).

U.S. Census Bureau. The U.S. Census Bureau produces reference maps of urbanized areas, which were used in the present study to determine which small and mid-sized school districts within Calhoun, Genesee, Kent, Oakland, and Wayne counties were located within UC and UA. School districts in rural areas were excluded from the present study. Based on the 2010 Census, 64 small and mid-sized school districts were located in UC and UA within the five counties.

Web Search & Annual Reports. When information about grantees or grants was unclear, the researcher conducted a web search of grantees and grants. Additionally, the annual reports of sampled local philanthropic foundations were reviewed to obtain information on education reform grants. This information was used to complete any missing or unclear data in the dataset.

Data Analysis Techniques

Parametric statistical tests were examined to determine the civic capacity factors that influence and contribute to school-community partnerships between philanthropic foundations and small-to-mid-sized urban school districts for education reform. Independent samples *t*-tests were conducted to determine if statistically significant differences existed in civic capacity between sampled school districts based on whether they received education reform grants. Independent samples *t*-tests were also performed to determine if differences existed between education reform initiatives in the amount of grant funding provided by philanthropic foundations. Binary logistic regression techniques were conducted to determine if civic capacity improved sampled school districts' chances of receiving education reform grants better than random chance.

Research Question 1. Independent samples *t*-tests compare the mean scores of two independent groups to determine if statistically significant differences exist in group means

(Fraenkel, Wallen, and Hyun, 2015). The researcher conducted five independent samples t-tests to determine if statistically significant differences existed between sampled school districts receiving and not receiving education reform grants in the amount of (1) governmental funding per student, (2) non-governmental funding per student, (3) non-profit education organizations, (4) school district administrative FTE, and (5) philanthropic funding capacity. School districts receiving education reform grants were assigned to Group 1; those not receiving education reform grants were assigned to Group 2.

The researcher tested several underlying assumptions to confirm the appropriateness of the independent samples *t*-test for the present study, including the assumptions of normality and homogeneity of variance (Salkind & Frey, 2020). The assumption of normality refers to the dependent variable in both groups approximating a normal distribution on a continuous scale (Salkind & Frey, 2020). The assumption of homogeneity of variance refers to the notion that the variances of the dependent variable between groups are approximately equal (Salkind & Frey, 2020). The Shapiro-Wilk's normality test, skewness statistics, and kurtosis statistics were used to determine if the dataset violated the assumption of normality. Levene's Test for Equality of Variances was used to determine if variances were homogeneous.

Research Question 2. The researcher conducted two separate independent samples *t*-tests to examine differences in the mean amount of grant funding provided by philanthropic foundations between education reform initiatives. A Student's *t*-test was conducted to determine if statistically significant differences existed in the mean amount of grant funding provided by local philanthropic foundations for education reform initiatives by strategy, including program and advocacy initiatives. The researcher combined the self-sustaining, non-self-sustaining, and indeterminate advocacy categories to represent advocacy initiatives; the self-sustaining, non-self-

sustaining, and indeterminate program categories were combined to represent program initiatives. Research initiatives were excluded from the analysis due to a limited number of observations in the dataset.

A Welch *t*-test was conducted to determine if statistically significant differences existed in the mean amount of grant funding provided by philanthropic foundations for education reform initiatives by sustainability, including self-sustaining and non-self-sustaining initiatives. The researcher combined the self-sustaining program and advocacy categories to represent self-sustaining initiatives. The non-self-sustaining program and advocacy categories were combined to represent non-self-sustaining initiatives. The researcher initially identified five grants as indeterminate programs; however, on further review, four were re-categorized as non-self-sustaining programs, and one was re-categorized as self-sustaining. Therefore, indeterminate initiatives were excluded from the analysis.

The researcher tested the underlying assumptions of independent samples *t*-tests to confirm their appropriateness for the present study, including the assumptions of normality and homogeneity of variance (Salkind & Frey, 2020). The Shapiro-Wilk test confirmed normality in the distribution of groups in each analysis. The researcher examined Levene's Test for Equality of Variances to determine if variances between groups were homogeneous.

Research Question 3. Binary logistic regression techniques are used to model the probability and odds of an outcome being assigned to one aspect of a dichotomous dependent variable based on the values of one or more independent variables (Seltman, 2018). The researcher conducted binary logistic regression techniques to determine if sampled school districts' civic capacity improved their likelihood of receiving education reform grants better than random chance. The county locations of sampled school districts were also included as a

categorical independent variable to determine if sampled school districts' locations were independent of their likelihood of receiving education reform grants. Correlational analyses were conducted, and collinearity diagnostics were examined to confirm the absence of multicollinearity in the dataset.

Research Ethics

The researcher took precautions to ensure ethical research throughout the study. Related to these ethics were adherence to data accessibility, production transparency, and analytical transparency. To ensure data accessibility, the researcher referenced all data sources and provided access to the compiled dataset. The researcher ensured production transparency by providing a complete account of the procedures used in generating the dataset. The researcher clearly described the process that resulted in research findings and conclusions to ensure analytical transparency. Finally, all components of the study were conducted with the prior consent of the Institutional Review Board (IRB) of the University of Michigan-Flint.

Chapter Summary

This chapter detailed the present study's conceptual framework and methodological design, including the data collection sources, analysis techniques, and methods to ensure ethical research. The study's correlational research design integrated independent samples *t*-tests and binary logistic regression techniques to examine research questions. Independent samples *t*-tests were used to compare the civic capacities of the small and mid-sized urban school districts based on whether they received education reform grants and to determine if statistically significant differences existed in the mean amounts of grant funding provided by philanthropic foundations between education reform initiatives. Binary logistic regression techniques were applied to determine if civic capacity improved sampled school districts' likelihood of receiving education reform grants. The researcher took precautions to ensure ethical research throughout the present

study by adhering to the principles of data accessibility, production transparency, and analytical transparency. All components of the study were implemented with prior authorization of the Institutional Review Board at the University of Michigan-Flint.

Chapter Four:

Analysis & Findings

This chapter describes the results of the present study's correlational research analyses, which investigated how civic capacity in small-to-mid-sized urban school districts influenced partnerships with local philanthropic foundations for education reform. The statistical procedures conducted by the researcher using IBM SPSS Statistics v28 are detailed throughout the chapter, including procedures used to describe the sample population, assess the study's underlying parametric assumptions, answer the research questions, and interpret results. A chapter summary is included to review the study's statistical analyses and findings.

Descriptive Statistics

The researcher examined descriptive statistics to describe the study's sample population, which was comprised of all small-to-mid-sized urban school districts in Michigan that were located in the same county as a diverse representation of philanthropic foundations (local philanthropic foundations), including a top 100 foundation in terms of assets, a family foundation, and a community foundation. The results of descriptive analyses are reported in Table 4.1.

Table 4.1*Preliminary Descriptive Statistics of Sampled School Districts*

Variable	Statistic	
	N	%
Received grant		
Yes	32	50
No	32	50
Variable	M	SD
Civic capacity		
Gov. funding per student	14,236.89	3,096.09
Non-Gov. funding per student	1,072.26	2,268.54
Administrative full-time equivalence	27.03	18.21
Philanthropic funding capacity (Millions)	312.39	164.37
Non-profit capacity	29.08	37.59

An examination of descriptive statistics revealed that 64 small and mid-sized urban school districts in the Michigan counties of Calhoun, Genesee, Kent, Oakland, and Wayne were identified for the present study, with 32 receiving education reform grants from local philanthropic foundations and 32 not receiving such grants. Descriptive statistics demonstrated that the mean levels of non-profit capacity ($M = 29.08$, $SD = 37.59$) and non-governmental funding ($M = 1,072.26$, $SD = 2,268.54$) varied among sampled school districts, indicating a wide range of civic capacity in these areas.

Research Question One

The researcher examined organization-level data for sampled small-to-mid-sized urban school districts to answer the first research question:

1. *How do the civic capacities of small-to-mid-sized urban school districts that receive grant funding from local philanthropic foundations for education reform initiatives differ from those not receiving such funding?*

Preliminary Analysis

The researcher analyzed sampled school districts' civic capacity by group to determine if the dataset violated the underlying assumptions of normality and homogeneity of variance.

Independent samples *t*-tests are robust to violations of normality and homogeneity of variance, particularly when sample sizes between groups are similar (Boneau, 1960; Posten, 1984; Ruxton, 2006; Schmider, 2010). According to Boneau (1960), if sample sizes are approximately equal and distributions between groups have similar shapes, independent samples *t*-tests remain accurate to a high degree. Posten (1984) determined that for examinations of sample sizes larger than $N=15$, independent samples *t*-tests have “fairly strong robustness properties” to violations of normality (p. 149). However, if the normality assumption is not met, the nonparametric Mann-Whitney U test may be more appropriate in analyses (McKnight & Najab, 2010). Therefore, the researcher examined normality statistics to identify the most appropriate statistical analysis (Boneau, 1960; Delacre et al., 2017; Posten, 1984; Ruxton, 2006; Schmider, 2010). The researcher also examined homogeneity of variance statistics to address the assumption of equal variances when interpreting results.

An examination of skewness and kurtosis statistics by group indicated that several distributions were non-normal—with skewness scores ranging from -.077 to 2.88 and kurtosis scores ranging from -1.81 to 8.57, based on the Shapiro-Wilk normality test. Additionally, Levene's Test for equality of variances indicated that variances between groups were unequal for

administrative FTE, $F = 5.096, p = .028$, and non-profit capacity, $F = 5.655, p = .020$. As the sample was skewed and had unequal variance, the researcher tested non-parametric and parametric approaches to find the best statistical test to analyze the sample by group. The comparison between parametric and nonparametric tests did not demonstrate differences in statistical significance. Therefore, the researcher reported the results of parametric tests when comparing groups based on administrative FTE and non-profit capacity.

Hypothesis Tests

The researcher explored descriptive statistics to illustrate the civic capacities of sampled small-to-mid-sized urban school districts receiving and not receiving education reform grants from local philanthropic foundations. The researcher then conducted a series of independent samples t -tests to determine if statistically significant differences existed in school districts' mean civic capacity levels based on whether they received education reform grants from local philanthropic foundations. The null hypothesis was that statistically significant differences did not exist in the mean civic capacity levels of small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations and those not receiving such grants. The alternative hypothesis was that statistically significant differences existed in groups' mean civic capacity levels. The results of descriptive and t -test analyses are reported in Table 4.2.

Table 4.2*Small and Mid-Sized Urban School Districts' Civic Capacity by Group (N=64)*

Variable	Receiving education reform grant		Not receiving education reform grant		Statistics
	M	SD	M	SD	
Gov. funding per student	14,659.19	3,785.44	13,814.59	2,187.02	-1.09
Non-Gov. funding per student	1,306.04	2,457.74	838.48	2,074.90	-0.82
Administrative FTE	33.94	18.75	20.13	14.95	-3.26**
Philanthropic funding capacity (Millions)	295.54	154.02	329.24	174.93	0.82
Non-profit capacity	39.53	43.65	18.63	27.21	-2.3**

** $p < .01$

Examinations of independent samples t -test results indicated that statistically significant differences existed between groups in their mean levels of administrative FTE, $t(59.07) = -3.26$, $p < .01$, and non-profit capacity, $t(51.93) = -2.30$, $p < .01$. Sampled small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations had nearly 70% more administrative FTE ($M=33.94$ vs. $M=20.13$) and more than twice as much non-profit capacity as sampled school districts not receiving education reform grants from local philanthropic foundations ($M=39.53$ vs. $M=18.63$). The statistically significant disparities between groups in administrative FTE and non-profit capacity suggested that these civic capacity factors significantly delineated small-to-mid-sized urban school districts receiving education reform grants from those not receiving such grants.

Research Question Two

Education reform grants provided by local philanthropic foundations in sampled school districts were categorized and analyzed by strategy (program, advocacy, and research) and sustainability (self-sustaining, non-self-sustaining, and indeterminate) to answer the second research question:

2. *Do statistically significant differences exist between education reform initiatives in the amount of grant funding local philanthropic foundations provide?*

Preliminary Analyses

The researcher conducted preliminary analyses of education reform grants by assessing the assumption of normality to ensure the distributions were appropriate for parametric statistical analyses. An analysis of skewness and kurtosis statistics indicated that the distribution of research initiatives could not be ascertained due to the limited number of observations ($n=3$). Therefore, the researcher excluded research initiatives from the present study's inferential analyses. Additionally, five grants were initially coded as indeterminate program initiatives; however, after additional review, the researcher reclassified four grants as non-self-sustaining program initiatives and one as a self-sustaining program initiative.

Four of the five reclassified grants were provided by local philanthropic foundations in sampled small-to-mid-sized urban school districts to build capacity in non-profit organizations. According to the National Council of Nonprofits (2022), capacity-building activities encompass supports designed to improve organizations' ability to achieve their missions and sustain themselves over time. Therefore, the researcher reclassified these grants as self-sustaining program initiatives due to capacity-building activities' focus on sustainability. The remaining reclassified grant was provided to an intermediary organization in a sampled small-to-mid-sized urban school district to offer technical assistance to non-profit education organizations. Non-

profit technical assistance generally includes activities that support non-profit organizations to attain specialized skills or services that do not currently exist within their organizations (Centers for Disease Control, 2022). Given this, the researcher reclassified the grant as a non-self-sustaining program due to the temporary scope of technical assistance activities in supporting non-profit organizations.

Examinations of Shapiro-Wilk normality statistics indicated that the distribution of grant funding provided by local philanthropic foundations for advocacy initiatives approximated a normal distribution. However, all remaining variables exhibited non-normal distributions, with skewness scores between .087 and 12.43 and kurtosis scores between -.63 and 160.33. The researcher assessed homogeneity of variance statistics to address the assumption of equal variances when interpreting *t*-test results. Levene's Test for equality of variances indicated that variances between education reform initiatives by strategy (program and advocacy) were approximately equal, $F = .001, p = .972$. Variances were unequal between groups based on sustainability (self-sustaining and non-self-sustaining), $F = 20.583, p < .001$. While a similar situation was found in Research Question one, the comparison of results between parametric and nonparametric tests showed differences in statistical significance in Research Question Two.

In order to address this discrepancy and identify the most appropriate statistical test, the researcher conducted multiple analyses based on the suggestion by Fagerland and Sandvik (2009). Four tests were conducted to compare education reform initiatives by sustainability, which had unequal variance. The results from Welch's *t*-test (parametric test), Mann-Whitney U test (nonparametric test), Welch's *t*-test with 20% trimmed means, and Mann-Whitney U test with 20% trimmed means showed that the two parametric tests (Welch's test) with and without trimmed means and nonparametric tests with 20% trimmed means provided same results on

statistical significance, while the Mann–Whitney U test without trimmed means did not. The differences between education reform initiatives by strategy, which had equal variance, were examined using Student's *t*-test, Mann–Whitney U test, Student's *t*-test with 20% trimmed means, and Mann–Whitney U test with 20% trimmed means. These analyses demonstrated that parametric tests with and without trimmed means and nonparametric tests with trimmed means had the same results as it relates to statistical significance, while the nonparametric test without trimmed means did not. This suggested that outliers in the dataset influenced the results, and nonparametric tests did not provide consistent results in the present study. Instead, parametric tests (Student's *t*-test and Welch's test) showed consistency across analyses regardless of using a trimmed mean.

Therefore, the researcher decided to use parametric tests with all data points for the second research question. Comparisons between education reform initiatives by sustainability were conducted using the Welch *t*-test, while education reform initiatives by strategy were analyzed using the Student's *t*-test. The caution is that the power of statistical analyses in the present study may be reduced due to the limited number of advocacy grants ($n= 9$) (Shreffler & Huecker, 2022).

Hypothesis Tests

Descriptive statistics were examined by strategy and sustainability to illustrate philanthropic foundations' place-based grantmaking patterns and funding allocations in local small-to-mid-sized urban school districts. The researcher conducted two independent samples *t*-tests to determine if statistically significant differences existed in the mean amount of grant funding provided by local philanthropic foundations between education reform initiatives. The null hypothesis was that statistically significant differences did not exist between education reform initiatives in the mean amount of grant funding provided by local philanthropic

foundations. The alternative hypothesis was that statistically significant differences existed between education reform initiatives in the mean amount of grant funding provided by local philanthropic foundations. Table 4.3 reports descriptive and *t*-test statistics for education reform grants from local philanthropic foundations in sampled school districts.

Table 4.3*Education Reform Grant Statistics by Strategy and Sustainability*

Variable (In Millions of Dollars)	Descriptive			<i>t</i>
	N	M	SD	
All education reform grants	178	.31	2.11	
Education reform grants by strategy				-.44
Program	166	.30	2.20	
Advocacy	9	.62	.60	
Research ¹	3	.20	.20	
Education reform grants by sustainability				-1.30
Non-self-sustaining	145	.11	.40	
Self-sustaining	30	1.30	5.04	

¹*Insufficient observations to include in t-test analyses*

Descriptive statistics revealed that local philanthropic foundations provided 178 grants ($M = .31$ million, $SD = 2.11$ million) to sampled small-to-mid-sized urban school districts for education reform initiatives. Examinations of descriptive statistics by strategy revealed that local philanthropic foundations provided a mean of .62 million dollars ($SD=.60$ million) for advocacy initiatives, .30 million dollars ($SD = 2.20$ million) for program initiatives, and .20 million dollars

($SD = .20$ million) for research initiatives. Given the limited number of research grants observed ($n=5$), the researcher excluded research grants from inferential analyses. Results from the independent samples t -test provided insufficient evidence to conclude that statistically significant differences existed in the mean amount of grant funding provided by local philanthropic foundations in sampled small-to-mid-sized urban school districts between program and advocacy initiatives, $t(173) = -.42, p = .70$.

Examinations of descriptive statistics by sustainability demonstrated that the mean amount of grant funding provided by local philanthropic foundations in small-to-mid-sized urban school districts for self-sustaining initiatives ($M = 1.30, SD = 5.04$ million) was more than ten times higher than the mean amount of grant funding provided for non-self-sustaining initiatives ($M = .11, SD = .38$). However, results from the independent samples t -test provided insufficient evidence to conclude that statistically significant differences existed in the mean amount of grant funding provided by local philanthropic foundations in sampled small-to-mid-sized urban school districts between non-self-sustaining and self-sustaining initiatives, $t(29.10) = -1.30, p = .22$.

Research Question Three

The researcher analyzed organization-level civic capacity data for sampled small-to-mid-sized urban school districts to answer the third research question:

3. *To what extent is the likelihood of small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations associated with school districts' civic capacities?*

Preliminary Analyses

The researcher analyzed correlational and multicollinearity statistics to examine relationships between civic capacity variables and assess the assumption of multicollinearity,

with results reported in Table 4.4. The researcher considered r -values between .40 and .50 to be moderate correlations; correlations above .50 were considered strong.

Table 4.4

Correlation Table of Civic Capacity Variables (N=64)

Variables	Variables			
	Gov. funding per student	Non-Gov. funding per student	Administrative FTE	Philanthropic funding capacity
Non-Gov. funding per student	.06			
Administrative FTE	.25*	.22		
Philanthropic funding capacity	-.03	.28*	-.01	
Non-profit capacity	.43**	.04	.49**	-.30*

* $p < .05$, ** $p < .01$

Table 4.4 indicated that each civic capacity variable had a statistically significant relationship with at least one other variable. Non-profit capacity was positively correlated with governmental funding per student, $r(64) = .43$, $p < .01$, and administrative FTE, $r(64) = .49$, $p < .01$, while it was negatively correlated with philanthropic funding capacity, $r(64) = .30$, $p < .05$. Administrative FTE was positively correlated with governmental funding per student, $r(64) = .25$, $p < .05$. Philanthropic funding capacity was positively correlated with non-governmental

funding per student, $r(64) = .28, p < .05$. Multicollinearity statistics confirmed the absence of multicollinearity in the dataset.

Hypothesis Test

The researcher conducted a binary logistic regression analysis to determine if sampled small-to-mid-sized urban school districts' civic capacities were associated with their likelihood of receiving education reform grants from local philanthropic foundations. The null hypothesis was that civic capacity was not associated with small-to-mid-sized urban school districts' likelihood of receiving education reform grants from local philanthropic foundations. The alternative hypothesis was that civic capacity was associated with small-to-mid-sized urban school districts' likelihood of receiving education reform grants. The researcher set the significance level at 5%, with results reported in Table 4.5. Goodness of fit and classification statistics were examined to determine whether the dataset approximated the population's expected outcomes. Regression statistics were examined to determine if small-to-mid-sized urban school districts' civic capacity (explanatory variables) was associated with their likelihood of receiving education reform grants from local philanthropic foundations (outcome variable). A county variable was included in regression analyses to control for variations across school districts' geographic contexts.

The Omnibus Test for Model Coefficients indicated that the binary logistic regression model had significantly better goodness of fit than a null model with no explanatory variables, suggesting that at least one of the model's explanatory variables was associated with sampled school districts' likelihood of receiving education reform grants from local philanthropic foundations. Given this preliminary finding, the researcher examined binary logistic regression statistics to identify which explanatory variables contributed to the model's accuracy, goodness of fit, and log odds.

Table 4.5

Logistic Regression Results of Associations between Receipt of Education Reform Grants and Civic Capacity (N=32)

Variables	Statistic			
	<i>OR</i>	<i>SE</i>	95% CI	
			Lower	Upper
Gov. funding per student	1.004	0.110	0.827	1.218
Non-Gov. funding per student	1.043	0.134	0.806	1.349
Administrative FTE	1.053*	0.024	1.006	1.104
Philanthropic funding capacity	0.999	0.009	0.995	1.002
Non-profit capacity	1.007	0.014	0.985	1.030

* $p < .05$

A review of Table 4.5 suggested that administrative FTE was significantly associated with sampled small-to-mid-sized urban school districts' likelihood of receiving education reform grants from local philanthropic foundations ($OR = 1.053, p = .03$). The odds ratio for administrative FTE indicated that for each additional administrative FTE employed by sampled small-to-mid-sized urban school districts, their odds of receiving education reform grants from local philanthropic foundations increased by approximately 5.3%.

Chapter Summary

This chapter described the analyses and findings of the present research study, which examined how civic capacity influences and contributes to school-community partnerships between small-to-mid-sized urban school districts and local philanthropic foundations for education reform. The procedures used by the researcher to describe the sample population, check underlying assumptions, test hypotheses, and interpret results were described. Table 4.6 summarizes the study's analyses and findings.

Table 4.6*Summary of Research Findings*

Outcome	Research Technique	Research Findings
Differences existed between school districts in administrative FTE and non-profit capacity.	Independent Samples <i>t</i> -tests	Statistically significant differences exist between groups in civic capacity factors related to human resource capacity (administrative FTE and non-profit capacity) in schools and non-profit education organizations.
Differences were not detected between education reform initiatives in the amount of grant funding provided by local philanthropic foundations.	Independent Samples <i>t</i> -tests	Statistically significant differences were not detected in the mean amount of grant funding provided by local philanthropic foundations for education reform initiatives by strategy (program and advocacy) or sustainability (non-self-sustaining and self-sustaining).
Administrative FTE is associated with school districts' likelihood of receiving education reform grants.	Binary Logistic Regression	Administrative FTE explains 5.3% of the likelihood of school districts receiving education reform grants from local philanthropic foundations.

The first research question was examined and answered using a series of independent samples *t*-tests to determine if statistically significant differences existed in sampled small-to-mid-sized urban school districts' mean civic capacity levels based on whether they received education reform grants. When comparing the civic capacities of both groups, the researcher determined that small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations had significantly higher administrative FTE and non-profit capacity levels. These findings suggested that small-to-mid-sized urban school districts receiving education reform grants were distinguishable by human resource capacity, which was defined in the present study by the number of full-time equivalent education administrators employed by sampled school districts (administrative FTE) and the number of non-profit education organizations located in sampled school districts' boundaries (non-profit capacity).

The researcher examined and answered the second research question by conducting two independent samples *t*-tests to compare the mean amount of grant funding provided by local philanthropic foundations for education reform initiatives by strategy, including program and advocacy initiatives, and sustainability, including self-sustaining and non-self-sustaining initiatives. The study did not detect statistically significant differences between groups when comparing the mean amount of grant funding provided by local philanthropic foundations in both analyses.

Finally, the researcher conducted a binary logistic regression analysis to examine and answer the third research question. This examination revealed that administrative FTE was significantly associated with the likelihood of sampled small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations. The researcher's

reflections on the research findings, including discussion, implications, and recommendations for future research are included in the next chapter.

Chapter Five:

Conclusion

This chapter discusses the results of the present study's examination of how civic capacity in small-to-mid-sized urban school districts influences and contributes to school-community partnerships with local philanthropic foundations for education reform. The discussion section summarizes the study's findings, including connections to the existing research literature and how the present study addresses research gaps. Implications are outlined to clarify how the present study's research findings inform urban education practice and theories related to education philanthropy. Recommendations for future research are detailed, describing the researcher's suggestions for re-assessing and expanding upon the present study's findings. Finally, the chapter summary reviews the chapter's contents.

Discussion

The present study illustrated how civic capacity in small-to-mid-sized urban school districts influences and contributes to school-community partnerships with local philanthropic foundations for education reform through an examination of three research questions:

1. *How do the civic capacities of small and mid-sized urban school districts receiving grant funding from local philanthropic foundations for education reform initiatives differ from those not receiving such funding?*
2. *Do statistically significant differences exist between education reform initiatives in the amount of grant funding local philanthropic foundations provide?*
3. *To what extent is the likelihood of small and mid-sized urban school districts receiving education reform grants from local philanthropic foundations associated with school districts' civic capacities?*

Research Question 1: Civic Capacity and Partnerships with Philanthropic Foundations

The first research question examined the civic capacities of small-to-mid-sized urban school districts using conventional measures to determine how sampled school districts differed based on whether they received education reform grants from local philanthropic foundations. Small-to-mid-sized urban school districts' civic capacity was conceptualized in the present study to encompass financial capacity, human resource capacity, and catalytic capacity (Shipps, 2003; Stone, 1989). Financial capacity included governmental and non-governmental funding. Human resource capacity included governmental and non-governmental partners. Catalytic capacity included the amount of grant funding distributed by sampled philanthropic foundations (philanthropic funding capacity).

Examinations of independent samples *t*-test results revealed that sampled small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations had significantly higher human resource capacity, codified by their numbers of full-time equivalent education administrators (administrative FTE) and non-profit education organizations located within their boundaries (non-profit capacity), than school districts not receiving education reform grants.

Results from the present study confirmed the importance of sufficient human resource capacity in schools and non-profit education organizations to establish and maintain school-community partnerships for education reform. Shipps (2003) noted that governmental and non-governmental stakeholders could be represented by numerous constituencies in education reform coalitions, depending on school districts' sizes, demographics, locations (urban or rural), and political landscapes. The present study demonstrates that small-to-mid-sized urban school districts receiving education reform grants from local philanthropic foundations had higher representations of education administrators as governmental partners and non-profit education

organizations as non-governmental partners. This finding suggests that although numerous governmental and non-governmental stakeholders can comprise school-community partnerships in school districts of varying sizes, education administrators and non-profit education organizations are key stakeholders in developing school-community partnerships with local philanthropic foundations for education reform in small-to-mid-sized urban school districts.

Research Question 2: Philanthropic Foundations' Education Reform Grantmaking Patterns

Independent samples *t*-tests were conducted to determine if statistically significant differences existed between education reform initiatives in the mean amount of grant funding provided by local philanthropic foundations. Education reform grants provided by local philanthropic foundations in sampled school districts were categorized by strategy (program and advocacy) and sustainability (non-self-sustaining and self-sustaining). Results from independent samples *t*-tests did not provide sufficient evidence to determine that statistically significant differences existed in the amount of grant funding provided by local philanthropic foundations between education reform initiatives by strategy or sustainability. This finding deviates from the findings of Greene (2015) related to large private philanthropic foundations' grantmaking patterns and demonstrates that the place-based grantmaking patterns of local philanthropic foundations are more nuanced than non-local philanthropic grantmaking patterns.

Greene (2015) found that large private philanthropic foundations provided the highest number of grants and amounts of funding for non-self-sustaining and program initiatives. Descriptive statistics of education reform grants in the present study demonstrated similarities to Greene's (2015) findings, with the highest number of grants being provided by local philanthropic foundations in sampled small-to-mid-sized urban school districts for non-self-sustaining and program initiatives. However, in the present study, *t*-test results demonstrated that statistically significant differences did not exist in the amount of grant funding provided by local

philanthropic foundations for education reform initiatives in sampled small-to-mid-sized urban school districts. A fundamental difference between the present study and Greene's (2015) was the inclusion of a diverse representation of philanthropic foundations and a local place-based grantmaking focus, while Greene's (2015) study included 15 largest philanthropic foundations in the U.S. and a diverse range of grantees. Therefore, the local place-based nature of philanthropic foundations' grantmaking in the present study may have influenced the differences between the present study's findings and Greene's (2015) in philanthropic foundations' funding allocations for education reform initiatives.

Community foundations comprised nearly 30% of the sampled philanthropic foundations in the present study. The grantmaking strategies of community foundations center on place-based, self-sustaining initiatives, including initiatives that develop and strengthen institutions, enhance capacities, improve systems and services, expand awareness of issues, and build and sustain communities (Noland, 1989; Sacks, 2014; Strawser, 2021). Therefore, adding community foundations to the present study's sample of local philanthropic foundations may have influenced higher amounts of grant funding for self-sustaining and advocacy initiatives in sampled school districts, as they align with the grantmaking strategies of community foundations. The place-based focus on local grantees may have also contributed to the differences observed in the present study. Strawser (2021) suggested that the positioning of community foundations' staff within their respective communities made foundations' staffers more aware of nuanced community needs, issues, and opportunities.

Philanthropic foundations of all types broadly engage in place-based philanthropy, requiring "long-term investment in collaborative partnerships to create, nurture, and sustain local and systemic changes" (Dalma et al., 2022; Fehler-Cabral et al., 2016, p. 84). Private and family

foundations represented more than 70% of sampled philanthropic foundations in the present study. Private and family foundations have historically supported self-sustaining and advocacy initiatives through place-based education reform initiatives in school districts located in proximity to foundations' offices (Annenberg Foundation, 2002; Bill and Melinda Gates Foundation, 2000; Charles Stewart Mott Foundation, 2021; Eli and Edythe Broad Foundation, 2021; Schindler, 2007b; Wallace Foundation, 2021; W.K. Kellogg Foundation, 2021). By revealing that statistically significant differences did not exist between education reform initiatives in the mean amount of grant funding provided by local philanthropic foundations, the present study revealed that local philanthropic foundations did not exhibit preferences for any particular type of education reform initiative in their funding allocations.

Research Question 3: Relationship Between Civic Capacity and Education Reform Grants

Binary logistic regression analyses revealed that administrative FTE improved sampled school districts' likelihood of receiving education reform grants by approximately 5.3%. This finding illuminates the unique contribution of educational administrators in influencing school-community partnerships between small-to-mid-sized urban school districts and local philanthropic foundations for education reform. Valli et al. (2014) determined that the availability of education administrators influences school districts' ability to engage in and manage complex school-community partnerships, as these partnerships depend on the presence of "cross-boundary" leadership among educational leaders, requiring the presence of "an active and diverse community site team and a full-time community school coordinator" in addition to "a culture of shared influence and responsibility" between educational leaders and community stakeholders (Adams, 2019, p. 12). Findings from binary logistic regression analyses suggest that small-to-mid-sized urban school districts with high levels of administrative FTE are better able

to establish and maintain strong school-community partnerships that lead to grant funding from local philanthropic foundations for education reform initiatives.

Implications

Few research studies have examined how small-to-mid-sized urban school districts' civic capacity influences school-community partnerships with local philanthropic foundations for education reform initiatives. The present study addresses this gap and provides several practical implications for small-to-mid-sized urban school districts, the students who attend them, and local philanthropic foundations of varying types. These contributions provide a practical basis to support the development, implementation, and evaluation of school-community partnerships between small-to-mid-sized urban school districts and local philanthropic foundations for education reform initiatives.

Implications for Small-to-Mid-Sized Urban School Districts

Results from the present study suggested that, when assessing the feasibility of school-community partnerships with local philanthropic foundations, small-to-mid-sized urban school districts schools must consider: (1) education administrators' availability to manage school-community partnerships with local philanthropic foundations and non-profit education organizations, (2) non-profit education organizations' availability to provide services that complement or supplant services traditionally provided by schools, and (3) the types of education reform initiatives they seek to implement. These findings offer insight for small-to-mid-sized urban school districts into how partnerships between local philanthropic foundations and non-profit education organizations can be leveraged to influence education reform.

Small-to-mid-sized urban school districts are distinct from large urban school districts in the number of students they serve, the proportions of their revenue appropriated for administrative costs, and the complexity of their local education governance landscapes (Boser,

2013; Cushman, 1997; Koran, 2016). In school districts of all sizes, education administrators must balance allotting limited amounts of time between organizational priorities, such as compliance, governance, and discipline, and strategic priorities, such as student achievement, professional development, and continuous improvement (Brauckmann-Sajkiewicz & Schwarz, 2015). However, in small-to-mid-sized urban school districts—where high overhead costs limit financial capacity—education administrators are further constrained by monetary scarcities that limit the prospect of implementing meaningful education reform without assistance from community partners and stakeholders (Boser, 2013; Shipps, 2003).

The present study's findings highlight the relevance of education administrators to small-to-mid-sized urban school districts' ability to engage in school-community partnerships with local philanthropic foundations. These findings can be used by education administrators in small-to-mid-sized urban school districts that seek to implement education reform initiatives to raise awareness about the need to balance schools' administrative and strategic priorities, centering school-community partnerships as a critical strategic priority. Further, the present study provides a basis for education administrators in small-to-mid-sized urban districts to justify higher administrative FTE to accommodate more robust school-community partnerships, such as those with local philanthropic foundations and non-profit education organizations for education reform. In small-to-mid-sized urban school districts with fewer administrative FTE, the present study's findings may be used to justify a more balanced allocation of administrators' time between administration and strategy to accommodate more robust school-community partnerships.

Implications for Students Attending Small-to-Mid-Sized Urban School Districts

Challenges in education finance and policy have perpetuated intergenerational trends of low performance in students attending urban schools compared to non-urban schools (OECD, 2012; Thompson & Thompson, 2018). Additionally, compared to large school districts, small-to-mid-sized school districts have more financial constraints that limit the amount of funding available to enact education reforms that improve student outcomes. By revealing the significant impact of administrative FTE on local philanthropic support for education reform initiatives, the present study offers information that small-to-mid-sized urban school districts can use to secure additional resources and partnerships that improve educational services and outcomes for their students.

Implications for Philanthropic Foundations

Philanthropic foundations are scrutinized for their involvement in education reform, with negative criticisms increasing by 133% between 2000 and 2013 (McShane & Hatfield, 20015). While scrutiny depended on critics' political ideologies, philanthropic foundations' involvement in education reform has been criticized from all sides as outcome-oriented structures that shift power from the public to unelected elites (McShane & Hatfield, 2015; Tompkins-Stange, 2016). These assertions are strengthened by previous studies of philanthropic foundations' grantmaking patterns and funding allocations, indicating that they provided the highest amounts of grant funding for non-self-sustaining education reform initiatives, which have little chance of being sustained after philanthropic support is withdrawn (Greene, 2015).

The present study suggested that the place-based grantmaking patterns of local philanthropic foundations of varying sizes and types in small-to-mid-sized urban school districts approximated field-oriented approaches to grantmaking by "investing in organizations' capacities to pursue social change over a long time period" (Tompkins-Stange, 2016, p. 55). In

part, the grantmaking patterns and funding allocations of field-oriented foundations are influenced by the input of a broad constituency of educational stakeholders who inform philanthropic foundations' education reform priorities (Tompkins-Stange, 2016). Therefore, findings from the present study suggest that local philanthropic foundations supported education reform initiatives in small-to-mid-sized urban school districts based on districts' self-identified needs. Given this, the present study demonstrates that partnerships between small-to-mid-sized urban school districts and local philanthropic foundations can lead to education reforms that address the needs identified by schools and their stakeholders.

Limitations

The present study contained limitations in its sample size, timeframe, and design. The first limitation involved the study's sample size, which included 64 small and mid-sized urban school districts in five Michigan counties. While the sample represented all Michigan school districts that met the study's selection criteria of small-to-mid-sized urban school districts located in proximity to a diverse representation of philanthropic foundations, the sample was a small representation of school districts in Michigan. Therefore, limitations in sample size contributed to reductions in the power of the study's statistical analyses, potentially increasing its margin of error and influencing Type II errors (Shreffler & Huecker, 2022). Additionally, limitations in the sample size limit the generalizability of research findings.

The present study analyzed one year of data to identify the civic capacity factors that influenced school-community partnerships between local philanthropic foundations and small-to-mid-sized urban school districts for education reform. Therefore, the present study's findings demonstrate a single point in time and do not illustrate the relationships among the variables over time. Finally, the study's non-experimental research design determined the strength of relationships between variables but did not generate information that could imply causation.

Recommendations for Future Research

The researcher recommends future studies that adjust the statistical procedures utilized in the present study to improve the quality of research findings, including utilizing a larger sample size and a more expansive data collection timeframe. Recommendations also highlight future research endeavors that can build upon the present study's findings to clarify additional factors that influence and contribute to school-community partnerships between local philanthropic foundations and small and mid-sized urban school districts for education reform.

The current study's selection criteria limited the number of small and mid-sized urban school districts available for the sample. Future research that expands the sample population to include school districts located in proximity to any type of philanthropic foundation or including all states in the U.S. would improve the strength of statistical analyses by increasing the number of school districts and philanthropic foundations available for the sample. Multi-level analyses of small and mid-sized urban school districts throughout the U.S. may also reveal insights into local philanthropic foundations' grantmaking patterns and funding allocations between and within states. Additionally, replicating the present study to include data collected over a longer timeframe would improve the study's validity. The present study revealed an association between civic capacity and school districts' likelihood of receiving education reform grants at a single point in time. However, replicating the present study over a longer timeframe would allow binary logistic regression analyses to be used for prediction.

The researcher recommends replicating the present study with additional practical civic capacity measures that approximate governmental partners and non-governmental funding to determine if other variables in these categories better explain associations. For example, future research examining specific characteristics of non-profit education organizations by type would

better clarify which other factors are associated with small-to-mid-sized urban school districts' likelihood of receiving education reform grants from local philanthropic foundations.

Future research can investigate the leadership characteristics among education administrators in small and mid-sized urban school districts. The present study confirms that higher availabilities of education administrators and non-profit education organizations differentiate small and mid-sized urban school districts receiving education reform grants from those not receiving such grants. This, along with previous findings, suggests associations between education administrators' availabilities and leadership attributes and the quality and efficacy of school-community partnerships (Adams, 2019; Kladifko, 2013; Valli et al., 2016). Future analyses can further examine which leadership characteristics are associated with the success of school-community partnerships with local philanthropic foundations by using a sample of school districts receiving education reform grants, such as the cross-boundary leadership approaches described by Adams (2010).

The relationships between non-profit capacity and administrative FTE should also be explored to determine the extent to which a system of co-production exists in school districts receiving education reform grants from local philanthropic foundations. The research literature suggests that complex school-community partnerships require collaboration between high-capacity school districts and non-profit organizations through a system of co-production (Cammett & Maclean, 2014). While the present study confirmed that higher levels of non-profit capacity and administrative FTE delineated school districts receiving education reform grants from those not receiving education reform grants, examinations of the nature of relationships between education administrators and non-profit organizations would strengthen understandings

related to the value of non-profit capacity and administrative FTE in establishing school-community partnerships with local philanthropic foundations.

The present study also demonstrated that the place-based grantmaking patterns of local philanthropic foundations of varying types and sizes in small-to-mid-sized urban school districts deviated from the patterns exhibited by the largest philanthropic foundations in school districts of varying types and sizes. However, philanthropic foundations were not disaggregated by type, nor were non-local grantees included in the sample. Therefore, further examinations of how the grantmaking patterns of philanthropic foundations differ between local and non-local grantees and between different types of foundations are recommended.

Chapter Summary

This chapter summarized the present study's research questions and key findings. A discussion of research findings reviewed the study's results, drew connections to the existing research literature, provided possible explanations for identified findings, and presented an overall analysis of the study's key findings. The study's implications for educational practice were detailed. Finally, the study's limitations and the researcher's recommendations for future research were described.

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Appendix A: Institutional Review Board Approval Letter



Health Sciences and Behavioral Sciences Institutional Review Board (IRB-HSBS) • 2800 Plymouth Rd., Building 520, Room 1170, Ann Arbor, MI 48109-2800 • phone (734) 936-0933 • fax (734) 998-9171 • irbhsbs@umich.edu

To: JaNel Jamerson

From:

Riann Palmieri-Smith
Thad Polk

Cc:

JaNel Jamerson
Nathaniel McClain

Subject: Notice of Determination of “Not Regulated” Status for [HUM00215098]

SUBMISSION INFORMATION:

Title: Giving for the City: A Correlational Study on the Influences of Civic Capacity on Philanthropic Support for Education Reform in Small and Mid-Sized Urban School Districts

Full Study Title (if applicable):

Study eResearch ID: [HUM00215098](#)

Date of this Notification from IRB: 3/23/2022

Date of IRB Not Regulated Determination: 3/23/2022

IRB NOT REGULATED STATUS:

Category Outcome Letter Text

Research Based on the information provided, the proposed study falls under the **Using** University of Michigan’s policy for research using publicly available data sets **Publicly** (<http://hrpp.umich.edu/initiative/datasets.html>). Under this policy and in **Available** accordance with federal regulations for human subjects research (45 CFR Part **Data** 46) IRB approval is not required as the data cannot be tracked to a human **Sets** subject.

Riann Palmieri-Smith
Co-chair, IRB HSBS

Thad Polk
Co-chair, IRB HSBS

Appendix B: Small and Mid-Sized Urban School Districts in Genesee, Oakland, & Wayne Counties

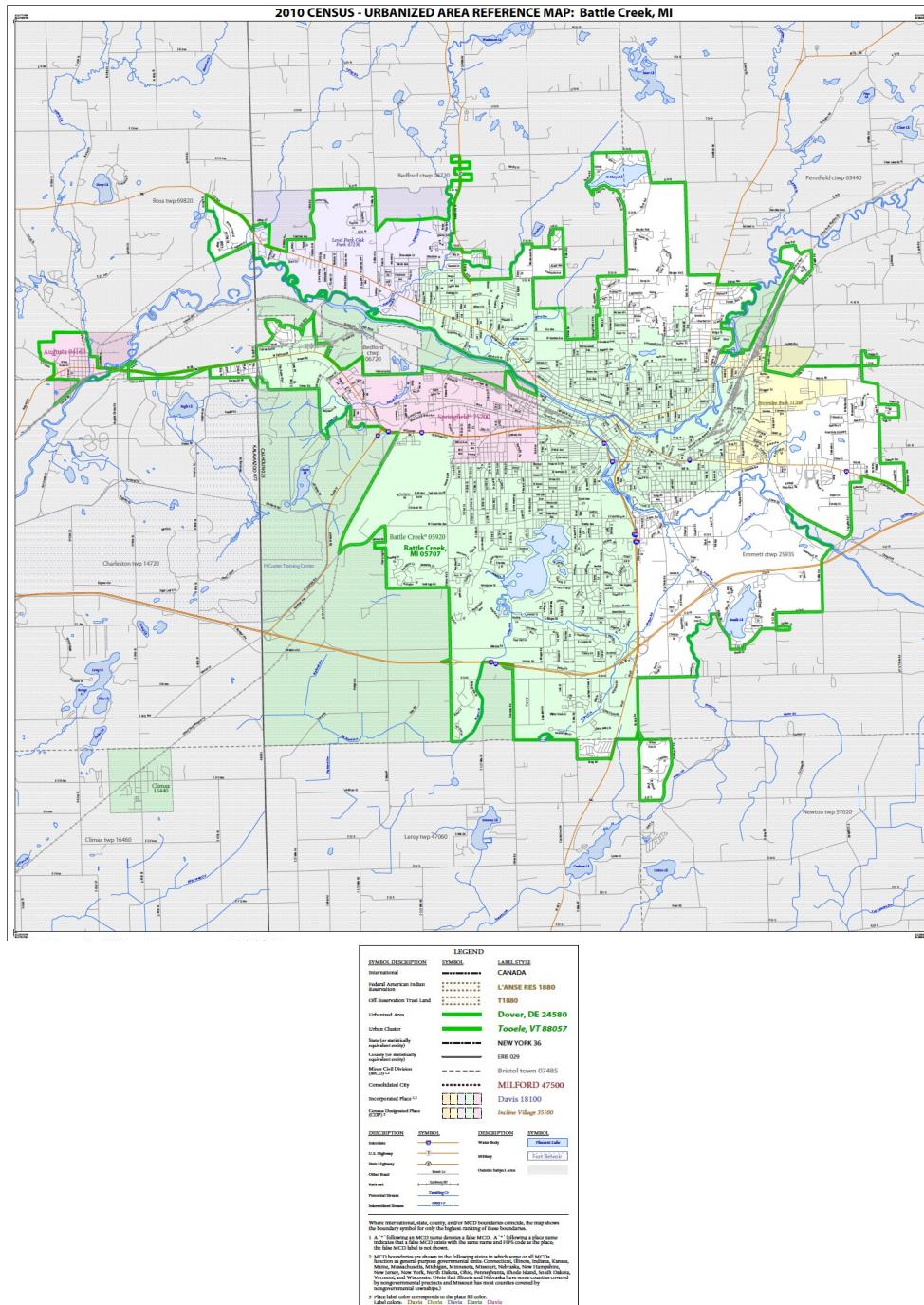
#	County	School District	Enrollment
1	Calhoun	Battle Creek	3911
2	Calhoun	Lakeview	4075
3	Calhoun	Marshall	2793
4	Genesee	Atherton	832
5	Genesee	Beecher	708
6	Genesee	Bendle	1154
7	Genesee	Bentley	832
8	Genesee	Carman-Ainsworth	4329
9	Genesee	Clio	2831
10	Genesee	Davison	5756
11	Genesee	Fenton	3450
12	Genesee	Flint	3749
13	Genesee	Flushing	4222
14	Genesee	Grand Blanc	8326
15	Genesee	Lake Fenton	2107
16	Genesee	Linden	2685
17	Genesee	Swartz Creek	3643
18	Genesee	Westwood Heights	1594
19	Kent	Comstock Park	1890
20	Kent	East Grand Rapids	2886
21	Kent	Forest Hills	9774
22	Kent	Grandville	5666
23	Kent	Kenowa Hills	3137
24	Kent	Kentwood	9284
25	Kent	Northview	3327
26	Kent	Wyoming	4152
27	Oakland	Berkley	4297
28	Oakland	Birmingham	8034
29	Oakland	Clarenceville	1872
30	Oakland	Clawson	1469
31	Oakland	Farmington	9461
32	Oakland	Ferndale	3139
33	Oakland	Hazel Park	3076
34	Oakland	Lamphere	2442
35	Oakland	Novi	6689
36	Oakland	Oak Park	4429
37	Oakland	Pontiac	4022
38	Oakland	Royal Oak	5138
39	Oakland	Southfield	5613
40	Oakland	Troy	13164
41	Oakland	Waterford	8202
42	Oakland	West Bloomfield	5363
43	Wayne	Crestwood	3890
44	Wayne	Dearborn Heights	2535
45	Wayne	Ecorse	1098
46	Wayne	Flatrock	1940
47	Wayne	Garden City	3647
48	Wayne	Gibraltar	3656

#	County	School District	Enrollment
49	Wayne	Grosse Pointe	7477
50	Wayne	Hamtramck	3353
51	Wayne	Harper Woods	2464
52	Wayne	Lincoln Park	4938
53	Wayne	Melvindale- N. Allen Park	3061
54	Wayne	Redford Union	2313
55	Wayne	River Rouge	2422
56	Wayne	Riverview	2920
57	Wayne	Romulus	2497
58	Wayne	South Redford	3118
59	Wayne	Southgate	3451
60	Wayne	Taylor	5934
61	Wayne	Trenton	2523
62	Wayne	Wayne-Westland	10700
63	Wayne	Woodhaven-Brownstone	5671
64	Wayne	Wyandotte	4686

Appendix C: Census Urban Area Reference Maps

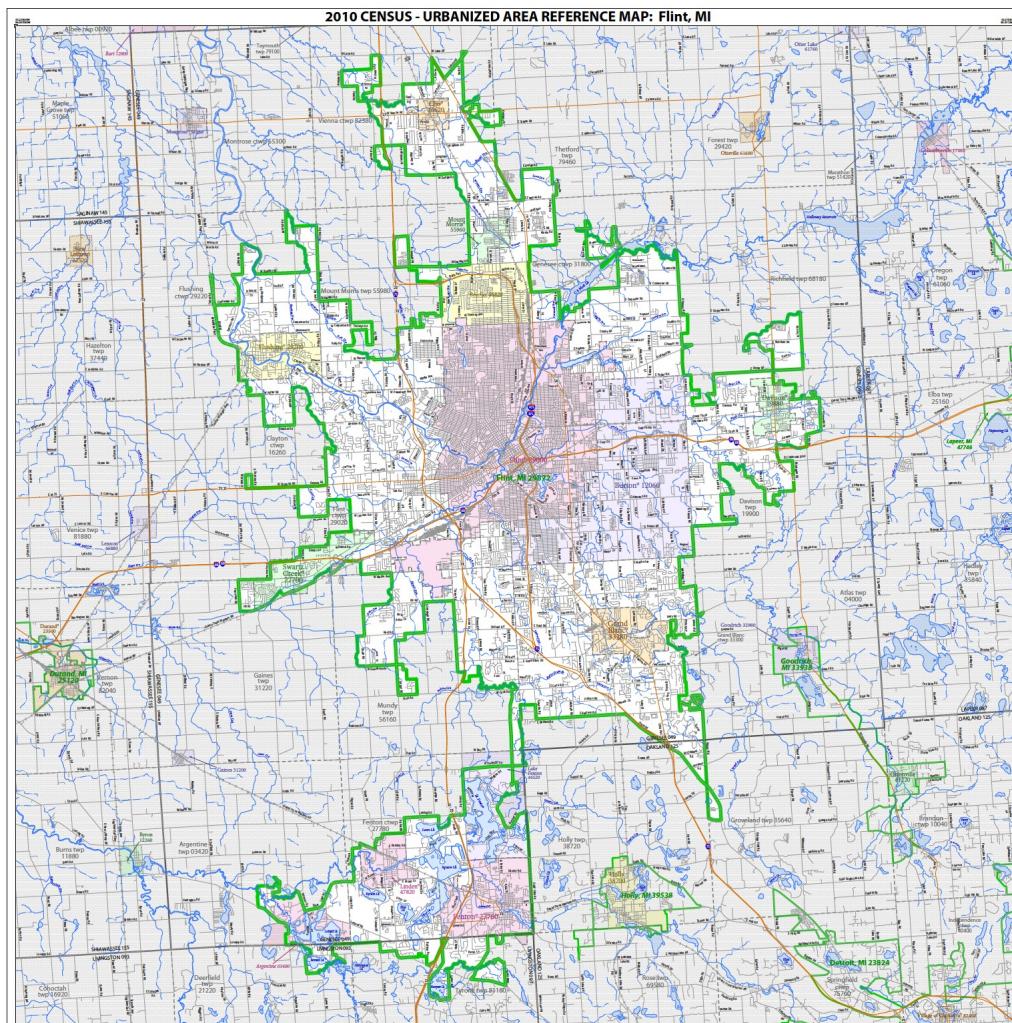
Appendix C.1.

Urban Areas in Calhoun County, Michigan



Appendix C.2.

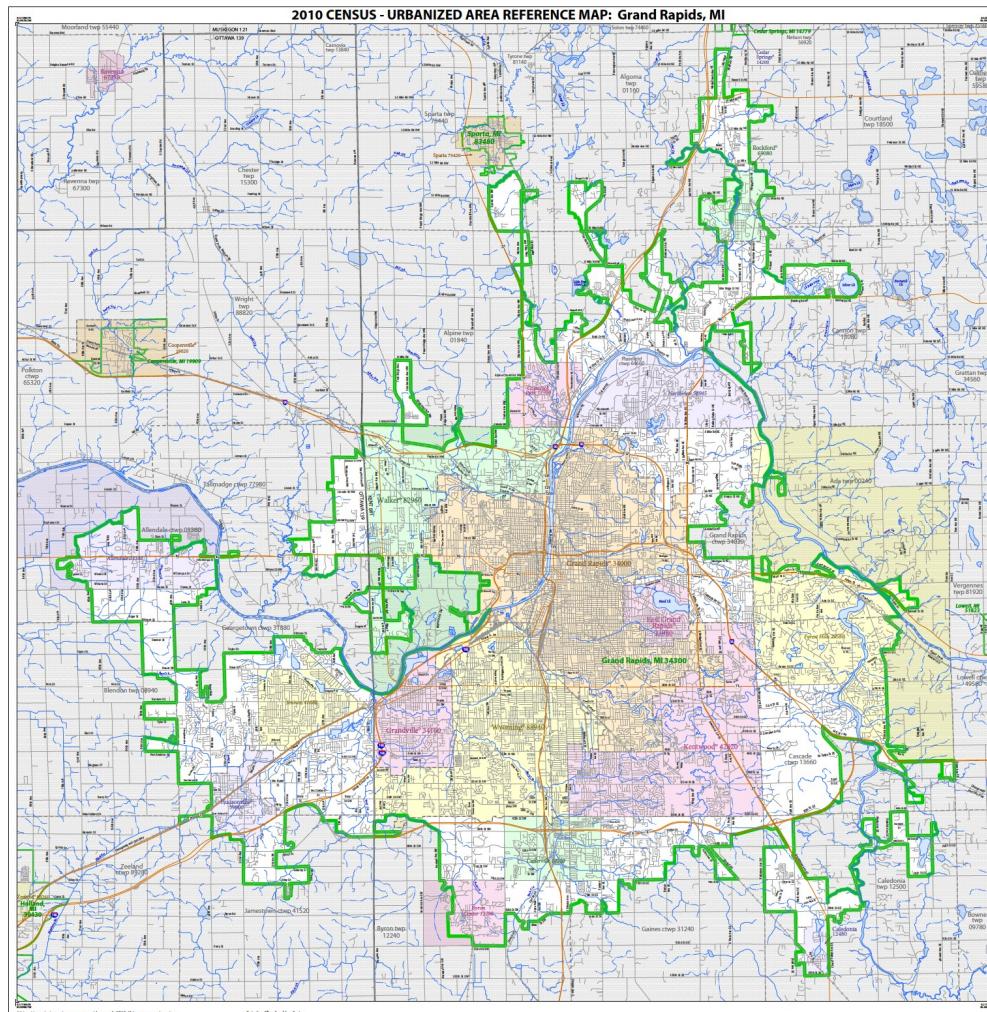
Urban Areas in Genesee County, Michigan



LEGEND			
SYMBOL DESCRIPTION	SYMBOL	LABEL STYLE	
International	— — — —	CANADA	
Federal American Indian Reservation	*****	L'ANSE RES 1880	
Off-Reservation Trust Land	*****	T1880	
Urbanized Area	— — — —	Dover, DE 24580	
Urban Cluster	— — — —	Tooele, VT 88057	
State (or statistically equivalent entity)	— — — —	NEW YORK 36	
County (or statistically equivalent entity)	— — — —	ERIE 029	
Minor Civil Division (MCD) 1,2	— — — —	Bristol town 07485	
Consolidated City	*****	MILFORD 47500	
Incorporated Place 1,3	■ ■ ■ ■ ■	Davis 18100	
Census Designated Place (CDP) 1,3	■ ■ ■ ■ ■	Incline Village 35100	
 DESCRIPTION SYMBOL DESCRIPTION SYMBOL			
Interstate	—	Water Body	—
U.S. Highway	—	Marine Lake	—
State Highway	—	Military	—
Other Road	—	Block Line	—
Railroad	—	Building AD	—
Permanent Features	—	Building CO	—
Interim/Temporary Stream	—	Outside Subject Area	—

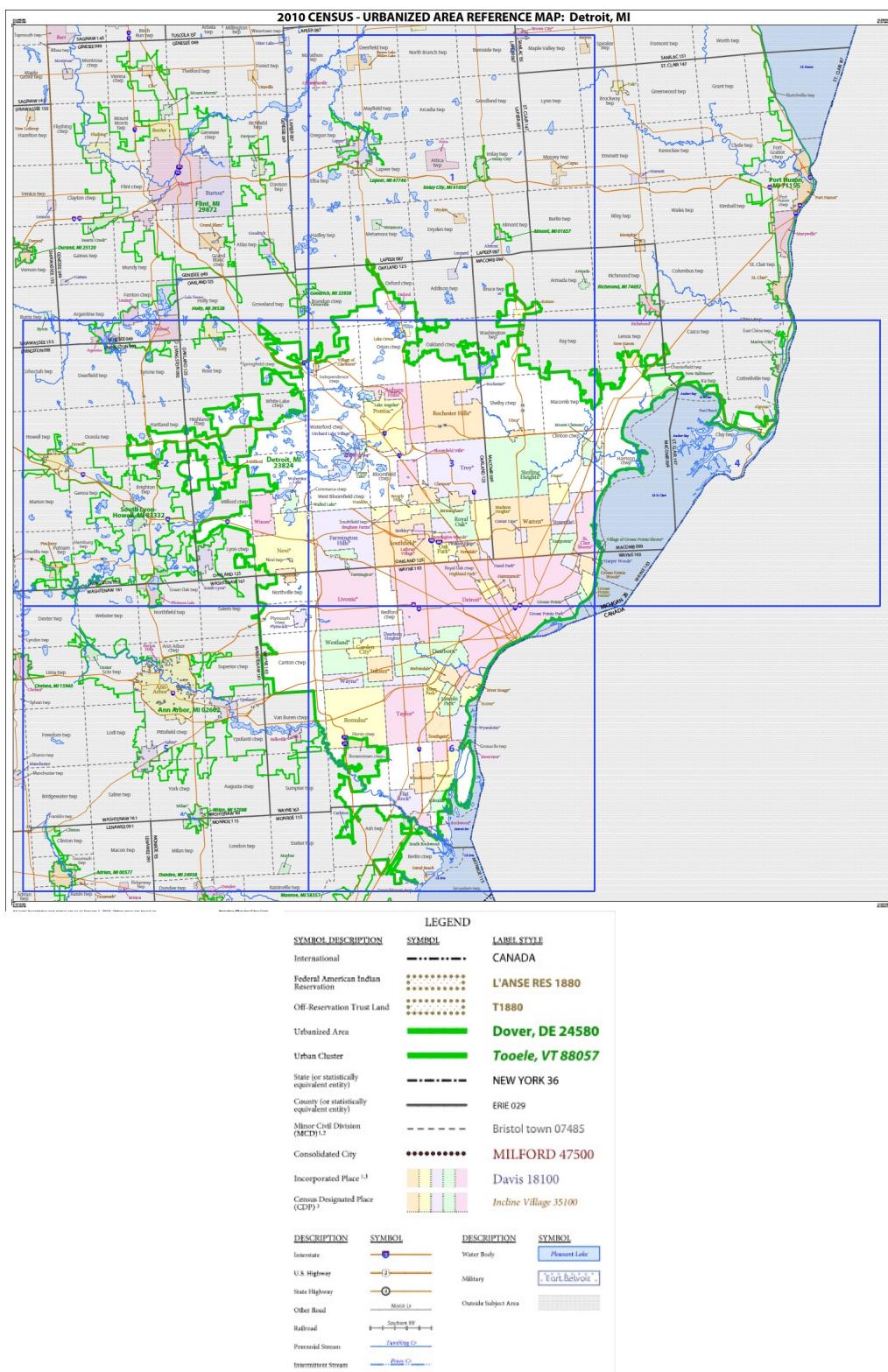
Appendix C.3.

Urban Areas in Kent County, Michigan



Appendix C.4.

Urban Areas in Oakland and Wayne Counties, Michigan



Appendix D: Tables

Appendix D.1.

Comparison of Public and Philanthropic Spending on K-12 Education (Greene, 2005, p. 55)

K-12 Education Spending	Total	Per Pupil
Public	\$ 427,522,379,628.00	\$ 8,922.00
30 Largest Foundations	\$ 649,203,841.00	\$ 14.00
<i>as a percentage of public spending</i>	0.15%	0.15%
Philanthropic Donations Reported by Public Schools	\$ 1,275,091,966.00	\$ 27.00
Other Philanthropic Spending for K-12 Education	\$ 272,850,161.00	\$ 6.00
Total Philanthropic Spending	\$ 1,547,942,127.00	\$ 32.00
<i>as a percentage of public spending</i>	0.36%	0.36%

Appendix D.2.

Dataset Variables by Source

Dataset Variables	Source
Dataset Sources for Key Variables	
Education Reform Grants by Type	IRS Form 990 & 990PF; Foundations' Annual Reports
Governmental Funding Per Student	Calculation: Local Revenue + State Revenue + Federal Revenue/ Student Enrollment
Non-Governmental Funding Per Student	Calculation: Other Revenue/ Student Enrollment Count
Non-Profit Capacity	GuideStar by Candid; IRS: Tax Exempt Organization Search; ArcGIS
School District Revenue	CEPI Report: School District Revenue by Source
School District Counties	CEPI Report: School Districts by County
School District Enrollment	CEPI Report: Student Enrollment Count
School District Administrative FTE	CEPI Report: FTE (Administrative)
Total Education Reform Funding	IRS Form 990 & 990PF
Total Philanthropic Funding Capacity	IRS Form 990 & 990PF
Urban Areas and Urban Clusters	U.S. Census Bureau Urban Area Reference Maps

Appendix D.3.

Preliminary Descriptive Statistics of School Districts

Variable	Statistic		
	N	M	SD
Received Grant			
Yes		32	
No		32	
Civic Capacity			
Governmental Funding Per Student		\$14,236.89	\$3,096.09
Non-Governmental Funding Per Student		\$1,072.26	\$2,268.54
Administrative Full-Time Equivalence		27.03	18.21
Philanthropic Funding Capacity (In Millions of Dollars)		\$312.39	\$164.37
Non-Profit Capacity		29.08	37.59

Appendix D.4.

Small and Mid-Sized Urban School Districts' Civic Capacity by Group (N=64)

Variable	Received Education Reform Grant		Did Not Receive Education Reform Grant		<i>t</i> -test for Equality of Means
	<i>M</i>	<i>SD</i>	<i>M</i>	<i>SD</i>	
Governmental Funding Per Student	\$14,659.19	\$3,785.44	\$13,814.59	\$2,187.02	-1.09
Non-Governmental Funding Per Student	\$1,306.04	\$2,457.74	\$838.48	\$2,074.90	-0.82
Administrative FTE	33.94	18.75	20.13	14.95	-3.26**
Philanthropic Funding Capacity (In Millions of Dollars)	\$295.54	\$154.02	\$329.24	\$174.93	0.82
Non-Profit Capacity	39.53	43.65	18.63	27.21	-2.3*

* $p < .05$

** $p < .01$

Appendix D.5.

Education Reform Grant Statistics by Initiative, Strategy, and Sustainability

Education Reform Grants (In Millions of Dollars)	Descriptive			<i>t</i> -test for Equality of Means
	<i>N</i>	<i>M</i>	<i>SD</i>	
All Grants	178	\$0.309	\$2.114	
Initiative				
Non-Self-Sustaining Program	142	\$0.104	\$0.370	
Self-Sustaining Program	24	\$1.429	\$5.640	
Self-Sustaining Advocacy	6	\$0.678	\$0.640	
Non-Self-Sustaining Advocacy	3	\$0.487	\$0.589	
Research	3	\$0.164	\$0.198	
Strategy				-4.360
Program	166	\$0.296	\$2.184	
Advocacy	9	\$0.615	\$0.593	
Sustainability				
Non-Self-Sustaining	145	\$0.112	\$0.376	
Self-Sustaining	30	\$1.279	\$5.039	

Appendix D.6.

Correlation Table of Civic Capacity Variables (N=64)

Variables	Variables			
	Governmental Funding Per Student	Non- Governmental Funding Per Student	Administrative FTE	Philanthropic Funding Capacity
Non-Governmental Funding Per Student	.061			
Administrative FTE	.253*	.219		
Philanthropic Funding Capacity	-.026	.277*	-.011	
Non-Profit Capacity	.429**	.043	.494**	-.292*

* $p < .05$

** $p < .01$

Appendix D.7.

Logistic Regression Results of Associations between Receipt of Education Reform Grants and Civic Capacity (N=32)

Model	Variables	Statistic			
		<i>OR</i>	<i>SE</i>	95% CI	
				Lower	Upper
1	Governmental Funding Per Student	1.004	0.110	0.827	1.218
	Non-Governmental Funding Per Student	1.043	0.134	0.806	1.349
	Administrative FTE	1.053*	0.024	1.006	1.104
	Philanthropic Funding Capacity	0.999	0.009	0.995	1.002
	Non-Profit Capacity	1.007	0.014	0.985	1.030

* $p < .05$

Appendix D.8.

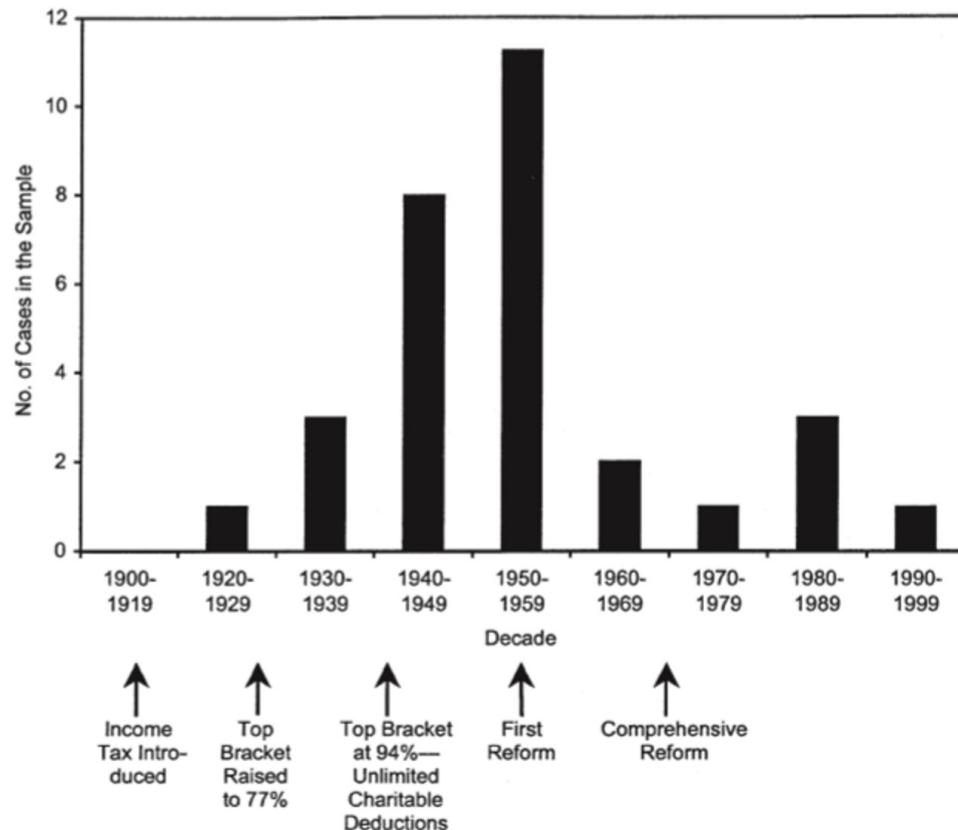
Summary of Research Findings

Outcome	Research Technique	Research Findings
Differences exist in levels of civic capacity between groups	Independent Samples <i>t</i> -tests	Statistically significant differences exist between groups in administrative FTE and non-profit capacity.
Differences exist between education reform initiative types in the amount of grant funding	Independent Samples <i>t</i> -tests	Statistically significant differences do not exist in the mean amount of grant funding provided by philanthropic foundations between program and advocacy initiatives or non-self-sustaining and self-sustaining initiatives.
Civic capacity explains the likelihood of receiving education reform grants	Binary Logistic Regression	Administrative FTE explains 5.3% of the likelihood of school districts receiving education reform grants from philanthropic foundations.

Appendix E: Figures

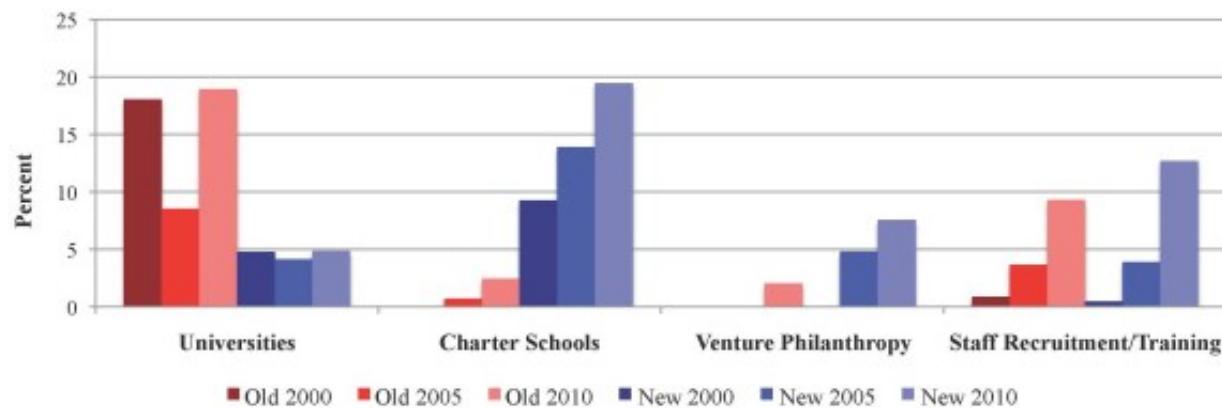
Appendix E.1.

Distribution U.S. Private Family Foundation Founding Dates 1900-1999 (Gersick et al., 2004, p. 43)



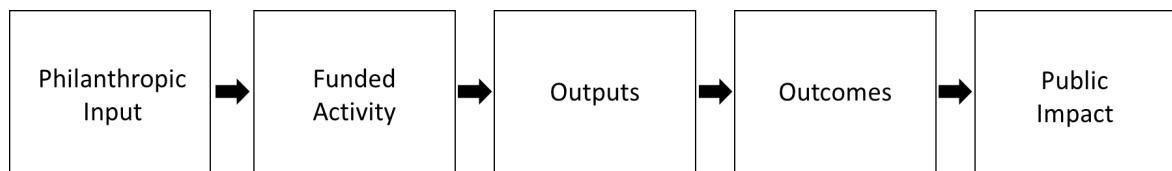
Appendix E.2.

Distribution of K-12 Education Giving by Old & New Foundations; 2000, 2005; 2010 (Snyder, 2015, p. 38)



Appendix E.3.

Elements of Education Philanthropy Theory of Change (Frumpkin, 2005, p. 277)



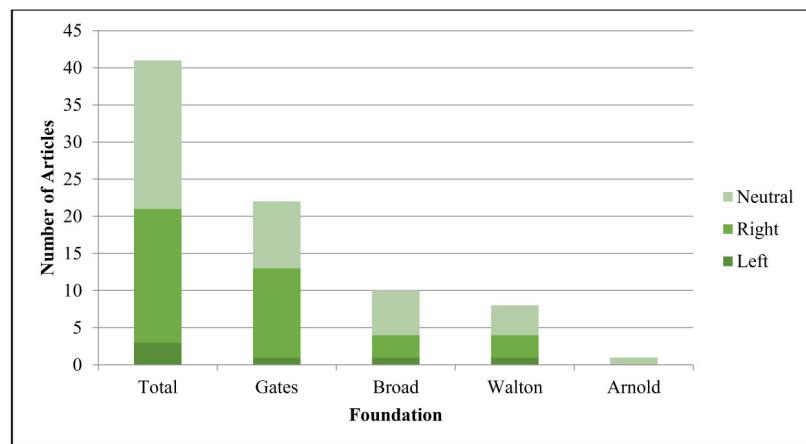
Appendix E.4.

Outcome- versus Field-Oriented Foundation Approaches (Tompkins-Stange, 2016, p. 55)

Outcome-Oriented Approach	Managing Grantees		Field-Oriented Approach	
	Centralized Control of an initiative is maintained by the foundation	Decentralized Control of an initiative is maintained by the foundation		
	Selecting Partners			
	Grassstops Foundations prefer to work with elite and/or expert organizations	Grassroots Foundations prefer to work with community-based organizations		
	Framing Problems			
	Technical Foundations pursue problems that are amenable to technical solutions with a clear line of causality	Adaptive Foundations pursue problems that are complex and multifaceted with less clear solutions		
Evaluating Results				
	Quantifiable Foundations prefer metrics that are calculated and prove impact	Integrated Foundations use both qualitative and quantitative metrics to show plausibility rather than proof		

Appendix E.5.

Criticisms of Foundation Influence on Education Reform (McShane & Hatfield, 2015, p. 131)



Appendix E.6.

Conceptual Framework

