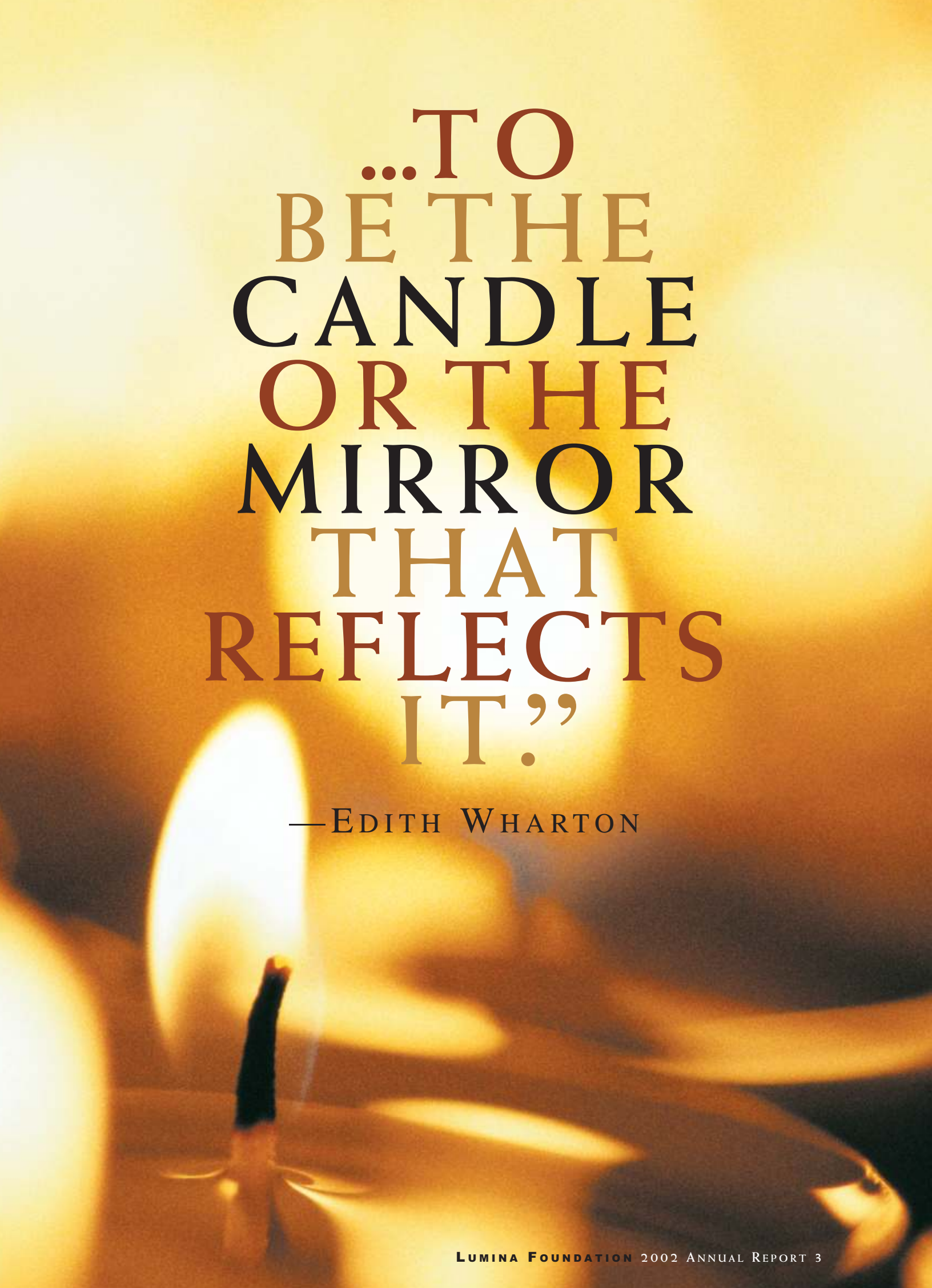


“THERE ARE  
TWO WAYS  
OF SPREADING  
LIGHT...”



...TO  
BE THE  
CANDLE  
OR THE  
MIRROR  
THAT  
REFLECTS  
IT.”

—EDITH WHARTON

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## **On the cover**

Shirley Collado (center), national program director for The Posse Foundation, with members of Vanderbilt University Posse 13, Class of 2007, who will head this fall to the Nashville, Tenn., campus. (Clockwise from lower left): Alice Kim, Beville Nicholas, Tinesha Allen, Cristian Quizhpi, Ereni Kouladis and Vanessa Egerton-Shelton. (Not pictured: Marvin Figueroa, La Toya Franklyn, Danny Marin and Tung Yan Lau.) Shirley's story — and details of Lumina Foundation's support of Posse — are on Page 11.

**At Lumina Foundation, we strive to spread the light of higher education by making grants that improve access, enhance student success and address the needs of adult learners. In the pages that follow, you'll see reflections of fine work — the work of our grantees in 2002.**

# Passing the torch

Lumina Foundation for Education, established in midsummer 2000, is historically rooted in service to education. Thus, when the founding board of directors described the role of the Foundation — to serve as an agent of change for expanding access to higher education in America — the choice seemed natural.

Friends often asked me at the beginning, “What do foundations do?” They usually just smiled when I said that foundations primarily exist to give away money — and giving away money is hard work, if you do it right.

I tried to illustrate this by explaining that the Foundation would need to be aware of trends in education and would need to know where and when to allocate its resources to best assist higher education — a constantly changing field.

Keeping these factors in mind, we decided we would concentrate our social investments on helping students pursue and complete an education beyond high school — whether in a four-year, two-year or certification program. The Foundation would focus particular attention on students whose success is less than certain because of their income, age, heritage or their family’s inexperience with higher education. These are not the traditional students that American higher education was designed to serve. Instead, they are students who represent the changing face of higher education and whose success will define the heart and soul of America for generations to come.

As an example of these new students, I remember reading often in past years about the 50- and 60-year-old grandmothers who enrolled in college to earn the degrees that eluded them in their 20s. Such stories wouldn’t attract such media attention now because non-traditional learners are no longer an exception. As this report shows, Lumina Foundation is responding to this circumstance by supporting changes on campuses across the country — changes geared to easing the burdens and answering the needs of adult learners everywhere.

From the beginning, Lumina Foundation set its sights high. We focus on broad efforts to help many institutions improve their success with historically underserved students. A great many of our grant dollars will go to institutions that enroll large numbers of these

students — community colleges. We will challenge them to re-examine and improve their academic and student services in ways that lead to improved student learning and completion.

In addition to our broad-scope efforts, I was particularly pleased when we established the McCabe Fund this year. This fund will benefit postsecondary students directly — including those who are first in their families to attend college, low-income students, and students of color.

For years I have been a fan of creative programs that identify and motivate young people who show the ability to succeed in college, but who are too often lost in the vastness and inefficiencies of so many options. The McCabe Fund will offer grants to support innovative efforts to help these students. Although all of these projects are limited in the number of young people they can help, my hope is they will nevertheless get the publicity that will prompt others to replicate their efforts. Slowly but surely they will multiply, and over a generation or two the good results they produce will be significant.



When Lumina Foundation’s founding board first met in the summer of 2000, the members asked me to serve as chairman. I was pleased and honored to accept, provided that after two years we would choose a successor. That time came in August 2002, when our vice chairman, John Mutz, was elected to the chairmanship. John’s energy and enthusiasm, coupled with his extensive and varied experience in business, government and philanthropy, uniquely qualify him to lead the Foundation to further levels of achievement. His leadership is complemented by a strong and talented board, and by a versatile management team led by our able president and CEO, Martha Lamkin.

Lumina Foundation and its mission are in good hands.

A handwritten signature in dark ink that reads "Edward A. McCabe". The signature is written in a cursive, flowing style.

Edward A. McCabe  
Founding chairman

# Lighting the way for student success

The essence of the quotation on this report's cover, Edith Wharton's warm image of "spreading light," defines our work at Lumina Foundation for Education. Expanding access to postsecondary education, our mission, is about illuminating minds and spirits.

Our founding chairman's message (at left) describes our mission of expanding access to education for historically underserved students.

The challenge for any foundation is in figuring out *how* to accomplish its mission and goals. What grants, research and communication efforts will move us from good intentions to positive results?

We are working at several levels in our efforts to improve student access and success. At the grass-roots level, we are supporting innovative efforts that provide direct service to help students pursue their education. In some cases, we are supporting the expansion of successful models. Although our resources cannot support the efforts of many institutions, ultimately, we hope to help entire systems of institutions make more students successful.

We also hope that our investments in research and communication will touch many more institutions than we can fund. In 2002, we expanded our knowledge by conducting and funding research on the issues that affect access and success for today's students. Then we shared the lessons we learned through our publications and other communication initiatives. We also shared — and gained — knowledge by establishing key partnerships with organizations and individuals who share our mission and our goals.

Good work relies on solid assets. This year we continued our strategy to maintain a diversified investment portfolio. This effort, while not a complete buffer against steep drops in the market, helped insulate us from the large losses some other foundations suffered and also set the stage for stable, long-term growth consistent with the planned, steady growth of our grant-making activity.

In 2002, we approved \$21.5 million in grants, paying out \$17.2 million to organizations that are working to spread the light of postsecondary education. Our largest single commitment was for a five-year, \$4.5 million initiative that will help minority-serving institutions build on their success as the leading grantors of baccalaureate degrees to minority students. We also laid the groundwork for an even larger initiative focused on the nation's community colleges, which now serve nearly half of the nation's undergraduates.

In addition to these large-scale, "high-wattage" efforts, sometimes we light just a few bright candles, funding much smaller, direct-service grants that help the nation's students right where they live. This year we honored our founding chairman, Ed McCabe, by initiating a fund to provide modest grants for programs that help historically underserved students gain access to postsecondary education. The McCabe Fund

serves a vital purpose by focusing on these students, who are sure to grow in number as the nation undergoes huge demographic changes in the coming decades.

The McCabe Fund is a fitting legacy for Ed, who for more than four decades has been dedicated to improving college access and who continues that work as a fellow board member.

Like Ed, we are inspired by our mission of access. We believe the work of 2002 reflects well on Lumina Foundation and helps light our path for the future.



**John M. Mutz**  
Chairman

**Martha D. Lamkin**  
President and CEO



**COACH co-founder Christopher Avery of Harvard University and Program Director Rachel Garber, shown here at a student-counseling session at Boston's Charlestown High School, help pair students from urban high schools with graduate students who offer guidance on the college-application process.**

# Improving postsecondary access

*Many students who plan to attend college aren't taking the right steps to get there. Fewer than half of high school graduates have completed a college-prep curriculum; others are unaware of financial aid deadlines, fearful of mandatory entrance exams and intimidated by lengthy application forms. In 2002, Lumina Foundation provided funds to streamline state policies, expand proven programs and launch initiatives that will help clear the cluttered path to higher education.*

Katie Cahill had never been inside an urban public school until November 1999, when she signed on to guide seniors at Boston's Dorchester High through the daunting process of college admission. The program, appropriately called COACH (College Opportunity and Career Help), was new and was the brainchild of Harvard faculty members Tom Kane (now of UCLA) and Chris Avery. "I had no idea how it would impact my life," says Cahill, one of several Harvard graduate students to help launch the project.

Equally unaware of the program's influence were the inner-city youth who gathered weekly

to review curriculum prerequisites, wade through application paperwork and decipher financial aid jargon — all under the watchful eyes of coaches such as Cahill. "I worked with some students who were determined to go on to college and others who wouldn't graduate from high school," she says. "What impressed me about all of them was the way they responded to the one-on-one and small-group attention we provided."

She recalls a gifted young woman, "full of sassy street smarts," who couldn't afford the tuition at a local private school and thought she had no other options. Cahill counseled the teen toward



**High school students Maria Fernández (center) and Viviana Gonzalez discuss their college plans with COACH Program Director Rachel Garber, who also helps students with what she calls "the nitty-gritty pieces of the application process." The teens are both seniors at Charlestown High School, an urban public school in Boston, Mass.**

a public university, where she quickly rose to the top of her class and is "well on her way to the business career she used to talk about." They keep in touch, and Cahill, now project manager for the Mass Insight Education and Research Institute, is convinced that "without COACH, this student would not be in such an exciting position."

### **Getting an early start**

Some success stories take more time to unfold. Chris Avery tells of a young man who contacted the COACH office to ask for help six months after completing high school. "He told us that he liked the COACH program well enough when he was a senior but hadn't envisioned himself attending college," says Avery. "Now, several months into his first job, he's realized that he needs a degree to advance." In response to the request, the COACH staff set up an after-hours crash course in college admissions; today the youth is a full-time student at a Florida college.

"We work with all kinds of kids," says Avery. "Some are recent immigrants who have very different outlooks on what they have planned for the future. Others come from families who have lived in Boston for generations. We have gifted students, and we have special-needs students. The exciting part is when we put kids in touch with a coach who helps them believe in their future; suddenly, they realize that the system can work for them."

That message is reaching students earlier now that COACH is piloting a two-year version that offers its services to juniors at three Boston high schools. With the help of a \$97,800 grant from Lumina Foundation, the college-preparation work is no longer compressed into a few months. "One of our goals this year was to have all the juniors register to take the SAT," explains Maureen O'Donnell, a guidance counselor at Boston High School. "This will allow students more opportunities to qualify for those scholarships with deadlines that occur early in their senior year. Much to

## Improving access

our satisfaction, and as a direct result of COACH, we've met this objective."

The more leisurely time frame also allows the Harvard coaches to take students on field trips to area colleges, gives teens the chance to identify summer opportunities that might help them toward their education goals and adds an extra year if the students need to play catch-up with classes that they didn't realize were required at some schools.

"The senior year is very much about helping students with the nitty-gritty pieces of the application process — registering for the SAT, filling out forms, reading drafts of essays and looking at acceptance letters and evaluating awards packages," explains Rachel Garber, director of the COACH program. "We have many students who never considered postsecondary education until

**"The exciting part is when we put kids in touch with a coach who helps them believe in their future; suddenly, they realize that the system can work for them."**

— Chris Avery

they were presented information about the affordability of community college and about the transfer policies between community colleges and four-year schools."

An evaluation of COACH is under way, and a book is in the works. Avery and Garber believe the program can be replicated at other

universities, in other communities and in other states. "That's our hope," says Garber. "We plan to work with neighboring universities to develop partnerships so they can run COACH out of their schools. Our idea is to reach all high schools in Boston and then develop a model that we can disseminate nationally."

### Expanding College Goal Sunday

A similar hands-on approach to college admission is College Goal Sunday<sup>SM</sup>, an annual event that began in Indiana in 1989 and has been adapted for use in Arizona, Kansas, Kentucky, Maryland, Delaware and the District of Columbia. The concept is simple: One Sunday a year is set aside — traditionally a week or two after Super Bowl Sunday — for college-bound students and their families to come to a central location for help in applying for financial aid. Community volunteers

join staff members from various college financial aid offices to distribute information and personally guide families through some of the same paperwork that the COACH team tackles in Boston.

Support for College Goal Sunday has been widespread, in part due to the impressive statistics it has tallied over the years. In Indiana alone, almost 600 persons typically donate their time on a winter afternoon at dozens of sites in about 30 Hoosier communities. Cumulative records indicate that, since it was introduced, the service has benefited nearly 60,000 residents.

Impressed by the program's success, Lumina Foundation has taken a lead role in helping it grow by supporting organizations that want to establish College Goal Sunday efforts in their states. Groups in Ohio, Oklahoma and Wyoming are using Lumina Foundation® grants to implement new programs, and exploratory efforts are under way in Illinois, Maine, Michigan and Missouri. By providing technical and financial assistance, the Foundation intends to make College Goal Sunday a nationally prominent initiative that will

serve students and families for generations to come. As it is replicated across the country, the program is taking on distinctive characteristics, thanks to sponsors who add incentives to attract attention and participants.

"My mom was really worried about filling out the FAFSA (Federal Application for Federal Student



**University of Louisville financial aid counselor Kim Jones (far right) works with Mayra Gonzalez while the teen's family members look on. Mayra and his family — mother Yoidel Gonzalez, father Leonel Alvarez and brother Leonel Alvarez Jr. — immigrated to the Louisville, Ky., area from Cuba in 2001. They were among more than 400 families that volunteers assisted with financial aid paperwork during a College Goal Sunday event at Louisville Male High School.**

## Improving access



**Harvard graduate student Johnny Vong (center) helps plan a path to college for a group of juniors at Charlestown High School (clockwise, from foreground: Carla Piña, Stephenson Aman and Savannah Andrade). Vong and other Harvard students work in Boston's public high schools to help students make informed decisions about postsecondary education and take the necessary steps to act on those decisions.**

Aid)," recalls Katie Adams, now a nursing student at Garden City Community College in Garden City, Kan. The personal assistance that her family received with the paperwork was only the beginning. Katie was among the lucky youth to walk away with one of the \$250 scholarships awarded every half-hour at the 17 College Goal Sunday sites in Kansas. She put the unexpected bonus to good use: "The scholarship I won went to help pay for books in the nursing program," she says.

### **Encouraging grassroots efforts**

**I**n addition to College Goal Sunday, the Foundation launched another important initiative this year to improve access to postsecondary

education. Grants totaling more than \$920,000 were the first to come from the McCabe Fund, named in honor of Lumina Foundation's founding chairman of the board, Edward McCabe. Each of these 12 grants went to support a grassroots effort to increase college opportunity for minority, low-income, first-generation or disabled students. In keeping with the intent of the \$2 million McCabe Fund, these programs either expand successful models or propose new approaches that are ready to be tested in the field. All are geared to "help reduce the nation's college access and attainment gap," according to Martha D. Lamkin, president and CEO of Lumina Foundation.

## SHEDDING LIGHT ON AFFORDABILITY

The title of the project is long, its explanation is complex, and its goals are ambitious. But if successful, *Changing Direction: Integrating Higher Education Financial Aid and Financing Policy* could help make college more affordable for low-income students.

"We're trying to get all policies that relate to the financing of higher education — tuition, appropriations, financial aid — better aligned," says Cheryl Blanco, director of policy analysis and research for the Western Interstate Commission for Higher Education (WICHE). Because a single group rarely makes all financial decisions affecting education within a state, the policies that emerge from various governing bodies sometimes create insurmountable obstacles for families on tight budgets. For example, a university's board of trustees might increase tuition the same year that the state legislature cuts its education appropriation. Result: The financial burden on a low-income student becomes too heavy to bear. College plans are postponed or canceled.

"We've found that these kinds of decisions historically are made in isolation of each other," explains Blanco. "Policy-makers need to think of these elements together if higher education is to remain an option for all students."

With support from a \$400,000 Lumina Foundation® grant, WICHE is conducting an inventory of financial aid and tuition policies in all 50 states and publishing the findings in a searchable online database. The information is aimed at persons who make or shape education policy — legislators, governors, members of boards of regents, presidents of institutions and researchers. Users will have access to the policies that are in place in their own states as well as those across the country. "Legislators like to find out what other states are doing," says Blanco.

Another goal of the *Changing Direction* project is "to identify what we're calling 'promising practices' that have succeeded in one state and may be adapted by another," says Blanco. She shies away from labeling any policy or program a "model" because "people then think there is a perfect way of doing something when, in fact, we don't have perfect ways." Instead, "we have ways that seem to work well in certain areas."

The first phase of the Foundation-funded project will end in the spring of 2003 with meetings conducted in five "technical-assistance states" — Arizona, Connecticut, Florida, Missouri and Oregon — and a workshop for those states. These five make up a special group of states in that each is working intensely with WICHE to realign and rethink its higher education financing and financial aid policies. In many states, such work is critically important because budget shortfalls threaten college opportunity for tens of thousands of students. "For us, the timing and focus of this project are huge," says Roger Bassett, a member of Oregon's Board of Higher Education. He says his state faces "a true budget crisis," adding:

"Those of us who are involved in setting higher education policy would be in a world of hurt without this opportunity. By bringing these people together, we hope to find a way to make a sustained commitment to students even in these tough times."

As different as the five technical-assistance states are, each shares characteristics with a cluster of other states across the country. Blanco hopes that policy-makers will identify the technical-assistance state that is most similar to their own and then apply the lessons that come out of the study. "If something works well in Arizona with its governance structure and political environment, we think there are several other states that can look at the Arizona experience and benefit from it," she explains.



**Cheryl Blanco** of the Western Interstate Commission for Higher Education

**"We're trying to get all policies that relate to the financing of higher education — tuition, appropriations, financial aid — better aligned."**



Shirley Collado has come a long way since her teen years. The daughter of Dominican immigrants got a leg up on college through The Posse Foundation, the New York City-based organization that sent her to Vanderbilt University as part of its first "posse" in 1990. Now, as Posse's national program director, she works on Wall Street — directly opposite the New York Stock Exchange.

# Enhancing student success

**O**ne-third of all first-year students who enroll at America's postsecondary schools this year will not return to the same institutions next fall. Attrition rates range from a low of 5 percent at very selective schools to a high of 50 percent at some open-admission colleges. By supporting programs and research aimed at boosting retention, Lumina Foundation is committed to reducing first-year barriers to success and helping students achieve their long-term educational goals.

Shirley Collado never doubted that she would attend college. A popular high school leader with a solid grade-point average, she saw only two obstacles in her path to a baccalaureate degree. First were her limited funds — “My parents are immigrants from the Dominican Republic, and I definitely didn't have the financial background to go away to school” — and second were her SAT scores. “Pretty low,” she admits.

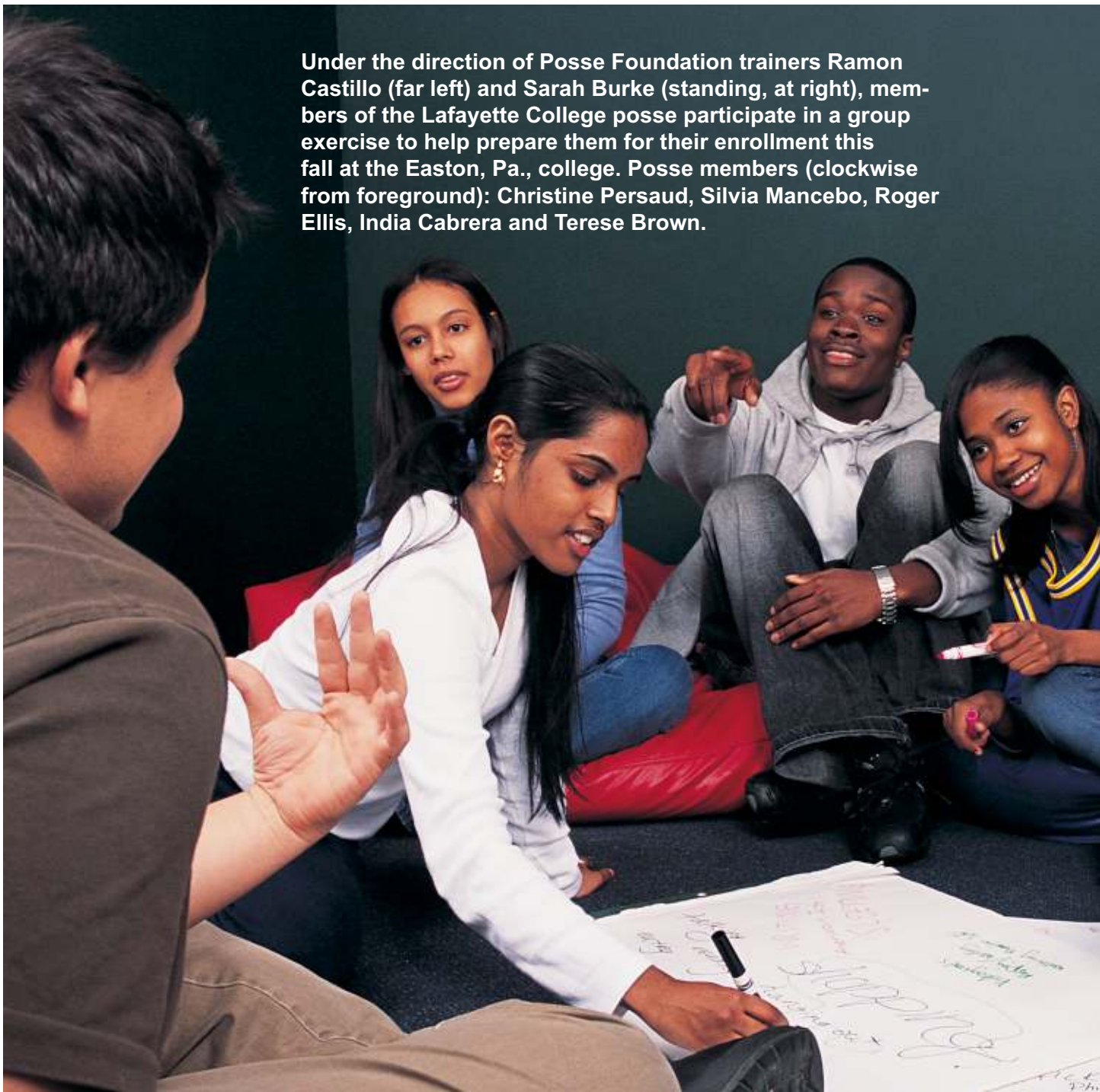
Her plan was to enroll at a New York City campus close to home and continue to juggle classes, job and family responsibilities. Then a posse headed to Nashville, Tenn., changed everything. In the

company of four other inner-city kids, Shirley traveled south to the academically rigorous and socially prestigious campus of Vanderbilt University, “an environment where someone like me would be at very high risk of dropping out,” she says.

Instead, she excelled. Four years later, she and her friends left Vanderbilt with degrees in hand, bound for professional careers and graduate studies.

Today, **Dr.** Shirley Collado is national program director for The Posse Foundation, the leadership initiative that began with her 1990 “pilot posse” of five students and since has sent 721 city youth to top-tier colleges and universities.

Under the direction of Posse Foundation trainers Ramon Castillo (far left) and Sarah Burke (standing, at right), members of the Lafayette College posse participate in a group exercise to help prepare them for their enrollment this fall at the Easton, Pa., college. Posse members (clockwise from foreground): Christine Persaud, Silvia Mancebo, Roger Ellis, India Cabrera and Terese Brown.



Posse's recent growth is dramatic: Of the 721 Posse scholarships awarded, 192 have gone to current high school seniors. Collado's responsibilities include overseeing the eight-month training program that prepares urban high school seniors in Boston, Chicago, Los Angeles and New York City for their Posse experience.

Her work will expand this year, in part because of a \$987,600 grant from Lumina Foundation that will enable Posse to reach into additional urban areas, add staff members and build its network of partner schools. That network now boasts 16 institutions, including such schools as Bryn Mawr College and Lehigh University.

### Strength in numbers

"I was working at a youth organization in New York in 1989, running leadership programs for really talented kids from the public school system," recalls Debbie Bial, founder and president of The Posse Foundation. "We were frustrated when a lot of our brightest students would go off to college and then, six months later, would be back home. We pulled together a focus group and asked them what went wrong. One student told us, 'I never would have dropped out if I had had my posse with me.'"

His response sparked an idea. What if a team of students — a "posse," to use the slang of the day —



enrolled at a first-rate college and served as a support group for its members? These would be urban youth whose leadership skills marked them as potential success stories, even though they lacked the funds or the test scores that would identify them as candidates for admission to prestigious colleges. The concept seemed to have merit for talented teens who were determined to further their educations and for excellent schools interested in diversifying their populations.

"Many universities really care about diversity but struggle with finding ways to make it work," says Bial. "Vanderbilt was one of those institutions, and it was willing to take a risk on a program that had

**"We pulled together a focus group and asked students what went wrong. One of them told us, 'I never would have dropped out if I had had my posse with me.'"**

**— Debbie Bial, founder and president of The Posse Foundation**



no track record and no history." The risk produced excellent returns, and the success of Collado's pilot posse at Vanderbilt soon was replicated at Middlebury College in Vermont, Brandeis University in Massachusetts, Carleton College in Minnesota and Wheaton College in Illinois.

At DePauw University in Indiana, the experience proved so positive that two posses now arrive annually — 10 students from New York City and another 10 from Chicago.

"Our faculty really like having Posse students in their classes," says Robert Bottoms, president of DePauw and a member of the Posse board of directors. "These students are leaders, trained to take an active role and make an impact on campus. In fact, the current president of our student body is a Posse student who probably wouldn't have found his way to DePauw if it weren't for the program."

### **The group plan**

**P**osse has existed for only a dozen years, but the concept of learning communities, a form of peer-group support, has earned high marks

## Enhancing success

from researchers for decades. Vincent Tinto, chairman of the Syracuse University Higher Education Program and a proponent of collaborative learning strategies, helped jump-start the movement several years ago while conducting research under a federal grant. Unlike the young scholars who participate in Posse, the subjects of Tinto's study are students at high risk of failure because they are underprepared for college-level work. Supported by a \$956,700 Lumina Foundation® grant, Tinto plans to build on his research and document the long-term impact of learning communities on underprepared students enrolled at primarily nonresidential two-year and four-year colleges.

"We're targeting our study to those places where the needs are most pressing," explains Tinto. "In particular, we're looking at urban schools that serve large numbers of low-income students." Through a multi-step process, Tinto and his colleagues will identify 20 colleges as test sites and will track groups of students as they strive toward

their educational goals. He will compare groups that participate in learning communities with groups that do not have organized peer support.

"We want to study and document programs that work," he emphasizes. "Learning communities vary, and one of our challenges is to identify common characteristics that schools can adopt as guidelines for practices. From our 20 survey sites we'll select four locations for detailed qualitative case studies. One of our goals is to develop powerful portraits of students who have been able to build successful educational careers."

A Lumina Foundation® grant will fund the first three

years of Tinto's project, but he hopes to follow the students for an additional two to three years to measure the effects of learning communities on college graduation. Depending on his findings, such long-term evidence could attract the attention of education decision-makers at various levels of government. "We want to answer two questions," he says. "First, are there exemplary cases that can serve as models for other schools? Second, is there sufficient evidence to recast state

and national policies that govern the education of underprepared students in higher education?"

### Overcoming math anxiety

Math is often a stumbling block for at-risk students such as those who will participate in Tinto's study. "Research indicates that students who withdraw from beginning algebra classes tend to withdraw from college," says Terrie Teegarden, head of the math department at San Diego Mesa College and director of a Lumina Foundation-funded project to identify, promote and implement strategies that help improve performance in algebra. The statistics she quotes are sobering: The overall algebra success rate at California's community colleges is 46.4 percent. That rate drops to 42 percent for Hispanic students and 33.5 percent for African-Americans. "This is beginning algebra," she explains, "the same class that eighth-graders should be able to pass."

Teegarden attributes students' poor performance to lackluster teaching methods and to society's general acceptance of weak math skills. "Too many parents excuse their children's poor grades by saying, 'You must have inherited my genes; I wasn't good in math either.'"

The project that Teegarden and her task force colleagues have designed to address the problem is multifaceted. It calls for the establishment of six regional resource centers where math educators and researchers will interact with college faculty members, document best practices, conduct workshops and build support systems. A Web site eventually will disseminate information on programs that yield positive results, particularly among at-risk students.

Teegarden hopes that the task force's efforts to discover and disseminate ideas and methods will have far-reaching effects. The stakes are high because beginning algebra draws the largest enrollment of any class offered at the community-college level and often is a deciding factor in students' long-term career plans. "If they can't get through this one class, they say, 'College isn't for me,' and they quit altogether."

**"Research indicates that students who withdraw from beginning algebra classes tend to withdraw from college," says Terrie Teegarden.**



**"We're targeting our study to those places where the needs are most pressing," explains Vincent Tinto. "In particular, we're looking at urban schools that serve large numbers of low-income students."**



## AIMING FOR FIRST-YEAR SUCCESS

**D**rawing on his 30 years of research, John Gardner could easily compile a list of standards that, if met, would help postsecondary schools reduce their freshman dropout rate and improve students' first-year experience. His reputation as an authority on retention would likely attract interest to such a list, "but that wouldn't necessarily legitimize it or make it meaningful enough for people to buy into it," says Gardner, executive director of the Policy Center on the First Year of College at Brevard, N.C., and senior fellow at the National Resource Center for the First-Year Experience and Students in Transition at the University of South Carolina.

Instead, he and his colleagues have created a project in which nearly 1,000 institutions have been invited to collaborate to create a set of standards called "hallmarks of excellence." Better than a model imposed by outsiders, this design will result in "thoughtful consensus and shared goals," says Gardner, whose knowledge will serve as a catalyst toward reaching this consensus. Participants in the study will determine the types of programs and interventions — curricular and co-curricular — that help first-year students make the successful transition to campus life.

A \$1.4 million Lumina Foundation® grant

will help support the cooperative effort to identify the hallmarks and develop the means by which a school can measure its effectiveness in reaching them. Finally, Gardner and his team hope to propose a process that will lead to certification, an accomplishment that members of the higher education community will strive to achieve.

"It's not enough to merely lay out a set of standards," explains Gardner. "We have to be precise about how schools might achieve the standards."

The project will use a Web site ([www.brevard.edu/fyc](http://www.brevard.edu/fyc)) and various publications to disseminate information and describe innovative practices that enhance retention.

Certification, once achieved, might serve as a sort of seal of approval that assures prospective students and their families that a school views

the first year of college as an important foundation and gives retention a high priority.

"We hope to make certification desirable enough that colleges and universities will want to go through the process," says Gardner. And if, during the process, the schools find that their programs fall short of reaching the hallmarks of excellence, "we hope they will be willing — and knowledgeable enough — to make the necessary changes and adjustments."



**John Gardner** of the Policy Center on the First Year of College

**"It's not enough to merely lay out a set of standards. We have to be precise about how schools might achieve the standards."**



As a case manager in the First Generation Student Success (FGSS) program at the Community College of Denver, Debra Valverde (standing) could best be described as a mentor to mentors. Here, she works with a group of FGSS peer mentors on computer programs needed for the new semester. The mentors are or have been adult students at the college, which has made great strides in helping at-risk students succeed. (Seated, from foreground: Cindy Mora, Mary Jane Herrera and Salem Abadi.)

# Helping adult learners

*The demographics of college have shifted. Only one in six students fits the mold of the “typical” 18-year-old who enrolls at a residential campus, stays four years and exits with a baccalaureate degree. Today’s adult learner is older, juggles work and family responsibilities, and attends one of America’s 1,100 community colleges on a part-time basis. To succeed in school, this student needs very different services — services that Lumina Foundation and its partners are working to identify, develop and deliver.*

Debra Valverde was a single mom who had been out of school for 13 years when she enrolled at the Community College of Denver (CCD) to pursue an associate’s degree in general studies. Her game plan was to transfer to the University of Colorado, major in business administration and eventually land a marketing job with a large advertising agency. She accomplished her education goals but swapped career aspirations when CCD announced a new initiative to help first-generation students succeed in college. The program, La Familia Scholars, was designed to stem the high dropout rate among low-income, first-generation Hispanic students, a group

that makes up a third of CCD’s population.

“I’ve always had a heart for first-time students,” says Valverde, who recalls her own foray into post-secondary education as “difficult” and her transfer to the University of Colorado as “a major culture shock.” Now a senior case manager at CCD, she is part of a team that reaches out to adult learners with a range of support services. These services — peer mentoring, learning communities, intervention and tutoring — have significantly improved the school’s graduation rate.

“College was really intimidating for me,” says Cindy Mora, 40, a recent CCD graduate who

## Helping adult learners

was mentored by Valverde and then joined the CCD staff as a peer mentor and student ambassador herself. "This is a wonderful program. It's a good feeling to help students because I know where they're coming from. I was there, too." Mora, now working on a bachelor's degree in criminal justice, continues to guide incoming CCD students through their transition to campus life. Among her current group of charges is her son, D.J. "He wants to take his core classes here and then transfer to a four-year school," says Mora.

### Engaging the adult learner

At age 18, D.J. Mora doesn't fit the "typical" profile of a community college student. Statistics indicate that a more accurate description of today's learner is an older adult who attends class on a part-time basis, has family responsibilities, works out of the home and commutes to school. Just as the demographics of these students are different, so are their needs. Tuning into the needs and measuring how well community colleges address them are among the goals of the Community College Survey of Student Engagement (CCSSE).

Supported in part by a \$1.47 million grant from Lumina Foundation, CCSSE has surveyed 33,500 students enrolled in 48 community and technical colleges to help assess academic quality, identify good educational practices and target areas that need improvement. The Community College of Denver was among the 12 schools in the pilot test of the CCSSE questionnaire.

"It was one of the first to step up to the plate," says Kay McClenney, CCSSE project director. "CCD is recognized nationally for its exceptional work in helping underserved populations and

underprepared students. It's one of the few public institutions in the country that can point to data demonstrating that the school has closed the achievement gap between white students and their minority peers."

Recruiting colleges to participate in the study has not been difficult, according to McClenney, because the survey addresses issues that genuinely concern the schools: access to education, teaching, retention and learning. Beginning in fall 2003, CCSSE will report survey findings in terms of five national benchmarks. These benchmarks will help measure active and collaborative learning, student

effort, academic challenge, student-faculty interaction and support for learners.

As with the pilot study, results will be published on the CCSSE Web site ([www.ccsse.org](http://www.ccsse.org)) and in print. "We're committed to publicly reporting survey findings," says McClenney. "The schools like this approach and say, 'Let's be straightforward; let's help people understand the work we're trying to do; let's be open in addressing the places where we need to do better.'"

Members of the CCSSE team anticipate that community colleges will grapple with the findings and look for ways to improve educational practices that lead to higher retention rates and enhanced levels of student learning. To give the schools practical help

in those improvement efforts, the project includes a series of workshops conducted by experts from the National Institute for Staff and Organizational Development. On the policy side, McClenney hopes to increase decision-makers' understanding of the challenges that community colleges face. "We want to help them find ways to create policy conditions that make it not only possible but inescapable for colleges to attend to quality issues."



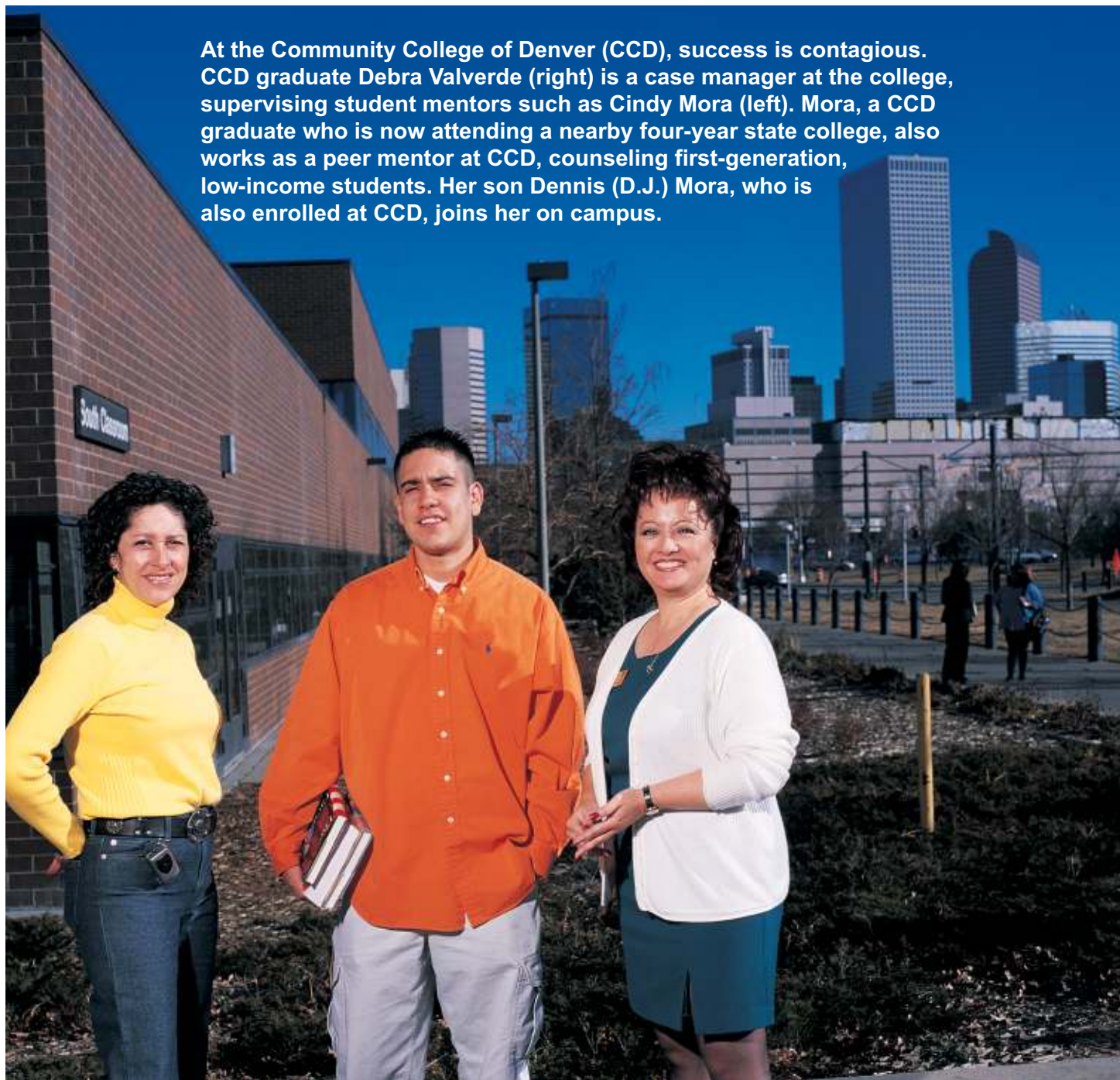
**Case managers Todd Ramirez and Debra Valverde (standing) work with peer mentors (from left) Raul Azamar, Mary Jane Herrera and Vanessa Ortega as they prepare for a new semester at the Community College of Denver. All of these people are integral to the college's coordinated effort to provide adult students with a range of support services — an effort that has improved the school's graduation rate significantly.**

## Helping adult learners

### Easing the transition

**F**our additional Lumina Foundation® grants are supporting other efforts to ease the burdens of adult learners as they make the often-difficult transitions from work to school and from community college to four-year institution. The projects, representing awards that total \$3.4 million, will identify various barriers to success and attempt to eliminate them. Partners in these initiatives include major educational organizations with long track records as advocates for underserved students. Among the partners and the projects:

- The American Association of Community Colleges and the American Association of State Colleges and Universities are mounting a three-pronged effort to convince state and institutional leaders to coordinate their policies so the progression from a two-year school to a four-year school is relatively seamless. A Web-based survey will put the problems on the table. Next, a conference will provide a forum where experts can study the problems. Finally, a variety of media will amplify the problems and heighten the visibility of possible solutions.



**At the Community College of Denver (CCD), success is contagious. CCD graduate Debra Valverde (right) is a case manager at the college, supervising student mentors such as Cindy Mora (left). Mora, a CCD graduate who is now attending a nearby four-year state college, also works as a peer mentor at CCD, counseling first-generation, low-income students. Her son Dennis (D.J.) Mora, who is also enrolled at CCD, joins her on campus.**



### **A new way to say "success"**

Spanish teacher Kristen Campagna works with evening student Scott Bordner as part of a Purdue University Extension Service class in Frankfort, Ind. Bordner hopes the class will help him land a paraprofessional position with the local school district in Clinton County, a largely rural county with a growing Hispanic population. This Frankfort classroom is the model site for a program that retools former agricultural Extension Service offices as "community learning centers" in an effort to increase educational opportunity for rural residents. The program, which has been operating for two years, has served more than 1,700 students — most of them working adults such as Bordner — by offering workforce training, as well as classes for postsecondary credit.

- The National Governors Association, through its Pathways to Advancement project, will assist several states in initiating policies that increase community college access for low-income adults. The premise is that many rules and regulations that address access to postsecondary education were written with 18-year-old students in mind. As the demographics have changed, so must the policies change to keep pace.
- The American Council on Education (ACE) also is working to promote access and equity in higher education for low-income adult learners. The ACE project, called Improving Lives: Ensuring the Academic Success of Low-income Adults, has three major components. First, it will research and describe the growing population of nontraditional students and probe the challenges inherent to it. Second, it will document and disseminate information about school policies and practices that affect adult learners. Third, it will evaluate government policies that affect these students and educate leaders on how to reduce barriers and facilitate success.
- The Council for Adult and Experiential Learning (CAEL) is halfway through a two-year initiative to develop, test and implement two surveys that will help a school gauge its effectiveness in meeting the needs of adult learners. Unlike CCSSE's approach, which is aimed at how well an institution engages and serves students, the CAEL survey process is geared to measure three areas: institutional success, financial aid and prior learning assessment.

# FOSTERING STUDENT ENGAGEMENT

With information gleaned from a survey of 135,000 students on 613 campuses, four-year colleges across the country are assessing their levels of "student engagement." Translated, this term describes the blending of two factors: student participation in educationally sound activities and campus efforts to encourage student participation in those activities.

"As important as it is to get people into college, it's also important to graduate them with the skills, competencies, attitudes and values to succeed beyond college," says George Kuh, director of the National Survey of Student Engagement (NSSE), the project that served as the model for the Community College Survey of Student Engagement (CCSSE). The two surveys share similar goals and have about a 75 percent overlap in content. This was intentional, explains Kuh, because "we have to think and behave as if the educational system in the country is seamless." With a continuity of perspective, educators at two-year and four-year schools "stay focused on our primary goal and responsibility — to enhance the quality of the undergraduate experience at whatever level."

A Lumina Foundation® grant for \$1.3 million supports efforts to help schools use NSSE findings to spark improvement on their campuses. In partnership with the American Association for Higher Education (AAHE), Kuh and his colleagues will gather and disseminate information about successful practices in place at 20 exemplary schools. These include large state universities, small private campuses and historically black colleges.

"We've identified institutions that have better-

than-predicted survey scores and graduation rates," explains Kuh. Probing the factors behind the statistics is at the center of the Lumina Foundation-funded Project DEEP — Documenting Effective Educational Practices. "Teams of researchers will make site visits to study the kinds of programs, policies and practices that are working well. We want to learn how the schools brought the ideas on line and how they've implemented them. These are lessons that will help other institutions as they work to improve the undergraduate experience." Among activities planned in conjunction with the release of survey data are summer academies for teams of educators and roundtable discussions attended by campus administrators, legislators and other stakeholders.

A separate but related project is BEAMS — Building Engagement and Attainment of Minority Students. Supported by a Lumina Foundation® grant to AAHE in partnership with NSSE, this five-year initiative will strive to improve retention, achievement and institutional effectiveness

at historically black, Hispanic-serving and tribal colleges. The role of NSSE is to recruit the participating schools, administer the survey and score the data. Using the NSSE results, the campuses will create plans to enhance student engagement and promote student and institutional goals.

"We're excited about the BEAMS project," says AAHE President Yolanda Moses. "It gives us the ability to work with some of the most remarkable campuses in America to strengthen student learning and institutional effectiveness. What we learn is going to be valuable to a national higher education audience as well."



**George Kuh** of the National Survey of Student Engagement project

**"As important as it is to get people into college, it's also important to graduate them with the skills, competencies, attitudes and values to succeed beyond college."**

# Financial information

Despite the nation's lingering economic downturn, 2002 was a year of significant progress for Lumina Foundation.

In our second full year of operation as a private, independent foundation, we grew substantially, increasing staff from 25 to 35. We also moved into new office space, approved \$21.5 million in grants in our theme areas (see Chart 1) and reached a grant payout total of \$17.2 million. Because of two large grants that we made early in our history, we have been able to plan for gradual, steady growth in our grant budget and staffing requirements in our first five years.

Obviously, 2002 was a difficult year for investments, and Lumina Foundation's portfolio did not escape the market's woes. The average market value of our assets for 2002 was \$934.9 million, down 5.1 percent from 2001's figure of \$984.7 million (see Chart 2). This result, though disappointing, still represents a significant increase over the \$770 million that constituted the Foundation's original assets on July 31, 2000. According to the most recent figures provided by the Foundation Center, Lumina Foundation remains among the nation's top 50 private foundations in asset size.

Also helping place the year's numbers in perspective, the Foundation's portfolio significantly outperformed the overall equity markets, a fact reflected in double-digit declines in the Dow Jones industrial average (down 15 percent for the year), the S&P 500 (down 22 percent) and the Nasdaq composite index (which plummeted 31 percent).

A concerted and consistent effort to maintain a diverse portfolio — with allocations to equities and fixed-income investments — helped shield our assets from the worst blows of the market. We continue to monitor our investments, rebalancing our portfolio periodically and increasing the availability of cash for grant payments. Because interest and dividend rates remained low throughout the year, we liquidated more investments than planned to meet payout requirements. On a positive note, however, we managed to prepay a number of grant payments for 2003, thus leaving 80 percent of the 2003 grant payout budget available for new grants.

All of these efforts helped us reach a grant payout total of \$17.2 million for 2002. We also approved 90 grants this year totaling \$21.5 million, virtually all of them in our theme areas (see Chart 1). In addition, the Foundation encouraged the charitable giving of its directors and employees through special matching and designation programs approaching \$696,000. Regular grants ranged in size from \$6,400 to more than \$4.5 million; the typical range fell between \$75,000 and \$200,000. The median grant size approached \$100,000.

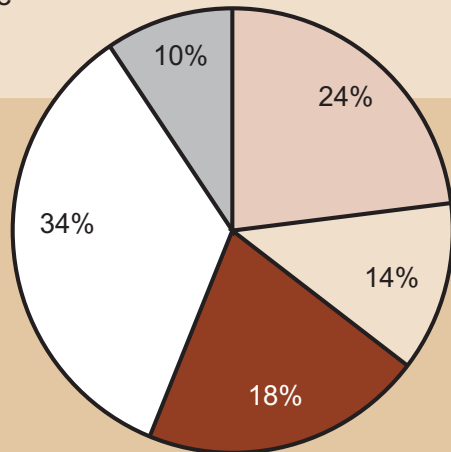
The overwhelming majority of Lumina Foundation® funding supports projects in one or more of our three theme areas: access to postsecondary education, success in postsecondary education (retention of students and students' goal attainment), and nontraditional (adult) learning. In 2002, 61 of our 90 grants, representing 90 percent of our \$21.5 million in grant approvals, fit into one or more of these themes. The remaining 29 grants (accounting for \$2.2 million, or about 10 percent of the approvals) funded Indiana initiatives. Even among these Indiana grants, which are made specifically to honor the Foundation's commitment to its home state, we focused nearly 98 percent of the funds on our theme areas, using the remainder for civic and community projects.

In sum, our financial stewardship and grant-making activity this year have set the stage for 2003 to be a strong year in service of our mission to improve access and success in postsecondary education.

*Copies of Lumina Foundation's complete audited financial statements for 2002 are available on request.*

**Chart 1: Grants approved in 2002 by theme area**

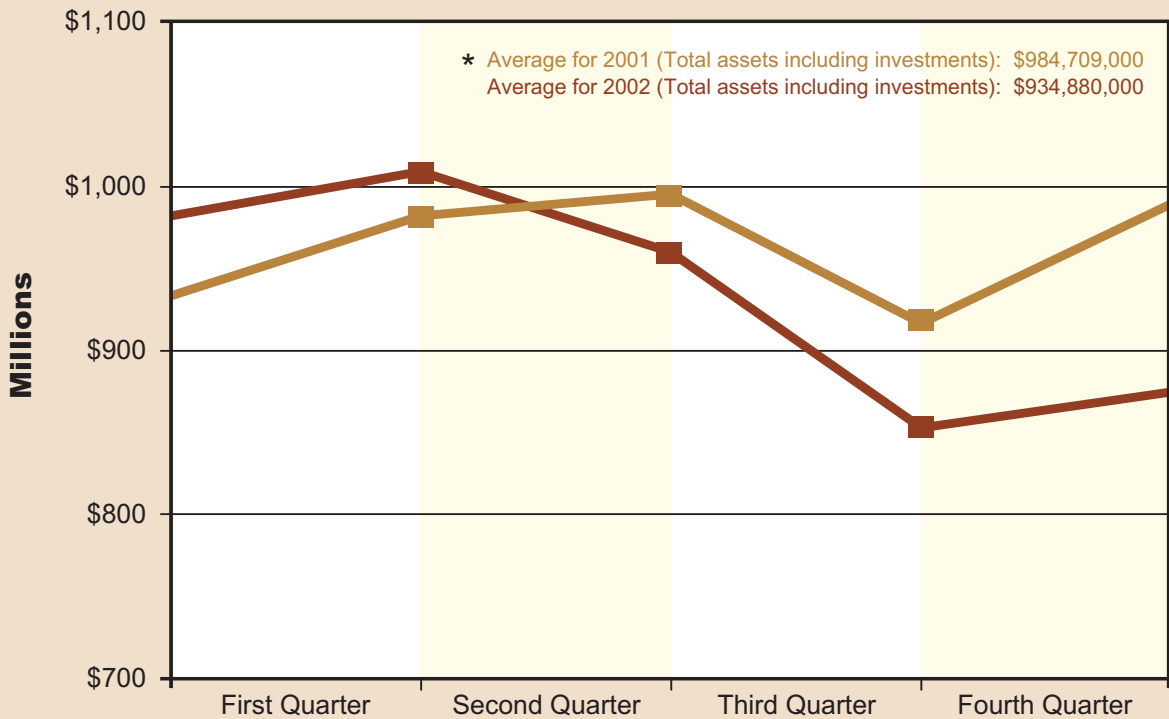
	<b>Number of grants</b>	<b>Dollar value</b>	<b>Percent</b>
Access	37	\$ 5,005,800	24%
Success (retention/attainment)	7	3,075,100	14%
Nontraditional (adult) learning	8	3,895,500	18%
Indiana initiatives*	29	2,233,850	10%
Multi-theme	9	7,259,634	34%
<b>Total</b>	<b>90</b>	<b>\$21,469,884</b>	<b>100%</b>



- Access – 24% (\$5,005,800)
- Success – 14% (\$3,075,100)
- Adult learning – 18% (\$3,895,500)
- Multi-theme – 34% (\$7,259,634)
- Indiana initiatives – 10% (\$2,233,850)

\* Of the \$2.2 million in grants awarded for Indiana initiatives, \$1.4 million went to projects aimed at improving Indiana residents' access to postsecondary education and \$720,000 to projects aimed at enhancing student attainment at Indiana institutions. The remainder – about \$54,000, or 2.4 percent – went to civic or community projects unrelated to higher education.

**Chart 2: Market value of assets**



\* Averages rounded to the nearest thousand.

■ 2001

■ 2002

# Research and communication

## Research

Lumina Foundation for Education is distinctive among private foundations in that it supports and conducts research to advance its mission of expanding access to education. Research serves several purposes that are key to the Foundation's success, including the following:

- Lumina Foundation strives to base its program strategies on sound information.
- Lumina Foundation strives to make a contribution to the body of knowledge about student access and success. As Harvard business professor Michael Porter has written, one of the best ways that foundations "create value" in society is by advancing the state of knowledge and practice.
- To be effective, Lumina Foundation works through and evaluates its work from the perspective of three separate groups: students and families, the educational institutions and organizations that serve them, and policy-makers. Knowledge about these groups and the issues that affect them strengthens our work. In turn, each of these groups is aided by the increased knowledge that research provides.
- Within the student access and success arena, Lumina Foundation strives to serve as a credible resource to education institutions, the news media, policy-makers and researchers. Research provides the basis for that role.

### The Foundation's research efforts are undertaken in three ways:

1. By commissioning research projects undertaken nationally by individuals, universities and research institutes.
2. By providing grants to support research that leads to programs or policies that advance student access and success.
3. By conducting research internally on projects that mesh with the expertise of Lumina Foundation staff members in higher education access.

Each of these approaches is distinctive:

**Commissioned projects:** In 2002, Lumina Foundation commissioned seven research projects at a total contracted cost of \$533,125. The subjects ranged from an analysis of presidential attitudes on college campuses about student financial aid (George Washington University) to a study of the effectiveness of work-force-contingent state policies (American Institutes of Research). Many of the projects span more than one year.

**Grant-supported research:** Lumina Foundation® grants included 20 projects that supported research as the primary purpose. These grants total \$6.3 million and include several multiple-year projects. Research grants explore exciting new possibilities to advance the Foundation's themes. Examples include:

- *Expanding Access to Postsecondary Education*  
Researchers at the Western Interstate Commission for Higher Education (WICHE) are studying the relationship between state fiscal policy and tuition and financial aid practices that affect students (see Page 9). The study has focused on five states and attempts to link policy and practice in ways that are adaptable to the rest of the country.
- *Fostering Student Retention and Attainment*  
The Council for Opportunity in Education is studying 20 institutions nationally to uncover college and university practices that enhance student success. Comparisons between higher- and lower-achieving institutions will yield a set of "best practices" that can inform a more conscious and coordinated effort to improve student retention and attainment.
- *Improving Access and Success of Adult Learners*  
Researchers at the Center for Accelerated Learning at Regis University in Denver, Colo., studied the impact of accelerated learning on persistence among adult learners and compared these results with those of a traditional adult program. Follow-up studies also analyzed key reasons why adult learners drop out of postsecondary education and recommended strategies for institutions to use in improving success rates.

## Research and communication

**Internally generated research:** Lumina Foundation's research staff undertook 10 projects in 2002 that related directly to the plan that guides the Foundation's grant making. Project topics included: front-loading financial aid grants to improve student access and retention, identifying state-by-state gaps in low-income college participation, and creating new tools for campuses to identify expected retention rates.

Members of the research staff also are called on to present papers and serve as speakers and panelists at national professional meetings. In 2002, these groups included the American Council on Education, the Association of Governing Boards, the Association for the Study of Higher Education, the National Association of Independent Colleges and Universities, the Council of Independent Colleges, and numerous state and regional financial aid organizations. Research staff also published articles in professional and trade journals and responded to hundreds of press inquiries about higher education access issues.

These publications — and all of our printed and Web-based communication efforts — represent a vital part of the Foundation's work. We strive to be a trusted, credible and useful source of information about issues affecting postsecondary education access and success. We do this by sharing strategically the lessons gleaned from our research and grant making with educational leaders, policy-makers, the news media and the public.

### Communication

In addition to informing our own grant-making efforts, research at Lumina Foundation may also be published. As part of its mission to inform, the Foundation periodically publishes research reports that are disseminated to more than 21,000 individuals and institutions and are made available on the Foundation's Web site, [www.luminafoundation.org](http://www.luminafoundation.org).

For 2002, the list of publications included:

- *What We Know about Access and Success in Postsecondary Education: Informing Lumina Foundation's Strategic Direction*, Lumina Foundation Web site.
- *Unequal Opportunity: Disparities in College Access among the Fifty States*, *New Agenda Series*, Volume 4, Number 3.
- *College Opportunity Is Unequal among States and for Students within States*, *Illuminations*.
- *Indiana Program Helps Low-Income Kids Meet the Access Challenge*, *Illuminations*.
- *Early Exit: Understanding Adult Attrition in Accelerated and Traditional Postsecondary Programs*, *Synopsis*.
- *Meeting the Access Challenge: Indiana's Twenty-first Century Scholars Program*, *New Agenda Series*, Volume 4, Number 4.
- *Higher Education, Increasingly Important for All Americans, Is Unaffordable for Many*, *Illuminations*.



# Guidelines for grant seekers

## Areas of interest

To effectively serve its mission of expanding access and success in postsecondary education, Lumina Foundation's work must be focused. Therefore, we concentrate our efforts in three theme areas:

- Addressing the multiple barriers that impede access to postsecondary education among traditionally underserved groups.
- Supporting efforts that help postsecondary students **attain** sound educational objectives.
- Understanding and addressing the challenges faced by **adult learners**, particularly those who face barriers such as low income or academic underpreparation.

Just as our mission is tightly focused to be effective, so is our grant-making program. We fund the following types of strategic activities, working diligently to ensure that all initiatives relate to one or more of the three theme areas listed above:

- **Research** that casts new light on issues affecting postsecondary education access and success.
- **Programs** that present innovative and practical approaches in higher education leadership development and in overcoming challenges to access and attainment.
- **Leadership-development efforts** to share the expertise of higher education executives and scholars working on issues of access and attainment.
- **Communication initiatives** that bring about positive change by sharing the lessons of access and degree attainment with

educational leaders, policy-makers, the news media and the public.

- **Public policy initiatives** that help policy-makers make informed decisions on issues of postsecondary education access and attainment.
- **Evaluation efforts** that look closely at the work our grantees and others have done to answer the questions: What have we learned? What works? What's next?

**Special initiative.** In addition to these themes and activities, we identify from time to time a major special initiative that cuts across our work. The Community College Student Success Initiative is one example. Over the next several years, we will award grants to expand our knowledge of student persistence, improve teaching and student services, facilitate student transfers between two- and four-year institutions, and examine policies affecting student success.

## More on our theme areas

We encourage prospective grantees to reflect on the dimensions of the Foundation's three theme areas, which are described more fully below. Proposals should address areas of common interest that the grantee plans to pursue toward reaching the shared goal of helping more people enter and succeed in postsecondary education.

**Access.** Today's students, particularly those who are traditionally underserved in postsecondary education,

face many barriers to enrollment. College costs are perhaps the most obvious deterrent, particularly for low-income students. But there are non-financial barriers as well, including inadequate preparation, the absence of college aspirations and lack of encouragement or information.

### **Student persistence and attainment.**

The path to educational attainment requires students to identify appropriate educational goals, choose the proper educational options to reach those goals, and persist in their work until the goals are reached. Institutions must assist students in this vital task by creating and implementing effective student-retention programs. In addition to finances, retention is affected by a host of academic, social, cultural, practical and institutional factors — everything from students' academic preparedness to class schedules to issues of campus safety and security. Finally, persistence is affected by policies that act to encourage or deter students in the pursuit of postsecondary education.

**Adult learning.** Today's learners include a growing proportion of students who attend school part time and intermittently through their adult lives. Jobs and families compete for their time. Many, if not most, of these students will attend more than one institution, and many of these institutions do not fit the traditional mold of a four-year college. Not all of today's students are pursuing conventional degrees. They may be earning professional credentials, retooling their skills or earning prerequisites for another level of education. New technology now makes it possible for many of them to pursue an education online

## Guidelines for grant seekers

without leaving their homes. Clearly, postsecondary education must change dramatically to help these students — and the institutions that serve them — reach their educational objectives.

**Special initiative.** Based on research data and our grant-making experiences to date, Lumina Foundation places special emphasis on student success in community colleges. Community colleges serve the highest concentrations of historically underserved students, who are more at risk of dropping out of school. The Community College Student Success Initiative strives to improve student performance and educational attainment nationally by applying a combination of strategies at selected community colleges, adding to the body of information about student success, and exploring policy changes.

### Grant procedure

To ensure that it serves its mission, Lumina Foundation initiates grant programs and solicits proposals for them. Although Foundation leaders also consider unsolicited grant proposals that are consistent with the Foundation's goals, they are able to fund only a small portion of these requests. The overwhelming majority of Lumina Foundation® grants support efforts that can assist a broad spectrum of students and institutions, either by virtue of their scope or their innovative example. In this way, the Foundation hopes to increase its impact in expanding educational access and success nationwide.

**Grant size.** Typically, our grants range from \$75,000 to \$200,000; the median amount approaches \$100,000.

**Geographic scope.** As an Indiana-based foundation, Lumina Foundation sets aside 10 percent of its grant money each year to fund

projects that are specific to its home state — and especially to Indianapolis. For Indiana-specific requests, the average grant is \$75,000. In general, these requests should follow the same guidelines as requests from out of state.

**Eligibility.** Lumina Foundation makes grants only to organizations that are classified as tax-exempt under section 501(c)(3) of the Internal Revenue Code and as public charities under section 509(a)(1, 2 or 3) of the code, or to public organizations that are part of, or controlled by, federal, state or local governments (as described in section 170(c) of the code).

**What we don't fund.** In compliance with the Internal Revenue Code, Lumina Foundation® grants do not support partisan political or lobbying efforts. In addition, the Foundation generally does *not* award grants for:

- Corporate sponsorships and fund-raising events.
- Religious activities. (The Foundation may consider grant requests for educational or social service programs operated by religious organizations, however, if those programs fit our guidelines.)
- Individual scholarships or institutional scholarship programs.
- Discipline-specific schools of study or training.
- K-12 education reform.
- Capital campaigns and endowment funds.

**The application process.** If you believe your organization has a request that fits within our guidelines, your first step in seeking a grant is to write us a preliminary letter of inquiry that is no more than three pages long. That letter should describe your organization, its mission and the project you have in mind. It should also tell us how

much support you will need from us. We respond in writing to all preliminary inquiries.

If we believe your inquiry may fit with our funding priorities, we will request additional information about the project. At this time, we will provide you with a grant-application packet.

**The approval process.** The Foundation reviews and responds to all written grant inquiries and proposals. Those that fall within our guidelines and advance beyond the staff review process must also be approved by either the Foundation's officers or the Program Policy Committee of the Foundation's Board of Directors, depending on size. Please allow three to six months for the entire review process.

The Foundation does not have application deadlines. Inquiries and proposals are reviewed on a rolling basis throughout the year. Our fiscal year runs from January through December.

For more information about Lumina Foundation, please visit our Web site ([www.luminafoundation.org](http://www.luminafoundation.org)).

Grant inquiries should be sent to:

Program Office — "New Inquiry"  
Lumina Foundation for Education  
30 South Meridian Street, Suite 700  
Indianapolis, IN 46204

# Grants in 2002

In 2002, Lumina Foundation staff considered more than 420 proposals and approved 90 grants for a total commitment of \$21.5 million in our theme areas. Our total grant payout for the year was \$17.2 million, though some of that amount represents payments on grants approved in prior years. Because of two large special grants made early in Lumina Foundation's history, we have been able to chart gradual, steady growth in annual payout.

The following summary lists all of our 2002 grant approvals, grouped in five separate categories. The first three categories correspond to the Foundation's main theme areas: **access** to postsecondary education, **success** in postsecondary education (retention of students and students' goal attainment), and **adult learning**. The fourth category is for multi-theme grants — those that fit in more than one of the main theme areas. Finally, we include a list of Indiana initiatives — grants made specifically to honor the Foundation's commitment to its home state.

The dollar amounts of these grants ranged from \$6,400 to more than \$4.5 million, but typically were between \$75,000 and \$200,000. The median grant amount for 2002 approached \$100,000.

Nearly all Lumina Foundation® grants support projects in one or more of our three theme areas. For 2002, we approved:

- Thirty-seven grants totaling more than \$5 million to improve access.
- Seven grants totaling more than \$3 million to improve student retention and success.
- Eight grants totaling nearly \$3.9 million to address issues affecting adult learning.
- Nine grants totaling more than \$7.2 million that address multiple themes.
- Twenty-nine grants totaling more than \$2.2 million to support Indiana initiatives. (Of these Indiana-specific grants, only five, for a total of \$54,150, went to support civic or community projects unrelated to higher education.)

## Student success

**Belin-Blank Center at The University of Iowa Foundation**  
*Iowa City, Iowa*

\$10,000 — To support planning efforts to expand the number and diversity of high school students and teachers participating in Advanced Placement programs in states with Big Ten schools.

**The Brookings Institution**  
*Washington, D.C.*

\$62,000 — To fund planning of a convening and communication strategy to identify the most important issues confronting higher education over the next several decades and suggest ways to deal with these issues.

**College Goal Sunday grants**

\$999,700 total, in 12 separate grants, all aimed at expanding the scope of College Goal Sunday. The program provides hands-on help to low-income students and families in filling out the paperwork to obtain student financial aid. Both planning

## Grants in 2002

and implementation grants are included in this list; generally, the smaller grants are planning grants.

- **Arizona Commission for Postsecondary Education**  
*Phoenix, Ariz.*  
\$42,100
  - **Central Wyoming College**  
*Riverton, Wyo.*  
\$100,000
  - **DE-DC-MD Association of Student Financial Aid Administrators**  
*Baltimore, Md.*  
\$195,100 (two grants)
  - **Finance Authority of Maine (FAME)**  
*Augusta, Maine*  
\$7,500
  - **Hawaii Association of College Admission Counselors**  
*Honolulu, Hawaii*  
\$6,400
  - **Illinois State University**  
*Normal, Ill.*  
\$7,500
  - **Occidental College**  
*Los Angeles, Calif.*  
\$246,400
  - **Ohio Association of Student Financial Aid Administrators (OASFAA)**  
*Columbus, Ohio*  
\$200,000
  - **Oklahoma State Regents for Higher Education (OSRHE)**  
*Oklahoma City, Okla.*  
\$180,000
  - **Partnership for Learning**  
*Lansing, Mich.*  
\$7,200
  - **University of Missouri-Columbia**  
*Columbia, Mo.*  
\$7,500
- College Summit**  
*Washington, D.C.*  
\$75,000 — To improve achievement of low-income students beyond high school graduation through workshops and evaluation of College Summit's programs.
- Commission for Higher Education - State of Indiana**  
*Indianapolis, Ind.*  
\$546,000 — To develop an Indiana Pathways to College Network as a national blueprint for a state-based effort to connect the work of pre-college access researchers and practitioners.
- Council of Independent Colleges**  
*Washington, D.C.*  
\$67,300 — To fund a volume of essays by independent college presidents on "what works" in attracting and educating low-income students.
- The Foundation Center**  
*New York, N.Y.*  
\$25,000 — To create the definitive record and tell the comprehensive story of philanthropy in the aftermath of 9/11.
- McCabe Fund grants**  
\$927,200 total, in 12 separate grants. The McCabe Fund is an invitational program created in 2002 to support organizations that enable students — particularly first-generation college students, low-income students and students of color — to gain access to postsecondary education. It provides modest, competitive grants for programs that work directly with students.
- **Alabama Institute for Deaf and Blind (AIDB)**  
*Talladega, Ala.*  
\$74,300 — To establish a year-round program to improve postsecondary access for students with sensory disabilities.
  - **American Indian Graduate Center (AIGC)**  
*Albuquerque, N.M.*  
\$25,000 — To support the College Horizons Crash Course in preparing Native American high school students for college.
  - **The Associated Colleges of Illinois**  
*Chicago, Ill.*  
\$75,000 — To expand College Readiness, a program initiated in 1996 to increase the high school graduation and college enrollment rates of first-generation, minority and low-income students.
  - **Boston Public Schools**  
*Boston, Mass.*  
\$97,800 — To expand the COACH (College Opportunity and Career Help) program from one year to two years and evaluate its effect on college attendance of inner-city students.

## Grants in 2002

- **College Match**  
*Santa Monica, Calif.*  
\$75,000 — To help well-qualified low-income and minority high school students gain admission to excellent small colleges.
- **Hispanic Border Leadership Institute**  
*Tempe, Ariz.*  
\$75,000 — To support the Hispanic Border Leadership Institute's postsecondary preparation program for first-generation Latino students.
- **Martin University**  
*Indianapolis, Ind.*  
\$74,700 — To provide college access opportunities and skills to Indianapolis minority and low-income students.
- **Norfolk State University**  
*Norfolk, Va.*  
\$100,000 — To expand the Academy for Collegiate Excellence and Student Success program.
- **University of Notre Dame**  
*Notre Dame, Ind.*  
\$55,400 — To plan the Fast Forward enrichment and mentoring program.
- **Purdue University**  
*West Lafayette, Ind.*  
\$100,000 — To mentor underrepresented students in Indianapolis Public Schools and encourage them to pursue careers in science, technology and math/science education.
- **Roxbury Preparatory Charter School Foundation Inc.**  
*Roxbury, Mass.*  
\$75,000 — To expand the Middle School Aspirations and Pathways to College program.

- **University of Indianapolis**  
*Indianapolis, Ind.*  
\$100,000 — To expand the Bridges Scholars program to offer participants support activities through the first two years of college.

### **Missouri Coordinating Board for Higher Education**

- Jefferson City, Mo.*  
\$300,100 — To support an analysis informing financial aid policies for low-income students based on unique statewide databases.

### **National Conference of State Legislatures**

- Denver, Colo.*  
\$100,000 — To assist state legislatures in making more informed, long-term policy decisions about college affordability and access.

### **National Rural Funders Collaborative**

- Bethesda, Md.*  
\$400,000 — To support postsecondary access programs funded by the collaborative in rural areas across the country.

### **The Posse Foundation**

- New York, N.Y.*  
\$987,600 — To prepare for the expansion of The Posse Foundation's pre-college access program to many more students and institutions.

### **Southern Education Foundation**

- Atlanta, Ga.*  
\$150,000 — To determine the feasibility of a long-term project in the Deep South states to implement new options and policies for allocating funds for need-based financial aid.

### **The Trustees of Indiana University**

- Bloomington, Ind.*  
\$313,700 — To develop and apply measurements of state fiscal and financial aid policies to test their effects on college access and persistence.

### **University of Maryland**

- College Park, Md.*  
\$42,200 — To fund research into the effects of state policy on college choices and enrollment gaps.

**Access grants: 37**  
**Total: \$5,005,800**

## **Student success** (Retention/goal attainment)

### **Berea College**

- Berea, Ky.*  
\$329,100 — To support research that will document the relationship between labor, work and service, and student retention and degree attainment at "work colleges."

### **Brevard College**

- Brevard, N.C.*  
\$1,400,000 — To support the work of the Policy Center on the First Year of College for a new national signature project, Hallmarks of Excellence in the First College Year.

### **Foundation for California Community Colleges**

- Sacramento, Calif.*  
\$143,000 — To increase student success in elementary algebra in the California Community Colleges system by disseminating tested models for improvement of teaching and learning mathematics.

## Grants in 2002

### League for Innovation in the Community College

Phoenix, Ariz.

\$102,000 — To support planning for a competencies certification program that will enable community college students to enroll in college-level courses.

### National College Access Network

Cleveland, Ohio

\$124,500 — To support planning for Enhancing College Access: A Blueprint for National Expansion.

### Syracuse University

Syracuse, N.Y.

\$956,700 — To study the impact of innovative academic assistance programs on the long-term success of underprepared and underrepresented urban college students at 20 institutions.

### University of Northern Colorado Foundation Inc.

Greeley, Colo.

\$19,800 — To develop an experimental research design to determine whether and how an elective undergraduate information literacy course affects student retention.

### Student success grants: 7

Total: \$3,075,100

## Adult learning

### American Council on Education

Washington, D.C.

\$1,053,100 — To document the characteristics and needs of low-income adult students, as well as the public policies and postsecondary practices that affect their learning.

### American Indian College Fund

Denver, Colo.

\$325,000 — To assist the nation's 32 tribal colleges and universities with support services aimed at helping Native American teacher aides attain credentials required by the No Child Left Behind Act.

### Arizona State

#### University Foundation

Tempe, Ariz.

\$10,000 — To fund the Hispanic Mother-Daughter Program.

### Herbert H. Lehman College

Bronx, N.Y.

\$75,000 — To offer off-campus courses and special services for adult students upgrading teacher aide credentials.

### Manpower Demonstration Research Corporation

New York, N.Y.

\$100,000 — To design a multi-year pilot to evaluate the effectiveness of innovative state welfare-to-work policies and innovative community college practices to help low-income adult learners earn postsecondary credentials.

### The Maricopa Community Colleges Foundation

Tempe, Ariz.

\$200,000 — To fund a six-month planning process to research innovative ways to address growth and success issues associated with e-learning programs.

### National Governors Association Center for Best Practices

Washington, D.C.

\$1,182,400 — To identify and support state policies that expand postsecondary access and attainment for low-income adults.

### University of Virginia

Charlottesville, Va.

\$950,000 — To conduct primary research on continuing education programs serving nontraditional learners pursuing postsecondary degrees, credentials or training.

### Adult learning grants: 8

Total: \$3,895,500

## Multi-theme grants

### American Association for Higher Education

Washington, D.C.

\$4,515,200 — To help minority-serving institutions analyze their students' engagement in learning and implement plans to improve engagement, learning, persistence and success.

### American Association of Community Colleges

Washington, D.C.

\$305,200 — To support development of policy and program recommendations for expanding access to a four-year college degree for community college students.

### Association for the Study of Higher Education

Columbia, Mo.

\$178,634 — To fund the ASHE/Lumina Foundation Dissertation Fellowship Program.

### Education Writers Association

Washington, D.C.

\$197,000 — To support efforts to increase and improve media coverage of higher education access issues.

## Grants in 2002

### Indiana Humanities Council

*Indianapolis, Ind.*

\$436,300 — To develop an extended family-intervention program and test its impact on the college-going behavior of low-income, first-generation and minority students in six Indiana high schools.

### Indiana University Center for Postsecondary Research & Planning

*Bloomington, Ind.*

\$1,317,300 — To conduct case studies of high-performing colleges and universities (as measured by data from the National Survey of Student Engagement) and begin building institutions' capacity to use this data to promote student success.

### Maricopa County Community College District

*Tempe, Ariz.*

\$10,000 — To support innovative access programs for working adults at Rio Salado College.

### The Public Agenda Foundation

*New York, N.Y.*

\$50,000 — To support the development of a comprehensive and accessible online source of news on the issues affecting American higher education.

### The Regents of the University of California

*Los Angeles, Calif.*

\$250,000 — To support a study that documents the relationship between students' participation in access programs and their success in college.

**Multi-theme grants: 9  
Total: \$7,259,634**

## Indiana initiatives

### Advancing Academic Excellence

\$330,000 total, in 11 grants of \$30,000 each. The Advancing Academic Excellence program was created to help public high schools in Indianapolis improve students' access to and performance in Advanced Placement and International Baccalaureate programs, which allow students to earn college credit while in high school. Each participating school is listed below.

- Ben Davis High School.
- Decatur Central High School.
- Emmerich Manual High School.
- Franklin Central High School.
- Lawrence North High School.
- North Central High School.
- Northwest High School.
- Perry Meridian High School.
- Pike High School.
- Southport High School.
- Warren Central High School.

### Baxter YMCA

*Indianapolis, Ind.*

\$16,100 — To provide educational materials and supplies for the Baxter YMCA to replace items lost in the September 2002 tornadoes.

### Center on Philanthropy at Indiana University

*Indianapolis, Ind.*

\$10,000 — To provide general operating support for the Indiana University Center on Philanthropy.

### Citizens' Scholarship Foundation of America Inc.

(Scholarship America)

*St. Peter, Minn.*

\$150,000 — To support the development of ScholarShop in Indiana to motivate and prepare students for postsecondary education.

### Commission for Higher Education - State of Indiana

*Indianapolis, Ind.*

\$259,800 — To support an analysis of College Board data to provide evidence on why Indiana SAT scores are lower than the national average and suggest steps to improve those scores.

### Community Centers of Indianapolis Inc.

*Indianapolis, Ind.*

\$113,300 — To pilot the Student Enrichment Program (STEP) at Forest Manor Multi-Service Center.

### Indiana Career and Postsecondary Advancement Center

*Bloomington, Ind.*

\$596,600 — To extend the services offered by the center in Indiana and beyond.

### Indianapolis Downtown Inc.

*Indianapolis, Ind.*

\$10,000 — To provide general operating support for Indianapolis Downtown Inc.

### Indiana University Foundation

*Indianapolis, Ind.*

\$10,000 — To support a financial aid program honoring the university's retiring interim president/chancellor.

### Ivy Tech State College

*Indianapolis, Ind.*

\$110,000 — To better understand student retention and student learning by participating in the Community College Survey of Student Engagement initiative.

**Keep Indianapolis Beautiful Inc.**  
*Indianapolis, Ind.*

\$10,000 — To provide general operating support for Keep Indianapolis Beautiful Inc. for 2002.

**President's Fund**

\$600,000 total, in six grants of \$100,000 each. The President's Fund was created in 2002 to support projects aimed at increasing student success in the first and second years at Indiana's six largest universities. Each participating university is listed below, along with a brief description of its project.

- **Ball State University**  
*Muncie, Ind.*  
To develop faculty teaching skills in ways that will lead to greater student retention and graduation.
- **Indiana State University**  
*Terre Haute, Ind.*  
To support the building and testing of a Web-based student portfolio so that a tested, refined and scalable version can be ready for the entire Indiana State University student population for fall 2004.
- **Indiana University-Purdue University Indianapolis**  
*Indianapolis, Ind.*  
To develop two programs to increase the academic success of African-American and Latino freshmen in introductory courses.
- **University of Notre Dame**  
*Notre Dame, Ind.*  
To increase student success and retention by transforming a large lecture class into a highly interactive learning experience, with a special emphasis on minority students.

- **Purdue University-Sponsored Program Services**  
*West Lafayette, Ind.*

To introduce a multicultural learning communities project and measure its success in improving retention for participating students.

- **The Trustees of Indiana University**  
*Bloomington, Ind.*

To create a service learning component in gateway courses for students of color, Indiana students from rural and urban disadvantaged backgrounds, and other at-risk students.

**United Way of Central Indiana**  
*Indianapolis, Ind.*

\$8,050 — To provide general operating support for community service and development.

**Vincennes University Foundation**

*Vincennes, Ind.*  
\$10,000 — To support Vincennes University's participation in the Community College Survey of Student Engagement.

**Indiana grants: 29**  
**Total: \$2,233,850**

**Totals:**

In 2002, Lumina Foundation approved **90 regular grants** totaling **\$21,469,884**. Also approved were \$695,691 in special incentive grants for director and employee giving. This brought the total amount in grants approved to \$22,165,575.

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## Credits and acknowledgments

*Editorial and production:*  
David S. Powell, Jean B. Rose,  
Gloria Ackerson-Seats

*Writing:*  
Holly G. Miller

*Design:*  
Huffine Design Inc.

*Photography:*  
Shawn Spence Photography  
(Except Pages 9, 13, 14 (right) and 15  
— courtesy of the respective institutions.)

*Printing:*  
Hilltop Press



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