

## Program Guidelines 1998-1999

~~Carnegie Corporation of New York is a general purpose, grantmaking foundation established in 1911 by Andrew Carnegie "for the advancement and diffusion of knowledge and understanding among the people of the United States."~~ Subsequent charter amendments have allowed the Corporation to use 7.4 percent of its income for the same purposes in countries that are or have been members of the British Commonwealth. Overseas grants are currently concentrated in Commonwealth Africa. Grants in "noncharter" countries are occasionally made when their substantial purpose is the advancement and diffusion of knowledge and understanding among the people of the United States.

### OPERATIONS

The Corporation's fiscal year runs from October 1 to September 30. The seventeen-member board meets four times a year, in October, February, April, and June. The trustees set the overall policies of the foundation and have final authority to approve all grants above \$25,000 recommended by the program staff. Grants of \$25,000 or less, called discretionary grants, are made upon the approval of the president and are reported to the board. Staff review of proposals to be presented to the board takes a minimum of four months.

The Corporation awards grants of approximately \$60 million each year to nonprofit organizations and institutions for projects that are broadly educational in nature and that show promise of having national or international impact. Certain appropriations are made for activities, such as Corporation-led study groups and task forces, that are administered by the foundation's officers.

Between June 1997 and June 1998, the Corporation's new president, Vartan Gregorian, initiated a thorough review of the foundation's management structure and grant programs with a view toward forging new directions while maintaining some continuity with past endeavors. A series of staff seminars with outside experts was held during the year to assist in the shaping of program ideas. The general framework for the new programs was discussed and approved by the board in June 1998. Program papers further refining the ideas and approaches were prepared for the board the following October. Implementation strategies in the new areas are currently under way.

### PROGRAM DESCRIPTIONS

The four new program rubrics are **Education**; **International Peace and Security**; **International Development**; and **Democracy**. **Special Projects** is a vehicle for out-of-program grants. Additional funds are being dedicated to several cross-program initiatives. This past year a 21st Century Fund was created to commemorate Andrew Carnegie's library benefactions and to provide one-time support for other causes. The Corporation is also developing a fellowship program to support research by promising young scholars and established experts in the Corporation's fields of interest. A principle of grantmaking will be the formation of alliances and funding partnerships with other donors, with more emphasis placed on evaluation of processes and outcomes of grant projects and on dissemination to the public.

The following pages summarize the major program objectives, rationales, and strategies indicating, where necessary, timetables for receiving proposals. A fuller explanation by Vartan Gregorian, *New Directions for Carnegie Corporation of New York*, may be ordered from the publications office.

## EDUCATION

The twentieth century has passed from the age of the industrial worker to the age of the knowledge worker, in which both general and specialized education have assumed ever greater importance for the personal development of individuals; for the civic, social, and economic strength of the nation; and for the search for solutions to global problems facing humankind. Most educational and political leaders understand that the nation's future depends on the priority given to the development of new knowledge and to investments in human capital formation. For individuals, the returns to education are strong, since opportunities to acquire good jobs and a decent standard of living are requiring higher levels of formal education.

To remain globally competitive, with vigorous democratic institutions reinforcing the nation's common bonds while respecting differences, the United States must strive to offer real opportunity to all the members of its pluralistic society. By adulthood, every young American must acquire the skills, knowledge, and values to participate fully in national and world affairs. The American education system, however, was designed for an earlier age, when the intention was to prepare most children for a world that relied primarily on physical labor and, by today's standards, simple machinery. Today, the nation cannot afford to allow the majority of its young people to fall short of their academic promise. It is urgent that the educational structures inherited from the industrial age be revitalized and adapted to fit the new economic, technological, and social context.

Nowhere is this task more urgent than in urban schools. Although the school reform efforts of recent years have produced some positive change in educational outcomes, urban children often suffer from low expectations for their achievement, from instruction by poorly trained and supported teachers, and from weak community supports for their learning in early childhood and after school.

Building on its history and past programs in the field, Carnegie Corporation will dedicate a major part of its grant funds to education reform, beginning with early childhood education and extending to higher education. A major goal will be to help rebuild the public's confidence in the education system, focusing not only on educational achievement at the precollege level but also at the college and university level. The program will focus on three key areas:

1. *Early Childhood Education and Care*
2. *Urban School Reform*
3. *Higher Education*

**Early Childhood Education and Care.** Cumulative research evidence from neuroscience, psychology, and physiology indicates that the most rapid physical and mental growth occurs during infancy and early childhood. The early years are thus critical to the development of intelligence, motivation, and social behavior throughout the life span. The traditional emphasis of public investment on the education of children of school age is outmoded in light of evidence from research on the importance of early learning and the extensive participation of women with preschool children in the labor force.

At present, child care and early childhood education services constitute a patchwork of poorly financed, unevenly staffed, and scattered programs. Working families in need of such services have only limited access to affordable, high-quality programs. As a consequence, millions of children are entering school without the benefit of important experience in language, numeracy, and social development. In their progress from preschool through the early grades, moreover, many children,

especially in urban settings, lose their natural curiosity and enthusiasm for learning. Failure to master basic skills such as reading and arithmetic by the third grade places children at high risk for special education and is a strong predictor of academic, social, and health problems later on.

Continuing its long-standing role in the early childhood field, the Corporation will stimulate research and policy analysis needed to expand the availability of affordable, high-quality programs that improve all children's chances of success in school and that better meet the needs of working parents. Particular attention will be paid to financing, professional development, and system design options. The Corporation will also explore effective approaches for linking early childhood education, parenting support, and improved instruction in the early grades to strengthen young children's literacy and mathematical skills.

**Urban School Reform.** Over the past decade, considerable progress has been made in upgrading the quality of public education nationwide, and there are encouraging improvements in student achievement even in inner-city areas. Yet, while there are many excellent urban schools, there are no urban districts in which all the schools are of high quality. In the present form of urban school district there is a high degree of bureaucratic inertia, which both stifles creative initiative and fails to support schools that need assistance. The move to raise standards for student learning has, furthermore, revealed a shortage of principals and superintendents prepared and able to redesign schools and districts and accelerate academic achievement, rather than simply maintain the status quo. At the same time, there is a growing realization that achieving higher academic standards, especially in inner-city distressed areas, is going to require more than change in strong schools; it will also require community support for higher achievement.

In the coming year the Corporation will pursue several avenues for scaling up reforms in urban school districts and for stimulating effective solutions across the nation. These include analyses of progress and barriers to change in a number of cities; identification and dissemination of effective district practices with respect to key roles, such as professional development of teachers; assistance for local school change; the institution of accountability mechanisms; and mobilization of public support. The Corporation will also support analyses of the patterns of recruitment and training of urban school principals and superintendents and help to devise better models of preparation to meet the dramatically changing nature of their roles. Finally, the foundation will build on its work on community/after-school supports for children and adolescents, seeking to foster research on the increasing availability and success of after-school and extended-service programs that promote academic achievement, particularly for students in urban areas.

**Higher Education. Teacher Education.** Substantial improvement of urban schools and public education generally will not be achievable without fundamental changes in teacher education and the active engagement of higher education institutions. Today there is broad agreement that teachers entering public schools must have better preparation in subject matter, an understanding of research-based approaches to the teaching of reading, knowledge of child and adolescent development, proficiency with technology, and more extended clinical training and supervision. There are serious obstacles to the realization of these goals, however. Paramount among them is that schools of education, numbering more than 1,200, are isolated within universities. These institutions themselves typically have little sustained involvement in schools. Nearly 2 million new teachers must be recruited and educated in the next decade. Rising demand presents both a challenge and an opportunity to increase the quality as well as the quantity of America's teaching force.

The Corporation will concentrate initially on the dissemination of the best models of teacher education

to encourage their wider adoption; on assistance to governors and other state policymakers in developing incentives and accountability mechanisms to promote more widespread change; and on promoting broader public understanding of the importance of teaching quality.

*Liberal Arts Education.* Higher education has been the backbone of the United States' economic, cultural, scientific, technological, and political progress for the past two centuries. But the nation's roughly 3,400 colleges and universities are facing a number of critically important challenges. Key among these is how the undergraduate experience should be redefined to help prepare students for success in the contemporary economic and social context. How might the undergraduate curriculum, which has moved toward a bifurcation of liberal arts and science and professional training, result in a more integrated understanding of all the sciences, the humanities, and fine arts? How can students best be prepared to manage the information and knowledge explosion and the increasingly specialized job opportunities in the new global economy? What level of global knowledge and understanding of diverse cultures do students now possess, and what is necessary for citizenship in the twenty-first century? A solid, balanced education in the humanities, arts, and sciences, aimed at developing competent, inquisitive, productive adults, should be a requirement for all students, regardless of their career objectives. The Corporation is exploring the most effective ways to address these questions about undergraduate liberal education and, therefore, will not be accepting unsolicited proposals in this area until further notice.

#### **INTERNATIONAL PEACE AND SECURITY**

The International Peace and Security program will largely build on previous activities of the Corporation related to the nonproliferation of weapons of mass destruction, development in Russia and the other post-Soviet states, and U.S.–Russian relations, with the discontinuation of some major themes. ~~The new emphases will be commensurate with the changing global security environment, in which such factors as transnational resource security may play a more prominent role in arms proliferation, interstate strife, and international relations. The program will be identifying the best available knowledge to bear on these issues, and disseminating it through a variety of means, including the media, and the general public. The program will have three specific foci:~~

independent research and analysis. ~~More stress will be placed on project support rather than on general operating support.~~ Other vehicles for the Corporation's grantmaking will include bilateral and multilateral working groups on critical issues; conferences and workshops; training fellowships; and scholarly exchanges. Some initiatives will be taken in cooperation with other funders. The program will have three specific foci:

1. *Nonproliferation of Weapons of Mass Destruction*
2. *Russia and Other Post-Soviet States*
3. *New Dimensions of Security*

**Nonproliferation of Weapons of Mass Destruction.** As the threat of the deliberate use of nuclear weapons by the major nuclear states has diminished substantially since the end of the Cold War, the threat of inadvertent or unauthorized use has risen. Economic and political uncertainties in Russia are one source of concern, but the Asian continent may well pose the gravest arms-control challenge for the next century. Added to the nuclear problem is the spread of chemical and biological weapons worldwide. The foundation will continue to support work to ensure further reductions in weapons of mass destruction, the security of their storage, and the safety of their command and control systems. It will also support efforts aimed at integrating China into a wider arms control regime and award grants to heighten the awareness of policymakers on a range of arms-control challenges in South and East

Asia.

**Russia and Other Post-Soviet States.** Russia's economy is nearly insolvent, its nascent democratic institutions are fragile, and power struggles between the legislative and executive branches threaten reforms. In view of Russia's immense size, wealth of resources, nuclear arsenal, and regional influence, Western disengagement is not an option. Russia, however, must take the lead in solving its problems. Russia's human capital holds the key to the country's future. The Corporation will make a modest contribution toward strengthening Russia's ability to prepare a new generation of leaders in sectors of the community that are critical in building a new Russia. With respect to policymakers, leaders in banking, business, and finance, and upper-level military personnel, the Corporation will support discrete projects that foster mutual exchanges with U.S. counterparts. In addition, the Corporation will consider support for a select group of grantees that investigate developments in Russia and other post-Soviet states and critical aspects of Russian-U.S. relations. Projects aimed at training American specialists on the region also will be considered.

**New Dimensions of Security.** To keep abreast of emerging dangers, the Corporation's program will explore ways to support knowledge gathering and policy analysis concerning two potential sources of widespread human conflict: scarcity of, and competition over, vital natural resources, especially water, and the clash of two accepted norms — the sanctity of existing borders and the right of self-determination. It will also foster area-specific research and analysis of the literature on two strategies used by the international community for dealing with violent conflict: post-conflict peacebuilding and the application of economic measures in preventing deadly conflict. Proposals will be considered only at the invitation of the foundation.

**Cross-Program Initiative on Higher Education in the Former Soviet Union.** A collaboration with the Corporation's program in Education, this initiative will address the deteriorating conditions of scholarship in the humanities and social sciences in the former Soviet Union. There is an urgent need to nurture a new generation of scholars and scientists in the post-Soviet states, while safeguarding the contributions that previous generations have made to world culture and civilization, notwithstanding the repressions of the past seventy years. Working with the John D. and Catherine T. MacArthur Foundation, the Corporation will assess the needs of the social sciences and humanities and seek ways in which, within the terms of the charter, it can strengthen institutions of higher learning and research in the post-Soviet states. The Corporation does not anticipate making grants in this area before October 1999 and will not, until further notice, accept unsolicited proposals.

## **INTERNATIONAL DEVELOPMENT**

The Corporation's assistance to the African continent began in 1926, aimed at building African university systems and research in Commonwealth countries through the 1960s. In the 1970s it promoted the practice of public interest law in South Africa. In the 1980s, it fostered science and technology development, research on women's health, education, and legal status, and the use of electronic information systems in key scientific and academic institutions. In the new program on International Development, the Corporation will continue its interests in higher education and development in Commonwealth Africa. It will place special emphasis on research and development, reflecting its conviction that national development must include the development of the legal system. The Corporation will also explore a few discrete projects in the area of public interest law. The Corporation will not accept unsolicited proposals for International Development until further notice. The remaining sections of the program:

### *1. Strengthening African Universities*

2. *Enhancing Women's Opportunities in Higher Education*
3. *Revitalizing Public Libraries*
4. *Rule of Law*

**Strengthening African Universities.** A major factor limiting social, economic, and political progress in sub-Saharan Africa is the weakness of national institutions responsible for the creation, assessment, dissemination, and application of knowledge. African universities over the past two decades have suffered losses of staff and financial resources as well as the deterioration of physical plant and infrastructure. Past donor support for African universities has tended to focus on faculty development and on upgrading individual departments. While these piecemeal efforts have been valuable, universities have not been able to sustain the gains once donor support has been withdrawn. One conclusion is that reforms must take place in the context of an overall plan for university development — one intended to ensure sound institutional management, transparent and accountable governance, a thriving intellectual environment, adequate facilities for faculty members and students, and, above all, effective leadership. Initially, working with the World Bank, regional institutions, and several international donors, the foundation will commission studies to review progress made by African universities in improving their management and governance systems. Once these studies are completed, it will explore opportunities to form partnerships with up to five African universities that can serve as models to others of effective institutional change.

**Enhancing Women's Opportunities in Higher Education.** The ratio of women to men on African campuses, whether as faculty members, staff, or students, is exceedingly low, although exact figures are hard to come by. Prior to grantmaking, the Corporation will undertake studies to determine the current status of female undergraduates on African campuses and the problems affecting their participation. It will then work with regional organizations to assess the feasibility of establishing a Carnegie Corporation scholarship program for African women undergraduates in order to facilitate their access to university education.

**Revitalizing Public Libraries.** The advent of new information technologies, together with recognition that the ability to obtain and use information is vital for success in the global economy, has stimulated concern within African countries about the gap between those who have access to information and those who do not. Public libraries have the mandate to serve as a democratic source of information and knowledge, but the low priority given them by governments and by public, private, and international funders has led to a severe deterioration of stock and services in the continent. Libraries are, in fact, perhaps Africa's most underrated educational institutions. At the same time, their potential role in improving literacy levels and increasing access by students and the general public to books and journals, and eventually information technologies, is significant. In the coming year the Corporation will seek opportunities for strengthening public libraries and library systems in a few selected African countries. Initially, the foundation will support efforts to collect baseline data about holdings, quality of staff and training opportunities, type and cost of services, user needs, funding patterns, the state of existing facilities, and prospects for future growth. No unsolicited proposals will be accepted until June 2000.

**Rule of Law.** The Corporation will consider only discrete projects in this domain at its own initiative. Immediate plans are to sponsor an exploratory meeting with members of the African judiciary and their American and British counterparts, to discuss ideas for addressing legal issues confronting Commonwealth African countries.

~~Historically, the Corporation has devoted a substantial share of its grants toward improving the effectiveness of government at all levels, increasing public understanding of major social policy issues, equalizing opportunities for members of disadvantaged minorities and women, and encouraging the public's active participation in political and civic life. These issues, which represent the ongoing business of democracy, provide the broad context for a reshaped program in Democracy, which will have three major foci:~~

1. *Electoral Reform*
2. *Intergroup Relations*
3. *Implications of the Widened Income Gap*

**Electoral Reform. Campaign Finance Reform.** As countries around the world are building a civil society, U.S. citizens have become increasingly troubled by their own democracy, particularly the imbalance of power and influence between individuals and organized special interests in the affairs of government. A fundamental source of discontent in the U.S. electorate is abuse of the system of political campaign finance. In the eyes of many observers, the intent of the campaign finance laws is so flouted that some incumbents use more of their time raising money for their reelection campaign than interacting with ordinary constituents and doing the public's business. Reform is desired among even the largest contributors to political campaigns, the majority of whom favor a ban on soft-money donations and campaign spending limits, according to a Joyce Foundation study released in June 1998.

Based on recent history, the road to comprehensive electoral reform will be long and difficult. Nonetheless, there is cause for optimism. Campaign finance reforms are succeeding in many states, where campaign finance reform bills and ballot initiatives are working their way through state capitals. Currently there are coalitions and/or organizations in at least forty-one states working to encourage better disclosure of contributions to political campaigns. While the Corporation expects to continue supporting on a limited basis nationally recognized expertise and national debate on the problems and challenges of reform, it will place more emphasis on state- and local-level reform. The foundation will emphasize research and analysis of campaign contributions and expenditures; support groups designing model campaign finance laws so that policymakers and others have a range of possible options for implementation; and devote funds toward the training of state and local media representatives on how to follow the money.

**Other Campaign Practices.** Negative campaigning, the diminution of voter education campaigns, and despair over the effectiveness of public engagement are all factors driving voters from the polls. As the 2000 elections approach, the Corporation will consider projects that aim to improve the tenor of campaigns and campaign practices; improve public access to information on candidates and issues; and strengthen news media coverage of campaigns and candidates.

**Intergroup Relations.** ~~Central to the healthy functioning of our pluralistic society is the growth of democratic mechanisms for sorting out tensions among the nation's many religious, ethnic, cultural, and language groups and for opening the pathways for the development of individual talent among all peoples.~~ Many young people in the United States are growing up not only educationally disadvantaged but deficient in the requirements of full citizenship, which includes the exercise of tolerance and the understanding of others. Although discrimination continues to be addressed legally, certain problematic cultural conventions and assumptions remain unresolved.

The Democracy program's work on intergroup relations will bridge that of Education, which is winding up its support of school-based research on youth intergroup relations. Still in development,

the program will search for effective ways of fostering continued public dialogue around issues of race, ethnicity, and religion in American society; promoting the full participation of new immigrants and new citizens in American civic life; and addressing the social and economic implications of an aging society. No unsolicited proposals will be accepted at this time.

**Implications of the Widened Income Gap.** The U.S. economy is currently robust, with unemployment the lowest in thirty years and inflation at below 2 percent a year. Yet despite the nation's improved economic performance, the real income of most working families has lost ground since 1973. The relatively lower income levels of the majority of the U.S. population does not bode well for the long-term prospects of millions of young people, for the encouragement of full citizen participation in the affairs of the country, and, ultimately, for the nation's competitive position in the world. Just how the Corporation may cast practical light on this complex, controversial question will be determined over the next year. Until fall 1999, therefore, proposals will not be accepted.

### **SPECIAL PROJECTS**

Special Projects is a vehicle for providing grants in fields that fall outside the major program areas. In the future, these funds will be used for cross-program grantmaking and support for the promotion of the nonprofit and philanthropic sector, and other out-of-program grants.

#### **Carnegie Fellowship Program**

The Corporation will inaugurate a new fellowship program, pending IRS approval, in the year 2000. Its aim will be to support fundamental research by young scholars with outstanding promise as well as by established experts who stand to contribute significantly to the advancement of knowledge and understanding in the Corporation's fields of interest. Up to twenty fellowships lasting one to two years will be awarded annually. The maximum amount available will be \$100,000. The Corporation will seek nominations from an extensive network of experts beginning October 1, 1999, with the nominees evaluated by members of a selection committee who will make recommendations to the president and board. The awards will be announced in April 2000.

Individual fellowships will not be awarded for dissertations, debt repayments, projects that already have substantial outside funding, the purchase of equipment, or rent. All fellows must be U.S. citizens or have permanent U.S. residency status.

### **HOW TO APPLY FOR A GRANT**

There are no application forms, and there are no deadlines for the submission of proposals. The Corporation reviews requests at all times of the year. The staff tries to convey its decision within four months of the receipt of the proposal.

Grantseekers are requested to present a clear and straightforward proposal containing a description of the project's aims, significance, amount of support required, duration, methods, personnel, and budget. Officers review the proposal in light of their knowledge of the field and in relation to the current program priorities. If they wish to pursue matters further, they may request a more developed document. Additional materials may be required, including a formal request from the head of the organization and a more precise budget.

The following points may be helpful in preparing a proposal. Although the questions need not be answered individually, they indicate the types of concerns program staff members have in mind when reviewing requests:



- What problem does your project address? Why is this issue significant? What is the relationship of the problem/issue to the Corporation's program, as outlined in the foundation's descriptive materials?
- How will your project or activity deal with the stated problem? What do you intend to demonstrate or prove? What means will you use, and what methodology will you apply? If the project is already under way, what have you accomplished so far?
- What outcomes do you expect for the project, both immediate and long term? How will you determine the success or effectiveness of your work?
- What strengths and skills do the organization and personnel bring to this project? What makes this organization the right one to conduct this project?
- What is the overall cost of the project? How much are you requesting from Carnegie Corporation over how long a period? What other sources of support are you pursuing for this project?
- What plans do you have to disseminate information to the public about your project?

If your organization is not a college or university and has not applied to Carnegie Corporation before, please include background information: an annual report, an audited financial statement, or a mission statement.

## RESTRICTIONS

Carnegie Corporation does not make grants for basic operating expenses, endowments, or facilities. At present it does not have a program of scholarships or travel grants. As noted, the Corporation does not generally make grants to individuals, although on rare occasions a highly qualified person will be supported for a project that is central to the foundation's program interests.

In addition to these general restrictions, there are specific criteria for the acceptance of proposals pertaining to three of the program areas, other than those indicated in the program statement.

**Education:** The foundation does not review requests from individual schools or preschools.

**International Peace and Security:** With some exceptions, grants made in this program are to U.S. institutions. No curriculum projects within individual schools or colleges are supported. Proposals for media-related grants are only occasionally supported.

**International Development:** The Corporation does not accept unsolicited requests that aim to improve understanding of development and developing countries among the general public or policymakers in the United States. Nor does it accept unsolicited proposals concerned with private sector development in Africa.



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