

Growing Opportunities

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Will Funding Follow the Rise in Foundation
Assets and Growth of AAPI Populations?





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ABOUT AAPIP

Founded in 1990, Asian Americans/Pacific Islanders in Philanthropy (AAPIP) is a national membership and philanthropic advocacy organization dedicated to advancing philanthropy and Asian American/Pacific Islander (AAPI) communities. Our members include foundations, staff and trustees of grantmaking institutions, and nonprofit organizations in eight regional chapters in the United States. AAPIP engages AAPI communities and philanthropy to address unmet needs; serves as a resource for and about AAPI communities; supports and facilitates giving by and to AAPI communities; and incubates new ideas and approaches for social justice philanthropy.

Forward

By Susan V. Berresford, Ford Foundation

This report is the result of two years of work by Asian Americans/Pacific Islanders in Philanthropy (AAPIP) to track funding that can benefit Asian American and Pacific Islander (AAPI) communities in the United States. Acknowledging all the complexities and shortcomings of the currently available databases and related information, the report explores some basic questions that we all should consider. These include the level of funding to AAPIP community issues, who gives and gets the money, the giving patterns that emerge, how well AAPI populations are represented at staff and board levels in foundations, and whether there is a relationship between increased staff/board representation and increased AAPI-focused program activity.

Data and analysis of this sort help us gain a sense of how well our nation is welcoming and absorbing increasingly diverse populations. Clearly we can do a better job, and reports of this kind suggest several ways for philanthropy to do its part. If we are to become the successful multi-racial, multi-ethnic democracy of our aspiration and be economically successful, we need to take greater count than we have so far of the distinct communities among us and address their needs. We need to be active in pursuit of the talent that abounds in all communities of people and ensure that our major institutions draw on these talent pools. That is clearly required if we are going to be a competitive, successful and just society.

Looking back over several decades, we can see how similar reports focused on other populations and issues have prompted dialogue and action within philanthropy. AAPIP's report suggests ways we can begin to consider some important questions. It is a first report of this kind, raising more important questions than it can answer at this time and it deserves our sustained attention. I hope the report promotes the increased funding for which it makes a good case.

Executive Summary

Representing over 4% of the nation's population, Asian Americans and Pacific Islanders (AAPIs)¹ are one of the fastest-growing populations in the United States. Increasing by more than 70% in just the past decade, the 12 million strong AAPIs also face growing challenges. In this report, Asian Americans/Pacific Islanders in Philanthropy (AAPIP) charts funding by top U.S. foundations against the size and location of AAPI communities. The report highlights the critical problems that persist in AAPI communities—including high poverty rates, the unavailability of culturally competent services such as health care, and increased hate-related violence post 9/11—and contrasts the myth of AAPIs as a monolithic “model minority” against the realities of differing socioeconomic characteristics among over 28 distinct Asian ethnic groups and 19 Pacific Islander ethnicities that speak over 100 languages and dialects.²

On the occasion of its 15th anniversary, AAPIP returned its attention to the challenges and funding disparities facing AAPI communities that were first explored in its seminal 1992 study, *Invisible and In Need*. This new report, *Growing Opportunities*, invites colleagues in the field of philanthropy to match their foundations' good intentions with the investments that will be necessary to support the growing AAPI communities in the 21st century.

The report examines the giving trends of 20 top national foundations over 13

years, between 1990 and 2002. These national foundations are leaders in the field and have had a major impact on public policy and philanthropic investment strategies. The report also includes a summary of interviews with AAPI foundation staff and case studies of three national foundations that provide insights on giving practices to AAPI communities, as well as funding and staffing data that highlight recent trends impacting AAPI communities between 2003 and 2006.

The study investigates whether these 20 established foundations have made long-lasting investments in AAPI communities through grants to organizations serving populations that include AAPIs, and to groups designated in this report as “AAPI-led organizations” providing services expressly to AAPI communities.

Key Findings

In this report, AAPIP poses four major questions. The findings provide a base from which to initiate dialogue on ways to rectify continued disparities in funding to AAPI communities.

Proportional Funding

Foundation giving to AAPI communities has not kept pace with the growth of AAPI communities nor with foundations' asset growth.

KEY QUESTION 1: The AAPI population has grown to comprise 4.5% of the U.S. population, yet 2004 foundation fund-

ing to AAPIs represented just 0.4% of all U.S. foundation dollars,³ a slight increase from 0.2% between 1983 and 1990. Why does there continue to be such a disparity in philanthropic investments to AAPI communities?

Strategic Funding

On the whole, foundation support for AAPI communities does not correlate to the challenges facing the growing AAPI population, increased capacity-building requirements of AAPI-serving organizations or priority needs set AAPI communities.

KEY QUESTION 2: Our analysis of the top 20 national foundations' giving over a 13-year period revealed that there has been no overarching investment strategy in foundation giving to AAPI communities, even though significant social and economic challenges continue to hinder AAPI community progress. Is there a reason for foundations' lack of strategic focus in funding AAPI communities? What are philanthropy's priorities for AAPI-related funding?

Funding During National Crises

AAPI communities turn to trusted service providers, especially during times of national crisis, yet national foundations seem to have directed little support to AAPI-led organizations after 9/11 and Hurricanes Katrina and Rita.

KEY QUESTION 3: After 9/11 and Hurricanes Katrina and Rita, AAPI communities were adversely impacted in a wide range of areas, including health, civil rights and employment. During these times, they turned to trusted, culturally-competent service providers within the community who could speak their language and had expertise in their particular needs. However, foundation investments to AAPI-led organizations, especially during times of national crisis, do not appear to have kept pace with community needs. Have issues of cultural competency been critically analyzed and incorporated in foundations' relief and recovery funding strategies?

Foundation Staff & Board Representation

While there has been commendable growth in AAPI staff and board representation at foundations, there is no clear correlation between this growth and increased funding for AAPI communities. A broader foundation strategy would also include an emphasis on ethnic diversity, lived experience, cultural competency and a substantial deepening of foundations' institutional knowledge and engagement of AAPI populations.

KEY QUESTION 4: Since the publication of *Invisible and In Need* in 1992, AAPI foundation staff has increased from 1% to 4.5% of all foundation staff, although this growth has not been consistent. Representation of AAPIs on foundation boards has also grown slowly but steadily during this time. Is growth in the number of AAPI foundation staff and board members sufficient to increase philanthropic investments to AAPI communities, or are additional strategies needed?

Case Study Learnings

This report features two sets of case studies. The first set is community stories woven throughout the report, which highlight some of the challenges, strengths and valuable assets in AAPI communities. The second set is foundation case studies focusing on the strategic initiatives undertaken by three of the top 20 foundations to address the needs of AAPI communities. They share the following characteristics: needs analysis; partnerships with AAPI intermediaries or engage community leaders; and building of institutional competency regarding AAPI communities.

The Ford Foundation's support of the National Gender and Equity Campaign, a 10-year capacity-building project spearheaded by AAPI, is premised on working with AAPI leaders and organizations to identify critical issues and needs and on supporting systemic change.

KEY LEARNING: *Working with AAPI community leaders and organizations can result in support for multi-pronged efforts that lead to systemic change.*

The W. K. Kellogg Foundation's Health Through Action for Asian Americans, Native Hawaiians and Pacific Islanders Program is a five-year partnership with the Asian and Pacific Islander American Health Forum (APIAHF), serving as an intermediary organization, to focus on reducing AAPI health disparities by strengthening community capacity. Re-granting to AAPI-led organizations in local communities is a core strategy.

KEY LEARNING: *Partnering and re-granting through knowledgeable and experienced community-focused intermediaries helps to ensure that needed investments are channeled to AAPI-led organizations for salient opportunities.*

The Annie E. Casey Foundation's RESPECT program and Race Matters Toolkit demonstrate the foundation's focus on integrating a racial justice lens into its work. Though neither project focuses directly on AAPI communities, they ensure that issues and disparities facing these populations are intentionally included in the foundation's community analysis and giving strategy.

KEY LEARNING: *Foundations can deepen their analysis and institutional knowledge about communities by engaging in ongoing learning opportunities.*

RECOMMENDATIONS –

A Call to Action for Philanthropy!

Many pathways lead to strategic grantmaking. Our recommendations follow two main routes: to first deepen philanthropy's understanding of AAPI communities, then take action to develop strategies to invest in communities of color, particularly AAPI communities.

Deepen philanthropy's understanding:

1. Initiate the collection of more disaggregated data on funding by race;
2. Track the impact of funding strategies in health, education, economic and community development, criminal justice

and immigration to ensure that they reach communities of color, including AAPIs;

3. Hear concerns from communities of color through affinity groups, grantee convenings, advisory boards, community tours and listening sessions; and
4. Fund a study to identify whether there is a relationship between increased AAPI staffing and proportional funding for AAPI communities.

Take action:

Develop strategies to invest in communities of color, including diverse AAPI subgroups, through:

5. Funding collaboratives and exploratory grantmaking with AAPI-serving organizations and foundations;
6. Operational funding to increase the ability of AAPI-led organizations to participate fully in a democratic society;
7. Programmatic funding for leadership development, collaborative relationship-building, strategic communications, policy development and advocacy, data collection and analysis, deepening cultural competency and organizational development;
8. Relief and recovery funding strategies that support culturally competent AAPI-led organizations during periods of national crisis; and
9. Increased recruitment of staff and board members representing the cultural competencies and breadth of AAPI communities.

ENGAGEMENT

AAPIP hopes this report will engage our philanthropic colleagues in dialogue. The time for a significant investment strategy in AAPI communities is now. AAPI communities continue to grow at a tremendous pace in the United States, and must be involved in shaping and impacting the policies and conditions that affect their lives and society as a whole.

Foundations Analyzed

The top 20 national foundations examined in this report were selected based on three parameters: (1) The foundation has been in existence for at least 20 years; (2) The scope of its giving has been national; and (3) Its ranking as a “top 20” foundation is based on its total giving in 2002. These 20 foundations are:

- Alfred P. Sloan Foundation
- Carnegie Corporation of New York
- Charles Stewart Mott Foundation
- Ewing Marion Kauffman Foundation
- F. W. Olin Foundation, Inc.
- John D. and Catherine T. MacArthur Foundation
- John S. and James L. Knight Foundation
- Robert R. McCormick Tribune Foundation
- Robert Wood Johnson Foundation
- The Andrew W. Mellon Foundation
- The Annie E. Casey Foundation
- The David and Lucile Packard Foundation
- The Ford Foundation
- The Harry and Jeanette Weinberg Foundation, Inc.
- The Kresge Foundation
- The Rockefeller Foundation
- The Starr Foundation
- The Whitaker Foundation
- W. K. Kellogg Foundation
- W.M. Keck Foundation

Note: Since this research project began 2 years ago, at least two of the foundations examined in this paper—the F.W. Olin Foundation and the Whitaker Foundation have spent down their endowments and are now closed.

Introduction

“This report aims to provide grantmakers with a useful overview of Asian Pacific Americans, the country’s fastest-growing minority group but one little understood or addressed by philanthropic organizations. It is intended to acquaint funders with common issues Asian Pacific American communities face.”

—forward to *Invisible and In Need*

This brief statement began the forward to Asian Americans/Pacific Islanders in Philanthropy’s (AAPIP) seminal 1992 study, *Invisible and In Need*, which laid out critical challenges and funding disparities facing Asian American and Pacific Islander (AAPI)⁴ communities and charted a roadmap to guide funders in addressing these problems. It has been more than 10 years since the publication of that report, yet many of the conditions highlighted in the study have worsened. While numerous foundations have identified AAPI community needs and priorities—such as leadership development, collaborative relationship-building, strategic communications, policy development and advocacy, data collection and analysis, deepening cultural competency and organizational development—AAPI communities continue to face significant disparities in accessing needed philanthropic resources to meet these priorities. Furthermore, AAPIs continue to be treated as one homogenous entity, when in fact AAPI communities represent 28 distinct Asian ethnic groups and 19 distinct Pacific Islander ethnicities, with over 100 different languages and dialects and different socioeconomic characteristics.⁵ This homogeneous treatment is due in part to a paucity of critical disaggregated data and data collection activities targeting the diverse AAPI subgroups.

With its deep commitment to strengthening community infrastructure, AAPIP decided to return to the issues presented

in *Invisible and In Need* as it celebrated 15 years of building bridges between community and philanthropy. With a nod to Handy L. Lindsey, a leader in the field who posed a critical question about the relationship between African Americans and professional philanthropy in his 2003 James A. Joseph lecture⁶ as a way to amplify the field’s lack of progress in supporting communities of color, AAPIP also decided to pose a series of questions about the relationship between AAPI and philanthropy. This report is comprised of four key questions, which are posed to the field of philanthropy and to our foundation members and allies in order to engage in a much-needed dialogue on the level and type of investments necessary to support our growing AAPI communities in the 21st century.

The four questions are:

1. The AAPI population has grown to comprise 4.5% of the U.S. population, yet 2004 foundation funding to AAPIs represented just 0.4% of all U.S. foundation dollars,⁷ a slight increase from 0.2% between 1983 and 1990. Why does there continue to be such a disparity in philanthropic investments to AAPI communities?
2. Our analysis of the top 20 national foundations’ giving over a 13-year period revealed that there has been no overarching investment strategy in foundation giving to AAPI communities, even though significant social and economic challenges continue to hinder AAPI community progress. Is there

a reason for foundations' lack of strategic focus in funding AAPI communities? What are philanthropy's priorities for AAPI-related funding?

3. After September 11 and Hurricanes Katrina and Rita, AAPI communities were adversely impacted in a wide range of areas, including health, civil rights and employment. During these times, they turned to trusted, culturally-competent service providers within the community who could speak their language and had expertise in their particular needs. However, foundation investments to AAPI-led organizations, especially during times of national crisis, do not appear to have kept pace with community needs. Have issues of cultural competency been critically analyzed and incorporated in foundations' relief and recovery funding strategies?

4. Since the publication of *Invisible and In Need* in 1992, AAPI foundation staff has increased from 1% to 4.5% of all foundation staff, although this growth has not been consistent. Representation of AAPIs on foundation boards has also grown slowly but steadily during this time. Is growth in AAPI foundation staff and board members sufficient to increase philanthropic investments to AAPI communities, or are additional strategies needed?

This study aims to better understand what has happened to AAPI communities since the publication of *Invisible and In Need*. It does not replicate the earlier report, but rather focuses on national foundation giving patterns to AAPI communities. In order to accomplish this goal, AAPIP profiled and analyzed the giving of 20 national foundations:⁸

- Alfred P. Sloan Foundation
- Carnegie Corporation of New York
- Charles Stewart Mott Foundation
- Ewing Marion Kauffman Foundation
- F. W. Olin Foundation, Inc.
- John D. and Catherine T. MacArthur Foundation
- John S. and James L. Knight Foundation
- Robert R. McCormick Tribune Foundation
- Robert Wood Johnson Foundation
- The Andrew W. Mellon Foundation

- The Annie E. Casey Foundation
- The David and Lucile Packard Foundation
- The Ford Foundation
- The Harry and Jeanette Weinberg Foundation, Inc.
- The Kresge Foundation
- The Rockefeller Foundation
- The Starr Foundation
- The Whitaker Foundation
- W. K. Kellogg Foundation
- W.M. Keck Foundation

The report gauges trends and patterns in the philanthropic field as a whole, based on data from these foundations. Most are leaders in the field and have had a major impact on public policy and philanthropic investment strategies for more than 30 years. The key question of interest in this current study is whether these established foundations have made long-lasting investments in AAPI communities. The top 20 national foundations used in this research were identified based on three parameters:

1. The foundation had to be in existence for at least 20 years;
2. The scope of the foundation's giving had to be national; and
3. Its ranking as a "top 20" foundation was based on its total giving in 2002.

These top 20 foundations provide a valuable snapshot of the current national funding trends and environment, but do not reflect all philanthropic endeavors or institutional practices, many of which may impact AAPI communities. Notably absent from this list are the newly-emerging large national foundations, many of them founded with new wealth generated from technology companies and the dot.com boom, and the many new state health conversion foundations, which were created primarily with assets resulting from the sale of nonprofit hospitals to a for-profit corporation. The publication of this report may spur increased self-examination by newer foundations to see whether the findings are consistent with their own grantmaking.

The organizational data used in this research cover all organizations serving

AAPI communities. This includes both organizations serving numerous populations, including AAPIs, and groups that provide services exclusively to AAPI communities. These latter organizations are designated as “AAPI-led organizations” in this study.

In addition to examining these 20 national foundations, the report incorporates Foundation Center research on overall giving trends, research from the Council on Foundations on foundation staffing and board representation, and some perspectives from AAPI founda-

tion staff. While the primary years analyzed in this report are 1990 to 2002, data for 2003 through 2006 are also used at various points to provide context and establish recent trends that impact funding to AAPI communities. Lastly, the report presents three foundation case studies, which provide some replicable philanthropic strategies in addressing AAPI community needs and issues, and four community stories, which highlight the strengths and underscore the valuable assets in AAPI communities.

I. Growing Needs in AAPI Communities⁹

The needs of Asian American/Pacific Islander (AAPI) communities have historically been masked by the inaccurate “model minority” stereotype, which assumes that all AAPI communities have assimilated successfully into U.S. society. This myth has become further entrenched due to a lack of critical disaggregated data and information about AAPI subgroups. In reality, the term “Asian American/Pacific Islander” encompasses an incredibly diverse range of communities. Each group faces pressing needs particular to its own history, experience and language, and discrimination in the United States further compounds these needs. Some of the most critical societal issues and problems that have historically confronted AAPI communities in the United States continue to persist today.

Health

In 2005, 46 million Americans had no health insurance, and the number has only increased since then,¹⁰ catapulting the health care debate to center stage in the national policy arena. Meanwhile, rises in numerous health risk factors, including high blood pressure and obesity,¹¹ are straining our health care systems and the national economy.¹² These national health trends bear out in communities of color, and particularly in AAPI communities:

- Currently, 36% of AAPI women under age 65 have no health insurance, and Korean Americans are the most likely

to be uninsured of any racial or ethnic group in the country;¹³

- The rate of cervical cancer among Vietnamese Americans is five times higher than for white women, and is the highest rate of any racial or ethnic group;¹⁴
- Over 60% of the Asian immigrant population speaks English with limited proficiency; and
- According to U.S. Census figures, 40% of all AAPI individuals speak English less than “very well.” As a result, language and cultural barriers between patients and doctors impede access to quality medical care by increasing the risk of misdiagnosis or mistreatment.¹⁵

Poverty

U.S. incomes are rising significantly overall, but most of this growth falls on the upper end of the income scale. Intensifying economic disparities in the United States¹⁶ are reflected within the diverse AAPI populations. “Model minority” status often overshadows dramatic poverty in particular ethnic communities:

- While AAPI families are more likely than white families to have a household income of more than \$75,000, they are also more likely than white families to have an income of less than \$25,000; and¹⁷
- Asian American seniors and children are more likely than average to be poor, according to Census 2000 data. While 0.6% of non-Hispanic white seniors live

below the poverty line, 12.3% of Asian American seniors are living in poverty. Additionally, 13.6% of Asian American children live in poverty, compared to 9.3% of non-Hispanic white children.¹⁸

Violence

For over 10 years, violent crime rates in the United States have been steadily decreasing, although within the past few years they have begun rising again.¹⁹ However, during this same period, communities of color, especially low-income communities, including AAPIs, have continued to face spikes in violent crimes:

- The number of hate crimes against AAPIs is on the rise across the nation, particularly after the attacks of 9/11. According to the Asian American Justice Center, the number of bias-motivated incidents targeting AAPIs, particularly South Asian Americans, doubled in the three-month period following 9/11;²⁰ and
- Each year, more than 4,000 AAPI women and children from across the country utilize a range of services provided by the Asian Women's Shelter (AWS), based in the San Francisco Bay Area. AWS is forced to turn away 75% of the battered women requesting shelter due to lack of space.²¹

Education

Achievement gaps remain for AAPIs in elementary and secondary schools. The "model minority" myth often masks the challenges facing AAPIs, particularly in certain ethnic communities, in educational achievement:

- Education attainment varies greatly by AAPI community. Census 2000 data reveal that 53.3% of Cambodians, 59.6% of Hmong, 49.6% of Lao and 38.1% of Vietnamese over 25 years of age have less than a high school education. By contrast, only 13.3% of Asian Indians, 12.7% of Filipinos, 8.9% of Japanese and 13.7% of Koreans over 25 years of age have less than a high school education;²² and

- The teaching force across the United States is largely white, female, monolingual and middle class. While AAPI students represent 4.4% of the student population, AAPI teachers represent only 2% of the nation's teachers. In New York City, Asian Americans comprise more than 10% of the student population but only 2.8% of the teachers.²³

Economic Development

Despite rapid economic growth since 2001, U.S. family incomes have continued to fall.²⁴ Many states turn to community economic development strategies to address disadvantaged communities' economic health. Low-income AAPI communities share common characteristics with low-income Latino and African American communities, and face unique language and cultural barriers, but they continue to be underrepresented in the community development field and research:²⁵

- A survey of AAPI community-based organizations engaged in economic development activities in distressed AAPI neighborhoods identified inadequate external funding and a lack of governmental support as key barriers to AAPI community economic development.²⁶
- Contrary to the common perception of immigrant neighborhoods as ethnic enclaves, results from this survey suggest that most workers in distressed AAPI neighborhoods are integrated into the regional economy and commute outside their immediate neighborhoods for work.²⁷

Immigration

Regardless of the ideological divide in the immigration debate, the United States, as a nation comprised of immigrants, has historically benefited tremendously from immigration. Still, immigrants to the country continue to face grave human rights challenges. AAPIs, though often invisible in the national immigration debate, represent a significant proportion of immigrants caught in the maelstrom of repressive government policies that criminalize immigrants:

- In 2004, 63% of immigrants from Asia came to the United States through

Continuing U.S. History of Discrimination Against Asian Americans and Pacific Islanders

As Helen Zia, author of *Asian American Dreams*, points out, “An Asian face still signals ‘foreigner’—especially at key patriotic moments.”¹ In addition to the continuing challenges that AAPI communities face overall, AAPIs must also face the challenges of being viewed as the perpetual “outsider” or “foreigner,” regardless of the number of generations of their families who have lived in the United States. The racial profiling and discrimination that accompany this perception are illustrated in the long history of discrimination against AAPIs in the United States:

- Violence, lynchings, discrimination against, and deportation of Chinese Americans in the 1800s;
- Immigration laws in the 1920s and 1930s banning Japanese, Korean and Filipino immigration;
- Use of the “Enemy Alien Act” in 1941 to detain over 120,000 Japanese Americans;
- The racist murder in 1982 of Vincent Chin, who was mistaken for Japanese American and scapegoated for the recession and loss of jobs in the 1980s. His murderers received only two years probation and a \$3,700 fine;
- The detention and mistreatment of Dr. Wen Ho Lee, who was accused of passing nuclear secrets to China in 1999. The FBI was unable to build a case against him and, after ruining his reputation and career, only charged him with mishandling classified documents;
- The threat of detention and deportation facing 1,500 Cambodian Americans and the current deportation of over 70 Cambodian Americans since the United States signed a Memorandum of Understanding with Cambodia in 2002; and
- Employment of the “Special Registration” program, in which more than 83,000 Arab, Muslim and South Asian non-citizens (teen and adult men) from “suspect countries” had to register with the Bureau of Immigration and Customs Enforcement, resulting in the initial detention of 2,747, 12% of whom were deported, with the threat of deportation facing another 13,000.

Sources:

- Asian-Nation: The Landscape of Asian America. www.asian-nation.org.
- Christi, M.A. et al. *America's Challenge: Domestic Security, Civil Liberties and National Unity after September 11*. Washington, DC: Migration Policy Institute, 2003.

1 Hong, Terry, “Collateral Damage: ‘Asian Americans On War & Peace.’” *AsianWeek*, 6 Sept. – 12 Sept., 2002.

the family-based or family-sponsored immigration system.²⁸ For this reason, AAPI families are detrimentally impacted by backlogs in immigration. Of the nearly 3.5 million individuals who are caught in the backlog, 1.5 million are from Asian countries. (For example, a U.S. citizen parent peti-

tioning for an unmarried adult child in the Philippines must wait 14 years before immigrating to the United States.);²⁹ and

- Despite difficulties in collecting data, it is estimated that approximately one million Asians in the United States are undocumented.³⁰

II. Invisibility or Opportunity?

Disparities in Foundation Giving to AAPI Communities

This report measures philanthropic giving to AAPIs against four key questions that address the funding gap; funding strategies; disaster funding; and diversity in foundation representation.

KEY QUESTION I

The AAPI population has grown to comprise 4.5% of the U.S. population, yet 2004 foundation funding to AAPIs represented just 0.4% of all U.S. foundation dollars,³¹ a slight increase from 0.2% between 1983 and 1990. Why does there continue to be such a disparity in philanthropic investments to AAPI communities?

Key Findings

- The nation's foundations devoted 0.4% of their total grant dollars to AAPI communities in 2004. During the 12 years before, the highest level ever reached was 0.6% of total grant dollars to AAPIs in 2002;³²
- The top 20 national foundations gave an average of 0.4% of their total grant dollars to AAPI communities between 1990 and 2002. Funding by these foundations to AAPIs reached an all-time high of 1.21% of total grant dollars in 2002;
- AAPI-led organizations received less than half of the top 20 national foundations' total grant dollars to AAPI communities, but more than 70% of the total grants, indicating that their grants, though more numerous, were signifi-

cantly smaller in size than those to non-AAPI-led organizations; and

- Non-AAPI-led organizations received 72% of the grant dollars from the largest grants (\$500,000 and above) to AAPI communities from the top 20 national foundations.

Summary

Foundation giving to AAPI communities has not kept pace with the growth of AAPI communities or with foundations' asset growth. These trends are mirrored in the top 20 national foundations' pattern of giving to AAPIs. Moreover, insufficient support for AAPI-led organizations raises questions about the long-term sustainability and voice of AAPI communities in the civic infrastructure of the nation.

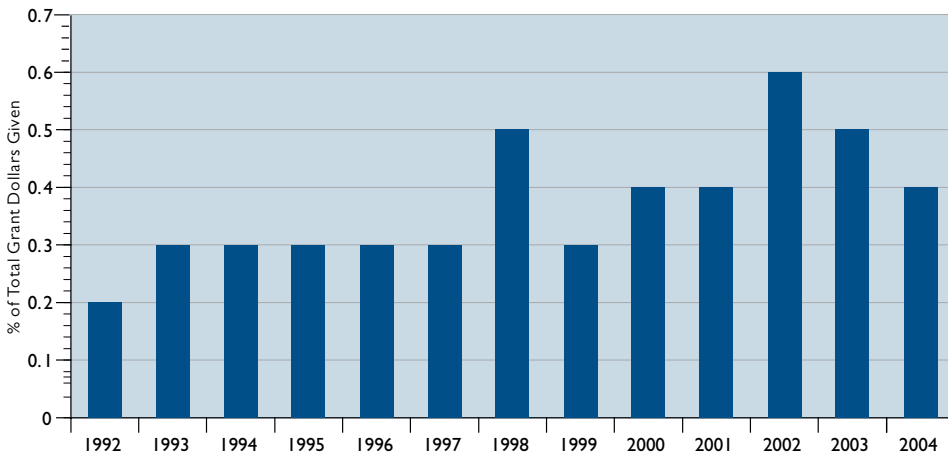
Demographic Shift

In the last decade, AAPIs have been one of the fastest-growing segments of the U.S. population, increasing by more than 70%. AAPIs now number over 12 million people and represent more than 4% of the total U.S. population. More than half of the AAPI population lives in three states:

- California;
- New York; and
- Hawaii.

One of the fastest-growing AAPI regions, however, is largely off the philanthropic radar. The South recorded a 110% growth in AAPI residents in 2000. That year saw more than 600,000 AAPIs residing in Texas,

Figure 1: Total Grant Dollars to AAPIs, All Foundations (1992–2004)



making this state the home of the nation's fourth-largest AAPI population.³³

As AAPI populations continue to boom, so do many of the serious problems confronting these communities, such as poverty. For example, as of 2000, 17.7% of Pacific Islanders were living in poverty, compared to the national average of 12.4%.³⁴ Furthermore, many of the challenges first identified in *Invisible and In Need* in 1992, such as limited access to health care services and racially-motivated violence, continue to hinder progress in AAPI communities.

Grantmaking Trends to AAPI Communities

Giving by the nation's 68,000 foundations reached a record high of \$31.8 billion in 2004, and the total assets of these foundations grew to \$510.5 billion. With this high level of giving and assets, foundations' total investment in AAPI communities over this time period is as surprising as it is disquieting. After a slight increase, topping out at 0.6% of all foundation dollars in 2002,³⁵ foundation grants to AAPI communities decreased to 0.4% of all dollars in 2004 (Figure 1).³⁶

Furthermore, AAPI communities re-

ceived only 0.7% of the number of grants awarded in 2004. Though low, this figure actually represents a steady increase in the number of grants going to AAPI communities since the early 1990s, when it was at 0.4%.³⁷

The report *Short Changed: Foundation Giving and Communities of Color*, by the Applied Research Center, states that, "As a proportion of total foundation giving, grants to communities of color fell from a peak of nearly 10% of all grants in 1998 to 7% in 2001," and claims that, "while giving to people of color has increased over recent years, it has not kept pace with overall increases in philanthropic support."³⁸ These statements ring true for AAPI communities. The share of total foundation funding for AAPI communities has fluctuated primarily under 1% and has not kept pace with either overall foundation giving increases or the AAPI population's growth and needs.

Top 20 National Foundations (1990 to 2002)

The top 20 national foundations analyzed for this study gave \$26.7 billion in total grant dollars between 1990 and 2002, but AAPI communities received just \$104.6

Figure 2: Share of Grant Dollars to AAPIs, Top 20 Foundations (1990–2002)

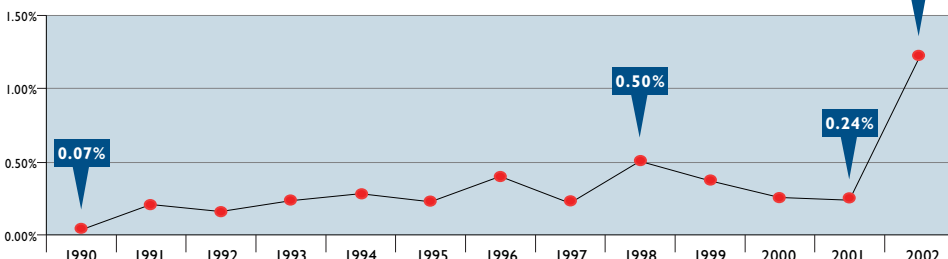


Table 1: Top 20 Foundations Ranked by Total Grant Dollars to AAPIs (1990-2002)

	FOUNDATION	Total Grant Dollars	Total Number of Grants	Total Grant Dollars for AAPIs	Total Number of Grants for AAPIs	Giving to AAPIs as % of Total Grant Dollars
1	The Robert Wood Johnson Foundation	\$ 3,279,907,226	8,428	\$ 36,828,365	59	1.12%
2	The Ford Foundation	\$ 5,087,115,335	23,145	\$ 19,934,825	114	0.39%
3	The Starr Foundation	\$ 1,166,724,101	4,401	\$ 10,693,375	26	0.92%
4	W. K. Kellogg Foundation	\$ 2,265,001,879	7,408	\$ 7,867,400	29	0.35%
5	The Rockefeller Foundation	\$ 1,231,832,095	9,636	\$ 6,580,975	100	0.53%
6	The Kresge Foundation	\$ 1,015,586,254	2,091	\$ 4,250,000	13	0.42%
7	The Harry and Jeanette Weinberg Foundation, Inc.	\$ 589,501,820	2,730	\$ 3,615,000	21	0.61%
8	Charles Stewart Mott Foundation	\$ 902,095,269	5,703	\$ 3,133,550	22	0.35%
9	Robert R. McCormick Tribune Foundation	\$ 643,890,251	9,778	\$ 2,497,878	68	0.39%
10	Carnegie Corporation of New York	\$ 724,246,120	3,221	\$ 2,450,000	18	0.34%
11	The David and Lucile Packard Foundation	\$ 2,819,587,206	9,396	\$ 2,117,025	25	0.08%
12	John D. and Catherine T. MacArthur Foundation	\$ 1,698,380,917	8,926	\$ 1,793,500	37	0.11%
13	John S. and James L. Knight Foundation	\$ 569,483,379	3,743	\$ 1,547,200	18	0.27%
14	The Annie E. Casey Foundation	\$ 639,275,500	5,200	\$ 560,905	12	0.09%
15	The Andrew W. Mellon Foundation	\$ 1,730,439,449	5,027	\$ 280,000	3	0.02%
16	W. M. Keck Foundation	\$ 661,211,712	747	\$ 250,000	2	0.04%
17	Ewing Marion Kauffman Foundation	\$ 360,522,836	2,162	\$ 169,500	4	0.05%
18	Alfred P. Sloan Foundation	\$ 479,983,598	2,199	\$ 59,970	2	0.01%
19	F.W. Olin Foundation, Inc.	\$ 251,793,264	72	\$ 0	0	0.00%
20	The Whitaker Foundation	\$ 570,653,770	1,969	\$ 0	0	0.00%
	TOTAL	\$ 26,687,231,981	115,982	\$ 104,629,468	573	0.39%

million, or 0.4%, of these funds. The year 2002 was the only time during this 13-year period when AAPIs broke the 1% mark and received 1.21% of total grant dollars (Figure 2), totaling \$37.6 million, from these 20 foundations.³⁹ It is important to note that the organizational data used in this research covers organizations serving many populations, including AAPI communities.

Given the documented inclination of marginalized AAPI community members to turn to AAPI-led organizations, funding not directed expressly to serve AAPI community members may not reach them proportionate to their size in a given community. Undoubtedly, AAPI community members do benefit from general, undirected grant dollars; however, no tracking exists to quantify its impact. The inclusion of AAPI communities within broader designations of 'communities served' may mask the total dollars and number of grants actually benefiting AAPI communities. A number of non-AAPI-led organizations count AAPIs as one of many communities of color benefiting from their services, and it is difficult to determine how much of these organization's limited

dollars are used to directly benefit AAPI communities.

Only two of the top 20 foundations allocated more than 1% of their total 2002 grants dollars to AAPI communities:

- Robert Wood Johnson Foundation: \$28 million from 39 grants (5.84% of total grant dollars to AAPI communities); and
- The Harry and Jeanette Weinberg Foundation, Inc.: \$1.7 million from six grants (1.71% of total grant dollars to AAPI communities).

Most of the 20 foundations in this sample gave to AAPI communities for at least eight of the 13 years analyzed, but only three foundations have given consistently to AAPI communities for all 13 years:⁴⁰

- John D. and Catherine T. MacArthur Foundation;
- Robert R. McCormick Tribune Foundation; and
- The Rockefeller Foundation.

The two foundations providing the largest amount of funding (based on total grant dollars) to AAPI communities over the 13-

year period were (Table 1):

- The Robert Wood Johnson Foundation (\$36.8 million, or 1.12% of total grant dollars).
- The Ford Foundation (\$19.9 million, or 0.39% of total grant dollars).

Total grant dollars from these two foundations contributed to over half (54.25%) of the total amount given to AAPIs over the 13-year period by the 20 foundations.

The two leading funders providing the largest number of grants to AAPI communities were (Table 2):

- The Ford Foundation (114 grants, or 0.39% of total number of grants given); and
- The Rockefeller Foundation (100 grants, or 0.53% of total number of grants given).

The total number of grants given by the top two foundations comprised over one-third (37.4%) of the total number of grants given to AAPIs over the 13-year period by the 20 foundations.

Grants to AAPI-led organizations⁴¹

Culturally-competent community-based organizations that represent the populations they serve are critical to any strategy aimed at strengthening disadvantaged communities. In AAPI communities, these formal and informal entities offer language capacity, cultural understanding and sensitivity; allay fears; and amplify community concerns in the impacted populace's own voice. These organizations are trusted by the communities they serve and represent principally because they are accountable and responsive to these communities' fundamental needs and concerns.

AAPI-led organizations are considered in this report as groups that provide services exclusively to AAPI communities. In analyzing foundation grants to these organizations, the research reveals trends about the extent to which grant dollars given to communities of color are intended to play an integral role in the visioning and implementation of solutions to community issues. These numbers give rise to questions about a deeper disparity in the field: What proportion of grantmaking

Table 2: Top 20 Foundations Ranked by Total Number of Grants to AAPIs (1990-2002)

	FOUNDATION	Total Grant Dollars	Total Number of Grants	Total Grant Dollars for AAPIs	Total Number of Grants for AAPIs	Giving to AAPIs as % of Total Grant Dollars
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	TOTAL	\$ 26,687,231,981	115,982	\$ 104,629,468	573	0.39 %

COMMUNITY STORIES:

National Korean American Service & Education Consortium (NAKASEC): Los Angeles, California

NAKASEC's story illustrates the potential of AAPI-led organizations to mobilize for powerful social change and to amplify their successes by allying with peer organizations, given the availability of long-term sustained support.

Founded in 1994 by three local community centers, the National Korean American Service & Education Consortium (NAKASEC) is committed to ensuring that Korean Americans can participate fully in the nation's civic infrastructure. It achieves this goal by working at six levels:

1. Education and research, focused on youth leadership and development;
2. Immigrants Rights Project, which incorporates grassroots organizing, coalition-building and issues promotion through the media to educate, mobilize and advocate for immigrant rights and reform;
3. Civil Rights Advocacy Program, which educates Korean Americans about civil rights history, issues and legislation;
4. Civic Engagement and Voter Empowerment, a program that has grown since 1996 and incorporates voter education, registration, mobilization, assistance, research and voter rights advocacy;
5. Social Services, the bedrock of NAKASEC's "Empowerment Model," which seeks to meet critical human needs, build trust in the community, keep current on issues/concerns facing the community and develop grassroots leadership; and
6. Culture, especially the "poongmul" (Korean percussion ensemble) to promote the Korean culture for cultural exchanges and continue to build identity and history in the community.

Much of this work is done at three local community centers located in Chicago, Los Angeles and Queens. These centers were originally formed in the early 1980s to meet the needs of the growing Korean American community, and were united through identity work and homeland politics and issues. Their focus changed in the 1990s after the civil unrest in Los Angeles, which Eun Sook Lee, Executive Director of NAKASEC, describes as a "wake up call to the community." Community members recognized the need to participate more fully in shaping policies that affected their lives. Since that time, NAKASEC has won substantial victories including achieving legislative victories such as the restoration of SSI and Food Stamps for immigrants; strengthening the community's understanding and work on civil and immigrant rights issues; deepening the organization's roots, trust and accountability in the community in order to provide an authentic voice for Korean Americans; and working on the regional and national level.

A major factor to NAKASEC's success has been its ability to develop strong coalition partnerships with other communities of color, Asian American and Pacific Islander populations, and immigrant groups. According to Lee, "The Korean American community comprises less than 1% of the population, therefore it is incumbent that they work together with other communities to build power for change." However, she is concerned that many funders and policy makers compare and contrast different communities of color and at worse force them to compete against each other, which often hurts these groups working together.

A second critical factor in NAKASEC's success has been its ability to develop strong multigenerational leadership. For example, Lee notes that many Korean American seniors have been very active in fighting for the rights of undocumented immigrants, including young people, though the majority are documented immigrants.

A central challenge the organization has faced and has witnessed across AAPI groups is that many foundations support immigrant rights but seem less willing to support immigrant leadership. Lee is concerned that by overlooking AAPI-led organizations' work on immigrant leadership, funders may not see the incredible potential in the community.

goes towards the empowerment of AAPIs as experts and leaders to confront problems in their own communities?

Of the \$104.6 million (and 573 grants) awarded to AAPI communities by the top 20 national foundations, AAPI-led organizations received slightly less funding (\$50.5 million) than non-AAPI-led groups (\$54.1 million). However, the vast majority (70.5%) of grants to AAPI communities

went to AAPI-led organizations, revealing that, on average, grants to AAPI-led organizations, though more numerous, were significantly smaller in dollar amount.

The 20 foundations' AAPI-focused grants went to 258 organizations, of which 131 (50.8%) were AAPI-led institutions. Most of the largest grants, however, went to non-AAPI led organizations. These numbers point to disparities not only in overall giving

to AAPI communities, but also to disparities in giving to AAPI-led organizations.

Notably, six of the 20 national foundations gave 100% of their AAPI contributions to AAPI-led organizations:

- The Kresge Foundation
- The Harry and Jeanette Weinberg Foundation, Inc.
- Robert R. McCormick Tribune Foundation
- The Annie E. Casey Foundation
- The Andrew W. Mellon Foundation
- W. M. Keck Foundation

The top two foundations in percentage of total grant dollars to AAPI-led organizations were:

- The Harry and Jeanette Weinberg Foundation, Inc.: 0.61% of total grant dollars, or \$3.6 million; and
- The Kresge Foundation: 0.42% of total grant dollars, or \$4.2 million.

The two foundations giving the largest numbers of grants to AAPI-led organizations were:

- The Harry and Jeanette Weinberg Foundation, Inc.: 0.77% of all grants given, or 21 grants; and
- The Rockefeller Foundation: 0.72% of all grants given, or 31 grants.

AAPI Grants by Grant Size

The majority of the top 20 national foundations gave grants above \$100,000 to AAPI communities (Table 3). The average grant size was \$182,600 and the median grant size was \$50,000. If the 25 grants of \$1 million and above are removed from the analysis, the average grant size falls to \$116,900.

Most grants to AAPI-led organizations were within the \$100,000-\$499,999 range. The average grant size in this range was \$226,500 and the median grant size was \$200,000. The majority of grants to non-AAPI-led organizations were also within the \$100,000-\$499,999 range, but the average grant size was slightly larger at \$227,200 and the median grant size was also higher at \$219,000.

The 47 grants to AAPI communities of \$500,000 or more totaled \$53.8 million, accounting for 8% of the grants in the sample but over half (51%) of foundation dollars.

However, only 15 of these 47 grants, totaling \$15.2 million (28% of all grant dollars in this range), went to AAPI-led organizations, primarily arts and culture groups, while 68% of the grants and 72% of the grant dollars in this upper range went to non-AAPI-led groups, mostly hospitals and universities. The two largest grants made to AAPI-led institutions, both health organizations, during the 13 years were for \$2.5 million each from the Robert Wood Johnson Foundation and the W.K. Kellogg Foundation.

On the other end of the spectrum, the majority of the 107 small grants in the \$10,000-\$19,999 range were awarded to AAPI-led organizations. The McCormick Foundation awarded the largest number of grants in this range.

While AAPI communities benefited from significant grants (\$100,000 and above), most of those funds went to support non-AAPI-led institutions. Very large grants (\$500,000 and above) went to non-AAPI-led organizations almost exclusively. Community-based organizations, especially those run by and for the population being served, offer familiarity with their communities, access to informal and formal networks, provide culturally appropriate and language-accessible services, and demonstrate deep commitment to the well-being of the community. AAPI-led organizations fail to thrive, and often perish, without sufficient funding. The lower level of investment in AAPI-led institutions by this group of top national foundations raises serious questions about the infrastructure and capacity of these groups to support their communities over the long term.

KEY QUESTION 2

Our analysis of the top 20 national foundations' giving over a 13-year period revealed that there has been no overarching investment strategy in foundation giving to AAPI communities, even though significant social and economic challenges continue to hinder AAPI community progress. Is there a reason for foundations' lack of strategic focus in funding AAPI communities? What are philanthropy's priorities for AAPI-related funding?

Table 3: Size of Grants to AAPIs, Top 20 Foundations (1990–2002)

Grant Size	Number
\$ 10K – \$ 19K	107
\$ 20K – \$ 49K	131
\$ 50K – \$ 99K	119
\$ 100K – \$ 499K	169
\$ 500K – \$ 999K	22
\$ 1M +	25

Table 4: AAPI Population by Region (2000) and Giving by the Top 20 National Foundations to AAPI Communities (1990–2002)

Region	AAPI Population	Total Grant Dollars	Total Grants
Midwest	1,425,940	\$ 8.6 M	97
Northeast	2,419,367	\$ 25.4 M	133
South	2,357,223	\$ 24.2 M	78
West	6,295,680	\$ 46.5 M	265

Key Findings

- The 20 foundations' funding to AAPI communities reaches the largest East Coast and West Coast population centers—New York and California—but little goes to other states with large AAPI populations, including Hawaii, New Jersey and Texas;
- The top 20 foundations' primary support for AAPI communities between 1990 and 2002 was program development funding, which comprised 43% of all grant dollars. General operating support followed at a distant second, with 15% of all grant dollars; and
- Between 1990 and 2002, the largest amount of the 20 foundations' total grant dollars to AAPI communities went to higher education, followed by health and arts/culture/media. Arts groups received the largest number of AAPI-focused grants.

Summary

On the whole, support for AAPI communities does not correlate directly to challenges facing the growing AAPI population, increased capacity-building requirements of AAPI-serving organizations or priority needs set by the communities.

As the introduction to this study indicates, national foundations have often employed long-term investment strategies when addressing or attempting to eradicate a serious societal problem. This section of the report explores trends that might in-

form investment strategies for supporting AAPI communities based on:

- Regional differences – Some regions of the United States are experiencing significant growth in AAPI populations. Are large national foundations drawing on information about regional changes and growth trends when they invest in AAPI communities?
- Types of support – Many foundations have come to recognize that long-term general operating support is critical for ensuring the longevity of nonprofit organizations and increasing their capacity to work in communities. What types of support are national foundations giving to AAPI communities, especially AAPI-led organizations?
- Fields of work – Many types of nonprofit organizations are responsible for the lasting health and growth of communities. Do national foundations use an AAPI-lens when funding nonprofits for efforts to impact critical social and economic trends? What areas of work that benefit AAPI communities are being sustained by these national funders?

Regional Focus

Mapping the top 20 national foundations' grants against AAPI demographics across the United States (Figure 5) reveals that during the 13-year period these foundations gave the bulk of their grant dollars to the two states with the largest AAPI popula-

Figure 3: Giving to AAPIs by the Top 20 National Foundations by Total Grant Dollars (1990–2002)

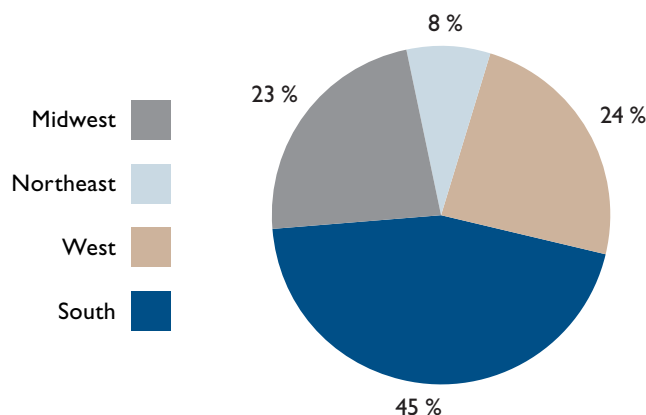


Figure 4: Giving to AAPIs by Region: Number of Grants (1990–2002)

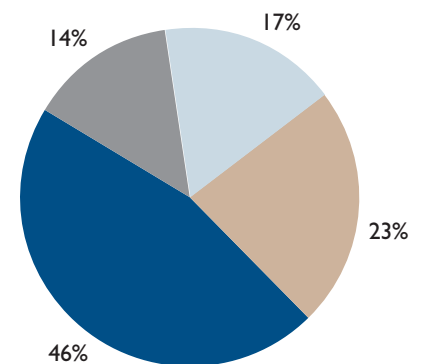
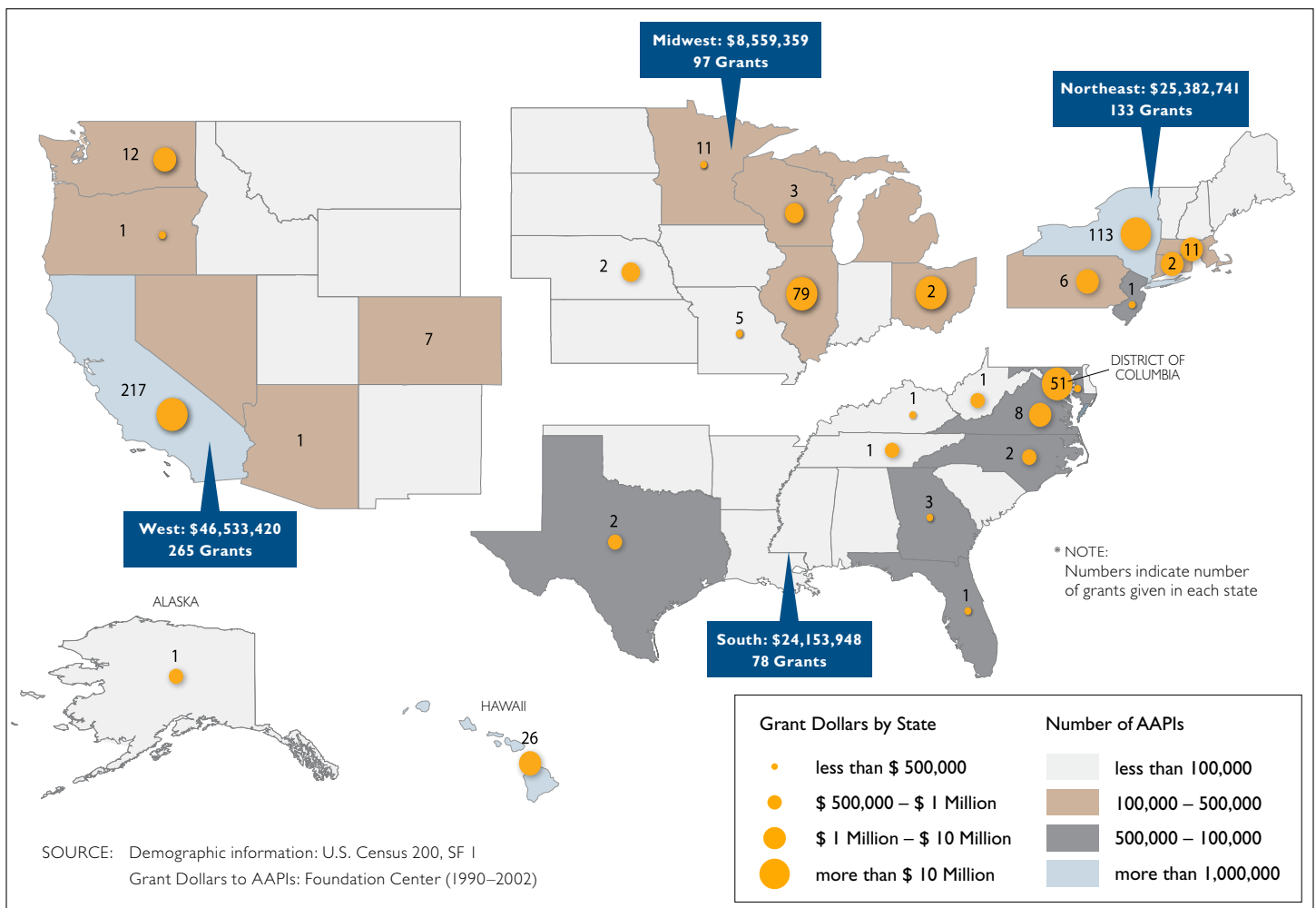


Figure 5: AAPI Population by State (2000) & Giving to AAPI Communities by Top 20 National Foundations (1990-2002)



tions—New York and California. But looking beyond this funding, AAPI population growth does not appear to be a consistent factor in these foundations' regional funding strategies. In particular, AAPI populations are growing in the Midwest and South and face growing needs; however these were not strategic areas of regional focus for the top 20 national foundations.

The Midwest

The Midwest, though experiencing a 86.5% growth in its AAPI population since 1990,⁴² ranked significantly lower than other regions in respect to the amount of grant funding from the top 20 foundations. Illinois, which has the 6th largest AAPI population in the nation,⁴³ received 79 grants, or 14% of all grants given to AAPI communities over the 13-year period, making it the third-largest recipient in terms of number of grants (Figure 5). However, these 79 grants represented only \$4.7 million, revealing that the grants to Illinois were considerably

smaller in size than the grants awarded to other regions. Similarly, Minnesota, a state where the AAPI population increased by 113%,⁴⁴ received only 11 grants totaling just \$486,750. This leads to questions about the impact of grants to AAPI communities in the Midwest region.

The South

Of the grants given to the South, where the AAPI population increased by 110%,⁴⁵ the bulk went to Washington, D.C. (\$14.2 million, 51 grants). However, this does not necessarily imply that these grant dollars served AAPI communities in the D.C. metropolitan region or anywhere else in the South, since 42 of the 51 grants to Washington, D.C. were channeled to national organizations. Fewer than half of the grant dollars (\$9.96 million) and a little over one-third of the grants (34.6%, or 27 of the 78 grants) to the South went to organizations based outside of Washington, D.C.

Other demographic and funding trends are illustrated in Figure 5:

- Hawaii, the state with the third-largest AAPI population (1.1 million), comprising 91.6% of the state's total population, received only \$5.3 million and 26 grants over the 13-year period;
- Texas, with a growing population of 687,252 AAPIs, received just two grants amounting to \$1.2 million;
- New Jersey, with more than half a million AAPIs (541,429), was the state that received the lowest grant amount to AAPIs of any state: just one grant of \$30,000;
- Washington, with close to half a million AAPIs (438,502), received just 12 grants amounting to \$2.6 million; and
- Other states with smaller AAPI populations received varying amounts of grant dollars, with no consistent pattern.

Types of Support

The Ford Foundation-commissioned 2000 study *Asian American Women: Issues, Concerns and Responsive Human and Civil Rights Advocacy*, found that a lack of access to resources results in limited organizational

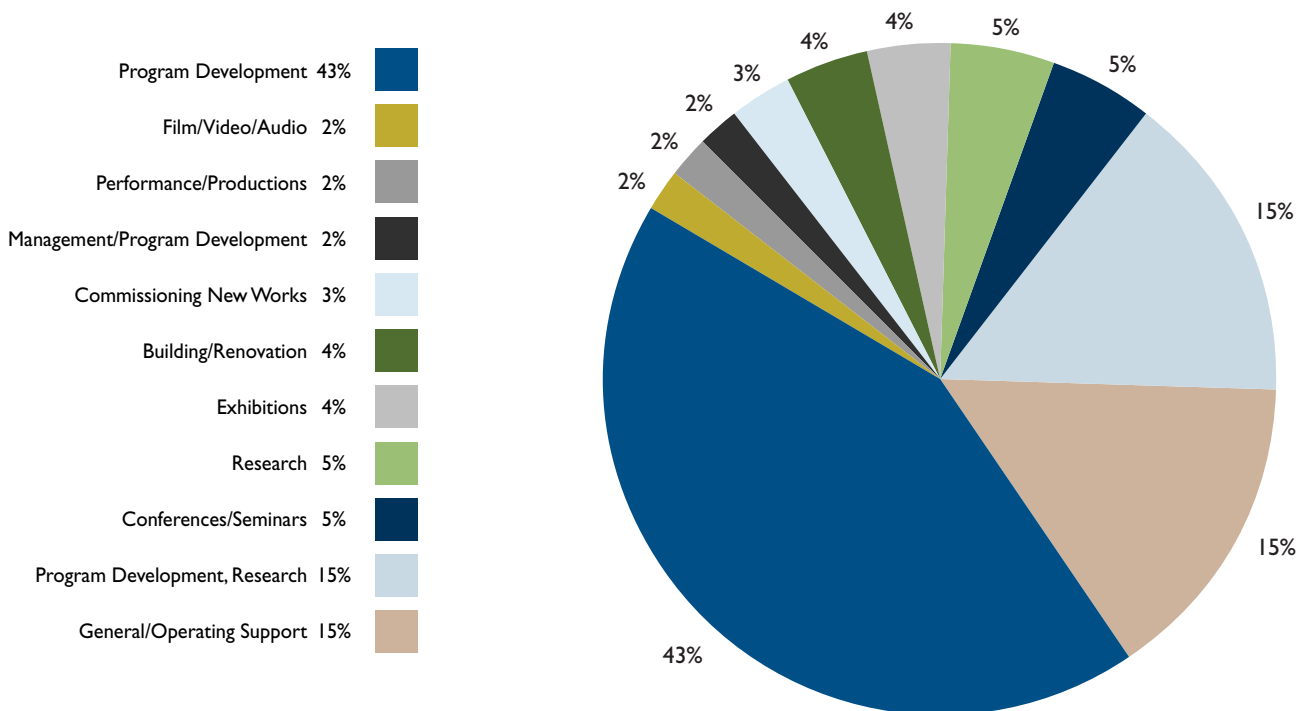
capacity among most AAPI-led community organizations.

The 20 national foundations' primary type of support to AAPI communities between 1990 and 2002 was program development funding, which comprised 43% of all grant dollars, followed by general operating support, which was a distant second with 15% of all grant dollars (Figure 6). These figures are consistent with overall trends for the field.

In 2002, programmatic funding was the primary type of support given by all foundations, and general operating support had grown slowly to represent 18.8% of all grant funding. The Foundation Center attributes this upward trend in general support funding to: (1) A response to the decline in government support for non-profit organizations; and (2) A recognition by foundations of the capacity-building needs of nonprofits.⁴⁶

General operating support, which is defined by the Foundation Center as "funds for general purpose or work of an organization, and funds to cover day-to-day personnel, administration and other expenses for an existing program," is critical for the overall

Figure 6: Grants to AAPIs by Type of Support, Top 20 Foundations (1990–2002)



COMMUNITY STORIES:

The Women's Association of Hmong and Lao (WAHL) –St. Paul, Minnesota

WAHL's story signifies both the willingness of AAPI service-based organizations to engage in broader social change advocacy and the difficulty in sustaining funding for AAPI-led community-based organizations.

A significant number of Hmong men, because of their support and work with the CIA during the Vietnam War, were killed during and after the war, leaving behind many war widows. The Women's Association of Hmong and Lao (WAHL) was founded in 1979 by a group of young Hmong women who had arrived in the United States as refugees in 1975. The organization was originally established to help older Hmong widows access needed social services in their new homeland.

As the organization grew from a volunteer-run effort into a nonprofit organization with staff, its work broadened from the provision and management of social services for the elderly to a range of community programs. These new areas of work included welfare-to-work programs, a women's sewing cooperative, citizenship classes, and transportation and translation services. The group's most controversial areas of work were its programs developed to address issues of domestic violence, sexual assault and teen pregnancy.

At the height of its success, WAHL had a budget of over \$1 million and a staff of 20. The organization's greatest success, according to Bo Thao, former Executive Director of WAHL, was developing programs that reflected the changes facing the community, especially designing programs and services that addressed the changing needs of women and girls. WAHL's greatest challenge, according to Thao, was that the organization became "pigeon-holed" as an ethnic and cultural community service provider and was unable to gain support for more policy/advocacy work.

WAHL faced two additional disconnects with many of its foundation and government funders. One gap existed between the type of programming the community needed and requested and the funders' own directives. For example, one funder offered a grant for WAHL's domestic violence program, but restricted the support only to survivors of domestic violence. When WAHL pushed back and requested that use of the funds be broadened to encompass not only survivor services but also community services education, the funder was inflexible and WAHL returned the money.

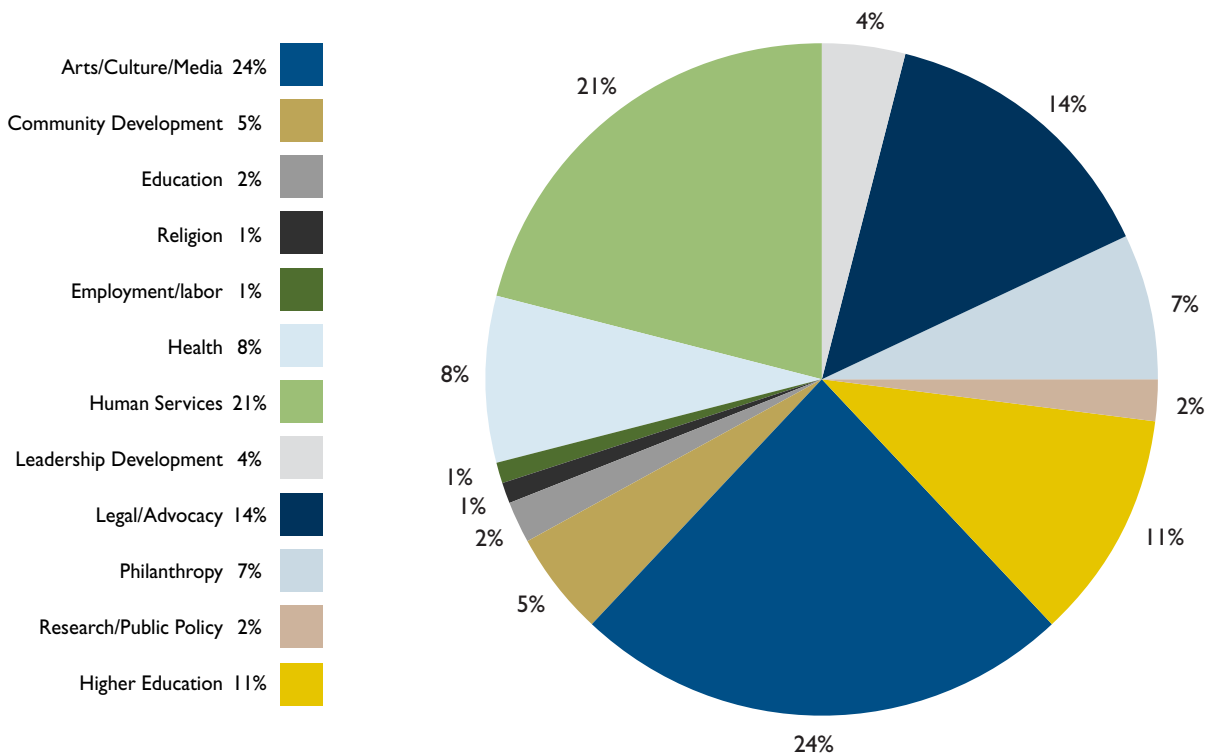
A second disconnect reflected the shortage of funding for operating support and led to the demise of the organization in 2005. Though the board and staff recognized a need to build WAHL's own internal capacity and infrastructures to operate its programs, they were often unsuccessful in securing operating support, and the majority of its funding was for program staff and direct services. Ultimately, WAHL found itself unable to develop appropriate infrastructures and systems to support its operations, and transferred many of its social services to other Hmong organizations.

The organization's ground-breaking gender-based work, including domestic violence and sexual assault services, were never taken in by these groups and ceased to exist when WAHL closed its doors. Thao reflected on the end of this vital community institution by pointing out that, "Foundations talk a lot about sustainability but are not really willing to hear about organizational challenges. Program survival is quite different from organizational survival. Though WAHL was the only women's organization that provided programming that addressed the needs of some of the community's most fragile members; we were ultimately unsuccessful in sustaining themselves."

health and sustainability of an organization. It provides resources to meet basic organizational needs and allows for flexibility to respond to changing conditions.⁴⁷ For example, core operating support can provide needed resources for the creation of new programs, expansion of current programs and hiring of critical staff. Some foundations have come to recognize the value of general operating support, such as The California Wellness Foundation, which asserts that, "...valuable work accomplished by nonprofit organizations is rooted in the ability to meet basic organizational needs."⁴⁸

Despite the gradual growth in general operating support, the lack of sufficient general operating dollars remains a key concern in the nonprofit sector, as it has for many years. AAPI-led organizations are no exception, and the data in this report show that these organizations have had limited success in demonstrating the need for increased general support resources so that they can strengthen their internal infrastructure and thus become more effective.

Figure 7: Total Number of AAPI-Focused Grants by Fields of Work, Top 20 Foundations (1990–2002)



Fields of Work/Subject Areas

Historically, education has received the largest share of all foundation grants and grant dollars, followed by health and human services. According to the National Committee for Responsive Philanthropy's report on social justice philanthropy, the majority of philanthropic dollars goes to higher education institutions, large non-profit hospitals and cultural institutions such as symphonies and large museums.⁴⁹

An analysis of the top 20 national foundations reveals a similar pattern in their AAPI funding, with significant dollars supporting large arts institutions, such as museums, or funding research and university departments in the name of serving AAPI communities.

As Figure 7 reveals, the three fields of work that received the highest total grant dollars from the 20 foundations supporting AAPI communities were:

1. Higher Education
2. Health
3. Arts/Culture/Media

Of these categories, higher education received the greatest level of support with

\$25.6 million from 63 grants, many of them for significant amounts.

The three fields of work receiving the largest number of grants to benefit AAPI communities were (Table 5):

1. Arts/Culture/Media
2. Legal/Advocacy
3. Human Services

Arts/culture/media received 136 AAPI-focused grants totaling \$15.4 million. Of these grants, \$11.1 million was targeted to AAPI-led organizations, although a majority of these grants were for small amounts.

The significantly varying levels of both AAPI-focused grant dollars and number of grants (Tables 5 & 6), even in the top three subject areas/fields of work, indicates an absence of explicit funding strategies to reach AAPI communities.

Vital funding to higher education, health and arts/culture/media organizations for AAPI communities should not supplant support for social justice strategies such as community organizing and economic development.

Table 5: Three Fields of Work Receiving the Most Total Grant Dollars

	Arts/Culture/Media		Health		Higher Education	
	Amount	# of Grants	Amount	# of Grants	Amount	# of Grants
1990	\$ 110,500	6	\$ 0	0	\$ 0	0
1991	\$ 115,800	4	\$ 1,600,000	2	\$ 187,500	2
1992	\$ 598,375	7	\$ 350,000	2	\$ 275,000	4
1993	\$ 515,000	12	\$ 98,860	1	\$ 632,600	3
1994	\$ 1,480,118	10	\$ 702,250	3	\$ 124,725	3
1995	\$ 705,750	8	\$ 1,020,000	2	\$ 0	0
1996	\$ 393,000	8	\$ 558,000	2	\$ 1,975,570	12
1997	\$ 1,430,000	12	\$ 75,067	1	\$ 20,000	1
1998	\$ 4,122,280	14	\$ 4,358,192	6	\$ 575,000	2
1999	\$ 692,700	11	\$ 5,725,000	4	\$ 171,750	3
2000	\$ 2,983,375	13	\$ 462,500	3	\$ 1,243,704	6
2001	\$ 896,000	13	\$ 2,909,900	7	\$ 2,205,338	7
2002	\$ 1,364,767	18	\$ 6,988,435	13	\$ 18,191,728	20
TOTAL	\$ 15,407,665	136	\$ 24,848,204	46	\$ 25,602,915	63

KEY QUESTION 3

After 9/11 and Hurricanes Katrina and Rita, AAPI communities were adversely impacted in a wide range of areas, including health, civil rights and employment. During these times, they turned to trusted, culturally-competent service providers within the community who could speak their language and had expertise in their particular needs. However, foundation investments to AAPI-led organizations, especially during times of national crisis, do not appear to have kept pace with community needs. Have issues of cultural competency been critically analyzed and incorporated in foundations' relief and recovery funding strategies?

Key Findings

- For AAPI communities, culturally-competent services are particularly critical to service delivery during times of national crisis. AAPI communities turn to those who can speak their language and have community-based expertise;
- After September 11, giving by the top 20 national foundations increased to AAPI communities overall, but few of these grants were explicitly designated as funding in response to 9/11. Out of the \$37.6 million given to AAPI communities in 2002, only \$2.2 million was identified as 9/11-related funding. A majority of these 9/11-designated funds

Table 6: Three Fields of Work Receiving the Most Number of Grants

	Arts/Culture/Media		Human Services		Legal/Advocacy	
	Amount	# of Grants	Amount	# of Grants	Amount	# of Grants
1990	\$ 110,500	6	\$ 225,000	9	\$ 0	0
1991	\$ 115,800	4	\$ 415,000	6	\$ 170,000	1
1992	\$ 598,375	7	\$ 150,000	5	\$ 464,953	5
1993	\$ 515,000	12	\$ 189,600	10	\$ 830,000	10
1994	\$ 1,480,118	10	\$ 76,823	6	\$ 409,800	7
1995	\$ 705,750	8	\$ 122,688	7	\$ 650,000	5
1996	\$ 393,000	8	\$ 180,000	8	\$ 1,070,000	6
1997	\$ 1,430,000	12	\$ 403,000	9	\$ 975,000	5
1998	\$ 4,122,280	14	\$ 92,000	6	\$ 912,500	5
1999	\$ 692,700	11	\$ 482,259	10	\$ 1,238,825	9
2000	\$ 2,983,375	13	\$ 790,000	8	\$ 1,540,000	6
2001	\$ 896,000	13	\$ 699,608	13	\$ 1,368,550	9
2002	\$ 1,364,767	18	\$ 4,665,760	23	\$ 2,825,000	14
TOTAL	\$ 15,407,665	136	\$ 8,491,738	120	\$ 12,454,628	82

were given to AAPI-led organizations, but constituted just 5% of this \$37.6 million; and

- In order to provide culturally-competent services following Hurricanes Katrina/Rita, particularly to the Vietnamese population in the Gulf Coast, many smaller local AAPI-led organizations often stepped in to fill essential disaster recovery and relief needs where larger, more resourced organizations could not. These organizations have reported ongoing struggles to access funding.

Summary

AAPI communities turn to trusted, culturally-competent service providers, especially during times of national crisis, yet national foundations seem to have directed little support to AAPI-led organizations after 9/11 and Hurricanes Katrina and Rita. This leads to more questions than answers.

PERIODS OF CRISIS

September 11

The attacks of 9/11 had a devastating impact on AAPI communities. Over 235 Asian Americans lost their lives in the attacks,⁵¹ and over 750 incidents of hate violence were reported against Arabs, Muslims and South Asians after the attacks.⁵² Hardest hit was New York's Chinatown, where businesses suffered severe losses, with over 60 garment factories closing, 60% of the garment workers becoming unemployed and 30% of restaurant facing underemployment one year after the events. Moreover, as the quotation above accurately describes, during times of crisis AAPI communities often turn to trusted service providers within the community who speak their language and have expertise in their particular needs.

According to a study by the Asian American Federation of New York that focused on utilization of health care services in Chinatown after 9/11, researchers found that among the most important factors leading to utilization of services was that a "trusted" person was the source of information about a program.⁵³ Most often this "trusted" source was a person or institution within the community. Thus, community-based organizations were key to overcoming the

wariness of participants in the September 11th Fund's Health Care Program, particularly for those concerned about their undocumented immigration status. Even though culturally-competent services are important for AAPI communities all of the time, they become critical to service delivery during times of national crisis.

However, funding to AAPI-led⁵⁴ organizations has not always kept pace with this particular need. After 9/11, private donors gave \$2.8 billion for recovery and rebuilding efforts and to support impacted communities, with \$1 billion of this funding coming from foundations and corporations.⁵⁵ Large foundations played a key role in providing this vital funding. The 30 foundations with assets of \$1 billion or more provided 66% of all post-9/11 foundation giving (\$224 million).⁵⁶ An analysis of the top 20 national foundations shows that 2002 was their biggest grantmaking year for AAPI communities, with total grant dollars to AAPI communities surpassing the 1% mark (1.21%).

Deeper analysis of funding by the top 20 national foundations reveals that few of these grants were designated explicitly in response to 9/11. Out of the \$37.6 million that these foundations gave to AAPI communities in 2002, only \$2.2 million was identified as 9/11-related funding, comprising only 18 of the 108 grants given to the community that year. Although the majority of these 9/11-designated funds were given to AAPI-led organizations, they constituted just 5% of the \$37.6 million to AAPI communities.

Hurricanes Katrina and Rita

Since the examination of giving by the top 20 national foundations spans 13 years, from 1990 to 2002, it does not encompass funding after Hurricanes Katrina and Rita in 2005. However, research on general funding after the disaster points to the absence of funding for culturally-competent services within AAPI communities.

Over 6,000 Asian Americans were negatively impacted by Hurricane Rita, facing food insecurity, homelessness and unemployment. Louisiana had been the home to over 60,000 Asian Americans

"...in times of need and crisis, Asian Americans, like in so many communities, typically turn first to their internal community groups where there is a sense of familiarity, where the same language is spoken and where similar cultural values and traditions are shared, and thus, some trust."

—from An Informal Report: *Current Challenges Faced by Asian Americans and Hurricane Katrina*
by Juliet Choi⁵⁰

COMMUNITY STORIES:

Asian Counseling and Referral Services (ACRS) –Seattle, Washington

ACRS' story reveals that long-term, sustained support allows for strong infrastructures and complex services that can be mobilized at a moment's notice in times of crisis or disaster.

"To walk into a waiting room and hear over ten languages being spoken—until you experience that, you may not be able to fully appreciate the complexity of providing services to these communities," says Jocelyn Lui, Projects Manager at Asian Counseling and Referral Service (ACRS).

As a nationally recognized non-profit organization, ACRS offers a broad array of human services and behavioral health programs to Asian Americans and Pacific Islanders in King County, Washington. With over 170 largely bilingual, bicultural staff speaking close to 30 languages and dialects, and serving over 19,000 individuals annually, ACRS has a foundation in cultural competence at the heart of its service model. Each client, as appropriate, is matched with a case worker who not only has the clinical and service experience needed, but also speaks the same language and has shared cultural experiences. ACRS staff are trained to integrate culturally based methods of treatment and service delivery. As Lui articulates, "One size doesn't fit all in creating services. When people come to us, they are already in an extremely vulnerable place, so the more welcoming we can be, the fewer barriers people have to actually getting in the door."

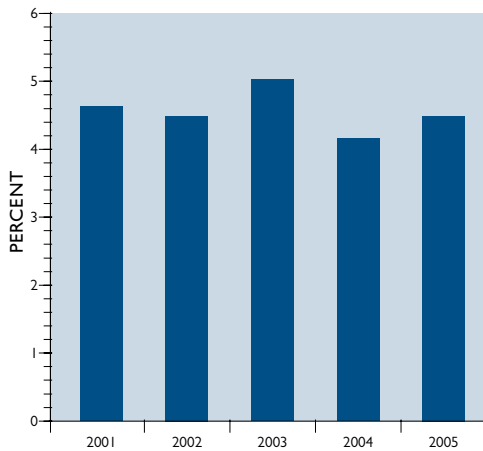
ACRS' work does not stop at service provision. The organization has made the linkage between social justice and social service in its mission and work. In addition to its provision of culturally competent services, ACRS also addresses problems and inequities on a systemic level to improve the lives of whole communities, working with other communities of color through its civic engagement, advocacy and community mobilization work. In the wake of the 1996 welfare reform legislation which barred vulnerable immigrants and refugees from public benefits, the organization mobilized an all volunteer effort to help naturalize immigrants and refugees. Many of those impacted were the most vulnerable of clients—elders, those with low incomes, and those living with disabilities, who were unable to access traditional citizenship classes or services because of cost, learning challenges or limited English speaking abilities. In the early years, the volunteer effort helped hundreds to become citizens. The naturalization program became a formal program in 1997 and ACRS has continued to be one of the largest providers in the state. On a policy level, this work led to the first Asian Pacific American Legislative Day, mobilizing over 2,500 people of all generations in the state capitol, to demand that the state create a naturalization program, broaden food stamp access and allow immigrants and refugees to access key safety net programs that could help replace the loss of federal services. APA Legislative day typically involves the collaboration of over 100 organizations and ACRS continues to coordinate this annual organizing event

ACRS Executive Director Diane Narasaki notes that just as one size doesn't fit all in service provision, one size doesn't fit all in social justice organizing. Both must be culturally competent and linguistically accessible to be successful, and both involve greater complexity than mainstream service and organizing models. Ultimately, however, community empowerment and equal access to services demand cultural competence and linguistic accessibility in our multicultural nation.

Serving the over twenty Asian American/Pacific Islander communities in King County has a multitude of complexities. The organization often finds that because of the sensitive nature of the services that they provide in mental health, chemical dependency and others, providers often face a level of stigma within different AAPI communities. This is work that requires an approach that is culturally balanced and holistic, using the resources and strength of these communities to educate and outreach to community leaders and members.

It has taken many years for ACRS to gain the recognition of national foundations and federal dollars, and the organization cites support of the Ford Foundation and Robert Wood Johnson Foundation as helping the organization begin to build these relationships. Lui cites the "model minority" myth and a lack of understanding about the diversity of AAPI communities as being a continuing challenge for all AAPI groups to receive funding commensurate to community need. "AAPI ethnic communities have a wide range of issues, and funders and policy makers underestimate the problems and costs of providing services to such a diverse community."

Figure 8: Percentage of AAPI Foundation Staff (2001-2005)



before Hurricane Katrina struck. Most of the AAPI communities, which included a significant number of immigrants and refugees, were already challenged by language and cultural barriers prior to the disaster.⁵⁷

In response to Hurricanes Katrina and Rita, private donors gave \$5.3 billion for relief and recovery efforts, with foundation and corporate giving accounting for \$577.1 million of this amount.⁵⁸ The 24 foundations with assets of \$1 billion or more provided 77% of all independent foundation giving for the Gulf Coast response (\$134.6 million).⁵⁹ The American Red Cross was the largest named recipient of contributions from foundation and corporate donors, receiving \$188.4 million, or 32.7%, of this support.⁶⁰ This trend is reflective of giving trends after 9/11, when foundations and corporations gave \$150 million to the American Red Cross Liberty Disaster Relief Fund.⁶¹ However, the Government Accounting Office and others have highlighted concerns with this organization, such as a lack of capacity and inflexible regulations, noting that smaller local organizations often stepped in to fill essential disaster recovery and relief needs.⁶²

Vietnamese communities were among the communities of color in the region that experienced this lack of capacity firsthand. Comprising approximately 36,000 people in the region, according to the 2000 Census, Vietnamese Americans faced enormous language barriers in accessing services after the disaster, in addition to all of the other problems they encountered due to the hurricane. However, neither the Red Cross nor the Federal Emergency Management Agency had enough permanent Vietnamese staff to advise and provide services for the Vietnamese community in the Gulf Coast region. Culturally-competent community-based organizations stepped in to fill these large gaps in access to services. This placed a disproportionate burden on organizations such as the National Alliance of Vietnamese American Service Agencies, Boat People SOS, and other Vietnamese-centric providers, which were not necessarily compensated proportionately for their work and have reported ongoing struggles to access funding.⁶³

The top 20 national funders analyzed in this study were critical disaster relief funders, providing the bulk of relief funds after 9/11 and Hurricanes Katrina and Rita and playing a crucial role in setting the trends, priorities and national strategy for disaster response. Although in-depth research is required to examine the intersection of cultural competency and funding trends during periods of crisis, the examples described above reveal a potential problem and pose a critical question for the philanthropy field. Foundations should consider multiple strategies when responding to national crises or disasters including supporting more culturally competent organizations and providing needed resources that go beyond immediate relief, such as legal and housing assistance. Moreover, AAPI organizations that have stronger and more developed infrastructures are better prepared to respond in crisis situations. Therefore, it is imperative to build and sustain the capacity of AAPI-led organizations prior to crises, on an ongoing basis.

KEY QUESTION 4

Since the publication of *Invisible and In Need* in 1992, AAPI foundation staff has increased from 1% to 4.5% of all foundation staff, although this growth has not been consistent. Representation of AAPIs on foundation boards has also grown slowly but steadily during this time. Is growth in AAPI foundation staff and board members sufficient to increase philanthropic investments to AAPI communities, or are additional strategies needed?

Key Findings

- The number of AAPI foundation staff has increased from less than 1% to 4.5% of all foundation staff since 1990, mirroring the overall growth of AAPIs in the U.S. population;
- Between 2000 and 2006, AAPI representation in the programmatic and executive positions of foundations has increased, although this growth has varied year by year. AAPI staff in administrative positions declined from 13.7% of all foundation staff in 2000 to 9.8% in 2006;

Table 7: Percent and Number of AAPI Staff for Certain Positions (2000-2006)

TYPE OF STAFF	2000		2001		2002		2003		2004		2005		2006		TOTAL
	%	Number	%	Number	%	Number	%	Number	%	Number	%	Number	%	Number	
ADMINISTRATIVE	13.7	28	13.2	27	14.7	30	15.2	31	11.3	23	22.1	45	9.8	20	204
PROGRAM	9.9	86	13.7	119	16.2	141	15.4	134	13.4	117	13.1	114	18.4	160	871
EXECUTIVE	6.6	4	9.8	6	14.8	9	18.0	11	16.4	10	13.1	8	21.3	13	61

Source: Council on Foundations, Grantmakers Salary and Benefits Report databases.

Note: Administrative staff includes administrative assistant, secretary, data entry associate/clerk, clerk, and receptionist. Program staff includes vice president (program), program director, senior program officer, program officer, program associate, and program assistant. Executive staff includes chief executive officer/president, associate director/executive vice president, and vice president (administration).

- There does not appear to be a direct correlation between AAPI foundation staffing and foundation funding to AAPI communities, since some foundations with significant funding to AAPI communities had no AAPI staff. However, in interviews conducted with AAPI chapter co-chairs and members for this report, some interviewees agreed that increased AAPI representation in their foundations has led to stronger relationships with, and increased funding to, AAPI communities; and
- AAPIs experienced a slow but steady growth in foundation board representation between 1994 and 2004, growing from 19.6% to 22.9% of all foundation board members during that time period.

Summary

Despite commendable growth in AAPI staff and board representation, funding for AAPI communities has not yet increased overall. Although representation is one essential component of a broader strategy for foundations, the report also recommends an emphasis on ethnic diversity, lived experience, cultural competency and a substantial deepening of foundations' institutional knowledge and engagement of AAPI populations.

Foundation Staffing and Board Membership

Increasing representation by AAPIs on the staff (Figure 8) and boards of foundations has not resulted in greater funding to AAPI communities. The static overall level of funding to AAPI communities indicates that staff diversity is just one critical component in creating more inclusive philanthropic institutions.

Data from the Council on Foundations reveal that the number of AAPI foundation staff has increased from less than 1% to 4.5% of all foundation staff since 1990. It is clear that between 2000 and 2006, AAPI representation in the programmatic and executive positions of foundations has increased, although this growth has not been consistent from year to year (Table 7). For example, AAPI programmatic staff grew to 16.2% of all foundation staff in 2002, dropped to 13.1% in 2005, and rebounded in 2006 to 18.4%, which was the highest-ever percentage of AAPI program staff in the field.

The number of AAPIs on foundation boards has been fairly consistent over the years (Table 8). The percentage of foundation board members who were Asian American or Pacific Islander showed a slow but steady growth between 1994 and 2004, from 19.6% to 22.9%.

Table 8: Percent and Number of AAPI Board Members by Gender (1994–2004)

Gender of Staff	1994		1997		2000		2002		2004		TOTAL
	%	Number	%	Number	%	Number	%	Number	%	Number	
MALE	23.0	67	17.5	51	16.5	48	18.9	55	24.1	70	291
FEMALE	14.9	32	16.3	35	24.2	52	23.3	50	21.4	46	215
ALL	19.6	99	17.0	86	19.8	100	20.8	105	22.9	116	506

Source: Council on Foundations, Foundation Management Series databases.

Based on the available staffing data for the top 20 national foundations, there does not appear to be a direct correlation between AAPI foundation staffing and foundation funding to AAPI communities. For example, two of the top 20 national foundations that are noted for providing a significant level of financial support to AAPI communities in 2002, the Robert Wood Johnson Foundation and the Harry and Jeanette Weinberg Foundation, had no AAPI staff that year.

In 2002, the Joint Affinity Group (JAG)⁶⁴ published a report on philanthropic board and staff diversity. The stated understanding behind the study was that diversity within foundations and increased philanthropic responsiveness to communities of color were linked. The researchers had wanted to study the impact of this diversity on actual grantmaking decisions—but were unable to fund the complete study. To date there is no research either supporting or refuting this assumption.

On a cautionary note, Mary Ellen Capek and Molly Mead, in their book *Effective Philanthropy: Organizational Success Through Deep Diversity and Gender Equality*, cite some examples where increasing the presence of underrepresented populations on foundation staffs and boards may not lead to the desired outcomes of increasing resources to affected communities. For example, their research found that, “A

majority of women in leadership positions [in foundations] has not had a significant impact on either foundation culture or increased amounts or quality of funding for women and girls.”⁶⁵ The authors note that diversifying a foundation’s staff without taking into account issues of class, gender, philosophy or lived experience can lead to limited resources rather than an increase in strategic philanthropy.

Since foundations such as those profiled in this report play such a critical role in shaping and influencing the public policy arena, stronger AAPI representation on these foundations’ boards and staffs is vital if AAPI communities hope to prioritize and amplify communities needs. However, foundations should ensure that this representation within their institutions includes the rich diversity in ethnicity, language, culture, lived experience and history of AAPI communities. Furthermore, a re-examination of institutional values can deepen foundations’ knowledge and understanding of disadvantaged communities, including AAPIs, allowing greater effectiveness in addressing the root causes of our social problems. This can be accomplished by developing stronger relationships with AAPI communities. Additionally, it is vital that foundations support and develop practice-related research to ensure that all funders can evaluate and learn from these opportunities and challenges.

COMMUNITY STORIES:

The National Coalition for Asian Pacific American Community Development (National CAPACD) – Washington, DC

National CAPACD has worked hard over the past eight years to live up to its weighty mission of “being a powerful voice for the unique community development needs of AAPI communities and to strengthen the capacity of community-based organizations to create neighborhoods of hope and opportunity.”

As a membership-based organization of more than 100 community-based groups including community development corporations (CDCs), preservation agencies, social service providers, intermediaries, financial institutions and advocacy organizations, National CAPACD works on both the local and national level to improve the well-being of low-income AAPIs. It accomplishes this significant mission by working on four key areas; (1) access to housing; (2) data policy; (3) economic justice; and (4) community preservation and revitalization. Four primary programs to address these areas.

- 1) The ACTION TA Initiative coordinates training and technical assistance for local groups serving low-income AAPI communities;
- 2) Community Convenings focus on mobilizing AAPI-serving organizations to share information, lessons, resources, and best practices on community development issues;
- 3) Advocacy, Policy and Research utilizes research and advocacy to increase the capacity of AAPI communities to obtain equitable resources and community development policies; and
- 4) Leadership Development creates a pipeline of AAPI leaders and strengthens their ability to work for systemic change in housing, community and economic development.

Lisa Hasegawa, Executive Director of the organization, describes National CAPACD’s ability “to be a national platform for local issues,” and “the power of its network,” as two of the organization’s greatest strengths. These assets are exemplified in two recent community struggles and victories:

- National CAPACD invited Father Vien from Mary Queen of Vietnam Church in New Orleans to address its annual conference. Father Vien called attention to the plight of the Vietnamese American community in New Orleans East in the aftermath of Hurricane Katrina, in particular, the community’s fight against the placement of a disaster debris dump site within a mile of their homes. With a call-to-action, National CAPACD mobilized its network of organizations to identify resources, legal assistance and help develop an advocacy strategy to support the community’s fight and eventual triumph.
- National CAPACD identified local expertise and provided federal-level policy advocacy to support Hawaiian grassroots organization, Faith Action for Community Equity (FACE), in its struggle to maintain a low-income housing complex in Honolulu. FACE interceded in the impending sale of Kukui Gardens to a for-profit developer, eventually brokering a compromise to keep half of the complex accessible to low-income residents.

National CAPACD also faces many challenges including national policy-level struggles to ensure that the U.S. Department of Housing and Urban Development (HUD) and its grantees comply with Title VI of the Civil Rights Act to provide equal access to Limited English Proficient communities. National CAPACD has also struggled HUD and other with federal agencies like the Federal Reserve to address the lack of usable data from the Home Mortgage Disclosure Act which creates difficulties in researching issues such as housing discrimination.

Moreover, as a pan-AAPI, national-level intermediary, National CAPACD constantly challenges foundations that seek to support one “umbrella” AAPI entity. “Because of our diversity,” states Ms. Hasegawa, “our communities are structured differently – pan AAPI issue based organizations need strong ethnic specific organizations and networks to ensure that we are able to be inclusive.”

“We are also constantly pushing to redefine the traditional Community Development Corporation model which,” Ms. Hasegawa points out, “often excludes Native Hawaiian, Pacific Islander, newer Asian and immigrant serving organizations and communities.” Ms. Hasegawa sees opportunities to support community development programs in AAPI communities more systematically and on a national scale. “There is so much innovation and expertise in our communities. They just deserve a deeper look.”

III. AAPI Foundation Staff Perspectives

AAPI interviewed members and co-chairs in all eight of its chapters on their efforts to raise awareness about AAPI communities in their institutions and the field. Their opinions indicate an opportunity for field-wide discussion between foundations and AAPI-serving organizations about philanthropic investment in AAPI communities.

Here are four general opinions:

1. **Most AAPI communities fall outside the purview of national foundations, which tend to focus on national strategies and large-scale impacts.** There was strong consensus among interviewees that the predominantly local focus of AAPI organizational work will rarely gain the attention or support of national funders, which focus primarily on national issues and impacts. Many of those interviewed felt that the bulk of support for AAPI communities comes from smaller, regional public and private foundations. A few of the interviewees who worked for the top 20 national foundations said their institutions utilize other strategies, such as collaboratives or re-granting, to support local AAPI communities. For example, the MacArthur Foundation in Chicago often uses a re-granting strategy to support local communities.
2. **Most foundations do not provide direct support for racial and ethnic groups, but rather support these communities by funding larger policy and issue**

areas. A number of the interviewees addressed the difficulty in quantifying financial support to AAPI communities, citing foundations' omission of grant coding by race or ethnicity and their preference for supporting broader issues and policy areas that may also benefit AAPI communities.

3. **Most local AAPI organizations are small, with limited staff capacity, so few of these organizations attempt to apply for funding from large or national foundations.** Most of the interviewees shared the perception that significant capacity challenges hinder AAPI communities from engaging more fully within the philanthropic sector. Some of the interviewees felt that AAPI-led organizations are viewed as too "niche-specific" to be competitive in the eyes of national funders.
4. **Increased AAPI representation on foundation staffs and boards has led to increased resources and access for AAPI communities.** Many AAPI foundation staff perceived that their greater representation in the field has resulted in increased funding to AAPI communities, even though funding trends in this report do not support this opinion. Further exploration of this discrepancy might begin with a review of funding patterns by foundations represented by the interviewees, which for the most part were not among the top 20 foundations analyzed in this report.

IV. Foundation Case Studies

Three of the 20 foundations analyzed in this report have recently undertaken strategic initiatives to address the needs of AAPI communities. These initiatives incorporate key elements for developing intentional funding strategies that can serve as models for other funders. These elements include deepening philanthropy's understanding of community issues, assets and challenges through extensive needs analyses; fostering solid partnerships with community intermediaries or engaging community leaders; and building institutional competency regarding AAPI communities.

Key Findings:

- Working with leaders and organizations in affected communities can strengthen a foundation's ability to identify critical issues and needs;
- Foundations that partner with community-based organizations and AAPI-led intermediaries are demonstrating that they can jumpstart the process of reaching communities that are otherwise below the radar; and
- Engaging in ongoing organizational learning opportunities deepens both the analysis and institutional knowledge of foundations.

Ford Foundation—National Gender and Equity Campaign

The Ford Foundation funded AAPI communities at varying levels for 11 of the 13

years in this study. Funding to AAPI communities peaked at 1.6% of the foundation's total grant dollars in 1996, the same year in which one of Ford's 24 grants to organizations serving AAPIs went to an AAPI-led organization.

Between 1990 and 2002, the Ford Foundation gave 114 grants to benefit AAPI communities. These grants represented an investment of \$19.9 million in grant dollars out of \$5.1 billion distributed, comprising 0.39% of Ford's total grant dollars for this period of time.

Ford supported a small number of national AAPI-led organizations during this time, though at varying levels. The foundation's largest AAPI grant, of \$1.5 million, went to the Japanese American National Museum in California in 2002.

The foundation has given significant grant dollars to higher education for research projects and conferences focused on the AAPI population, with most of the funding in the form of program development grants.

National Gender and Equity Campaign

In 2000, Ford commissioned a report by well-respected civil rights attorney Lora Jo Foo about the issues facing Asian American women in the United States. The study formed the basis for Ford's funding to AAPI's National Gender & Equity Campaign. Ford has funded \$11.5 million of the project's \$25 million, 10-year budget. The foundation has made strategic invest-

ments that last up to 30 or 40 years, as demonstrated by its funding for much of the “Green Revolution” in Asia and South America, and this is its first major strategic initiative in AAPI communities.

The National Gender and Equity Campaign is a multi-year capacity-building strategy that targets base-building efforts in AAPI communities, so that these communities can effectively engage in larger social justice movement-building work. The campaign has four key goals:

- Create strong, empowered communities by engaging women and men in advocacy for social and economic justice and gender equity;
- Exert political influence through skill-building and networking that raises community concerns to policymakers;
- Build effective, accountable movement organizations by providing high-impact tools; and
- Support nationally powerful grassroots leadership by connecting organizational leaders across the country with each other and with national advocacy efforts for systemic social change.

Elements from the National Gender and Equity Campaign can serve as a model for strategic social justice philanthropy in several ways:

- Its deliberate steps can be replicated by other foundations;
- Its architecture relies on initial research and analysis by experts within the community who are familiar with community issues and dynamics;
- Its investment strategy, supporting substantial multi-pronged efforts that lead to systemic change, is based on the identification of critical needs;
- It gauges the level and period of investment through conversations and meetings with key community leaders; and
- It identifies a mechanism to operationalize the giving.

W.K. Kellogg Foundation—The Health Through Action for Asian Americans, Native Hawaiians and Pacific Islanders Program

The W.K. Kellogg Foundation gave 29 grants totaling \$7.7 million to AAPI com-

munities over the 13 years of this study. It funded AAPI communities for 10 of the 13 years of the study, comprising 0.35% of its total grant dollars during this period.

The foundation exceeded the 1% mark in 1998, when it invested just over 2% of its grant dollars in AAPI communities, due to a \$2.5 million grant to Asian Health Services in Oakland, California. The following year, Kellogg’s total AAPI-focused giving fell back to just under 1% (.07%). In 2002, it again supported Asian Health Services, with a grant of \$20,000.

At the end of 2006, Kellogg announced a long-term commitment to the Asian and Pacific Islander American Health Forum (APIAHF), to work on reducing and eliminating health disparities for Asian American, Native Hawaiian and Pacific Islander populations. The foundation is dedicating \$16.5 million over five years to the Health Through Action – Community Partnerships Grant Program, through which the foundation seeks to strengthen community capacity and capitalize on local assets to meet the health needs of vulnerable individuals, children and families in AAPI communities. APIAHF received \$400,000 in funding to initiate the work, serving as the national program office in partnership with the foundation. This nonprofit-philanthropic joint venture will focus on strengthening the capacity of local Asian American, Native Hawaiian and Pacific Islander community-based organizations and collaboratives, enhancing policy advocacy, especially at the national level, supporting and building a robust network to advance a coordinated health agenda, and identifying strategies to produce more and better data on Asian American, Native Hawaiian and Pacific Islander populations.

The intended broad outcomes of the Health Through Action community capacity grants are:

- Strengthen Asian American, Native Hawaiian and Pacific Islander community collaboratives that can address local health needs;
- Raise awareness and increase visibility of Asian American, Native Hawaiian and Pacific Islander health issues;
- Sustain an increase in access to health

programs and services for vulnerable Asian American, Native Hawaiian and Pacific Islander communities;

- Create more culturally competent health systems that deliver programs and services effectively and efficiently; and
- Develop models of best practices for other communities to replicate and adapt to their unique circumstances.

Both the Ford Foundation and the W.K. Kellogg Foundation initiatives can serve as models for funding partnerships with AAPI populations, in that their initiatives:

- Begin with a critical analysis that points to deeper needs within AAPI communities; and
- Partner with AAPI intermediaries for expertise and re-granting.

Whereas the Ford Foundation is one of the principal contributors to the National Gender and Equity Campaign, the Kellogg Foundation is the sole funder of the partnership with APIAHF.

The Annie E. Casey Foundation—*RESPECT*

The Annie Casey Foundation's funding to AAPI communities remained relatively low during the 13-year period from 1990 to 2002. Casey gave 12 AAPI-focused grants totaling \$560,905 in three of the 13 years: 1999, 2001 and 2002, the same three years during which the foundation's endowment doubled to \$3.6 billion. These grants comprised .09% of Casey's total grant dollars during this time period, with its largest AAPI-focused grant, for slightly more than \$100,000 in 2002, going to the Asian Counseling and Referral Service in Seattle.

The foundation's leadership in supporting AAPI communities, however, has taken a form that is not readily apparent from its grants data. Casey has played a leading role in the field by deepening its understanding of communities of color, including AAPIs, most notably through the Organizational Priority on Equity⁶⁶ program, out of which the Race Matters Portfolio emerged, and RESPECT, an internal affinity group of the foundation focused on the role that issues of race, ethnicity, class and power play in

the communities that AECF seeks to serve. These efforts demonstrate that the foundation has integrated a racial justice lens into its work and encourages others in the field to do the same.

In the early 1990s, two of the foundation's staff members began a foundation-wide conversation about the hardships experienced by African American families to raise awareness of the challenges facing children. This discussion, now formally named RESPECT, has developed its own prominent voice within the foundation. As a result, the Annie E. Casey Foundation is working actively to increase its capacity to improve outcomes for children, families and communities of color.

The mission of RESPECT is to ensure that the foundation's resources and expertise are marshaled toward fighting racism and promoting equity in order to create successful futures for children, families and communities. By promoting and modeling approaches, solutions and programs that work to reduce the effects of historical and institutional privilege, RESPECT believes it can lead the foundation toward more equitable, long-term results for the communities it serves.

Currently, the work of RESPECT includes the following activities:

- Building competency among foundation staff on issues of race, class, culture and power;
- Mapping the race and equity work across the foundation and helping to assess whether this work is more comprehensive and strategic over time;
- Holding public events, called "RESPECT Presents," that are open to all staff and to the broader Baltimore community for mutual learning;
- Convening scheduled, monthly forums as an open opportunity for AECF staff members to participate in and help guide the development of RESPECT-related work within the foundation; and
- Developing an organization-wide theory of change (which includes both AECF's grant giving and Casey Family Services direct services programs) that articulates specific strategies to ad-

dress issues of reducing disparities and improving the outcomes of the families and children who are disproportionately people of color.

In 2006, The Annie E. Casey Foundation also released the Race Matters Toolkit, designed to help decision-makers, advocates and elected officials achieve better results in their work by providing equitable opportunities for all. The approach described in the toolkit deals specifically with policies and practices that contribute to inequitable outcomes for children, families and communities.

The toolkit is grounded in the following assumptions:

- Race matters; almost every indicator of well-being shows troubling disparities disproportionately by race;
- Disparities are often created inadvertently through policies and practices

that maintain barriers to opportunity;

- The only possibility for closing equity gaps is to use strategies with an intentional focus on race;
- If opportunities in all key areas of well-being are equitable, then equitable results will follow; and
- Given the right message, analysis and tools, people will work toward racial equity.

These collective efforts can serve as a model for deepening organizational understanding of communities of color, including AAPIs, by:

- Beginning to build internal understanding of the influences of the intersections of race, gender and class on the foundation's program areas; and
- Providing interactive tools to help colleagues and other decision-makers incorporate this lens into their work.

V. Conclusions and Recommendations

“**B**ut at the end of the day, our numbers are still shockingly small, and our inclusion, our place at the table of decision-making, is even smaller. There is unfinished business. We are not where we should be as a field.”

—Handy L. Lindsey Jr.⁶⁷

Lindsey’s statement above aptly describes the state of AAPI communities in relation to philanthropy, whether as grant recipients or as foundation staff and board members. As this study reveals, there is much unfinished business when it comes to real philanthropic investments to AAPI communities:

1. Lack of Philanthropic Resources

AAPI communities continue to face serious social and economic challenges as they grow, but philanthropic resources have not kept pace with either this growth or these needs. Even if most foundations do not provide race-specific funds, data from this sample of 20 national foundations demonstrate that AAPI communities also come up short on funding through issue-based initiatives and during times of national disaster/emergency.

2. Lack of a Real Investment Strategy

There appears to be no overarching investment strategy in the philanthropic field or in individual grantmaking institutions for addressing the specific needs and circumstances of AAPI communities, at least in terms of the types of support

most needed by these communities, the regional characteristics of these communities and the fields of work relevant to these communities’ most pressing needs. By not taking into account the changing demographics, needs and challenges facing AAPI communities, foundations continue to hamper this population’s visibility and potential well-being.

3. Lack of Capacity-Building for AAPI-Led Organizations

There is a critical lack of financial and infrastructure support for AAPI-led institutions, which in turn impacts AAPI communities’ ability to speak and act for themselves and to participate fully in the democratic process.⁶⁸

4. Need for Institutional Understanding of AAPI Communities within Foundations

AAPI foundation staff and board members representing diverse ethnic, experiential and cultural backgrounds play a crucial role in raising awareness about, and funding to, AAPI communities. Critical to this role is a deepening of the relationship between AAPI communities and foundations, rather than the development of short-term, relational connections.

5. Lack of Uniform and Disaggregated Data

When foundations do not prioritize the clear reporting and classification of grants, they hinder vital efforts to

research, analyze and evaluate the philanthropic field, particularly in terms of their support for racial/ethnic populations. There are three key problem areas in foundation data collection and presentation regarding racial/ethnic populations:

- **Coding:** Most foundations do not code their grants by the race of the recipient population or organization.
- **Consistent Data Reporting:** Information reported to the IRS on the 990-PF form is often different from information provided in foundation annual reports.
- **Disaggregated Data:** The 990-PF form does not require that grant lists be disaggregated by race/ethnicity or program area, and many foundation annual reports do not disaggregate race/ethnicity information about grantee organizations.

As this study demonstrates, the paucity of disaggregated philanthropic data and the lack of consistent, uniform data collection systems can mask substantial disparities in giving to communities of color, creating a painful irony: foundations spend millions of dollars each year on evaluation tools to measure outcomes and hold grantees accountable and recognize persistent racial inequalities, yet, by and large, they have not directed their attentions toward funding or tracking large-scale AAPI-focused strategies.

Recommendations – A Call to Action for Philanthropy!

Many pathways lead to strategic grantmaking. Our recommendations follow two main routes: to first deepen philanthropy's understanding of AAPI communities, then to take action to develop strategies to invest in communities of color, particularly AAPI communities.

Deepen philanthropy's understanding:

1. Initiate the collection of more disaggregated data on funding by race;
2. Track the impact of funding strategies in health, education, economic and community development, criminal justice and immigration to ensure that they reach communities of color, including AAPIs;

3. Hear concerns from communities of color through affinity groups, grantee convenings, AAPIP, advisory boards, community tours and listening sessions; and
4. Fund a study to identify whether there is a relationship between increased AAPI staffing and proportional funding for AAPI communities.

Take action:

Develop strategies to invest in communities of color, including diverse AAPI subgroups, through:

5. Funding-collaboratives and exploratory grantmaking with AAPI-serving organizations and foundations;
6. Operational funding to increase the ability of AAPI-led organizations to participate fully in a democratic society;
7. Programmatic funding for leadership development, collaborative relationship-building, strategic communications, policy development and advocacy, data collection and analysis, deepening cultural competency and organizational development;
8. Relief and recovery funding strategies that support culturally-competent AAPI-led organizations during periods of national crisis; and
9. Increased recruitment of staff and board members representing the cultural competencies and breadth of AAPI communities.

Conclusion

Our hope is that this report can be used as an engagement tool and an opportunity to advance dialogue in the field of philanthropy. With the rapid growth of AAPI communities, a significant investment strategy is urgently needed. As the Ford Foundation and other foundation case studies reveal, the basis for creating such strategies already exists in many foundations. Asian American and Pacific Islander constituencies must be involved in shaping the policies and conditions that affect their lives and the society as a whole.

ENDNOTES

- 1 According to the Census Bureau, "Asian" refers to those having origins in any of the original peoples of the Far East, Southeast Asia or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand and Vietnam. "Pacific Islander" refers to those having origins in any of the original peoples of Hawaii, Guam, Samoa or other Pacific Islands.
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- 3 Foundation Center, [Foundation Giving Trends, 2006 Edition](#) (New York: Foundation Center, 2006): 50.
- 4 According to the Census Bureau, "Asian" refers to those having origins in any of the original peoples of the Far East, Southeast Asia or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands Thailand, and Vietnam. "Pacific Islander" refers to those having origins in any of the original peoples of Hawaii, Guam, Samoa or other Pacific Islands. The Asian American and Pacific Islander (AAPI) population is not a homogeneous group; rather, it comprises many groups who differ in language, culture, and length of residence in the United States.
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- 6 National Committee for Responsive Philanthropy (NCRP), [State of Philanthropy 2004](#) (Washington D.C.: NCRP, 2004): 3.
- 7 Foundation Center, [Foundation Giving Trends, 2006 Edition](#) (New York: Foundation Center, 2006): 50.
- 8 Since this research project began two years ago, two of the foundations examined in this paper—the F.W. Olin Foundation and the Whitaker Foundation—have spent down their endowments and are now closed.
- 9 Information for this section comes from research by AAPI national organizations. Please refer to these organizations for more information on any of these issue areas. Additional information on a number of AAPI community needs and issues is also available at the AAPI website at www.aapip.org.
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- 16 Hill, Patrice, "Income gap grows in U.S.," The Washington Times, 31 July 2005.
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- 23 NEA 14.
- 24 Economic Policy Institute, "Growth Bypasses All But Wealthiest Few: Wages Stagnate Despite Rapid Productivity Growth," Press Release for The State of Working America 2006/2007, Sept. 2006.
- 25 Ong, Paul and Doug Miller, "Economic Needs of Asian Americans and Pacific Islanders in Distressed Areas" (Los Angeles: Working Paper from the UCLA School of Public Policy and Social Research, July 2002): 4.
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- 32 Foundation Center, [Foundation Giving Trends, 2006 Edition](#) (New York: Foundation Center, 2005).
- 33 Lai 176.
- 34 Lai 33.
- 35 Foundation Center, [Foundation Giving Trends, 2006 Edition](#).
- 36 Foundation Center, [Foundation Giving Trends, 2006 Edition](#): 50.

- 37 Foundation Center: Foundation Giving Trends, 2006 Edition 50.
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- 39 Analyzing 2003 data was outside the scope of this report, therefore, it is unclear whether the top 20 national foundations continued their support for AAPI communities at or above 1%.
- 40 Two foundations have never given to AAPI communities. See Appendix I: Methodology for additional explanation.
- 41 More information about the definition of AAPI-led organizations is available in Appendix I: Methodology.
- 42 Lai: 166.
- 43 Lai: 166.
- 44 Lai: 166.
- 45 Lai: 177.
- 46 Foundation Center 31.
- 47 Paul Brest, "Smart Money: General operating grants can be strategic—for nonprofits and foundations" Stanford Social Innovation Review, Winter 2003: www.ssireview.org/site/prINTER/smart_money.
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- 50 Juliet K. Choi, Asian American Justice Center, "Current Challenges Faced by Asian Americans and Hurricane Katrina: Highlights on Language Services and Physical and Mental Health Concerns," (Washington D.C.: Asian American Justice Center, 2005).
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- 61 Foundation Center, "Giving in the Aftermath of September 11": 86.
- 62 "Red Cross: Our Money's Worth When It Comes to Disaster Relief?" Keeping a Close Eye (NCRP Blog) 3 Jan. 2006, 3 Nov. 2006 ncrp.org/blog/2006/01/red-cross-our-moneys-worth-when-it.html.
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- 64 AAPIP is a member of the Joint Affinity Group (JAG).
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- 66 Eight Organizational Improvement Priorities for the Annie E. Casey Foundation, set by President Doug Nelson, are as follows: 1) Committing to Results, 2) Strengthening Our Staff, 3) Improving Internal Climate, 4) Improving External Communications, 5) Ensuring Equity, 6) Responding to Fiscal Realities, 7) Building Systems for Organizational Learning and Knowledge Management, and 8) Promoting Integration.
- 67 NCRP. State of Philanthropy 2004. p.6
- 68 Greenlining Institute, Investing in A Diverse Democracy, p. 8

Appendix I: Methodology

Since AAPIP's landmark 1992 study, *Invisible and in Need*, was the primary reference point for this study, the goal of this research project was to examine many of the foundations that were covered in that report. However, since the number of foundations has increased exponentially since 1992, it was impossible to include all 65,000+ U.S. foundations in this analysis. Instead, AAPIP decided to analyze a small cohort of national foundations in the original 1992 study. These 20 institutions are leaders in the field of philanthropy and play an important role in setting funding trends and shaping public policy, and thus provide a critical snapshot of the current field.

Since the key question of interest in this current study was whether these established foundations have made long-lasting investments in AAPI communities, the 20 national foundations used in this research were identified based on three parameters:

1. The foundation had to be in existence for at least 20 years;
2. The scope of the foundation's giving had to be national; and
3. Its ranking as a "top 20" foundation was based on its total giving in 2002.

These parameters were used to establish a baseline of study. However, utilizing these parameters left out many newer foundations that may have a stronger record of supporting AAPI communities. This is a significant line of inquiry that was not pursued in this study but may be an important topic for future research.

Data Used

The data used in this research project are from the Foundation Center's grants sample database, which provides consistent data for the 13 years analyzed in this study. However, there were some limitations to using these data:

1. The grants sample database includes only grants of \$10,000 or more made by approximately 1,000 national foundations. Therefore, any grants below \$10,000 were not reflected in this study and may contribute to an undercounting of resources going to AAPI communities over these 13 years, particularly since this study shows that AAPI-led organizations tend to receive smaller grant amounts than non-AAPI-led organizations that serve AAPI communities;
2. The grants data represent fully authorized or awarded amounts, if available, otherwise they are actual amounts paid out. This structure made it difficult to identify multi-year funding, so analyses of multi-year grants were not included in this study; and
3. The grants data represent "total grant dollars" not "total giving," which usually includes information on grants to organizations, individuals and employee matching gifts. The total dollar amounts in this study do not include program-related investments (PRIs) or grants to other domestic U.S. foundations, so re-granted funds are neither double-

counted nor are they analyzed separately in this report.

Overall Coding

The Foundation Center assigns codes to all grants in its grants sample database. However, since no universal coding system is used by foundations, affinity groups, the government, research institutions or other philanthropic organizations, different coding systems may account for some discrepancies in the data.

Identifying AAPI-Led Organizations

All the information in this study is based on organizations serving or representing AAPI communities. However, not all the organizations that provide these services are exclusively AAPI or AAPI-led organizations. Recipient organizations analyzed for this report are classified as either an organization that is AAPI-led or an organization that is not AAPI-led but provides services to AAPI communities. This distinction was coded by the Foundation Center, which classifies an organization as AAPI-led if the organization's primary purpose/mission is to support or work in the AAPI community. Foundation Center staff research all recipient organizations receiving grants from sampled foundations to determine their purpose/mission and the communities they seek to serve.

Comparing Data from *Invisible and In Need*

The data used in the 1992 *Invisible and In Need* study were also purchased from the Foundation Center. However, since the time period for that study was 1983 to 1990, these data cannot be compared directly to the data for the current project, because some of the Center's data collection and classification methods have changed since the first study. For example, the Foundation Center did not begin coding grants to AAPI communities until 1989, so the authors of *Invisible and In Need* re-categorized and re-apportioned many of the grants themselves, using a different methodology from the one used for the current study.

Foundation Updates

It is important to note that since this research project began two years ago, at least two of the foundations examined in the report have spent down their endowments and are now closed. These two foundations are:

- F. W. Olin Foundation, Inc.: closed as of November 2005.
- The Whitaker Foundation: closed as of June 2006.

Furthermore, as the research proceeded it became apparent that at least three of the 20 foundations in the cohort had never or rarely funded AAPI communities. These three foundations and their main focus areas are:

- Alfred P. Sloan Foundation: engineering, technology and science.
- F. W. Olin Foundation, Inc.: capital and construction costs for university buildings.
- The Whitaker Foundation: biological science, biomedical research and engineering.

These foundations have a limited history in direct giving to AAPI communities, due to their funding focus in the areas of science, technology, biomedical engineering and higher education. Most of their resources have gone to colleges, universities and hospitals. Because these limitations did not surface fully until all the data were fully analyzed, these foundations' funding histories are included in the study.

Appendix II: Foundation Profiles

Except where noted, these profiles are based on 2005 data collected from the Foundation Center's Foundation Directory Online.

■ CARNEGIE CORPORATION OF NEW YORK

Background:

- Incorporated in 1911 in NY.
- Established by Andrew Carnegie, founder of the Carnegie Steel Company.
- Size of Board: 25.
- Founding Donors on Board: No.

Fields of Interest:

Adult education—literacy, basic skills & GED; Education; Elementary/secondary school reform; International affairs; International affairs, arms control; International affairs, foreign policy; International affairs, national security; International development; International economic development; International economics/trade policy; International exchange; International human rights; International migration/refugee issues; International peace/security; International relief; Russia; Sub-Saharan Africa; Teacher school/education.

Financial Snapshot:

Assets (2005): \$2,244,208,247
Total Giving (2005): \$91,053,489

Assets (2002): \$1,627,733,524
Total Giving (2002): \$76,301,020

■ THE ANNIE E. CASEY FOUNDATION

Background:

- Incorporated in 1948 in CA.
- Established by Jim Casey, one of the founders of United Parcel Service, and his siblings, George, Harry, and Marguerite, who named the philanthropy in honor of their mother.
- Size of Board: 19.
- Founding Donors on Board: No.

Fields of Interest:

Children/youth, services; Economically disadvantaged; Education; Human services; Public affairs; Urban/community development; Youth development, services.

Financial Snapshot:

Assets (2005): \$3,295,299,665
Total Giving (2005): \$171,354,926

Assets (2002): \$2,709,413,178
Total Giving (2002): \$159,309,655

■ THE FORD FOUNDATION

Background:

- Incorporated in 1936 in MI.
- Established by Edsel Ford, son of Henry Ford, inventor and founder of the Ford Motor Company.
- Size of Board: 21.
- Founding Donors on Board: No.

Fields of Interest:

Africa; Agriculture; AIDS; Arts; Asia; Civil rights; Civil rights, race/intergroup relations; Community development; Crime/

violence prevention, abuse prevention; Economically disadvantaged; Economics; Education; Education, early childhood education; Elementary school/education; Employment; Environment; Environment, natural resources; Government/public administration; Higher education; Housing/shelter, development; Human services; Immigrants/refugees; International affairs; International affairs, arms control; International affairs, foreign policy; International economic development; International human rights; International studies; Latin America; Law/international law; Leadership development; Legal services; Media, film/video; Media/communications; Middle East; Minorities; Minorities/immigrants, centers/services; Museums; Performing arts; Performing arts, dance; Performing arts, music; Performing arts, theater; Philanthropy/voluntarism; Public affairs, citizen participation; Public health, STDs; Public policy, research; Religion, interfaith issues; Reproductive health; Reproductive health, sexuality education; Rural development; Russia; Secondary school/education; Social sciences; Southeast Asia; Urban/community development; Women; Women, centers/services; Youth development.

Financial Snapshot:

Assets (2005): \$11,615,906,693
Total Giving (2005): \$516,907,177

Assets (2002): \$9,345,030,447
Total Giving (2002): \$509,700,353

■ THE ROBERT WOOD JOHNSON FOUNDATION

Background:

- Incorporated in 1936 in NJ; became a national foundation in 1972.
- Established by Robert Wood Johnson, founder of Johnson & Johnson, the world's largest health and medical care products conglomerate.
- Size of Board: 26.
- Founding Donors on Board: Yes - Robert Wood Johnson IV.

Fields of Interest:

Aging; Aging, centers/services; Child development, education; Child development, services; Children/youth, services; Family services; Health care; Health care,

cost containment; Health care, insurance; Health organizations; Homeless; Homeless, human services; Hospitals (general); Medical school/education; Mental health, smoking; Mental health/crisis services; Minorities; Native Americans/American Indians; Nursing care; People with disabilities; Residential/custodial care, hospices; Substance abuse, services; Voluntarism promotion.

Financial Snapshot:

Assets (2005): \$9,359,361,000
Total Giving (2005): \$372,500,000

Assets (2002): \$8,012,367,000
Total Giving (2002): \$360,347,466

■ EWING MARION KAUFFMAN FOUNDATION

Background:

- Established in 1966 in MO.
- Established by Ewing M. Kauffman, founder of Marion Laboratories Inc., pharmaceutical company.
- Size of Board: 14.
- Founding Donors on Board: No.

Fields of Interest:

Community development, business promotion; Elementary/secondary education; Mathematics; Science.

Financial Snapshot:

Assets (2005): \$1,860,797,344
Total Giving (2005): \$50,603,728

Assets (2002): \$1,563,607,289
Total Giving (2002): \$58,476,276

■ W. M. KECK FOUNDATION

Background:

- Established in 1954 and incorporated in 1959 in DE.
- Established by William Myron Keck, founder of The Superior Oil Company.
- Size of Board: 34.
- Founding Donors on Board: Yes - W.M. Keck II, V.P.; Howard B. Keck, Jr., V.P.; Stephen M. Keck; Theodore J. Keck; W.M. Keck III.

Fields of Interest:

Arts; Biological sciences; Chemistry; Children/youth, services; Computer science; Elementary school/education; Engineering;

Engineering school/education; Engineering/technology; Health care; Higher education; Marine science; Mathematics; Medical research; Physical/earth sciences; Residential/custodial care, hospices; Science; Secondary school/education.

Financial Snapshot:

Assets (2005): \$1,333,252,000
Total Giving (2005): \$65,350,257

Assets (2002): \$1,012,747,000
Total Giving (2002): \$49,513,360

■ W. K. KELLOGG FOUNDATION

Background:

- Incorporated in 1930 in MI.
- Established by breakfast cereal pioneer W.K. Kellogg.
- Size of Board: 18.
- Founding Donors on Board: No.

Fields of Interest:

Adult/continuing education; African Americans/Blacks; Agriculture; Agriculture/food; Botswana; Caribbean; Community development; Community development, neighborhood development; Education; Education, early childhood education; Elementary school/education; Health care; Health organizations; Latin America; Leadership development; Lesotho; Malawi; Minorities; Minorities/immigrants, centers/services; Mozambique; Rural development; Secondary school/education; South Africa; Swaziland; Voluntarism promotion; Youth development, services; Youth, services; Zimbabwe.

Financial Snapshot:

Assets (2005): \$7,298,383,532
Total Giving (2005): \$219,862,847

Assets (2002): \$5,729,303,302
Total Giving (2002): \$179,303,269

■ JOHN S. AND JAMES L. KNIGHT FOUNDATION

Background:

- Incorporated in 1950 in OH.
- Established by John S. Knight and James L. Knight, owners of Knight Ridder newspapers
- Size of Board: 20.
- Founding Donors on Board: Yes - Beverly Knight Olson.

Fields of Interest:

Arts; Children, services; Civil rights, race/intergroup relations; Community development, neighborhood development; Economic development; Education; Family services; Housing/shelter; Housing/shelter, development; Media, journalism/publishing; Public affairs, citizen participation.

Financial Snapshot:

Assets (2005): \$2,071,507,291
Total Giving (2005): \$92,577,162

Assets (2002): \$1,718,236,238
Total Giving (2002): \$85,617,981

■ THE KRESGE FOUNDATION

Background:

- Incorporated in 1924 in MI.
- Established by Sebastian S. Kresge, founder of Kmart.
- Size of Board: 16.
- Founding Donors on Board: No.

Fields of Interest:

Arts; Environment; Health care; Higher education; Human services; Humanities; Public affairs; Science.

Financial Snapshot:

Assets (2005): \$2,752,257,750
Total Giving (2005): \$97,714,540

Assets (2002): \$2,164,478,054
Total Giving (2002): \$98,974,162

■ JOHN D. AND CATHERINE T. MACARTHUR FOUNDATION

Background:

- Incorporated in 1970 in IL.
- Established by John D. MacArthur, owner of Marquette Life Insurance Company, the nation's largest privately held insurance company, and his wife, Catherine T. MacArthur.
- Size of Board: 21.
- Founding Donors on Board: No.

Fields of Interest:

Africa; Community development, neighborhood development; Crime/violence prevention, youth; Education; Environment, natural resources; Higher education; India; International affairs; International affairs, foreign policy; International human rights; International peace/security; Media, film/video; Media/communications; Mental

health/crisis services; Mexico; Nigeria; Public policy, research; Reproductive health; Russia.

Financial Snapshot:

Assets (2005): \$5,490,449,000
Total Giving (2005): \$194,500,000

Assets (2002): \$3,836,621,632
Total Giving (2002): \$195,573,328

■ ROBERT R. McCORMICK TRIBUNE FOUNDATION

Background:

- Trust established in 1955 in IL; became a foundation in 1990; converted to a public charity in 2002.
- Originally established as a charitable trust upon the death, in 1955, of Colonel Robert R. McCormick, the longtime editor and publisher of the Chicago Tribune.
- Size of Board: 9.
- Founding Donors on Board: No.

Fields of Interest:

Child development, education; Child development, services; Children/youth, services; Civil liberties, first amendment; Community development; Economically disadvantaged; Education, early childhood education; Employment; Government/public administration; Homeless; Homeless, human services; Housing/shelter, development; Human services; Latin America; Media, journalism/publishing; Minorities; Public affairs, citizen participation; Vocational education; Voluntarism promotion; Youth development, citizenship.

Financial Snapshot:

Assets (2005): \$1,658,809,655
Total Giving (2005): \$114,425,147

Assets (2002): \$1,855,000,000
Total Giving (2002): \$98,635,246

■ THE ANDREW W. MELLON FOUNDATION

Background:

- Trust established in 1940 in DE as Avalon Foundation; incorporated in 1954 in NY; merged with Old Dominion Foundation and renamed The Andrew W. Mellon Foundation in 1969.
- Established by Alisa Mellon Bruce &

Paul Mellon, son & daughter of Andrew Mellon, banker and businessman, involved in the foundation/proprietorship of companies including T. Mellon and Sons, ALCOA, Carborundum, Koppers, and Gulf Oil.

- Size of Board: 17.
- Founding Donors on Board: No.

Fields of Interest:

Arts; Environment; Environment, natural resources; Higher education; Humanities; Museums; Performing arts; Public affairs.

Financial Snapshot:

Assets (2005): \$5,586,112,000
Total Giving (2005): \$199,340,000

Assets (2002): \$3,600,620,000
Total Giving (2002): \$222,662,386

■ CHARLES STEWART MOTT FOUNDATION

Background:

- Incorporated in 1926 in MI.
- Established by Charles Stewart Mott, founder of General Motors.
- Size of Board: 18.
- Founding Donors on Board: Yes - Maryanne Mott; Marise M.M. Stewart.

Fields of Interest:

Child development, services; Children, services; Civil rights, race/intergroup relations; Community development; Eastern Europe; Economic development; Economically disadvantaged; Education; Environment, natural resources; Environment, pollution control; Family services, parent education; Human services; Latin America; Leadership development; Minorities; Rural development; Russia; South Africa; Urban/community development; Voluntarism promotion.

Financial Snapshot:

Assets (2005): \$2,480,562,766
Total Giving (2005): \$113,334,381

Assets (2002): \$2,011,395,991
Total Giving (2002): \$108,659,450

■ F. W. OLIN FOUNDATION, INC.

(Note: Due to its closing, some information may not be available.)

Background:

- Incorporated in 1938 in NY.
- Established by Franklin Walter Olin,

founder of the Western Cartridge Company, ammunition manufacturing and brassmaking for use in cartridge shells, and owner of the Winchester Repeating Arms Company.

- Closed its doors in November 2005.
- Size of Board: N/A.
- Founding Donors on Board: N/A.

Fields of Interest:

N/A

Financial Snapshot:

Assets (2005): N/A

Total Giving (2005): N/A

Assets (2002): \$293,898,479

Total Giving (2002): \$54,910,928

■ THE DAVID AND LUCILE PACKARD FOUNDATION

Background:

- Incorporated in 1964 in CA.
- Established by David Packard, founder of Hewlett-Packard computer and electronics company.
- Size of Board: 15.
- Founding Donors on Board: Yes - Susan Packard; Julie E. Packard.

Fields of Interest:

Animals/wildlife, fisheries; Arts; Child development, services; Civil liberties, reproductive rights; Education, early childhood education; Engineering/technology; Environment; Environment, energy; Environment, natural resources; Health care, insurance; Marine science; Philanthropy/voluntarism; Population studies; Reproductive health, family planning; Science.

Financial Snapshot:

Assets (2005): \$5,788,480,930

Total Giving (2005): \$150,115,645

Assets (2002): \$4,793,893,254

Total Giving (2002): \$350,048,020

■ THE ROCKEFELLER FOUNDATION

Background:

- Incorporated in 1913 in NY.
- Established by John D. Rockefeller, founder of Standard Oil.
- Size of Board: 24.
- Founding Donors on Board: Yes - David Rockefeller, Jr.

Fields of Interest:

Africa; Agriculture/food; Arts; Community development; Education; Employment; Health care; Housing/shelter; Humanities; International affairs; International development; Southeast Asia.

Financial Snapshot:

Assets (2005): \$3,237,183,825

Total Giving (2005): \$143,202,709

Assets (2002): \$2,679,064,000

Total Giving (2002): \$149,159,867

■ ALFRED P. SLOAN FOUNDATION

Background:

- Incorporated in 1934 in DE.
- Established by Alfred P. Sloan, President and Chief Executive Officer of the General Motors Corporation.
- Size of Board: 14.
- Founding Donors on Board: No.

Fields of Interest:

Employment; Engineering/technology; Family services; Higher education; Minorities; Science.

Financial Snapshot:

Assets (2005): \$1,581,350,875

Total Giving (2005): \$61,165,933

Assets (2002): \$1,171,003,043

Total Giving (2002): \$58,650,021

■ THE STARR FOUNDATION

Background:

- Incorporated in 1955 in NY.
- Established by Cornelius Vander Starr, an insurance entrepreneur who founded the American International family of insurance and financial services companies, now known as American International Group, Inc.
- Size of Board: 10.
- Founding Donors on Board: No.

Fields of Interest:

Arts; Education; Environment; Health care; Health organizations; Higher education; Human services; Medical research; Social sciences.

Financial Snapshot:

Assets (2005): \$3,344,801,753

Total Giving (2005): \$164,496,989

Assets (2002): \$3,322,102,520
Total Giving (2002): \$209,301,410

■ THE HARRY AND JEANETTE
WEINBERG FOUNDATION, INC.

Background:

- Incorporated in 1959 in MD.
- Established by Harry Weinberg, who made his wealth from real estate & stocks; also the owner of the Honolulu Rapid Transit Ltd.
- Size of Board: 6.
- Founding Donors on Board: Yes - Donn Weinberg.

Fields of Interest:

Aging; Aging, centers/services; Economically disadvantaged; Food services; Human services; People with disabilities.

Financial Snapshot:

Assets (2005): \$2,027,561,526
Total Giving (2005): \$98,674,477

Assets (2002): \$1,792,785,633
Total Giving (2002): \$100,951,353

■ THE WHITAKER FOUNDATION

(Note: Due to its closing, some information may not be available.)

Background:

- Incorporated in 1975
- Established by Uncas A. Whitaker, founder of Aircraft-Marine Products, AMP Inc.
- Size of Board: 11. (This number is based on 2004 data.)
- Founding Donors on Board: Yes - Ruth Whitaker Holmes; Portia Whitaker Shumaker.
- Closed its doors in June 2006.

Fields of Interest:

Biological sciences; Biomedicine; Biomedicine research; Canada; Engineering; Engineering school/education; Human services; Mathematics; Medical research; Science.

Financial Snapshot:

Assets (2005): \$123,003,762
Total Giving (2005): \$63,876,625

Assets (2002): \$246,013,072
Total Giving (2002): \$68,698,503

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Appendix IV: Definitions for Fields of Work/Subject Areas

Many different fields of work/subject areas are identified in the Foundation Center data. They were consolidated into 12 main categories for this study.

ARTS/CULTURE/MEDIA

alliance
artist services
arts
association
botanical garden
dance
education
ethnic
ethnic awareness
film/video
folk arts
historic preservation
historical societies
international exchange
journalism
literature
media/communications
museums
musical
performing arts
performing arts centers
public affairs
publishing
single organization
support
technical assistance/fundraising
television
theatre

COMMUNITY DEVELOPMENT

citizen coalitions
community
community development
economic development
housing/shelter
leadership development
management/technical aid
minorities/immigrants
neighborhood development
policy
rural development
services/centers
urban development

EDUCATION

associations
elementary/secondary
schools
higher education
reading
testing

EMPLOYMENT/LABOR

business/industry
employment
labor
organization

HEALTH

AIDS
alliance
centers
clinics
health care
hospitals
human services
leadership development

HIGHER EDUCATION

association
colleges
education
graduate/professional education
international studies
medical school
single organization support
universities

HUMAN SERVICES

abuse prevention
aging
centers & clubs
centers & services
children & youth
children/daycare
domestic violence
education
ethnic studies
family services
group homes
housing/shelter
minorities/immigrants
neighborhood centers
nursing homes
public policies
residential/custodial care
senior continuing care
seniors
services
special populations
YMCAs & YWCAs
youth development

LEADERSHIP DEVELOPMENT

leadership development
management/technical assistance

LEGAL/ADVOCACY

advocacy
alliance
children & youth
civil rights
immigrants
leadership development
legal services
minorities
public interest law
services
single organization support
women

PHILANTHROPY

alliance
association
federated giving program
management/technical aid
media/communication
philanthropy/volunteerism

RELIGION

Christian agencies & churches
Roman Catholic agencies & churches
theological school/education

RESEARCH/PUBLIC POLICY

civil rights
crime
political science
population studies
public affairs
public education
women

