

# Expanding Opportunity

The Rockefeller  
Foundation

2003  
Annual Report

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The Rockefeller  
Foundation

2003  
Annual Report



## ■ President's Letter

Last November I stood on a platform with Mayor Thomas Menino of Boston for one of those moments that reveals what government, philanthropy, businesses and local communities can achieve when they work creatively together. We were there to launch the Boston Workforce Development Initiative, a \$14 million partnership aimed at helping people move into jobs more quickly, and move up the ladder once they are employed. The platform where we stood, and the city around it, offered an excellent vantage point for understanding the changing role of philanthropy—and indeed of the public and private sectors as a whole—in a world of rapid globalization and widening disparities of wealth and opportunity.

Boston has a shortage of entry-level jobs and too few people who are qualified for middle-level positions. Part of what's innovative about the Workforce Development Initiative is that, besides helping job seekers find entry-level positions, it also helps train the people who are already in those positions to take on higher-skilled work.

But the Initiative is also innovative in the scope of the partnership that has created it. Besides city and state governments and private philanthropies, the coalition includes consortia of employers, unions and community groups.

What made this moment broadly significant was how well the pattern of this partnership could suit the struggles and opportunities of poor communities all over the world. Whether poor or prospering, all societies are connected, for good or ill, by the visible and invisible threads of globalization. All have to cope with swift movements of capital, rapid technological advances, and fast-changing comparative advantages.

Globalization has the capacity to make the world a better place, to lift the poor out of poverty, yet it could equally serve only to make the rich richer. In each place, globalization will affect the sectors, localities and interests differently. Left to themselves, each will respond differently, and they will understand the challenges and seize the opportunities more or less well. Yet only if they pull together will the promise of globalization come to outweigh the perils for whole societies.

Residents of any community need certain essential goods and services: access to employment, to quality health care and to education. They also want affordable housing, transport and child care. All need opportunities for creative expression, for spiritual refreshment and for connection with the wider society. In developing countries the needs are even more basic—affordable vaccines and medicines against HIV/AIDS, malaria and tuberculosis, and for the rural poor, new crop varieties and affordable fertilizers so that they can grow the food they need.

All these things are available in the aggregate. But the new structures of globalization have proven better at raising total production and wealth than at distributing their benefits equitably. Amid historic plenty, whole communities continue to subsist in scarcity and recurring crisis, while the benefits of growth and progress flow elsewhere.

Traditionally we have relied on the public sector to correct for such inequities, both nationally and through international bodies. But governments can sometimes be slow and inefficient and their policies at cross-purposes. Meanwhile markets and free enterprise, by themselves, can often deepen inequities rather than easing them. Take Boston again as an example: To afford even the most basic dwelling available on the market, both adults in a family of four would have to work more than 66 hours a week at the minimum wage. In the developing countries, for example, antiretroviral drugs that can give AIDS sufferers a chance of a decent life are unaffordable to almost everyone.

Yet beyond the easy polarity of public and private sectors, there is a third, much smaller arena, where activities are more often directed toward helping the poor gain access to affordable, essential goods and services. Ideally this middle arena, which includes large foundations and multinational bodies alongside community-based organizations working on behalf of poor people, should expand to meet the global need and demand for its work. Yet many of its constituent organizations, while effective at the local level, have difficulty catalyzing change on a larger scale. Moreover, many needs of poor communities depend on technology and innovation that are largely in the hands of the private for-profit sector.



The challenge we face is: How do we harness the innovativeness and enterprise of private industry with the scale and political clout of the public sector and the power of self-help and local commitment of the community-based sector? The answer lies, I believe, partly in the creation of public/private/community partnerships with the express goal of providing necessities like health care, housing, and reliable sources of food and income to people and communities that lack access to them.

Our recent history at the Foundation suggests that philanthropy has a special role to play here as facilitator and broker of such partnerships. For example, we have long been a key player in the National Community Development Initiative (now renamed "Living Cities"), a partnership of foundations, financial institutions, government agencies and local community-development corporations which has helped to provide affordable housing in 23 cities.

In the developing countries, working with many others, we have established public/private partnerships to discover and develop vaccines against HIV/AIDS, medicines and vaccines against malaria, and a new drug to combat tuberculosis. Most recently we have set up a partnership to develop microbicides that will eventually be used by women to protect them from infection by HIV, and another partnership to bring new agricultural technologies into the hands of small farmers. None of these are short-term investments, but this is one of the reasons why philanthropies, which can take the long-term view, are so crucial to success.

In my view, filling that role effectively is the best answer we can make to those who ask what philanthropy is for in the information age. It's true that the recent explosion of information and communication can make individual charity easier and better informed than in the past, and that endowing philanthropic institutions is not the only, or even always the best, way of distributing charitable wealth. Plenty of charity is and ought to be personal, and can be carried out through small foundations or with no institutional baggage whatever. What large philanthropic

institutions add is not some unique purchase on goodness, but an ability to step purposefully into uncharted and forbidding terrain, explore opportunities, assemble partnerships and find paths toward goals that, without intervention, would remain elusive, purely theoretical or altogether invisible.

Our mission at the Rockefeller Foundation is to help improve the lives and livelihoods of poor and excluded people throughout the world. We try to achieve this with a dedicated group of professionals who have been drawn from government, academia, community organizations and the private sector. Most important, through our regional offices they work with local community-based organizations to determine the priorities and policies our programs should support. The Boston Workforce Development Initiative is a case in point: Foundation staff spent two years consulting with employers' groups and local community organizations as well as government agencies to draw up an agreed structure and priorities for the partnership.

Philanthropy, as envisaged by our founder, John D. Rockefeller, is one of the outstanding assets of the United States of America. It is no substitute for government or the private sector or for the numerous nongovernmental and community-based organizations that fight tirelessly for the rights of poor and excluded people. But used wisely, a foundation's assets can help to bring various actors together, to experiment and to stimulate change, in ways that each individually may find difficult.

At the end of 2004 I will be retiring as President of the Rockefeller Foundation. I will look back on the past seven years with some pride and a sense of privilege at being given this extraordinary opportunity to serve my fellow men and women, both in the United States and abroad.

A handwritten signature in black ink that reads "Gordon Conway". The signature is fluid and cursive.

Gordon Conway



## ■ Mission

**The Rockefeller Foundation is a knowledge-based global foundation with a commitment to enrich and sustain the lives and livelihoods of poor and excluded people throughout the world.**

### **We Improve Opportunities for Poor People**

The Rockefeller Foundation is committed to achieving lasting improvements in the lives of poor people by working with them helping to ensure that they are included among globalization's beneficiaries. To do so, we provide grants to help eradicate poverty and hunger, minimize the burden of disease, improve employment opportunities, increase the availability and quality of housing and schools, and stimulate creativity and cultural expression.

### **We Use Knowledge**

We emphasize the importance of generating new, and harnessing existing knowledge to addressing the complex and difficult challenges faced by poor people. Our various areas of work are based on science, technology, research and analysis.

### **We Are Global**

The Rockefeller Foundation is a global foundation viewing poor people's challenges with a global perspective. We are committed to working on the ground where the consequences, for good or ill, of globalization are experienced. While we do not—and cannot—have a presence everywhere, we work intensively in Eastern and Southern Africa, Southeast Asia and North America.

### **We Focus on Lives and Livelihoods**

We believe the forces of globalization have their most visible impact on people's lives and livelihoods. So, to achieve lasting improvements, our work addresses challenges related to food, health, jobs and culture not in isolation, but as factors that are inextricably intertwined in poor people's everyday lives.

## ■ Contacting the Foundation About Grants

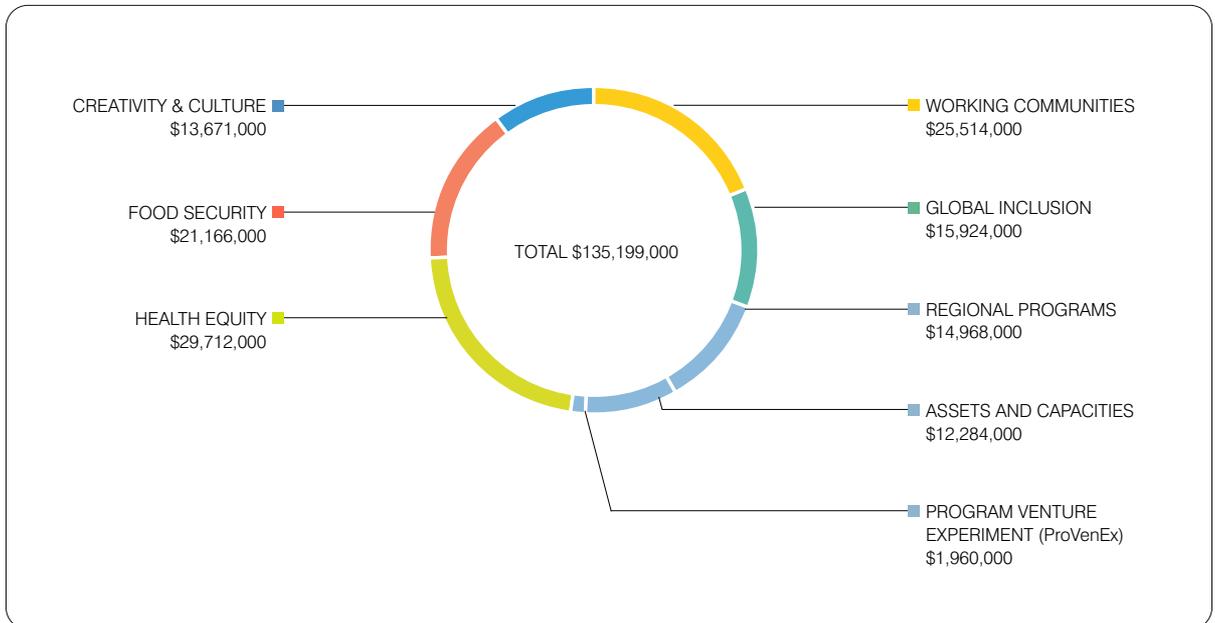
The Foundation is a proactive grantmaker—that is, the staff seek out opportunities that will advance the Foundation's long-term goals rather than reacting to unsolicited proposals. For this reason, the Foundation strongly discourages unsolicited grant proposals.

If after reviewing the Foundation's program goals in the following pages or at the Foundation's Web site at [www.rockfound.org](http://www.rockfound.org), your organization believes that its project would contribute directly to the Foundation's strategic goals, you may want to send a brief letter of inquiry addressed to the director of the subject area of interest, **The Rockefeller Foundation, 420 Fifth Avenue, New York, N.Y. 10018**. Inquiries can also be sent electronically to the e-mail addresses listed after each description below. If you are applying to a competitive program under our Creativity & Culture theme, please check the Web site or contact the program for deadlines and application forms.

Letters of inquiry should briefly describe the issues that the proposed project would address; information about the organization's experience in the field; estimated budget for and expected duration of the project; and qualification of key personnel involved in the project. Please do not send attachments.

Letters of inquiry will be considered as they are received throughout the year. Inquiries take from six to eight weeks for review. Organizations submitting inquiries that Foundation staff think might contribute to a defined area of work will be asked to submit a full proposal.

As a matter of policy, the Foundation does not give or lend money for personal aid to individuals or, except in rare cases, fund endowments, or contribute to building and operating funds.



## Attacking Famine's Last Stronghold

**N**early 250 million Africans south of the Sahara—a population roughly equal to that of the United States—live on less than \$1 a day. Of these poorest of the world's poor, the overwhelming majority live in rural areas, mostly on small farms where climate and soil conditions are harsh and variable, and where years of hard labor often yield barely enough for survival. For these families, the productivity of the farm and the success of any given year's harvest are the sole factors separating subsistence from starvation. ⇒



**Food Security**

Kenyan farmer Julita Okiru starts her work day by lamplight, long before sunrise.



Even in good years, when some small farmers might find themselves with a surplus that could be sold or bartered, most live too far from market centers—where, in any case, markets are often rudimentary at best. Poor roads and few vehicles make it impractical to transport and sell highly perishable produce. Survival, in such conditions, typically depends on growing small amounts of many crops, both to provide a mixed diet and to protect against outbreaks of disease, pests or other natural catastrophes that could wipe out any single crop in a stroke. From these patchwork harvests, economies of scale are mostly out of the question.

In East Africa, where much of our work on the continent is concentrated, a typical farm might be no bigger than one hectare—two and a half acres, about the size of a regulation soccer field. It could well contain a mixture of maize, beans, bananas



and cassava, a root crop that is a staple across much of Africa. That diversity, though prudent for subsistence farming, means that most farmers dare not specialize, and no single improvement in farming techniques would boost their yield on more than a few hundred square feet of land. To complicate matters further, African climate and soil conditions vary dramatically even across very short distances. So circulating better seeds, promoting soil conservation, organizing collectives and disseminating better



Food Security

Breakfast in the Okiru household: roasted soybeans, maize and peanuts before daybreak.

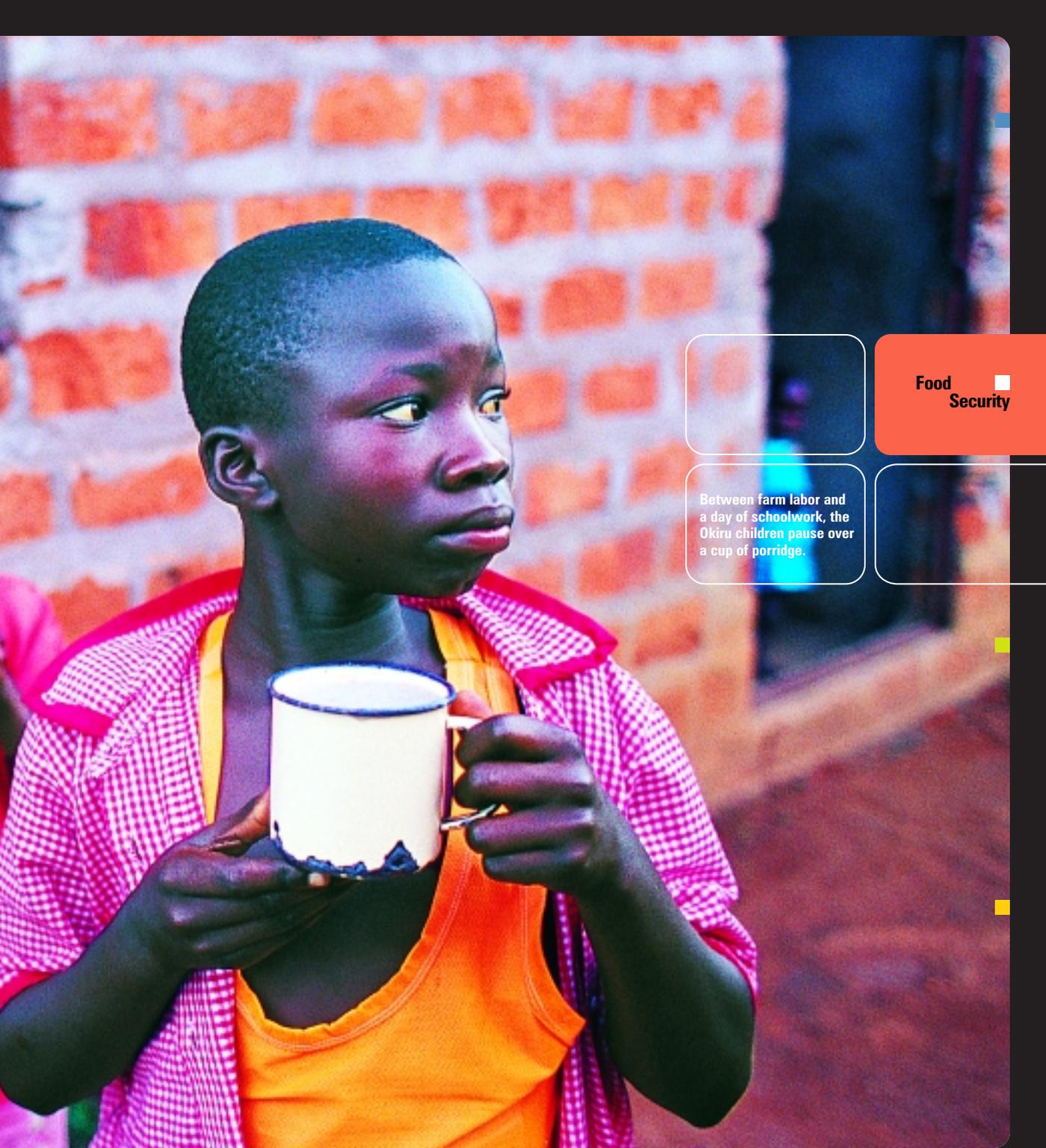
farming practices—all these things have to proceed one crop, one field, one microclimate at a time.

On Julita Okiru's farm in the Teso District of western Kenya, a few of the chronic obstacles to growth are beginning to break down. Mrs. Okiru is part of a collective of women farmers who pool their knowledge and labor, plant newer and hardier seed varieties, and are beginning to process some of their surplus crops to make them durable enough to sell. Still, as with most such farms, the family is in the fields hours before dawn each day, feeling their way in total darkness. After two hours of hard labor, as the sun is rising, the children head off to a full day of school. The adults continue to work the fields by hand until past nightfall. There is no electricity or plumbing.

In Africa, a plot of farmland the size of Mrs. Okiru's typically yields a ton of produce in an average year. The same amount of land in China yields eight tons. With populations rising at almost 3 percent a year and food shortages rampant, Africa does not produce enough food to feed itself, much less to fuel economic growth. Any hope of raising incomes and ending the repeated waves of humanitarian disaster must therefore include steps to multiply the yield of small farms. ⇒



**The Rockefeller Foundation seeks to help farmers like Julita Okiru and her neighbors in three ways: producing and distributing higher-yielding seeds; conserving and enriching soil for more productive, sustainable farming; and developing markets where small farmers can earn more from surplus harvests. To show the combined effect of the three efforts in a single place, the Foundation has chosen**



**Food Security**

Between farm labor and a day of schoolwork, the Okiru children pause over a cup of porridge.

western Kenya. There, Mrs. Okiru and roughly 2 million other farmers and their families live and work in relative isolation, with strong local organizations but far from urban and coastal market centers, and with consequently the country's highest concentration of poverty. ⇒



Breeding better varieties of crops, whether by traditional hybridization or cutting-edge biotechnology, has led to bigger and more reliable harvests—the essential first step in combating destitution and starvation. Soil conservation and enrichment programs increasingly involve farmers and community organizations as well as scientists in setting priorities and in spreading new practices to more and more farms. Recent work has focused on assembling the elementary components of produce markets, including a new network of community cereal banks where farmers aggregate their excess corn, store it safely, and transport it in bulk to commercial centers for a competitive price.

For Julita Okiru and her neighbors, taking advantage of new farming methods and expanding markets would surely mean a better standard of living. If that approach is successful in western Kenya, its lessons could mean economic growth across much of sub-Saharan Africa, a crucial breach in the world's last great stronghold of massive, unyielding poverty.

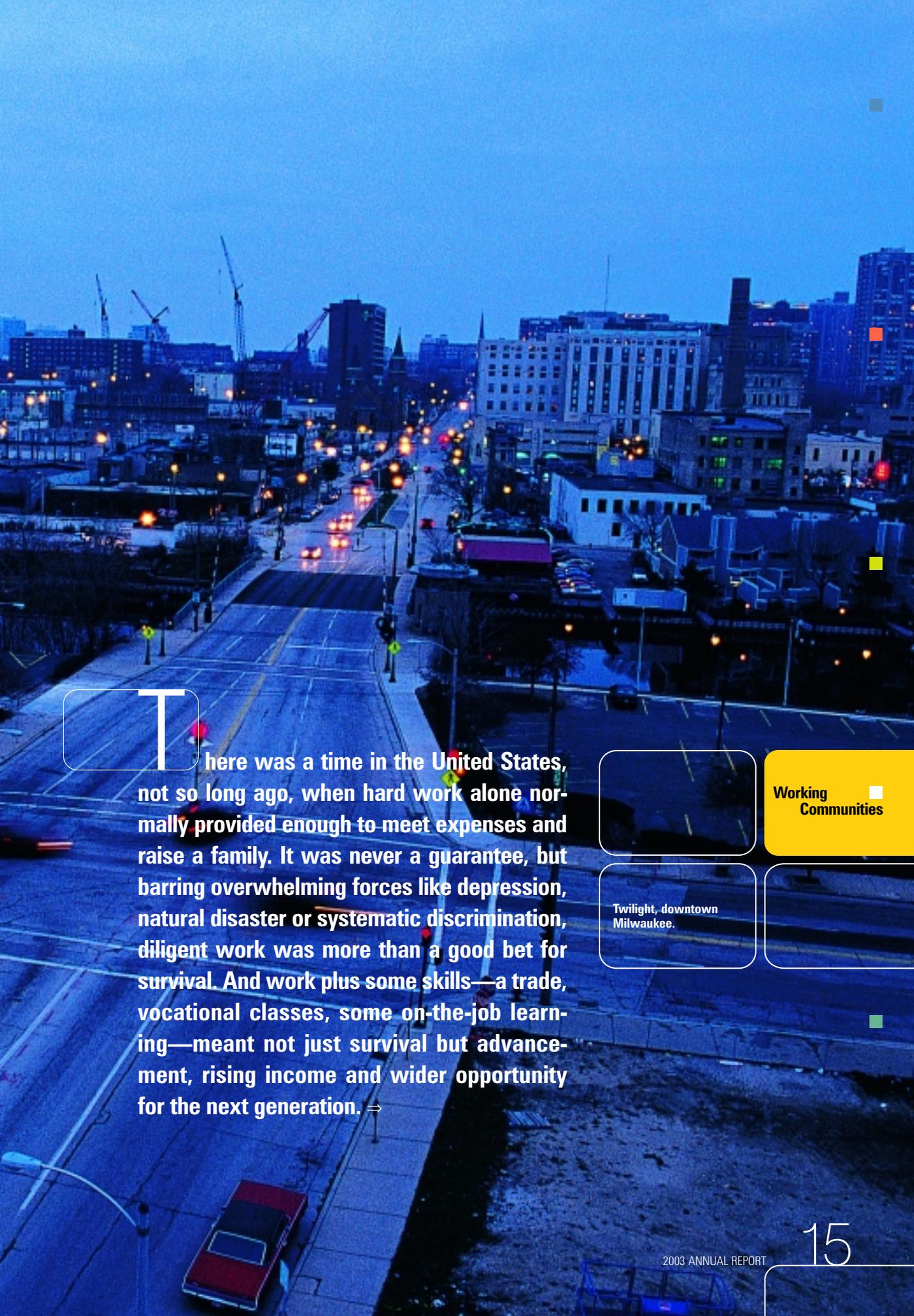
Food Security

Mrs. Okiru, alone and (below) with a neighbor. After the children head to school, neighboring farmers often work their fields together.





# Making Work Pay



**T**here was a time in the United States, not so long ago, when hard work alone normally provided enough to meet expenses and raise a family. It was never a guarantee, but barring overwhelming forces like depression, natural disaster or systematic discrimination, diligent work was more than a good bet for survival. And work plus some skills—a trade, vocational classes, some on-the-job learning—meant not just survival but advancement, rising income and wider opportunity for the next generation. ⇒

**Working  
Communities**

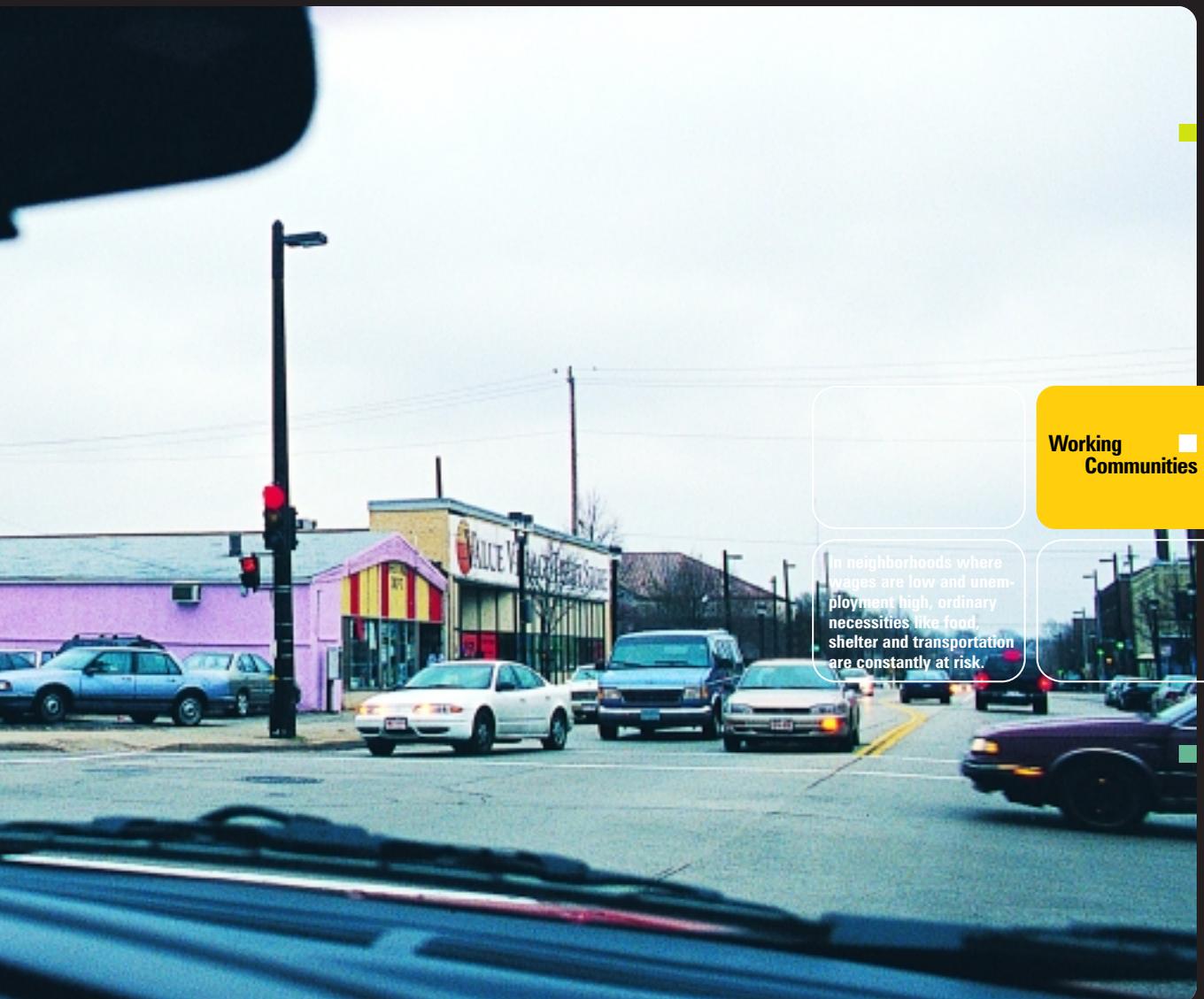
Twilight, downtown  
Milwaukee.

That time, if not entirely past, is waning fast. Yet the patterns of American political thought, industry practices, government policy and even social organization have been slow to adapt. Programs and regulations that were written for a manufacturing economy, where jobs and pay ladders were relatively secure, have adjusted poorly (if at all) to a market whose strengths cluster at the top and bottom of the spectrum of pay and skills. Today, a job seeker with relatively average skills—a high-school diploma, say, or even some years of college—may have no choice but to join the roughly one-quarter of all Americans who earn less than \$8.70 an hour. Not only is that too little to maintain a family in many places, but jobs at that wage level are far less likely to lead to advancement or employment security, even for the most diligent employees. There have been, it's true, two partial advances toward a more effective American workforce policy in the last two to three decades. But neither yet approaches a real



response to a profoundly altered environment. One step forward has been the development of a legion of local organizations that have become adept at marshaling resources for people who need work, referring job seekers to employers or potential trainees to suitable programs. Though often thinly staffed and funded, these organizations have increasingly found common cause with employers and their trade groups, with community colleges, and with government programs, helping all three to reach people who are unemployed or underemployed.

The other trend, more halting but potentially much wider in scope, has been the development of state and federal labor and workforce-development policies that at least partly recognize the changing needs of workers, job seekers and employers. Certain states and localities are using public workforce dollars to link employers and community groups in effective alliances. Some are targeting training and



**Working  
Communities**

In neighborhoods where wages are low and unemployment high, ordinary necessities like food, shelter and transportation are constantly at risk.



family-support programs jointly to where they will have the greatest effect, or have developed labor and social-service policies that work toward coherent goals. Few have done all these things, and even the best programs are still new, fragile and vulnerable to shifts in fiscal or political winds.

In Milwaukee, where city and state workforce policies are generally ranked high by national standards, Nadine Machicote has had a taste of one successful employment program that helped her stay employed for the last several years. Yet even after completing the well-regarded New Hope for Families and Children program five years ago—and raising a family that includes at least two college-bound high achievers—she has barely kept a step ahead of poverty. Today she works as a receptionist at a title company where she takes a barrage of incoming calls on 140 phone lines while also greeting visitors, handling mail and summoning staff to meetings. Besides computer skills, the job demands concentration, discipline and courtesy. Yet it's available only four days a week and provides rudimentary health benefits that didn't cover the effects of Ms. Machicote's recent fall on the ice. The result of that fall: an avalanche of hospital bills that have pushed her family into bankruptcy. →



Above, left and right: Nadine Machicote handles internal communication in a title company, besides juggling more than 140 incoming phone lines.

Below, Nadine heads home after a day of work.

**Working Communities**



Nadine Machicote's experience is not an isolated case of good news mixed with bad. Programs like New Hope, a Rockefeller Foundation grantee, often increase participants' skills, help them stay employed, benefit their children in several ways, and bolster their self-confidence and ability to navigate the labor market. And yet employment and skills programs, by themselves, are rarely enough to lift families safely out of hardship—especially if they lead to jobs that provide no health insurance and pay too little to cover housing and basic necessities.

The Foundation therefore aims its efforts on a set of mutually reinforcing goals: Improving wages and benefits at the low end



of the labor market and focusing programs for training and job placement on growth industries that produce higher-wage jobs with opportunities for mobility. These goals rest on one central observation: The best hope for families like that of Nadine Machicote lies neither in hard work and skills alone nor in public funding and policy alone, but aligning the two so that both lead to steady incomes and a fair, living reward for effort invested. ■



**Working Communities**

Left and right: Nadine Machicote's spare time consists of keeping house, raising a family and providing for basic needs—with economic catastrophe never far away. Above: Nadine's son Giorgio heads home after school.



reym  
THE ROCKEFELLER FOUNDATION  
RESEARCH AND EDUCATION CENTER

Cambodia's Reyum  
Institute of Arts and  
Culture in Phnom Penh.

## Preserving the Past, Enriching the Future

**A**mong the more insidious effects of deep poverty—harder to measure than malnourishment and disease, but just as far-reaching in effect—is the erosion of things that bind societies together. When countries and peoples lack the material means of survival, they eventually suffer not just physically but culturally. Long-standing hardship breeds isolation and disintegration, a loss of common identity, will and imagination, a weakening of the foundations that help civilizations endure, adapt and draw strength from diversity. →

Violence and oppression, given enough time and virulence, will have much the same effect. And in many parts of the world, the ill effects of poverty and of official brutality conspire together. The result is a concerted battering of culture and spirit, compounding the damage wrought by isolation, disunity and exclusion.

Yet, as it happens, the destruction of culture is not so easy as the destruction of lives and property. South African journalist and poet Don Mattera wrote in 1987 that "there is nothing that can be hidden from the mind, nothing that memory cannot reach or touch or call back." That observation now headlines the Web site of South Africa's District Six Museum, a Rockefeller Foundation grantee. The museum's purpose is to revive the identity and memory of a Cape Town district that was, before apartheid, a racially and economically mixed community. Significantly, the museum is also allied with a redevelopment trust, aimed at restoring displaced people to their original homes. In District Six, the physical and cultural revivals proceed in tandem, as they almost always must. →





Remembering the Khmer Rouge horrors: An exhibit presents faces of the 12,500 who were tortured and killed at the Tuol Sleng prison.



**Another example: Cambodia's gradual re-emergence from a century of colonial rule and civil war, grotesquely capped by the atrocities of the Khmer Rouge in the mid-1970s. Here, as in Cape Town, the challenge is to build a modern society while preserving the foundations of history, culture and spirituality that will give that society life. Whether these two challenges, of imagining the future and remembering the past, pull in the same direction or in conflict with each other will be among the most fundamental questions facing Cambodians as they decide what kind of society they wish to build.**

**In societies emerging from long persecution or other hardships, supporting culture means, among many other things, supporting the diverse people and institutions whose talent, understanding, memory and inspiration constitute a living heritage. That is why the Rockefeller Foundation, in poor and developing societies around the world, has sought out opportunities like those in South Africa and Cambodia to support the creative, reflective and critical ferment in which societies define and enrich their lives. With its grants, the Foundation supports not only the arts and humanities directly, but the critical, archival and other public forums in which**

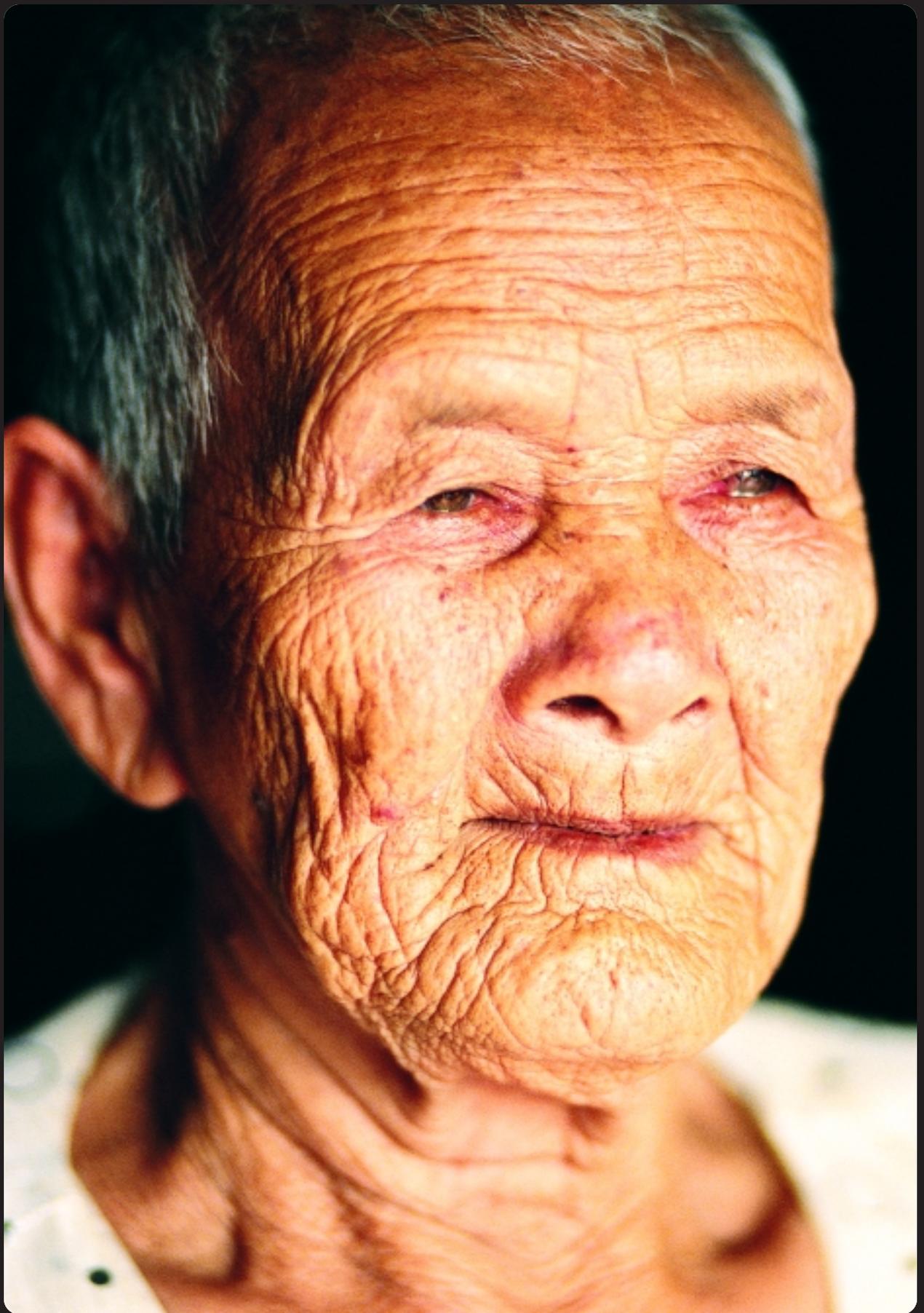
people question and innovate, connect their future with their past, and exchange understandings of the world—artistic, cultural and spiritual—with people of other cultures and places.

Among our grants in Cambodia is support for Reyum Institute of Arts and Culture, based in Phnom Penh. Reyum provides an open, flexible space for exhibitions, performances, research, training and education. One of its projects is an effort to reassemble Cambodia's collective memory, gathering the stories, photographs and other artifacts of the country's elder generation.

For example, visiting a Buddhist *wat*, or temple, Reyum staff recorded the nuns' recollections of fashions from 30 years ago, how women braided their hair, how clothes were made and worn, and what various decorative and religious symbols meant. These are now part of a growing "memory bank" of history and culture, a living part of the museum's collection. In other cases, memory bank researchers detail family histories, local customs, and forms of traditional art and expression. →

Women at the Nun Muny Pagoda convent share photos (left) and memories of daily life before Cambodian independence.





At left, Sim Savin is a resident of the Nun Muny Pagoda convent and a depositor in Reyum's "memory bank."

At right, children study art at Reyum. Artist Vann Nhat, in the small photo below, painted the doomed of Tuol Sleng prison.



Reyum's efforts at national recollection often make for invigorating work, though not always. Speaking to painter Vann Nhat, who for years was forced to make documentary paintings of the Tuol Sleng prison camp under the Khmer Rouge, one hears more readily about Cambodians' hopes for the future than about the horrors of their past. Mr. Nhat's paintings, and much of his conversation, now more often reflect an imagined tranquillity than a remembered trauma. "Sometimes when you have a shock," he says, "you don't want to talk for a while."



The work of self-definition will be slow. The demands of physical survival and development will sometimes crowd out those of the mind and spirit. Yet for a society to govern its future and shape its own growth, both sets of needs must be tended. Both for healing and for building, for reconciling differences as well as encouraging diversity and innovation, the work of creativity and culture is more than a beneficial luxury. It is an indispensable foundation for a better life.

# Saving Mothers, Saving Families

**M**ore than two-thirds of all HIV infections occur among just one-tenth of the world's population: in Africa, south of the Sahara. An estimated 29 million people there suffer from AIDS or are infected with HIV, with 3.2 million new infections in 2003 alone. Of those who most need the antiretroviral drugs that commonly treat HIV infection in wealthier countries, roughly one person in 10 actually gets treatment. That is the lowest treatment rate in the world. ⇒

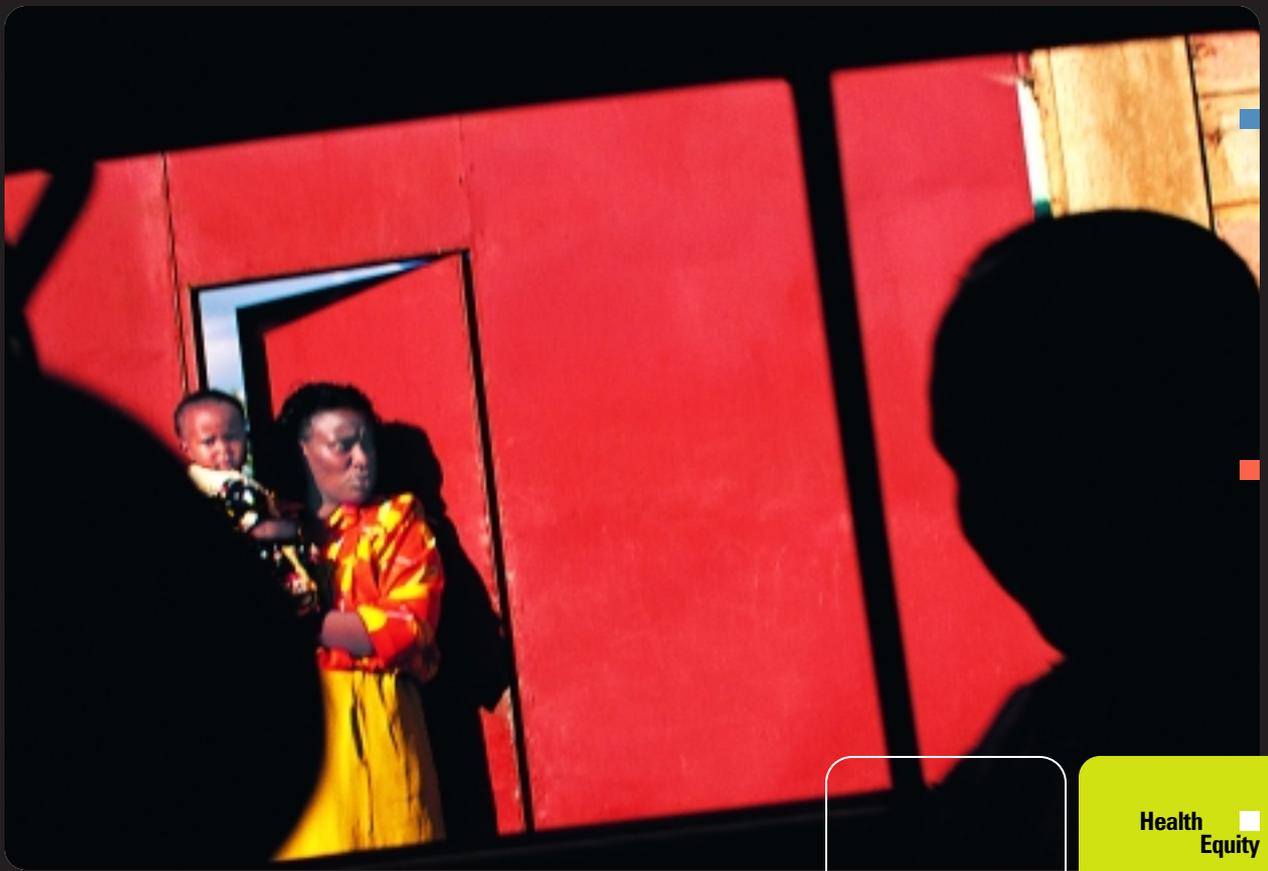


Health   
Equity 

The morning commute  
near Eldoret, Kenya.



Pauline Muruli shows a photo of her son Kevin, who died of AIDS-related illness at 6.



Health   
Equity

Peer counselor Cecilia Onjero, with her 1-year-old daughter Buthabo.

**In the worst-hit countries, an average parent's life expectancy has already dropped by more than one-third, to as young as 35. For their children, the odds are overwhelming that they will soon watch their parents decline, suffer and die, and then find themselves cast to an uncertain fate at the hands of relatives (who may also be infected), the rare charitable organization, or unknown adults with less generous intent.**

**The solution to this human catastrophe lies in more than just distributing pills, daunting as that challenge remains. Even when medicines reach infected people, they can be expensive and thus hard to sustain in the needed quantities. Response to the medication must be monitored regularly, and dosage levels periodically adjusted. People who are not yet aware of their HIV status must first come forward for testing and seek help if they test positive—actions that in many places still invite stigma and public ostracism. For these reasons, many authorities in the 1990s preferred to focus solely on prevention, regarding the widespread treatment of people already infected as almost hopelessly complex and costly.**

**Yet with rates of HIV and AIDS exploding throughout Africa, the Rockefeller Foundation chose in 2000 to tackle treatment and prevention together. Alongside our**

continuing investment in microbicides to help women defend themselves against infection, we began focusing another part of our grant-making on care for mothers— both those with HIV and those not infected. The rationale for that starting point was simple but powerful: Maternal health care is among the stronger elements of a still fragmentary health system throughout central and southern Africa. Saving mothers also prevents or defers orphanhood for their children. And women are often the pillars of African families and primarily responsible for the well-being of children. Best of all, programs to prevent transmission of HIV from mothers to children (known as MTCT, for "mother-to-child transmission") were already under way in many places. What they lacked was a way of continuing the care for mothers after their children were born.

What became the MTCT-Plus program—offering ongoing treatment to mothers after delivery, and extending care to fathers and children—is now operating in eight countries, seven of them in sub-Saharan Africa. We hope that, if it's successful, it will be replicated more broadly in regions with limited health care and widespread poverty. Already, in the places where it's under way, MTCT-Plus seems to be improving care not just for people with HIV and AIDS, but more generally, by increasing the amount and quality of available primary care and by drawing in more people for diagnosis and treatment. The program is also influencing the World Health Organization's plans to distribute antiretroviral drugs to 3 million more people by 2005. ⇒





Health   
Equity

Pauline Muruli and husband Ezekiel Indiekuli, with sons Ekulé (left) and Daniel. Both parents and son Daniel receive AIDS treatment at a rural clinic where Ezekiel is a volunteer counselor. All are in much stronger health since coming to the clinic. Ekulé is uninfected.



Cecilia Onjero's family: husband David Mushiri, sons Timothy (left, 7) and Joseph, 12, with year-old daughter Buthabo on her father's lap.

**At one of the MTCT-Plus pilot sites, in Eldoret in western Kenya, David Mushiri and his wife Cecilia Onjero lead a peer-counseling group to help infected adults overcome their fear of seeking a diagnosis and treatment. "Stigma," says Mr. Mushiri, "is a major reason why this continues to spread. No one talks about it, so nothing changes. I know that talking about it with others while I'm healthy will help fight stigma. It gives others and myself confidence and hope."**

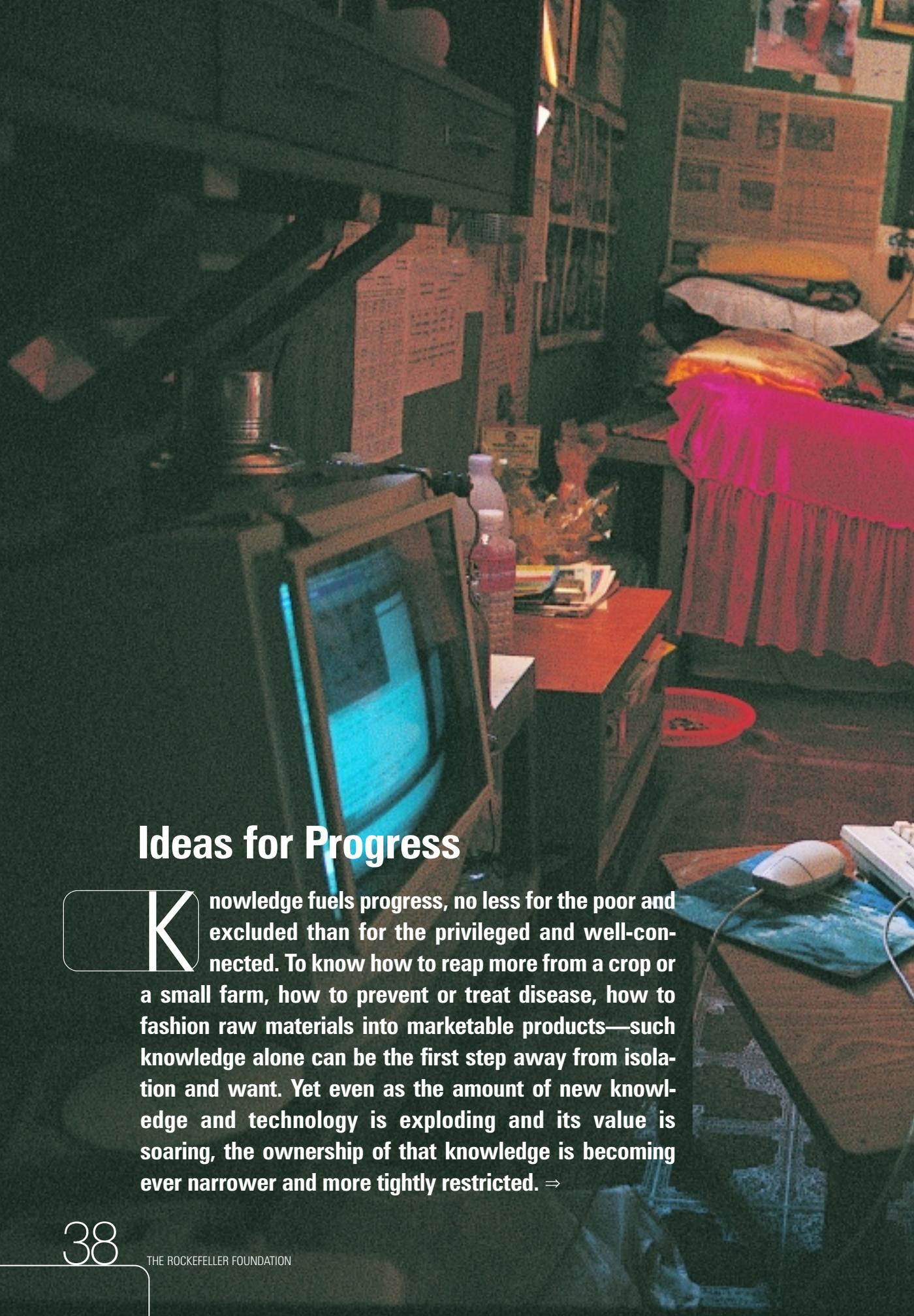
**At the time this is written, Mr. Mushiri and Ms. Onjero are comparatively healthy, partly because of the information and treatment they've received at the Eldoret clinic where they are now also volunteers. With the couple in treatment, their child, a daughter, was born without HIV. The future for Mr. Mushiri is still worse than the norm in many other parts of the world: "We know we won't be around when the children go to university," he says—though there is now at least some hope, if not strong odds, that he may be wrong. Still, even that prospect is a marked improvement, for both parents and children, over the grim certainty of just a few years ago.**

**As the cost of medication continues to fall, as governments increasingly invest in treatment as well as prevention, and as African institutions find readier inclusion in world efforts against AIDS, it has become easier to envision a time when HIV in Africa would become, as it now is in many wealthier parts of the world, a cause for concern and care, but not for panic, stigma or despair. ■**



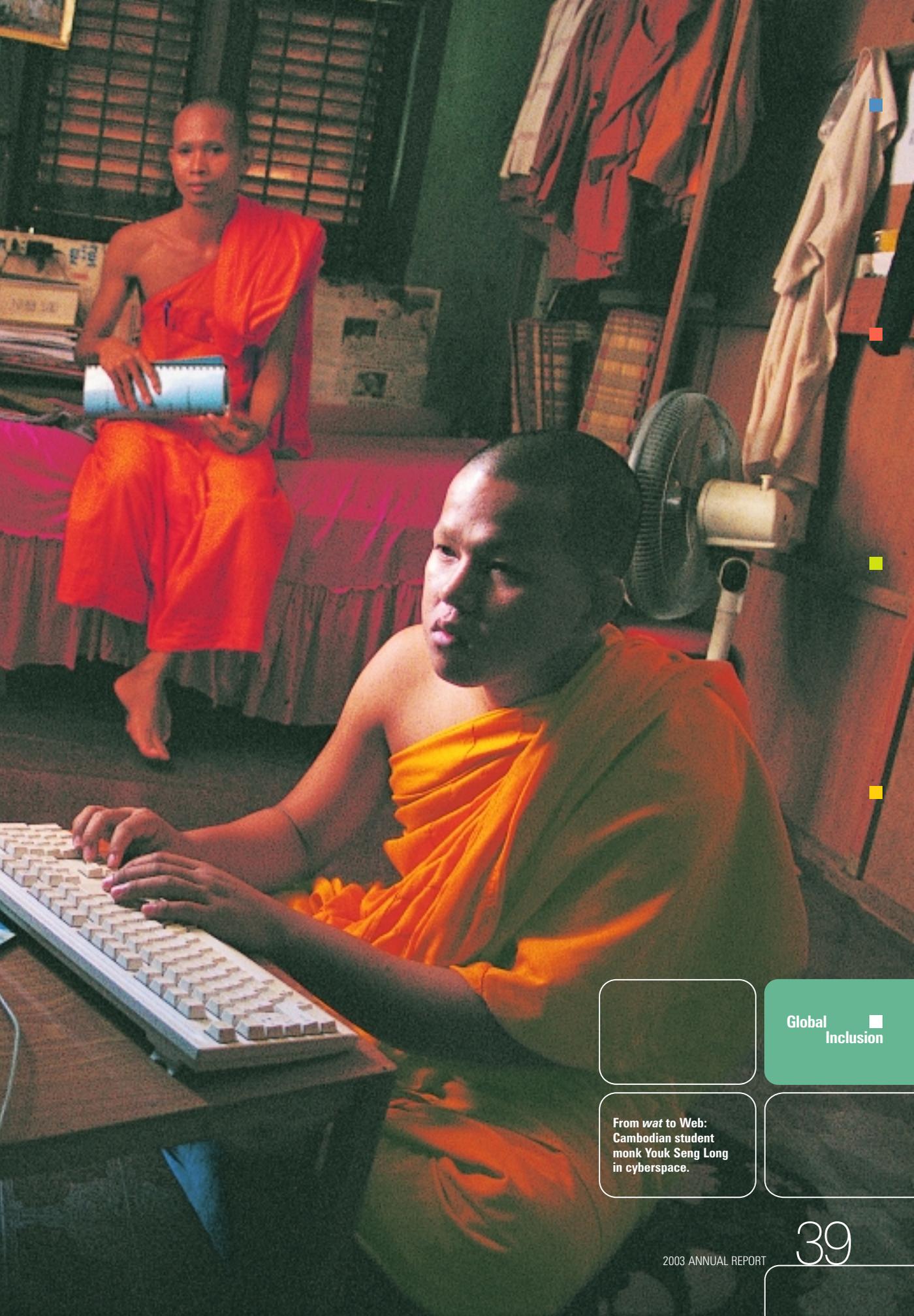
Health   
Equity

Buthabo Mushiri was born HIV-negative after her parents were enrolled in the MTCT-Plus program in Eldoret.



## Ideas for Progress

**K**nowledge fuels progress, no less for the poor and excluded than for the privileged and well-connected. To know how to reap more from a crop or a small farm, how to prevent or treat disease, how to fashion raw materials into marketable products—such knowledge alone can be the first step away from isolation and want. Yet even as the amount of new knowledge and technology is exploding and its value is soaring, the ownership of that knowledge is becoming ever narrower and more tightly restricted. ⇒



Global Inclusion

From *wat* to Web:  
Cambodian student  
monk Youk Seng Long  
in cyberspace.





In a world more and more governed by agreements and laws on intellectual property, the work of the mind has become a commodity, held disproportionately by those closest to the centers of wealth and learning, and traded primarily among those who can pay the price.

This new world of intellectual ownership is, in itself, neither beneficial nor harmful. Or more precisely, it could become either one, depending on how we manage it. When private interests own ideas, techniques, even certain forms of life, as emerging systems of patent and copyright protection increasingly allow, the potential for profit may give owners a unique incentive for good, a promise of material reward for wringing new benefits and further knowledge from those assets. Yet others who also seek to apply that knowledge—especially residents of poor communities and researchers working on ideas that might benefit them—now increasingly find a **KEEP OUT** sign where once there had been a much freer sharing of inquiry and discovery. ⇒

Globalism confronts children with diverging futures: deepening poverty and exclusion (Nairobi, left).

A widening link to technology and the world (above, Phnom Penh).

Global Inclusion



**To the world's academies and research centers, this is an unsolved equation whose pluses and minuses have yet to come clearly into balance. But for those working to apply knowledge and innovations to the challenges of health, food security and job creation in places of deep poverty, today's system of intellectual property and ownership creates troubling barriers to progress. For those reasons, the Rockefeller Foundation's work—which helps poor communities share in the benefits of globalization—includes a concerted effort to bring about a better, fairer system of intellectual property protection. The goal is a system that responsibly opens knowledge and opportunity to people whose survival and progress depend on that knowledge, and at the same time affords them protection for their own scientific, economic and artistic work.**



Imagine, for example, that you have an idea for a higher-yielding crop or less costly fertilizer—one that could help take tiny African farms from subsistence to surplus. Or a drug that could double the life expectancy of a mother with HIV, thus over time cutting in half the number of orphans from AIDS. You would most likely start with existing crops or drugs or soil additives. You would use the latest research methods, laboratory instruments and findings of other scientists to improve on those earlier accomplishments. If you are successful, the result will save and enrich lives. But given the poverty of the people who will benefit, your results will probably not bring great wealth. →

Global Inclusion ■

A hardier variety of bean could help take a struggling farming family from subsistence to surplus.



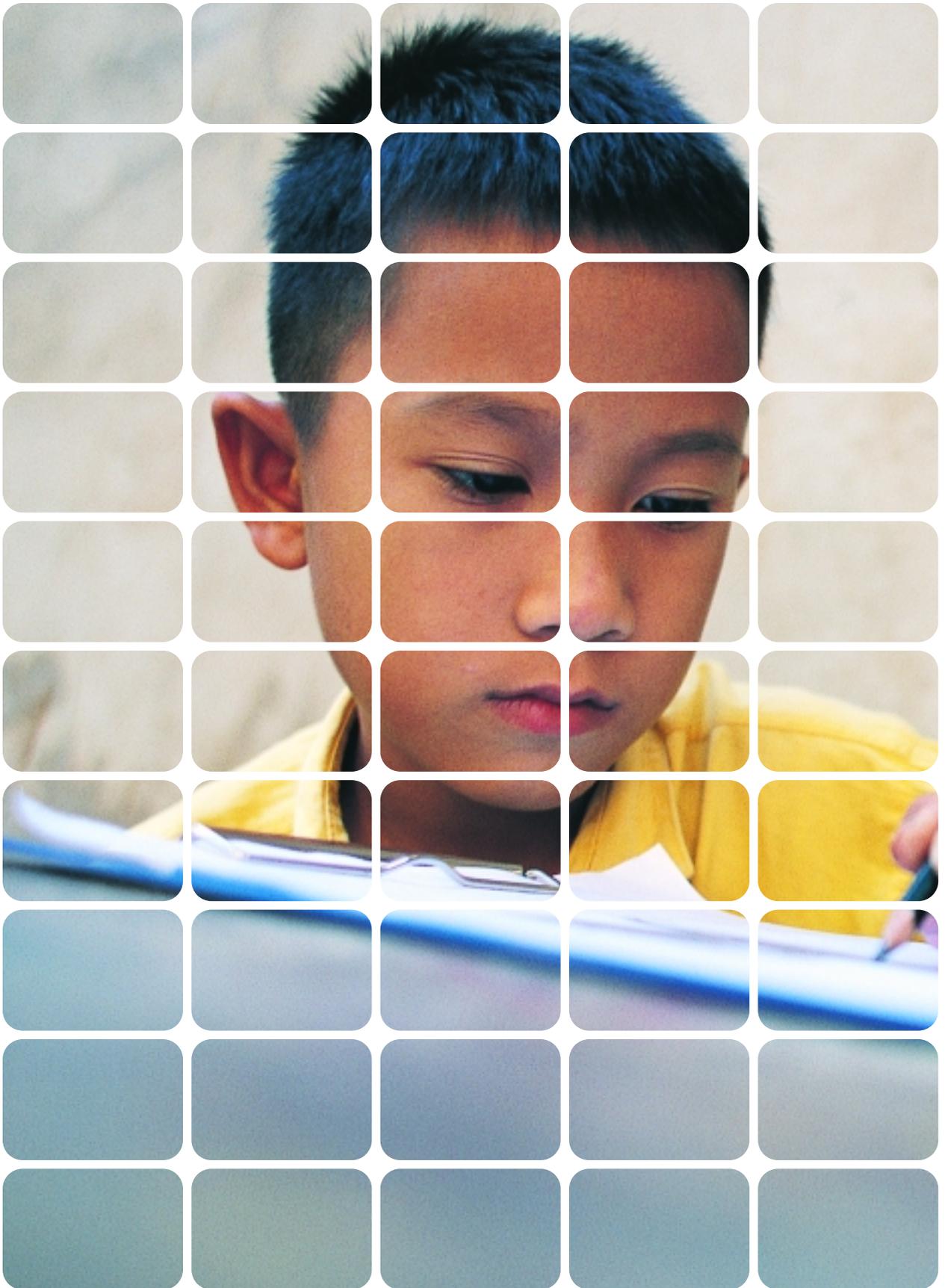
Yet in the new global marketplace of ideas, the odds are overwhelming that your project will have landed you in a thicket of legal and economic obstacles from the start. All those existing crops and additives, the research methods, the earlier discoveries, the lab instruments—much of the raw material of your humanitarian research—is apt to be owned by dozens of people and companies that will either forbid your work entirely or demand payment as soon as your results reach the market. The small income likely to flow from your discovery might never approach the cost of those payments.

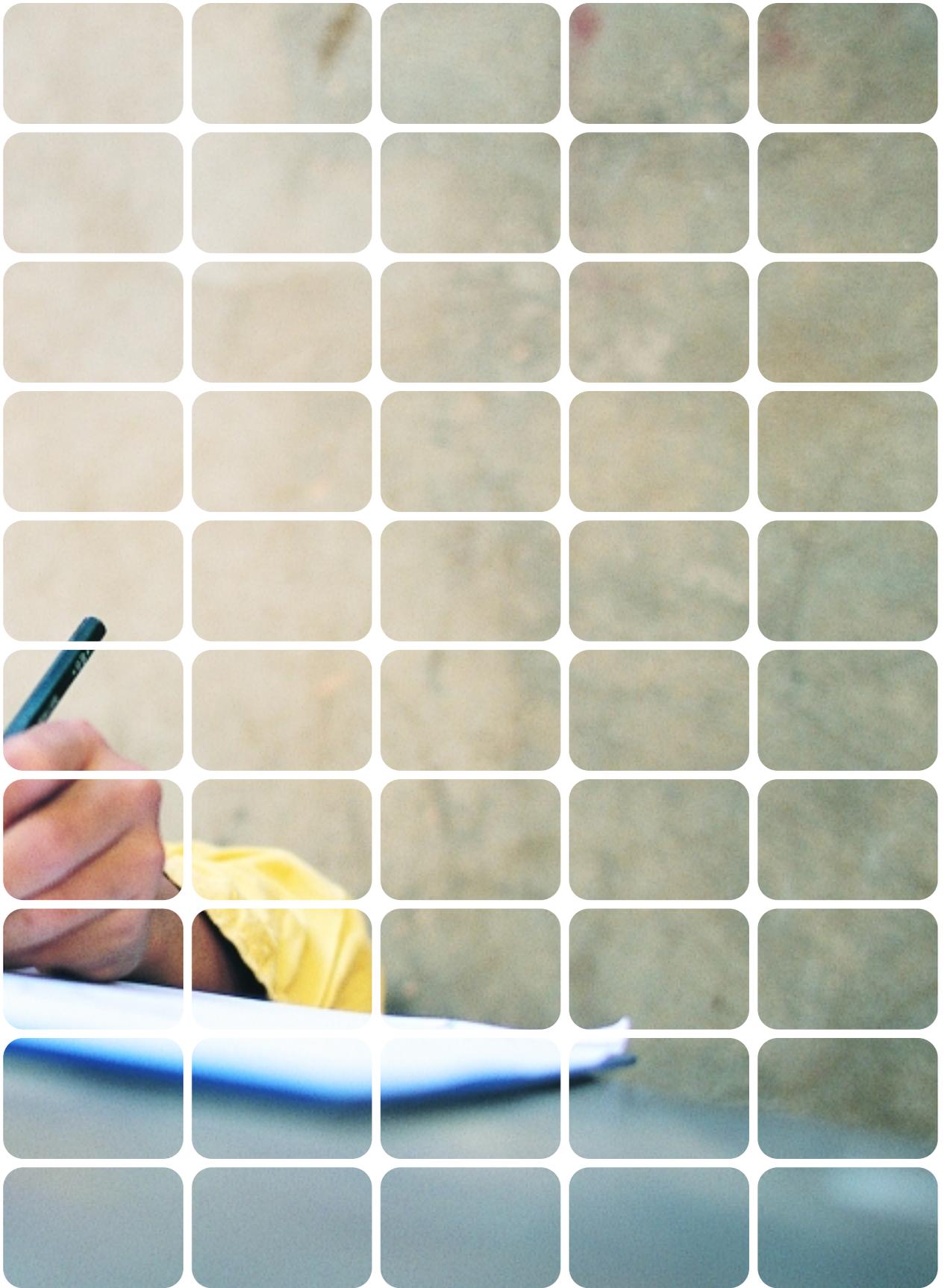
The Foundation's grants seek not to break down the emerging system of intellectual rights and protections, but to help developing countries create intellectual property regimes and projects that will extend the benefits of new knowledge to those who need them most. One example: A new organization of four multinational agricultural companies, organized at the Foundation's prompting, will now offer the members' technology free, on a case-by-case basis, to African scientists battling starvation. The Foundation has also seeded a unique alliance of U.S. land-grant universities and research centers working to create new forms of patent and copyright protection—ones that explicitly allow for unobstructed work on humanitarian projects like new fertilizers or disease-resistant crop varieties.

The result will not be—and arguably should not be—a profound disruption in the market for intellectual property. Instead, if these efforts succeed, they will have expanded that market to make room for research on behalf of people who would not otherwise benefit and who can in turn enrich it with their own knowledge. ■

Global  
Inclusion ■

A teacher prepares the generation that will lead Kenya through much of the 21<sup>st</sup> century.







■ **Program Goals**

**Themes**

We have chosen four programming “themes” around which we organize our grantmaking. These themes are based on their direct relevance to our mission and on our historic competencies. Sustaining and enriching lives and livelihoods requires food security, more equitable health outcomes, and opportunities for work and creative expression. Within each theme are focused Areas of Work.

**AREAS OF WORK**

There are two kinds of Areas of Work, which constitute the heart of our operations: Thematic Areas of Work—Food Security, Health Equity, Creativity & Culture, and Working Communities; and Shared Areas of Work—Global Inclusion and our regional work in Southeast Asia, North America, and Eastern and Southern Africa.

■ **Creativity & Culture**

**Goal: To give full expression to the creative impulses of individuals and communities in order to enhance the well-being of societies and better equip them to interact in a global and dynamic world.**

<b>Root Causes</b>	<b>&gt; Areas of Work</b>
Lack of understanding or appreciation of the creativity and expression from diverse groups	> Resilient and creative communities
Lack of knowledge and respect for values, traditions and beliefs from different segments of society	> Creativity, knowledge and freedom in the public sphere
Rapid changes from globalization, including digital technology	> Creativity and innovation in a global age

Inquiries at: [creativity@rockfound.org](mailto:creativity@rockfound.org), or fax (212) 852-8438, or refer to the Foundation Web site.

■ **Food Security**

**Goal: To improve the food security of the rural poor through the generation of agricultural technologies, institutions and policies that sustain livelihoods in areas of sub-Saharan Africa and Asia bypassed by the Green Revolution.**

<b>Root Causes</b>	<b>&gt; Areas of Work</b>
Major loss of harvest to drought, pests and diseases	> New crop varieties for Africa
Depleted farmlands cause low yield potentials	> Enhancing soil productivity in Africa
Farmers lack access to input and output markets	> Markets to increase the incomes of poor farmers
Corporate dominance limits access to agricultural technologies	> Public goods for poor farmers

Inquiries at: [food@rockfound.org](mailto:food@rockfound.org), or fax (212) 852-8442, or refer to the Foundation Web site.



■ **Health Equity**

**Goal: To reduce avoidable and unfair differences in the health status of populations.**

**Root Causes**

**> Areas of Work**

- |   |                                   |
|---|-----------------------------------|
| Health product market failures                            | > Harnessing the new sciences     |
| Neglect of human and knowledge resources                  | > Learning health systems         |
| Lack of resources devoted to AIDS in developing countries | > Rising to the challenge of AIDS |

Inquiries at: [health@rockfound.org](mailto:health@rockfound.org), or fax (212) 852-8279, or refer to the Foundation Web site.

■ **Working Communities**

**Goal: To transform poor urban neighborhoods into working communities—safe, healthy and effective neighborhoods—by increasing the amount and quality of employment, improving the quality of all urban schools, and revitalizing poor neighborhoods through mixed-income community development.**

**Root Causes**

**> Areas of Work**

- |  |   |
|--|---|
| Wages, benefits and mobility for those with high-school education or less are declining  | > Encouraging economic resiliency           |
| Low-income and minority children attend schools that possess inadequate resources to ensure equal educational opportunity  | > Adequate financing for educational equity |
| Public policies and private practices prevent low-income and minority households from access to housing in mixed-income communities that provide opportunities to build assets | > Housing for mixed-income communities      |

Inquiries at: [work@rockfound.org](mailto:work@rockfound.org), or fax (212) 852-8273, or refer to the Foundation Web site.



■ **Program Goals**

**Shared Activity**

■ **Global Inclusion**

**Goal: To help broaden the benefits and reduce the negative impacts of globalization on vulnerable communities, families and individuals around the world.**

Root Causes	> Areas of Work
New philanthropists lack the advice and support needed to maximize their effectiveness and reach into poor and excluded communities in developing countries	> Increasing the flows of capital and benefits of know-how to poor people
Global debates and institutions do not adequately reflect and address the needs of poor and excluded people	> Building support for global/regional policies that benefit poor people
Peace and security are undermined by a lack of knowledge and appropriate processes	> Strengthening conflict prevention and management
Inquiries at: <a href="mailto:global@rockfound.org">global@rockfound.org</a> , or fax (212) 852-8203, or refer to the Foundation Web site.	

**REGIONAL PROGRAMS**

■ **Eastern and Southern Africa**

**Goal: To contribute to the revitalization of the African continent by building the required human and institutional capacity and providing critical information that will promote effective policies and programs to improve the lives and livelihoods of the poor.**

Root Causes	> Areas of Work
Lack of skilled and educated people and strong institutions is hampering development	> Human and institutional capacity building
Lack of information results in poorly chosen priorities	> Information for development
Inquiries at: <a href="mailto:info@rockfound.org.ke">info@rockfound.org.ke</a> , or fax +254 (2) 218 840, or refer to the Foundation Web site.	

■ North America

**Goal: To encourage public policies and private practices that support the well-being of the transnational poor by providing them with better livelihood choices, while allowing a diversity of cultural identities.**

**Root Cause**

**> Area of Work**

National borders inhibit the full development of livelihoods for the poor > Transnational communities

Inquiries at: [natc@rockfound.org](mailto:natc@rockfound.org), or fax (212) 764-3468, or refer to the Foundation Web site.

■ Greater Mekong Sub-region

**Goal: To enhance the capacity of people and institutions in the Greater Mekong Sub-region to reflect upon and respond to cross-border and intercultural challenges arising from development.**

**Root Cause**

**> Area of Work**

Lack of regional capacity to address transboundary issues > Learning across boundaries

Inquiries at: [rf-bkk@rockfound.or.th](mailto:rf-bkk@rockfound.or.th), or fax +66 2 262 0098, or refer to [www.rockmekong.org](http://www.rockmekong.org).

**OTHER PROGRAMS**

■ Bellagio Study and Conference Center

The Bellagio Study and Conference Center in northern Italy provides a contemplative environment for convenings and residencies in which scholars, scientists, artists, writers, policymakers and practitioners from all over the world may pursue their creative and scholarly work.

Applications are available on the Foundation Web site or can be requested by tel (212) 852-8464, or fax (212) 852-0130.

■ Program Venture Experiment

**Goal: The Program Venture Experiment (ProVenEx) seeks to catalyze private-sector investments in areas that will benefit poor and excluded people. Through this program, the Foundation makes investments that are structured using market principles in early-stage and growing businesses that will further the work of one of the Foundation's four main themes.**

Inquiries at: [provenex@rockfound.org](mailto:provenex@rockfound.org), or fax (415) 343-0232, or refer to the Foundation Web site.

Advancing Creativity and Innovation

■ CREATIVE ENVIRONMENTS IN THE DIGITAL AGE

**Association of Performing Arts Presenters**, Washington, D.C.: \$75,000 toward the costs of developing a technology-based information and management system and a directory of works-in-progress entitled, Artist Works.

**Dance Theater Workshop**, New York, New York: \$100,000 toward the costs of DTW Digital, a program dedicated to increasing access to technology for far-reaching networks of working artist communities.

**Harvestworks**, New York, New York: \$50,000 toward the costs of its Interactive Technology Project, which creates a laboratory environment for the development of interactive computer programs and instruments that will foster new modes of performance.

**Leonardo/International Society for Arts, Sciences and Technology**, San Francisco, California: \$56,100 toward the costs of its Global Crossings project, an initiative to widen its international network to include innovative and dynamic new work taking place in cultural and social contexts often excluded from the information technology and creative practices community.

**National Academy of Sciences**, Washington, D.C.: \$85,000 toward the production and dissemination of a report by the Computer Science and Telecommunications Board on creativity and information technologies entitled, Beyond Productivity: Information Technology, Innovation and Creativity.

**New York Foundation for the Arts**, New York, New York: \$44,500 for use by its sponsored project Intelligent Agent, toward the costs of two related programs: the on-line publication of the Intelligent Agent magazine examining the impact and parameter shifts of digital technologies; and joint programming with the Netart Initiative of the Parsons School of Design consisting of on- and off-line exhibitions, digital salon panel discussions and an annual symposium.

**OneWorld International**, London, England: \$75,000 toward the costs of OneWorld TV, a project that fosters social change by using new technologies to disseminate the work of independent film and video makers.

**Rhizome.org**, New York, New York: \$73,445 toward the costs of providing subsidized memberships to Rhizome.org, an online platform for the global new media art community, to educational institutions in developing countries and rural areas of the United States.

**Social Science Research Council**, New York, New York: \$100,000 toward the costs of The Digital Cultural Institutions Project to promote research on the institutions that shape access to digital culture.

**The Thing, Inc.**, New York, New York: \$50,000 toward the costs of THING.Clouds, a wireless media project that will bring artists and technologists together to collaborate on initiatives that employ wireless networks.

■ FILM/VIDEO/MULTIMEDIA FELLOWSHIPS

**American University**, Washington, D.C.: \$88,190 for use by its Center for Social Media toward the costs of the study, Imagination, Creativity, and Control in Independent Filmmaking: Mapping the Creative Tensions in Today's Intellectual Property Regime.

**National Video Resources**, New York, New York: \$15,000 for the ongoing activities of Grantmakers in Film and Electronic Media and the Council on Foundation's Film and Video Festival.

**National Video Resources**, New York, New York: \$937,910 toward the costs of The Program for Media Artists, a program that supports film, video and multimedia artists.

■ MULTI-ARTS PRODUCTION FUND

**Axis Dance Company**, Oakland, California: \$10,000 to support the creation of a dance work by Victoria Marks set to a composition by Eve Beglarian.

**Bang on a Can**, New York, New York: \$20,000 to support a new work by composer Iva Bittová for the Bang on a Can All-Stars.

**Big Art Group**, Brooklyn, New York: \$30,000 to support the creation of "House of No More," a live video performance by Caden Manson and Jemma Nelson.

**Carpetbag Theatre**, Knoxville, Tennessee: \$35,000 to support the creation of "Southern Sankofa, Flying Home," a live-action and digital media play, created by Linda Parris-Bailey in collaboration with playwright/designers Stephen L. Heathcock, III, and Jeff Cody, and musical director/dramaturg Paula Larke.

**Center for Cultural Exchange**, Portland, Maine: \$15,000 to support the creation and production of "reORIENTalism," a multidisciplinary performance created by composer and musician Alan Shavarsh Bardezbanian, poet and librettist Suheir Hammad, with percussionist and designer Karim Nagy Mohammed.

**Center for Puppetry Arts**, Atlanta, Georgia: \$30,000 to support the development and production of "Avanti Da Vinci," by designer and author Jason Hines and director and author Jon Ludwig.

**Children's Theatre Company**, Minneapolis, Minnesota: \$35,000 to support the development of an untitled site-specific theater piece created by The Children's Theatre and School in collaboration with director Whit MacLaughlin.

**Clubbed Thumb**, New York, New York: \$15,000 to support the development of "Demon Baby," a new play by Erin Courtney directed by Ken Rus Schmall.

**Cornerstone Theater Company**, Los Angeles, California: \$15,000 to support the creation of "The Muslim Project," a collaboration among members of the Los Angeles Muslim community and the Cornerstone Theater, directed by Mark Valdez, written by Peter Howard, with musical direction by Wael Kakish and featuring actor Kamal Marayati.

**Creative Capital Foundation**, New York, New York: \$100,000 toward the costs of ongoing activities that support artists pursuing innovative approaches to form and content in the media, performing and visual arts, and in emerging arts fields.

**Curious Theatre Company**, Denver, Colorado: \$15,000 to support a commission and residency for playwright Joan Holden to write "The Speer Project," a community-based history play.

**Dansology**, New York, New York: \$30,000 to support the creation and development of "dead-mandancing," a new multi-media collaboration between choreographer Koosil-ja Hwang, videographer Benton Bainbridge and Liminal Projects architects.

**DiverseWorks**, Houston, Texas: \$20,000 to support the development of "The Black Factory," a mobile installation by William Pope.L.

**Ensemble Sospeso**, New York, New York: \$15,000 to support a residency and the creation of a new work by composer Chaya Czernowin.

**five myles**, Brooklyn, New York: \$20,000 to support the development of "LEM," a movement theater work directed by Phil Soltanoff.

**Flyaway Productions**, San Francisco, California: \$25,000 to support the creation of "The Grim Arithmetic of Water," a dance performance by choreographer Jo Kreiter and composer Jewlia Eisenberg.

**Foundation-administered project**: \$200,000 toward the costs of administering the Multi-Arts Production Fund.

**Gametophyte**, Brooklyn, New York: \$20,000 to support the development and production of a multimedia performance installation by choreographer and videographer Dean Moss and visual artist Laylah Ali.

**Grantmakers in the Arts**, Seattle, Washington: \$15,000 toward general operating support of its mission to strengthen the field of private-sector arts and culture grantmaking.

**Headlong Dance Theater**, Philadelphia, Pennsylvania: \$20,000 to support the development of "Hotel Pool," a dance theater work by David Brick, Andrew Simonet and Amy Smith.

**Hip Hop Theatre Junction**, New York, New York: \$25,000 toward the costs of the fourth annual Hip-Hop Theater Festival.

**Inta**, New York, New York: \$20,000 to support the creation of "Tree," an outdoor site-adaptable work by choreographers Eiko & Koma Otake, writer, actor and singer Sharon Dennis Wyeth and writer and dramaturg Irene Oppenheim.

**The Kitchen**, New York, New York: \$25,000 to support a production of "The Slugbearers of Kayrol Island," a music theater piece by cartoonist, designer and librettist Ben Katchor and composer Mark Mulcahy.

**La Donna Dance**, New York, New York: \$30,000 to support the creation of "Floating from my Hand," a new dance work by Donna Uchizono in collaboration with composer Guy Yarden.

**Lower Manhattan Cultural Council**, New York, New York: \$10,000 to support the development of "Messa di Voce," a concert performance directed and designed by Golan Levin.

**New York Foundation for the Arts**, New York, New York: \$20,000 to support "Bird Brain," a navigational dance project by Jennifer Monson.

**New York Theatre Workshop**, New York, New York: \$25,000 to support the development of a new play written by the Five Lesbian Brothers.

**Other Minds**, San Francisco, California: \$30,000 to support the development and production of The Gamelan Concherto Project, a new work for Gamelan Sekar Jaya and symphony orchestra by composers I. Nyoman Windha and José Evangelista.

**Painted Bride Art Center**, Philadelphia, Pennsylvania: \$15,000 to support the creation of "Two for Ten," a new musical theater work by director Homer Jackson and composer Anthony Tidd.

**Pentacle**, New York, New York: \$50,000 toward the costs of the Help Desk project, which provides technical assistance for choreographers and their support staff.

**Performance Space 122**, New York, New York: \$15,000 to support the creation and production of "Coming Out of the Night with Names," a performance work by choreographer and director DD Dorvillier, video designer Molly Davies and writer and director Peter Jacobs.

**Pregones Touring Puerto Rican Theatre Collection**, Bronx, New York: \$35,000 to support the development of "The Red Rose Project," a music theater piece written and directed by Rosalba Rolon in collaboration with composer Desmar Guevera and designer Regina Garcia.

**Ripe Time**, Brooklyn, New York: \$20,000 to support the creation of "Innocents," a movement theater work directed by Rachel Dickstein.

**Sens Production**, Brooklyn, New York: \$20,000 to support the production of "Noir," a site-specific performance by choreographer Noémie Lafrance.

**Soho Repertory Theatre**, New York, New York: \$20,000 to support a production of "Suitcase," a new play by Melissa James Gibson.

**Southern Theater**, Minneapolis, Minnesota: \$20,000 to support the creation and development of "Dream House," a performance by composer Mary Ellen Childs and multimedia artist Tony Brown, to be performed by the string quartet Ethel.

**Squonk Opera**, Pittsburgh, Pennsylvania: \$15,000 to support the creation and development of "Bull," by composer Jackie Dempsey, designer Steve O'Hearn and director Rick Kemp.

**Streb/Ringside**, Brooklyn, New York: \$32,000 to support the development of a performance by choreographer and director Elizabeth Streb in collaboration with video artist Tal Yarden and children from the KIDS IN CONTROL program of the Greenpoint YMCA in Brooklyn, New York.

**Talking Band**, New York, New York: \$15,000 to support the creation of "The Parrot," a music-theater work with book and lyrics by Paul Zimet, music by Ellen Maddow and puppet design by Ralph Lee.

**Tere O'Connor Dance**, New York, New York: \$25,000 to support the development of an evening-length work choreographed by Tere O'Connor and designed by O'Connor and Brian MacDevitt.

**Theater Grottesco**, Santa Fe, New Mexico: \$25,000 to support the development of "The Magic Realism Project," a collaboration between director and writer John Flax, director and choreographer Della Davidson and dramaturg Angelina Llongueras.

**Theatre Movement Bazaar**, Sherman Oaks, California: \$20,000 to support the creation of "Dry Cleaning," a movement theater piece created by director/production designer Jeff Webster, choreographer/performer Tina Kronis and writer/performer Richard Alger.

**University of California**, Los Angeles, Los Angeles, California: \$25,000 for use by UCLA Performing Arts to support the production of "Revenant Technologies," a multimedia work by director/performer/video designers Hannah Sim and Mark Steger and technical and visual designer Barry Schwartz.

**University of Notre Dame**, Notre Dame, Indiana: \$25,000 for use by its Department of Film, Television and Theatre to support the creation of "Avant!," a multimedia theater work written by Jessica Chalmers.

**Wilma Theater**, Philadelphia, Pennsylvania: \$15,000 to support the development of "Raw Boys," a play by Dale Orlandersmith directed by Blanka Zizka.

**Youth Speaks**, San Francisco, California: \$10,000 to support the creation and production of a dance by choreographer Robert Moses incorporating writing by Youth Speaks poets and performers.

**Z Space Studio**, San Francisco, California: \$29,000 to support a production of "The People's Temple Theater Project," a verbatim text play co-written and directed by Leigh Fondakowski, co-written and performed by Margo Hall and co-written and with dramaturgy by Steven Wangh.

**Zaccho Dance Theatre**, San Francisco, California: \$30,000 to support the production of "Ghost Architecture," an aerial dance installation by choreographer Joanna Haigood and sculptor and rigging designer Wayne Campbell.



## Fostering Resilient and Creative Communities

### RECOVERY/REINVENTION OF CULTURES – CULTURAL ABSENCE/CULTURAL RECOVERY

**Association for Cultural Equity**, New York, New York: \$60,000 toward the costs of digital preservation of the video collection of the Alan Lomax Archives.

**Graduate School and University Center, City University of New York**, New York, New York: \$150,000 for use by its Center for Media and Learning, toward the costs of the Chinatown Documentation Project to foster community conversations on the consequences of September 11 for New York Chinatown and its citizens through facilitated dialogues and recorded oral histories.

### RECOVERY/REINVENTION OF CULTURES – MUSEUMS

**Arab Community Center for Economic and Social Services**, Dearborn, Michigan: \$50,000 toward the costs of the exhibition, "Crossing Boundaries: Arab American Artists in the United States."

**Artrain U.S.A.**, Ann Arbor, Michigan: \$50,000 toward the costs of the exhibition, "Native Views: Influences of Modern Culture."

**Exit Art/The First World**, New York, New York: \$40,000 toward the costs of "The L-Factor," a multidisciplinary exhibition that explores contemporary Latino culture in the United States.

**Fort Lewis College**, Durango, Colorado: \$25,000 for use by its Center of Southwest Studies, in support of the exhibition, "Circle of the Spirit: Navajo and Tibetan Wisdom for Living."

**La Raza Galeria Posada**, Sacramento, California: \$40,000 toward the costs of an exhibition on the Royal Chicano Air Force, a multidisciplinary artist collaborative established in the Sacramento Valley during the Chicano Civil Rights Movement.

**Mattress Factory, Pittsburgh**, Pennsylvania: \$50,000 for support of new installations by ten Cuban artists.

**Minneapolis Institute of Arts**, Minneapolis, Minnesota: \$75,000 toward the costs of the exhibition, "Art of the Northern Plains: The White Clay People."

**Museum of Contemporary Art San Diego**, La Jolla, California: \$50,000 toward the costs of the exhibition, "Strange New World/Extraño Nuevo Mundo, Perspectivas desde Tijuana."

**Museum of Contemporary Art**, Chicago, Illinois: \$50,000 toward the costs of "One True Thing: Meditations on Black Aesthetics," an exhibition of new works by artist Kerry James Marshall.

**Museum of New Mexico Foundation**, Santa Fe, New Mexico: \$35,000 for use by the Museum of International Folk Art, toward the costs of "Carnaval," an exhibition that explores the celebration of carnival in eight cities throughout the world.

**New York University**, New York, New York: \$50,000 for use by its Asian/Pacific/American Studies Program and Institute toward the costs of a symposium on contemporary Asian-American visual art.

**Oakland Museum/Museum of California Foundation**, Oakland, California: \$50,000 toward the costs of the exhibition, "Next Stop Vietnam: California and the Nation Transformed."

**Smithsonian Institution**, Washington, D.C.: \$100,000 toward the development and installation of three inaugural exhibitions: "Our Universes, Our Peoples" and "Our Lives at the National Museum of the American Indian."

**Smithsonian Institution**, Washington, D.C.: \$50,000 toward the costs of the exhibition, "I, Too, Sing America: African-American Personal Narratives in American History" at the Anacostia Museum and Center for African-American History and Culture.

**University of California, Berkeley**, Berkeley, California: \$25,000 for use by its Art Museum and Pacific Film Archive, toward the costs of a traveling exhibition of works by emerging Vietnamese-American artist Jun Nguyen-Hatsushiba.

**University of California, Los Angeles**, Los Angeles, California: \$75,000 for use by its Chicano Studies Research Center toward the costs of *A Ver: A Revisioning of Art History*, a major research project and monograph series on the cultural, aesthetic and historical contributions of Chicano, Puerto Rican, Cuban and other U.S.-Latino artists.

**University of North Carolina, Greensboro**, Greensboro, North Carolina: \$35,000 for use by its Weatherspoon Art Museum toward the costs of "Borne of Necessity," an exhibition that examines the conditions and effects of poverty through the work of ten contemporary artists.

**Vermont Folklife Center**, Middlebury, Vermont: \$50,000 toward the costs of a traveling exhibition entitled, "Weavings of War."

**Wing Luke Memorial Foundation**, Seattle, Washington: \$100,000 for support of Phase I of the "Immersion Exhibitions," a project which will examine the role that memory, history and imagination play in the preservation of Asian Pacific American cultures in Seattle, Washington.

## ■ UNDERSTANDING THE CULTURAL COMPONENTS OF WELL-BEING – CULTURAL INDICATORS AND CULTURAL POLICY

**Alliance of New York State Arts Organizations**, Mattituck, New York: \$50,000 toward the costs of its Community E-Institute, a community organizing training institute for arts leaders in New York State.

**American Library Association**, Washington, D.C.: \$47,000 toward the costs of a workshop that examines the evolving concept of the

Information Commons in the specific context of libraries and library services in the digital age.

**Center for Arts and Culture**, Washington, D.C.: \$100,000 toward program support, with a special emphasis on a contract with the Bureau of Economic Analysis at the Department of Commerce to define, research and measure the scope of the creative sector.

**Columbia University**, New York, New York: \$50,000 for use by its National Arts Journalism Program toward the costs of Reporting the Arts II, a comprehensive report on arts and cultural news coverage.

**Cultural Initiatives-Silicon Valley**, San Jose, California: \$45,000 toward the costs of completing a field investigation of the dynamics of informal cultural activities in immigrant communities in Silicon Valley.

**Fordham University**, New York, New York: \$180,000 for use by its Institute for Innovation in Social Policy toward the costs of a project to institutionalize a wider use of culture and creativity indicators by the media and policymakers.

**Future of Music Coalition**, Washington, D.C.: \$50,000 toward the costs of a project to document musicians' perspectives on intellectual property and to develop educational materials about, and to convene stakeholders to discuss potential licensing solutions.

**Leveraging Investments in Creativity**, Brooklyn, New York: \$100,000 toward the costs of the Artists as Assets in Community Development project, to improve information about the contributions of artists to community revitalization in diverse urban neighborhoods.

**Macquarie University**, New South Wales, Australia: \$39,510 toward the costs of a conference on the significance of art works and the importance of art and culture in society entitled, *Value and Valuation of Art and Culture*, at the Bellagio Study and Conference Center, Italy, February 2004.

**Public Knowledge**, Washington, D.C.: \$100,000 toward the costs of Empowering Creators in the Digital Age, a project to address the impact of new digital technologies and increasingly restrictive copyright policies on the ability of artists to create.

**University of Pennsylvania**, Philadelphia, Pennsylvania: \$100,000 for use by its School of Social Work, toward the costs of developing a database on cultural organizations, cultural participation and social networks constructed by artists in Philadelphia entitled, *The Dynamics of Culture: Cultural Expression and Social Change*.

**University of Wisconsin-Milwaukee**, Milwaukee, Wisconsin: \$99,916 toward the costs of Art and Policy: Mapping the Field, a project to research U.S. and international policy that affects the arts both directly and indirectly.

**Urban Institute**, Washington, D.C.: \$980,091 toward the costs of The Arts and Culture Indicators in Community Project, to develop a new paradigm for the inclusion of arts and culture in quality of life measurements systems and as a dimension of research and policy discussions on community development, neighborhood transformation and civic engagement.

## ■ UNDERSTANDING THE CULTURAL COMPONENTS OF WELL-BEING – PARTNERSHIPS AFFIRMING COMMUNITY TRANSFORMATION (PACT)

**Appalshop**, Whitesburg, Kentucky: \$100,000 for support of The Robert F. Kennedy Performance Project, a real-time, multi-site re-creation of Robert Kennedy's 1968 tour through central Appalachia.

**Art Start**, New York, New York: \$35,000 toward the costs of producing a public access television series entitled, "De-Cipher," which will air youth-designed discussion circles and street interviews that explore the ways the hip-hop generation and subculture influence the participants' lives and communities and society at large.

**City Lore: The New York Center for Urban Folk Culture**, New York, New York: \$150,000 for support of the "Poetry Dialogues," a series of performances and workshops that utilize contemporary and traditional forms of poetry to explore themes of generational conflict and new ways of addressing critical issues faced by participants' own communities.

**Columbia College**, Chicago, Illinois: \$150,000 for use by its Office of Community Arts Partnerships toward the costs of Building the Field: The Next Generation Arts Leadership Project, a master's degree program that will provide professional training to youth arts leaders and increase the capacity of community-based arts organizations.

**Community Partners**, Los Angeles, California: \$149,179 for use by Khmer Girls in Action, a project of Community Partners, toward the costs of Stories from Khmer Long Beach, an initiative that will engage young Khmer women through the creation of cultural products that document and explore the history, experiences and struggles of Khmer-Americans in Long Beach, California.

**Foundation-administered project**: \$42,000 for administrative costs related to the PACT program.

**Sandhills Family Heritage Association**, Spring Lake, North Carolina: \$50,000 for support of a culture-based economic development program that will preserve, share and continue cultural traditions rooted in responsible land use and land ownership within the historically African-American farming communities of the Sandhills region of southeastern North Carolina.

**Spoleto Festival U.S.A.**, Charleston, South Carolina: \$125,000 for support of Places with a Future, a public partnership that will bring together Charleston-area institutions, individuals, artists and architects to examine neighborhood and public areas targeted for urban redevelopment.

**Teatro Vision de San Jose**, San Jose, California: \$150,000 toward the costs of a training program for cultural workers engaged in teatro, using theater as a tool to illuminate social and political issues experienced by Latino and other immigrant communities in California.

**Trinity College**, Hartford, Connecticut: \$100,000 for use by its Hartford Studies Project in support of a collaborative documentary film project that will unite community residents, academics and activists in an exploration of the history and deep transitions of Hartford, Connecticut from 1969 to the present.

**Wing Luke Memorial Foundation**, Seattle, Washington: \$40,000 toward the costs of *Learning the Past, Living the Present: Sikh Community, Culture and Conversation*, a series of youth/elder oral history workshops, a traveling exhibition and a permanent archive to preserve Sikh cultural traditions and to foster community identity and education.

**Youth Farm and Market Project**, Minneapolis, Minnesota: \$150,000 for a series of cultural presentations, workshops and performances by members of Mexican, Hmong and Somali immigrant communities on the West Side of Minneapolis, Minnesota.

## Stimulating Knowledge and Freedom in the Public Sphere

### GLOBAL CIVIL SOCIETY AND CULTURE

**Amrita Performing Arts**, Oakland, California: \$50,000 toward general operating support of its mission to assist in the revival of Cambodian performing arts.

**Asia Society**, New York, New York: \$30,000 toward the costs of a program of residencies in the United States for Burmese performing artists, and a complementary series of performances, workshops and discussions of Burmese music and dance traditions.

**Asian Cultural Council**, New York, New York: \$320,000 toward the costs of its Mekong Region Arts and Culture Grant Initiative, a three-year fellowship program for artists and scholars from countries in the Mekong region.

**Cape Higher Education Consortium**, Rondebosch, South Africa: \$474,840 toward the costs of developing an academic program in African museum and heritage studies, a joint initiative of the University of the Western Cape, the University of Cape Town and the Robben Island Museum.

**Connecticut College**, New London, Connecticut: \$50,000 toward the costs of The Yunnan China/ Mekong Project, to foster cultural exchange and the preservation of regional arts in the Mekong region.

**Dance Theater Workshop**, New York, New York: \$100,000 toward the costs of The Mekong Project: A Program of Artist-to-Artist Exchanges in Southeast Asia.

**District Six Museum**, Cape Town, South Africa: \$100,000 toward the costs of research and public education activities addressing the role of memorialization in the reconstruction of cities in South Africa.

**Khmer Culture Association**, Phnom Penh, Cambodia: \$40,000 toward the costs of the Ninth International Conference of the Asia Pacific Society for Ethnomusicology.

**New England Foundation for the Arts**, Boston, Massachusetts: \$150,000 toward the costs of the Cambodian Artists Project, a program designed to preserve, document and present traditional and contemporary Cambodian and Cambodian-American performing arts.

**Reyum**, Phnom Penh, Cambodia: \$150,000 toward the costs of research projects to investigate and record local knowledge on three topics: Khmer ornament; tools and practices of the Cambodian countryside; and the develop-

ment of a memory bank. (Joint with Southeast Asia Regional Program)

**Royal University of Fine Arts**, Phnom Penh, Cambodia: \$150,000 toward the costs of the Cambodian Artists Mentorship Program.

**Smithsonian Institution**, Washington, D.C.: \$74,742 for use by its Center for Folklife and Cultural Heritage toward the continuing costs of a capacity-building and training initiative at the Vietnam Museum of Ethnology (Hanoi) that has produced a collaborative project entitled, *Mekong Lifeways*, which will culminate in a traveling exhibition, a video, a web site and a book.

### HUMANITIES RESIDENCY FELLOWSHIPS AND RESEARCH

**Johns Hopkins University**, Baltimore, Maryland: \$325,000 for use by its Department of Anthropology toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, *The Child on the Wing: Children Negotiating the Everyday Geography of Violence*.

**Northwestern University**, Evanston, Illinois: \$325,000 for use by its Program in Latin American and Caribbean Studies, Center for International and Comparative Studies, and Program of African Studies toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, *How Do the Poor Constitute Community?*

**Smithsonian Institution**, Washington, D.C.: \$325,000 for use by its Center for Folklife and Cultural Heritage toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, *Theorizing Cultural Heritage*.

**University of Illinois at Chicago**, Chicago, Illinois: \$325,000 for use by its Latin American and Latino Studies Program toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, *Latino Chicago: A Model for Emerging Latinidades?*

**University of Massachusetts, Boston**, Boston, Massachusetts: \$325,000 for use by its Joiner Center for the Study of War and Social Consequences toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, *Culture, Art, Trauma, Survival, Development: Vietnamese Contexts*.

**University of Notre Dame**, Notre Dame, Indiana: \$325,000 for use by its Kroc Institute for International Peace Studies toward the costs of a program of Rockefeller Foundation Resident Fellowships in the Humanities entitled, *Program in Religion, Conflict and Peacebuilding*.

**University of the West Indies, Kingston**, Kingston, Jamaica: \$52,640 for use by its Cultural Studies Initiative toward the costs of a program that will bring noted scholars to the University for workshops, lectures and symposia.

### ROLE OF RELIGION IN BUILDING CIVIL SOCIETY

**Columbia University**, New York, New York: \$84,919 for use by its Center for the Study of Human Rights toward the costs of building an international network of institutions exploring human rights and religious paradigms of social justice.



2003 GRANTS

Creativity & Culture

**Family Promise**, Summit, New Jersey: \$75,000 toward the costs of developing three new interfaith hospitality networks, which provide services for needy families and simultaneously act as platforms to promote interfaith dialogue and religious diversity.

**Foundation-administered project:** \$54,618 toward the costs of a conference on U.S.- Saudi relations and the commissioning of a discussion paper on additional Foundation convenings on *The Muslim World and the Global Future*.

**United States Conference of Religions for Peace**, New York, New York: \$40,000 toward the costs of developing three local inter-religious councils in the United States and for building the membership and resource capacity of the organization.

**World Conference on Religion and Peace**, New York, New York: \$1,000,000 toward general operating support of its mission to build and expand sustainable multireligious networks collaborating for the common good.

### Other

**Arts International**, New York, New York: \$350,000 toward the costs of the Fund for U.S. Artists at International Festivals and Exhibitions in 2003.

**Arts International**, New York, New York: \$300,000 toward the costs of the activities of the Fund for U.S. Artists at International Festivals and Exhibitions in 2004 and implementation of a fundraising strategy designed to ensure the long-term sustainability of the Fund.

**Hispanics in Philanthropy**, San Francisco, California: \$400,000 for continued support of its Funders' Collaborative for Strong Latino Communities initiative to build organizational capacity among, and a broader funding base for, Latino nonprofit organizations in the United States and selected Latin American countries.

**Enhanced Soil Productivity**

**Cornell University**, Ithaca, New York:

\$150,371 for research and training of an interdisciplinary cohort of fellows from eastern and southern Africa at the Ph.D. level in topics related to integrated nutrient management and agricultural economics for Africa.

**Cornell University**, Ithaca, New York: \$264,000

for research and training of an interdisciplinary cohort of fellows from eastern and southern Africa at the Ph.D. level in topics related to integrated nutrient management for Africa.

**Forum for Agricultural Research in Africa**,

Accra, Ghana: \$239,800 to develop a program entitled, Improving Livelihoods and Natural Resource Management in Sub-Saharan Africa: Securing the Future for Africa's Children.

**Forum for Organic Resource Management and Agricultural Technologies**, Nairobi,

Kenya: \$69,482 toward the costs of organizing discussions, demonstrations and other events on organic resource management technologies and carbon sequestration in order to accelerate adoption of promising land management technologies in Kenya.

**International Center for Tropical Agriculture**,

Cali, Colombia: \$350,065 for use by its Tropical Soil Biology and Fertility Institute toward the costs of research on the assessment and management of within-farm soil fertility gradients in selected areas in East Africa.

**International Center for Tropical Agriculture**,

Cali, Colombia: \$250,700 for use by its Tropical Soil Biology and Fertility Institute toward the costs of research to improve soil fertility practices among farmers in eastern Uganda through participatory technology development and dissemination.

**International Center for Tropical Agriculture**,

Cali, Colombia: \$80,000 for use by its Tropical Soil Biology and Fertility Institute for an exploration of integrated soil fertility management for banana production and marketing in Kenya and Uganda - determining the effects of symbiotic fungi on the establishment and production of tissue culture banana.

**International Institute of Tropical Agriculture**,

Ibadan, Nigeria: \$225,055 for studies on integrated soil and pest management within banana systems in Uganda.

**International Plant Genetic Resources**

**Institute**, Rome, Italy: \$22,500 for use by its International Network for the Improvement of Banana and Plantain to assess the impacts of improved banana varieties and crop management technologies on rural farming households in Uganda.

**Kenya Agricultural Research Institute**,

Nairobi, Kenya: \$10,000 toward the costs of convening the 21st annual conference of the Soil Science Society of East Africa, to be held in Eldoret, Kenya, December 2003.

**Kenya Agricultural Research Institute**,

Nairobi, Kenya: \$160,650 for the second phase of the Farmer Field School project, aimed at testing participatory dissemination strategies for soil and crop management technologies in Kenya.

**Kenya Agricultural Research Institute**,

Nairobi, Kenya: \$30,000 toward the costs of publishing and disseminating the book, "Transformation of Agricultural Research Systems in Africa: Lessons from Kenya."

**Kenya Agricultural Research Institute**,

Nairobi, Kenya: \$66,497 for use by its Mtwapu Regional Research Centre to continue research to increase smallholder food production through improved soil and water management and the integration of livestock into the cropping systems of the coastal regions of Kenya.

**Kenya Agricultural Research Institute**,

Nairobi, Kenya: \$99,319 for use by its National Agricultural Research Centre-Kitale to continue farmer participatory research in improved soil management practices.

**Kenya Agricultural Research Institute**,

Nairobi, Kenya: \$99,672 for use by its National Dryland Farming Research Centre to continue developing strategies for increased crop production through sustainable land and water management practices.

**Kenya Agricultural Research Institute**,

Nairobi, Kenya: \$35,200 to assess farmer participatory research, information flows and the Institute's current monitoring and evaluation systems.

**Kenya Agricultural Research Institute**,

Nairobi, Kenya: \$99,940 for use by its Kisii Regional Research Centre to continue on-farm research in improved soil management technologies using participatory research methods.

**Kenyatta University**, Nairobi, Kenya: \$37,550

for use by its Embu Regional Research Centre to assess the long-term effects of organic and inorganic phosphorous fertilizers on soil fertility in semi-arid areas of Kenya.

**Makerere University**, Kampala, Uganda:

\$10,000 for use by its Faculty of Agriculture toward the costs of publishing the proceedings of a Curriculum Development Workshop held at the Bellagio Study and Conference Center, Italy, November 2001.

**Makerere University**, Kampala, Uganda:

\$8,950 to promote soil science research and its application in eastern Africa through publication of the 20th annual conference proceedings of the Soil Science Society of East Africa.

**Makerere University**, Kampala, Uganda:

\$37,000 for use by its Department of Agricultural Extension/Education toward the costs of analyzing current transformations in agricultural extension systems in Uganda and the implications for the agricultural curriculum.

**National Agricultural Research Organisation**,

Entebbe, Uganda: \$300,000 to enhance banana productivity and utilization through farmer participatory development of new production management options.

**Network for Studies on Rural Development**,

Oaxaca, Mexico: \$35,000 for a participatory review of the Foundation's Natural Resources Management Program in Mexico (1992-1999) and completion of several related publications.

**Sustainable Agriculture Centre for Research and Development in Africa**, Bungoma, Kenya:

\$140,130 for continued research on growing legumes within the maize-legume inter-cropping systems in western Kenya without compromising maize productivity.

**Wageningen University**, Wageningen,

Netherlands: \$73,506 for the continuation of a Ph.D. training and research program aimed at understanding and enhancing the role of developing-country smallholder farmers in agricultural innovation and technology dissemination.

**World Agroforestry Centre**, Nairobi, Kenya:

\$89,062 to support the African Highland Initiative's development of a systematic and interactive learning process that will enable national agricultural research institutes in Ethiopia, Tanzania and Uganda to be more responsive to farmers' demands, efficient in their allocation of resources and productive in their development of appropriate technologies.

**World Agroforestry Centre**, Nairobi, Kenya:

\$52,200 toward the costs of continuing research on soil microbial communities and their effects on soil fertility.

**World Agroforestry Centre**, Nairobi, Kenya:

\$650,000 to continue to develop and apply new technologies for remote sensing of soil quality in order to provide targeted strategies for integrated soil management to smallholder farmers in Uganda, Kenya and Tanzania.

**World Agroforestry Centre**, Nairobi, Kenya:

\$99,710 to enable a consortium of over 70 organizations in western Kenya to continue assisting smallholder farmers in the region in the adoption of soil fertility improvement technologies.

## Improved Crop Varieties

**African Crop Science Society**, Rustenburg, South Africa: \$16,859 for use by its Kenya Chapter for a special symposium on food crop improvement at the Sixth African Crop Science Congress, to be held in Nairobi, Kenya, October 2003.

**Asia-Pacific Association of Agricultural Research Institutions**, Bangkok, Thailand: \$90,000 to establish the Asia-Pacific Consortium on Agricultural Biotechnology, to harness the benefits of agricultural biotechnology for human and animal welfare, while safeguarding the environment and sustainable agricultural development in the Asia-Pacific region.

**Birs Agricultural University**, Jharkhand, India: \$22,660 toward the costs of using farmer participatory approaches to develop and evaluate drought-resistant varieties of rice for rain-fed upland agro-ecosystems of eastern India.

**Abraham Blum**, Tel Aviv, Israel: \$88,900 toward the costs of maintaining a web site to service the information and communication needs of scientists working to create more resilient crop species for less favorable environments worldwide, with emphasis on drought tolerance in cereals.

**Cornell University**, Ithaca, New York: \$145,090 for use by its College of Agriculture and Life Sciences toward the costs of providing consulting and technical assistance aimed at enhancing the quality of Ph.D. training for plant breeders at the African Center for Crop Improvement, University of Natal, Pietermaritzburg, South Africa.

**Cornell University**, Ithaca, New York: \$150,000 toward the costs of a study, in collaboration with the Kenya Agricultural Research Institute, to enhance the efficiency and effectiveness of Kenya's maize improvement program by utilizing both conventional and molecular breeding and to identify genes for resistance to fungal diseases of maize.

**Cuu Long Delta Rice Research Institute**, Cantho, Vietnam: \$100,000 toward the costs of developing pro-vitamin A-rich Golden Rice to improve nutrition in Vietnam.

**Walter A. J. de Milliano**, Pietermaritzburg, South Africa: \$75,000 for activities related to the establishment of quality graduate training at the African Center for Crop Improvement at the University of Natal, Pietermaritzburg, South Africa.

**Donald Danforth Plant Science Center**, St. Louis, Missouri: \$9,932 toward the costs of a workshop on mycotoxins and their impact on food safety in developing countries, to be held in St. Louis, Missouri, November 2003.

**Foundation-administered project**: \$121,000 toward the costs of engaging a consultant to reinforce capacity in applied biotechnology laboratories within the Kenya Agricultural Research Institute.

**Foundation-administered project**: \$44,675 to provide administrative support for the rice drought-tolerance network and consulting activities in eastern India.

**Foundation-administered project**: \$61,500 toward the costs of a workshop entitled, Exploring the Potential Use of Biotechnology to Alter Plant Development Programs, to be held at the Bellagio Study and Conference Center, Italy, November 2003.

**Foundation-administered project**: \$80,000 toward the costs of operating the Foundation's program on genetic improvement of cereals for drought tolerance in Africa and Asia.

**John Innes Centre**, Norwich, England: \$76,236 for research, in collaboration with the Centre de Coopération Internationale en Recherche Agronomique pour le Développement, Montpellier, France, to develop a molecular library of rice genetic information that will facilitate marker-assisted selection breeding programs.

**Gramin Vikas Trust**, Noida, India: \$23,480 toward the costs of using farmer participatory approaches to develop and disseminate new drought resistant varieties of rice to poor farmers in eastern India.

**Huazhong Agricultural University**, Hubei, China: \$375,000 to generate new rice cultivars and hybrids with significantly improved tolerance to major abiotic stresses such as drought and salinity through over-expression of specific genes.

**Institute of Rural Economy**, Bamako, Mali: \$70,380 for the development of new drought-tolerant rice varieties specifically adapted to the drought-prone production conditions of West Africa.

**International Center for Tropical Agriculture**, Cali, Colombia: \$1,008,800 toward the costs of developing and coordinating a network of researchers working to improve cassava breeding through the development and use of inbred lines that breed true from one generation to the next.

**International Center for Tropical Agriculture**, Cali, Colombia: \$181,223 for a collaborative research project applying marker-assisted selection and farmer participatory methods to the production of new disease- and insect-resistant cassava varieties for poor farmers in Tanzania.

**International Center for Tropical Agriculture**, Cali, Colombia: \$40,000 toward the costs of a workshop, Ameliorating Rural Poverty Through New Approaches for Cassava Breeding Incorporating Biotechnology Tools, to be held in Cali, Colombia, spring 2003.

**International Centre of Insect Physiology and Ecology**, Nairobi, Kenya: \$11,000 for the continuation of research, in collaboration with the Institute of Arable Crops Research-Rothamsted, aimed at controlling *Striga* infection of maize through co-cultivation with legumes that produce *Striga*-inhibiting compounds.

**International Cooperative Centre for Agricultural Research for Development**, Paris, France: \$18,260 for research, in collaboration with the John Innes Centre, Norwich, England, to develop a molecular library of rice genetic information that will facilitate marker-assisted selection breeding programs.

**International Crops Research Institute for the Semi-Arid Tropics**, Patancheru, India: \$279,320 for the second phase of a joint research project with the Institut de Economie Rurale, Mali, on Guinea Sorghum Hybrids: Bringing the Benefits of Hybrid Technology to a Staple Crop of West Africa.

**International Institute of Tropical Agriculture**, Ibadan, Nigeria: \$146,682 for a collaborative research project applying marker-assisted selection and farmer participatory methods to the production of new disease- and insect-resistant cassava varieties for poor farmers in Tanzania.



**International Livestock Research Institute**, Nairobi, Kenya: \$45,000 toward the costs of the planning phase to create a sub-regional biosciences center for East and Central Africa.

**International Maize and Wheat Improvement Center**, Mexico City, Mexico: \$308,000 for the second phase of a project to strengthen maize seed production and distribution systems for small-scale farmers in Kenya and Uganda.

**International Maize and Wheat Improvement Center**, Mexico City, Mexico: \$460,700 toward the costs of developing and disseminating herbicide-resistant maize seed coated with specific herbicides that inhibit the growth of the parasitic weed *Striga*.

**International Maize and Wheat Improvement Center**, Mexico City, Mexico: \$700,000 to develop innovative and integrated biotechnology approaches to improving the tolerance of tropical maize to water-limited environments.

**International Plant Genetic Resources Institute**, Rome, Italy: \$36,940 for use by its International Network for the Improvement of Banana and Plantain to assess biotechnology-oriented research strategies for improving East African Highland Bananas.

**International Rice Research Institute**, Metro Manila, Philippines: \$35,075 for research on the economic value on rice biotechnologies recently adopted by Asian farmers, specifically the products of interspecies hybrids.

**International Rice Research Institute**, Metro Manila, Philippines: \$124,992 for the identification and characterization of genes that have the potential to enhance drought tolerance in rice.

**Kasetsart University**, Bangkok, Thailand: \$50,000 to evaluate the utility, and train scientists in the application, of DNA marker-based selection in the rice breeding programs of Cambodia, Lao PDR and Myanmar.

**Kenya Agricultural Research Institute**, Nairobi, Kenya: \$141,420 for introgression of Maize Streak Virus resistant genes into Kenyan hybrid maize using DNA marker-assisted selection, to enable farmers who grow the hybrids to achieve higher yields.

**Kenya Agricultural Research Institute**, Nairobi, Kenya: \$150,000 toward the costs of a study, in collaboration with Cornell University, to enhance the efficiency and effectiveness of Kenya's maize improvement program by utilizing both conventional and molecular breeding and to identify genes for resistance to fungal diseases of maize.

**Kenya Agricultural Research Institute**, Nairobi, Kenya: \$300,000 toward the costs of the second phase of Coordinated Ecosystem Breeding to generate maize varieties resistant to pests and diseases of maize found in particular agro-ecological zones of Kenya.

**Kenyatta University**, Nairobi, Kenya: \$200,789 to establish a plant genetic transformation facility for maize improvement in Kenya.

**Khon Kaen University**, Khon Kaen, Thailand: \$40,000 for use by its Office of International Agriculture to conduct a workshop for scientists from Cambodia, China, India, Laos and Thailand, working on rice genetic improvement, to be held in Khon Kaen, Thailand, December 2003.

**Makerere University**, Kampala, Uganda: \$177,865 toward the costs of using molecular marker-assisted selection to enhance breeding for inclusion of the quality protein maize trait and resistance to maize streak virus.

**Ministry of Agriculture and Food Security, Tanzania**, Dar es Salaam, Tanzania: \$34,342 to breed maize varieties resistant to gray leaf spot and northern leaf blight in the low and intermediate altitude areas of Tanzania.

**Ministry of Agriculture and Food Security, Tanzania**, Dar es Salaam, Tanzania: \$190,095 for use by its Research and Development Division for a collaborative research project applying marker-assisted selection and farmer participatory methods to the production of new disease- and insect-resistant cassava varieties for poor farmers.

**National Agricultural Research Organisation**, Entebbe, Uganda: \$120,700 for use by its Namulonge Agricultural and Animal Production Research Institute for cassava improvement in Uganda through the integration of end-user participatory approaches, biotechnology tools and conventional breeding methods.

**National Agricultural Research Organisation**, Entebbe, Uganda: \$119,168 for use by its Namulonge Agricultural and Animal Production Research Institute for the promotion and development of improved, high-yielding bean varieties for sustainable food security, nutrition and household income in Uganda.

**National Agricultural Research Organisation**, Entebbe, Uganda: \$239,370 for use by its Kawanda Agricultural Research Institute to develop new banana genotypes resistant to weevils, black sigatoka and nematodes through conventional breeding methods and to promote their use among smallholder farmers in Uganda.

**National Center for Genetic Engineering and Biotechnology**, Nakorn Pathom, Thailand: \$89,600 to continue to develop and deploy DNA molecular markers for breeding drought-tolerant rice for use by farmers in north and northeast Thailand.

**National Institute for Agronomic Research**, Maputo, Mozambique: \$95,000 toward the costs of training farmers and local entrepreneurs in new techniques for the production, storage and distribution of improved varieties of maize, rice and other crops in Mozambique.

**North Carolina State University**, Raleigh, North Carolina: \$306,321 toward the costs of developing a new strategy for enhancing geminivirus disease-resistance in African crops.

**Philippine Rice Research Institute**, Nueva Ecija, Philippines: \$60,936 for identification of the Rice Restorer of Fertility gene through candidate gene approach and transgenic complementation assay.

**Punjab Agricultural University**, Ludhiana, India: \$71,610 for research on improving the plant architecture and productivity of a traditional high-value rice variety grown in northern India through the use of DNA molecular marker-assisted selection.

**Purdue University**, West Lafayette, Indiana: \$31,000 in support of activities of the Network for the Genetic Improvement of Cowpea for Africa.

**Tamil Nadu Agricultural University**, Coimbatore, India: \$275,826 for use by its Centre for Plant Molecular Biology toward the costs of developing drought-tolerant varieties of rice, using genetic research and participatory plant breeding techniques, and distributing them to smallholder farmers in India.

**University of Agricultural Sciences**, Bangalore, India: \$171,756 toward the costs of developing drought-tolerant varieties of rice and disseminating them to poor farmers in southern India.

**University of Agricultural Sciences**, Bangalore, India: \$21,000 to support construction of a seed bank to serve grantees in the Foundation-supported Indian national network on the genetic improvement of rice for drought tolerance.

**University of California, San Diego**, La Jolla, California: \$197,541 for use by its Division of Biological Sciences to determine whether certain toxins from *Bacillus thuringiensis* are effective control agents against nematodes that affect plantains and East African Highland Bananas.

**University of Florida**, Gainesville, Florida: \$32,693 for use by its Citrus Research and Education Center to determine whether certain toxins from *Bacillus thuringiensis* are effective control agents against nematodes that affect plantains and East African Highland Bananas.

**University of Hyderabad**, Hyderabad, India: \$23,625 for a study to be conducted in collaboration with the University of Georgia to identify the specific genes in rice and pearl millet that are induced when cereals are exposed to water deficits or drought conditions.

**University of Illinois at Urbana-Champaign**, Urbana, Illinois: \$15,000 for use by its School of Integrative Biology toward the costs of training a Ph.D. student in rice drought stress research.

**University of Queensland**, Brisbane, Australia: \$650,000 toward the costs of establishing a research and extension network aimed at providing farm communities in Cambodia, Laos and Thailand with drought-resistant rice varieties. (Joint with Southeast Asia Regional Program)

**University of Science and Technology of China**, Hefei, China: \$200,000 to generate new rice cultivars and hybrids with significantly improved tolerance to major abiotic stresses such as drought and salinity through over-expression of specific genes.

**University of Sheffield**, Sheffield, England: \$76,332 toward the costs of a study to identify the genes in rice responsible for resistance to the parasitic weed *Striga* and to explore the possibilities of transferring such genes to maize in Africa.

**University of Washington**, Seattle, Washington: \$225,000 for the identification and characterization of genes that have the potential to enhance drought tolerance in rice.

**University of Zambia**, Lusaka, Zambia: \$168,300 toward the costs of training M.Sc. students in plant breeding for the Southern African Development Community region.

**Youth for Action**, Hyderabad, India: \$10,000 toward the costs of using participatory plant breeding techniques to develop drought-tolerant varieties of rice and distributing the new varieties to smallholder farmers in India through linkages between farmers and seed retailers.

## Markets to Raise Incomes of

## Poor Farmers

**African Centre for Fertilizer Development**, Harare, Zimbabwe: \$69,375 to develop a regional policy framework for improving fertilizer trade, procurement and distribution for poor farmers in the Southern Africa Development Community.

**African Technology Policy Studies Network**, Nairobi, Kenya: \$49,100 toward the costs of an international conference entitled, Science and Technology Policies for Sustainable Food Security in Africa, to be held in Maseru, Lesotho, November 2003.

**AT Uganda**, Kampala, Uganda: \$200,000 toward the costs of increasing access for poor farmers to improved seeds, chemical fertilizers and other farm equipment and supplies through a network of rural agricultural input suppliers.

## Food Agriculture and Natural Resources

**Policy Analysis Network**, Harare, Zimbabwe: \$144,000 for core support of its mission to research, develop and disseminate information about agricultural policies that improve the food security and incomes of poor farmers in southern Africa.

**Food and Agriculture Organization of the United Nations**, Rome, Italy: \$11,810 toward the costs of participation by African stakeholders in a workshop entitled, *Toward a Global Post-Harvest Systems Initiative for the 21st Century: Linking Farmers to Markets*, to be held in Rome, Italy, October 2003.

**Food and Agriculture Organization of the United Nations**, Rome, Italy: \$45,000 for use by its Sub-regional Office for Southern and Eastern Africa toward the costs of facilitating linkages between farmers in farmer field schools and the private-sector, with the aim of increasing agricultural productivity and enhancing food security for poor farmers in western Kenya.

**Foundation-administered project**: \$77,000 to gather information about institutions and policies that influence markets affecting poor farmers in Kenya, Uganda and Tanzania in order to better guide grant making in the Foundation's Food Security Theme.

**Foundation-administered project**: \$81,400 toward the costs of facilitating the development of a collaborative professional Master's degree program in agricultural economics in eastern and southern African universities.

**A Harvest Biotech Foundation International**, Nairobi, Kenya: \$641,388 toward the costs of improving access of poor farmers in Kenya to lower-cost, disease- and insect-free tissue culture banana plantlets, thereby raising their farm productivity, food security and incomes.

**International Food Policy Research Institute**, Washington, D.C.: \$100,000 toward the costs of an international conference, *Assuring Food and Nutrition Security in Africa by 2020*, to be held in Kampala, Uganda, April 2004.

**International Food Policy Research Institute**, Washington, D.C.: \$10,960 to enable heads of departments of agricultural economics of universities in East and southern Africa to participate in the International Agricultural Economics Association Conference to be held in Durban, South Africa, August 2003.

**Market Matters**, Ithaca, New York: \$201,250 to improve the effectiveness of seed markets serving poor farmers through research, analysis and management training for pro-poor African seed companies.

**Michigan State University**, East Lansing, Michigan: \$297,312 toward the costs of a study, in collaboration with researchers from the Food, Agriculture and Natural Resources Policy Analysis Network based in Zimbabwe, on maize markets and the regional maize trade in South Africa and their impact on food security for the poor in Malawi, Mozambique and Zambia.

**Michigan State University**, East Lansing, Michigan: \$98,260 for a study of the expansion of food supermarket chains in Kenya and its effect on supply, income and employment opportunities for poor farmers.

**Michigan State University**, East Lansing, Michigan: \$36,697 for use by its Department of Agricultural Economics toward the costs of designing a project to strengthen regional networks of agricultural market information systems for poor farmers and traders' organizations in West Africa.

**National Agricultural Research Organisation**, Entebbe, Uganda: \$362,595 to improve banana marketing and post-farm handling and utilization, in order to improve farm productivity, incomes and food security for poor farmers in Uganda.

**TechnoServe**, Norwalk, Connecticut: \$574,299 toward the costs of improving access of poor farmers growing bananas in Kenya to profitable output markets by helping them to develop strong producer and marketing associations.

**University of Greenwich**, London, England: \$14,840 for use by its Natural Resources Institute to enable scientists from East and southern Africa to attend the conference, *Improving Food Systems in Sub-Saharan Africa*, to be held in Yaounde, Cameroon, May 2003.

**University of Malawi**, Zomba, Malawi: \$80,010 for use by its Bunda College's Initiative for Development and Equity in African Agriculture to develop a sustainable cassava seed market system in Malawi.

## International Public Goods for

### Poor Farmers

**Centre for Agriculture and Biosciences International**, Wallingford, England: \$7,000 to disseminate the *Crop Protection Compendium*—a multi-media knowledge management tool used in teaching, research and development in agricultural sciences—to African scientists participating in the Sixth Africa Crop Science Society Conference to be held in Nairobi, Kenya, October 2003.

**Columbia University**, New York, New York: \$50,000 for use by its Earth Institute toward the costs of developing a global strategy and plan of work to help in achieving the Millennium Development Goal of halving world hunger by 2015.

**Columbia University**, New York, New York: \$35,000 for use by its Earth Institute toward the costs of developing an integrated set of recommendations for achieving the Millennium Development Goals for food security, poverty, environmental sustainability and water and sanitation by 2015.

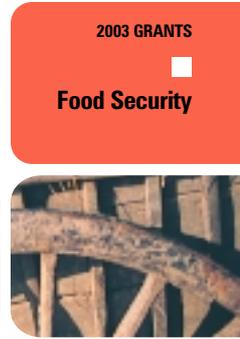
**Cornell University**, Ithaca, New York: \$298,595 for use by its Albert R. Mann Library to develop *Access to Global Online Research in Agriculture*, a web-based platform that will increase developing-country access to scientific information, thereby improving the quality and efficiency of agricultural research.

**Cornell University**, Ithaca, New York: \$70,684 for use by its Albert R. Mann Library to assess the extent to which The Essential Electronic Agricultural Library has succeeded in improving developing-country researchers' and educators' access to scientific literature and whether such

access has had an impact on research and teaching, and to identify the conditions that promote the most effective use of the Library.

**Cornell University**, Ithaca, New York: \$51,500 to enable the University's Albert R. Mann Library to acquire The Essential Electronic Agricultural Library for two educational/research institutions in sub-Saharan Africa.

**Environmental Law Institute**, Washington, D.C.: \$193,933 toward the costs of capacity building, particularly in Africa, for improved formulation of crop genetic resources policies.



2003 GRANTS

## Food Security

**International Plant Genetic Resources Institute**, Rome, Italy: \$200,000 toward the costs of strengthening the world's crop genebanks by mobilizing fundraising and public awareness efforts aimed at development of a global conservation trust.

**International Plant Genetic Resources Institute**, Rome, Italy: \$71,773 to help international agricultural research centers develop common approaches to exchange genetic resources with national and international partners in compliance with the International Treaty on Plant Genetic Resources for Food and Agriculture.

**International Service for National Agricultural Research**, The Hague, Netherlands: \$75,000 to promote the development, testing and implementation of institutional learning and change in the Consultative Group on International Agricultural Research.

## GLOBAL PLANT BIOTECHNOLOGY DIALOGUES (Joint with Global Inclusion)

**Chinese Academy of Agricultural Sciences**, Beijing, China: \$4,000 to enable members of its Institute of Plant Protection to write a review article entitled, "Evolution of Insect Management Practices of Cotton in China."

**Cornell University**, Ithaca, New York: \$99,550 toward the costs of a collaboration with Vietnamese government ministries aimed at strengthening biosafety regulations and practices in Vietnam.

**International Crops Research Institute for the Semi-Arid Tropics**, Patancheru, India: \$25,000 toward the costs of an international colloquium, *Bridging the Technology Divide - Biotechnology Alliances and the New Architecture of Innovation*, to be held at the Institute, March 2003.

### **International Livestock Research Institute,**

Nairobi, Kenya: \$50,000 toward the costs of a workshop for African researchers and policy-makers on the role of agricultural science and technology in reducing hunger and improving rural livelihoods, to be held in Addis Ababa, Ethiopia, June 2003.

### **International Maize and Wheat Improvement Center,**

Mexico City, Mexico: \$300,000 toward the costs of a study to determine how gene flow, including the flow of transgenes, affects traditional landraces, in order to elucidate the impact of gene flow on the livelihoods of small-scale farmers in Mexico.

### **International Service for the Acquisition of Agri-biotech Applications,**

Ithaca, New York: \$95,000 toward the costs of producing and publishing the "Annual Global Review of Transgenic Crops," an in-depth analysis of global developments pertaining to the adoption and socio-economic impacts of genetically modified crops.

### **Ministry of Agriculture and Rural Development, Vietnam,**

Hanoi, Vietnam: \$62,200 for use by its Agricultural Genetics Institute toward the costs of a collaboration with Cornell University aimed at strengthening biosafety regulations and practices in Vietnam.

### **University of Pretoria,**

Pretoria, South Africa: \$138,000 for use by its Department of Agricultural Economics, Extension and Rural Development to study the economic, socio-economic and health effects of adoption of *Bacillus thuringiensis* (Bt) white maize in South Africa.

## ■ INTELLECTUAL PROPERTY RIGHTS POLICY

(Joint with Creativity & Culture, Global Inclusion and Working Communities)

### **African Agricultural Technology Foundation,**

Nairobi, Kenya: \$1,000,000 toward the costs of selecting, preparing and mobilizing resources for pilot projects that will facilitate public-sector access to new agricultural technologies.

### **Environmental Law Institute,**

Washington, D.C.: \$10,000 toward the costs of disseminating a comprehensive reference work on policies governing access to genetic resources in Africa.

### **Foundation-administered project:**

\$261,950 toward the costs of establishing the Public Intellectual Property Resource for Agriculture, an entity that will facilitate public-sector access to new agricultural technologies, particularly in Africa.

### **Foundation-administered project:**

\$43,000 toward the costs of designing, planning and facilitating two meetings aimed at examining possible regulatory and legal frameworks for the efficient and equitable use of genetic resources in Africa, to be held in Rome and at the Bellagio Study and Conference Center, Italy, September 2003.

## Explorations

### **Foundation-administered project:**

\$20,500 toward the costs of commissioning a study of Malawian agriculture that will be used in developing a new program structure for Foundation's Food Security Theme.

## Other

### **African Crop Science Society,**

Rustenburg, South Africa: \$79,500 to facilitate the exchange of information among crop scientists in Africa by enabling participants in the Foundation-supported Forum on Agricultural Resource Husbandry in Sub-Saharan Africa to attend the African Crop Science Congress, to be held in Nairobi, Kenya, October 2003.

### **Egerton University,**

Njoro, Kenya: \$7,500 for use by its Department of Soil Science of the Faculty of Agriculture to further the development of its programs.

### **Foundation-administered project:**

\$95,500 to facilitate the transition of the Forum for Agricultural Resource Husbandry from a Foundation-managed program to independent status.

### **Moi University,**

Eldoret, Kenya: \$7,500 for use by its Department of Soil Science in the Faculty of Agriculture to further the development of its programs.

### **University of Malawi,**

Zomba, Malawi: \$5,000 for use by its Bunda College of Agriculture to further the development of its programs.

### **University of Nairobi,**

Nairobi, Kenya: \$5,000 for use by the Faculty of Agriculture to further the development of its programs.

### **Wageningen University,**

Wageningen, Netherlands: \$1,000,000 for the continuation of a Ph.D. training and research program aimed at understanding and enhancing the role of developing-country smallholder farmers in agricultural innovation and technology dissemination.

## Fellowships

### **Lukman Nagaya Mulumba,**

Uganda: \$36,710 for a fellowship research allocation for dissertation research in Uganda as part of a Ph.D. program in soil science at the Department of Soil Science, Ohio State University, Columbus, Ohio.

### **Gertrude Night,**

Uganda: \$64,550 for a fellowship research allocation for dissertation research in Uganda as part of a Ph.D. program in entomology at the Department of Ecology and Evolutionary Biology, Cornell University, Ithaca, New York.

### **Michael Andrew Nyika,**

Zimbabwe: \$6,000 for a fellowship research allocation for dissertation research in Zimbabwe as part of a Ph.D. program in soil science at the Department of Crop and Soil Sciences, Michigan State University, East Lansing, Michigan.

### **Julius Juma Okello,**

Kenya: \$25,000 for a fellowship research allocation for dissertation research in Kenya, as part of a Ph.D. program in agricultural economics at the Department of Agricultural Economics, Michigan State University, East Lansing, Michigan.



## Health Equity

### Harnessing the New Sciences

**ASEAN Secretariat**, Jakarta, Indonesia: \$235,115 toward the costs of building local capacity to assess the impact of intellectual property rights on public health in the ASEAN region.

**Essential Information**, Washington, D.C.: \$75,000 for use by its Consumer Project on Technology toward the costs of a meeting, one in a series of Frati global dialogues on intellectual property, to be held at the Bellagio Study and Conference Center, Italy, September 23-28, 2003, and related activities on intellectual property and health research and development.

**Foundation for the National Institutes of Health**, Bethesda, Maryland: \$25,000 toward the costs of publishing a supplement to the American Journal of Tropical Medicine and Hygiene entitled, *The Intolerable Burden of Malaria: What's New, What's Needed*.

**Foundation-administered project**: \$100,000 for a consultancy to assess progress, problems and potential in relation to public/private partnerships in international public health, especially with respect to microbicide development.

**Foundation-administered project**: \$400,000 for consultancies and an evaluation of the Foundation's programming strategy entitled, *Harnessing the New Sciences*.

**Foundation-administered project**: \$174,900 for activities to improve the management of intellectual property rights in health research and development so that new products will be available to poor people in developing countries.

**Foundation-administered project**: \$95,000 for a consultancy to further the development of an international pediatric dengue vaccine initiative.

**Global Forum for Health Research**, Geneva, Switzerland: \$300,000 for core support and its initiative on public/private partnerships for health, which focuses on product development for diseases that affect poor people in developing countries.

**Henry M. Jackson Foundation for the Advancement of Military Medicine**, Rockville, Maryland: \$60,000 toward the costs of a workshop on the molecular basis of cell entry and the pathogenesis of dengue virus, to be held in Vienna, Austria, June 2003.

**Institute for Advanced Study**, Princeton, New Jersey: \$50,000 for the development of a Science Corps and a workshop to reduce barriers between scientific research and the private-sector in Mexico, as part of its Millennium Science Initiative.

**International Partnership for Microbicides**, Silver Spring, Maryland: \$6,263,944 for projects that further the development and introduction of new products, controlled by women, that reduce HIV transmission.

**International Vaccine Institute**, Seoul, South Korea: \$500,000 toward the costs of a pediatric dengue vaccine initiative for poor children.

**International Vaccine Institute**, Seoul, South Korea: \$30,000 to enable participants from Bangladesh, China, India, Pakistan and Vietnam to attend a course on vaccinology designed to strengthen the capacity of developing countries in the Asia-Pacific Region, to be held March 2004.

**Medical Research Council, South Africa**, Cape Town, South Africa: \$99,800 for use by its Tuberculosis Lead Research Programme to strengthen collaboration in the areas of TB drug, diagnostics and vaccine research among scientists in high-burden countries.

**Medicines for Malaria Venture**, Geneva, Switzerland: \$2,000,000 for general support of its efforts to discover, develop and deliver affordable new anti-malarial drugs to people in developing countries.

**New York University**, New York, New York: \$100,000 for use by its School of Medicine's "Undeveloped Drug Project" to bring bio-pharmaceuticals of limited market potential to poor people in developing countries.

**Stichting Health Action International Foundation**, Amsterdam, Netherlands: \$200,000 to improve the market transparency of pharmaceutical prices and policy responses to enhance affordable access to essential drugs in developing countries.

**World Health Organization**, Geneva, Switzerland: \$198,880 for use by its Department of Essential Drugs and Medicines Policy toward the costs of a project on issues of pharmaceutical procurement and patents affecting access to medicines for AIDS, tuberculosis and malaria, especially in developing countries.

**World Health Organization**, Geneva, Switzerland: \$113,000 for use by its Initiative for Vaccine Research toward the costs of research projects on new vaccine delivery and stabilization technologies.

### Learning Health Systems

**American Public Health Association**, Washington, D.C.: \$15,000 for the publication of a booklet on the history of international health at the American Public Health Association.

**Bangladesh Rural Advancement Committee**, Dhaka, Bangladesh: \$137,385 toward the costs of a meeting on human resources for health, held in June 2003.

**BRAC University**, Dhaka, Bangladesh: \$250,000 for strategic planning activities in connection with the establishment of its James P. Grant School of Public Health.

**Canadian Institute for Advanced Research**, Toronto, Canada: \$50,000 toward the costs

of studies on health status and other social factors that contribute to the development of successful societies.

**Clarity Films**, Berkeley, California: \$75,000 toward the costs of producing a documentary film on the global impact of Cuba's South-South cooperation in medicine and public health.

**Foundation-administered project**: \$130,000 toward the costs of a stocktaking exercise to inform strategies for strengthening the equity orientation of global health initiatives.

**Foundation-administered project**: \$170,000 for a service arrangement with the International Health Policy Program, Thailand, to facilitate the activities of a Foundation working group on demand management for human resources for health.



2003 GRANTS

Health Equity



**Foundation-administered project**: \$65,000 for a meeting organized in collaboration with The Lancet on the challenges and opportunities facing the World Health Organization during a time of leadership transition, to be held at the Bellagio Study and Conference Center, Italy, May 2003.

**Foundation-administered project**: \$850,110 toward the costs of facilitating the activities of six Foundation working groups focused on building human resources for health.

**Health Systems Trust**, Rondebosch, South Africa: \$660,000 toward the costs of six country-level studies in the Global Equity Gauge Alliance project, which monitors health inequalities within developing countries, and promotes action to reduce unfair disparities in health.

**International Trachoma Initiative**, New York, New York: \$300,000 to study the distribution of trachoma in Tanzania and Vietnam using an equity-based analysis, and to implement the lessons learned in order to improve trachoma control in the 13 countries in which the Initiative operates.

**Journal of Public Health Policy**, Burlington, Vermont: \$164,250 for a project in collaboration with the World Health Organization to capture and disseminate the lessons learned from the International Health Research Awards.

**Makerere University**, Kampala, Uganda: \$100,000 for use by its Institute of Public Health to develop a policy tool to facilitate equity-oriented health care financing reform in Uganda.

**Management Sciences for Health**, Boston, Massachusetts: \$29,570 toward the costs of a project to speed the transfer of technology and improve regional production of long-lasting insecticide-treated anti-malarial bed nets in sub-Saharan Africa.

**Mexican Cultural Institute**, New York, New York: \$10,000 for the publication and promotion of a health directory for Mexican nationals living in the New York metropolitan area containing information about public health care programs, disease prevention and local community organizations.

**Ministry of Health, Cambodia**, Phnom Penh, Cambodia: \$74,960 for use by its Municipal Health Department for a model health service delivery program for the urban poor in Phnom Penh.

**National Institute for Medical Research**, Dar es Salaam, Tanzania: \$95,700 in support of its work to analyze the impact of health sector reform policies from an equity perspective and provide evidence-based recommendations for the development of efficient, equitable policy options for the Tanzanian health system.

**Oxford University Press**, New York, New York: \$7,500 toward the costs of publishing a book by John Farley entitled, "To Cast Out Disease: A History of the International Health Division of the Rockefeller Foundation (1913-1951)."

**Partners in Health**, Boston, Massachusetts: \$130,000 toward the cost of an informal consultation with global health leaders to assist the transition team of the World Health Organization in strengthening the organization's role in the global health arena, to be held at the Bellagio Study and Conference Center, Italy, April 1-5, 2003.

**Santa Fe Institute**, Santa Fe, New Mexico: \$18,000 to enable African scientists from outside South Africa to attend a workshop organized in collaboration with the University of Cape Town on the sciences of complexity in Africa, to be held in Cape Town, South Africa, January 2005. (Joint with Global Inclusion)

**Training and Research Support Centre**, Harare, Zimbabwe: \$127,000 toward the costs of the planning and implementation of a regional conference on equity in health in southern Africa.

**Universidad del Desarrollo**, Santiago, Chile: \$283,440 for use by its Institute of Epidemiology and Public Health Policies in final support for developing strategies for measuring, monitoring and strengthening the health care system in Chile, as part of the Equity Gauge initiative.

**University of California, Berkeley**, Berkeley, California: \$13,650 for a study of a Kenyan model of "social franchising" designed to improve health service delivery to the poor.

**University of Cambridge**, Cambridge, England: \$50,000 for use by its Centre for Research in the Arts, Social Sciences, and Humanities for a workshop on rights, dignity and inequality in

global health, to be held at Trinity College, Cambridge, October 2003.

**University of the Western Cape**, Bellville, South Africa: \$80,000 for use by its School of Public Health toward the costs of meetings of global leaders to identify key knowledge gaps and opportunities related to human resources for health in Africa, held in Cape Town, South Africa, March 24-29, 2003.

**University of the Witwatersrand**, Johannesburg, South Africa: \$100,000 for use by its Centre for Health Policy, in collaboration with the Health Economics Unit at the University of Cape Town, to analyze the impact of policies under health care reform to strengthen and promote health equity in South Africa.

**World Health Organization**, Geneva, Switzerland: \$119,890 for use by its Department of Research Policy and Cooperation, in collaboration with the Journal of Public Health Policy, to provide the recipients of International Health Research Awards opportunities to share and disseminate their findings.

**World Health Organization**, Geneva, Switzerland: \$60,000 to enable its Department of Health Service Provision to prepare a paper on the health workforce and the expansion of anti-retroviral treatments in resource-poor settings, for presentation at a meeting in Zambia, November 2003.

## Rising to the Challenge of AIDS

**AIDS ACCESS Foundation**, Bangkok, Thailand: \$82,700 for the production and dissemination of films by young media professionals on HIV/AIDS prevention in Thailand.

**Burkina Faso Association for Family Well-Being**, Ouagadougou, Burkina Faso: \$130,520 to complete a project designed to improve the reproductive health of young people in the Ouahigouya zone of Burkina Faso that includes partnerships with existing health clinics and innovative communication strategies.

**Chiang Mai University**, Chiang Mai, Thailand: \$155,270 for use by its Women's Studies Center for master's degree scholarships in gender studies for students from the Lao People's Democratic Republic through a newly established Lao-Thai Scholarship Program on Gender Equity and Health.

**Columbia University**, New York, New York: \$4,000,000 for use by its Mailman School of Public Health toward the costs of an initiative that builds on existing programs to prevent mother-to-child transmission of HIV by providing treatment for HIV/AIDS to infected mothers and their infected children.

**Consultation of Investment in Health Promotion**, Hanoi, Vietnam: \$259,970 to enhance the capacity of local researchers to analyze, publish and disseminate research findings on gender, sexuality and sexual health in Vietnam.

**Foundation-administered project**: \$704,200 for meetings and consultancies associated with developing a Rockefeller Foundation funding strategy for HIV/AIDS prevention and care in sub-Saharan Africa, Southeast Asia and trans-boundary populations in the Greater Mekong Sub-region.

**Foundation-administered project**: \$250,000 toward the costs of developing the EnGendering Sexuality initiative as part of the Foundation's Rising to the Challenge of AIDS area of work.

**Foundation-administered project**: \$90,000 to review the challenges facing communities in sub-Saharan Africa affected by the AIDS pandemic, particularly in meeting the needs of children orphaned by the disease.

**Funders Network on Population, Reproductive Health and Rights**, Takoma Park, Maryland: \$50,000 for general support of the Network's aim of enhancing the quality of work of grantmakers concerned about population, and sexual and reproductive health.

**Global AIDS Alliance**, Bethesda, Maryland: \$50,000 for general support of its efforts to stem the AIDS epidemic in Africa.

**Global Network of People Living with HIV/AIDS**, Amsterdam, Netherlands: \$20,000 to cover the costs of African participants at the International Conference for People Living with HIV/AIDS, held in Uganda, October 2003.

**Global Strategies for HIV Prevention**, San Rafael, California: \$30,000 toward the costs of updating and expanding the distribution of a CD-ROM on the resources available for the prevention and treatment of HIV in women and children in developing countries.

**Harvard University**, Cambridge, Massachusetts: \$74,480 for use by its medical school toward the cost of a meeting on expanding AIDS treatment and care in resource-poor settings, to be held in Cange, Haiti, April 2003.

**Human Rights Watch**, New York, New York: \$47,000 for a project concerning gender-related human rights abuses and HIV/AIDS in sub-Saharan Africa.

**Joint Clinical Research Centre**, Kampala, Uganda: \$485,000 for its continued participation in a multicenter clinical trial organized by the Medical Research Council, United Kingdom, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa.

**Kunming Medical College**, Kunming, China: \$194,050 for use by its Institute for Health Sciences to develop and conduct a training course on gender and sexual health for health professionals from Lao PDR, Myanmar and Vietnam.

**Mahidol University**, Nakornprathom, Thailand: \$245,130 for use by its Center for Health Policy Studies to hold, in collaboration with other leading institutions in the region, a regional course on sexuality in Southeast Asia that will address specific regional gender-sensitive issues.

**Mahidol University**, Nakornprathom, Thailand: \$300,000 for use by its Faculty of Social Sciences and Humanities to enable 14 students from Cambodia, Lao PDR and Myanmar to study for a master's degree in a program that focuses on gender, sexuality and reproductive health.

**Medical Research Council, United Kingdom**, London, England: \$127,405 for use by its Clinical Trials Unit to continue its coordination of a multicenter clinical trial to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa.

**Ministry of Health, Cambodia**, Phnom Penh, Cambodia: \$71,550 for use by the Municipal Health Department of Phnom Penh to improve sexual and reproductive health services and address gender-based violence in four slum areas, as part of its Health Services for the Urban Poor program.

**Ministry of Women's and Veterans' Affairs, Cambodia**, Phnom Penh, Cambodia: \$49,310 toward the costs of developing and broadcasting radio programs for Cambodian women on reproductive and sexual health and other gender-based issues.

**Nature America, Inc.**, New York, New York: \$25,000 for a special issue of the journal, *Nature Medicine*, on 20 years of HIV science. (Joint with Global Inclusion)

**Pacific Institute for Women's Health**, Los Angeles, California: \$84,900 to provide technical assistance to the Burkina Faso Association for Family Well-Being, which is testing the effects of a project designed to improve the reproductive health of young people in the Ouahigouya zone of Burkina Faso.

**Stanford University**, Stanford, California: \$99,060 to enable its Division of Infectious Diseases to collaborate with the University of Zimbabwe's AIDS prevention project.

**University of Stellenbosch**, Matieland, South Africa: \$410,460 for use by its Faculty of Health Sciences, in collaboration with the University of Cape Town, to complete a study that compares two strategies to prevent opportunistic infections in HIV-infected children in South Africa.

**University of Zimbabwe**, Harare, Zimbabwe: \$180,000 for the continued participation of its Parirenyatwa Hospital in a multicenter clinical trial organized by the Medical Research Council, United Kingdom, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa.

**Women's Health Advocacy Foundation**, Bangkok, Thailand: \$92,120 to raise media professionals' awareness of gender issues in sexual and reproductive health and foster use of a gender-sensitive approach in reporting news related to reproductive and sexual health issues.

**World Health Organization**, Geneva, Switzerland: \$300,000 for activities, in collaboration with partners in sub-Saharan Africa, to develop syndromic guidelines for common adult outpatient conditions in areas of high HIV prevalence.

**World Health Organization**, Geneva, Switzerland: \$200,000 to enable its Department of HIV/AIDS, in collaboration with UNAIDS, to convene a meeting on the technical and procedural dimensions of scaling-up the provision of anti-retroviral treatment in resource-poor settings in developing countries, to be held in Lusaka, Zambia, November 2003.

**World Health Organization**, Geneva, Switzerland: \$25,000 for use by its Special Programme for Research and Training in Tropical Diseases toward the costs of a planning group on improved diagnostics for sexually-transmitted infections.

## Other

### DISEASE SURVEILLANCE

**Centre for Health, Science and Social Research**, Lusaka, Zambia: \$99,960 for continued support of research to strengthen cross-border disease prevention, control and surveillance programs in southern Africa.

**East African Community**, Arusha, Tanzania: \$406,760 toward the costs of its East African Integrated Disease Surveillance Network, which is building a regional platform for infectious disease surveillance and response.

**International Society for Infectious Diseases**, Boston, Massachusetts: \$209,190 for use by its Program for Monitoring Emerging Diseases to collaborate with regional disease surveillance networks in Africa and Southeast Asia to improve reporting of disease outbreaks.

**Ministry of Public Health, Thailand**, Nonthaburi, Thailand: \$278,180 for use by its Field Epidemiology Training Program to coordinate the Mekong Basin Disease Surveillance project.

**Prince of Songkla University**, Hat Yai, Thailand: \$91,300 for use by its Epidemiology Unit, in collaboration with regional partners, to assess the need for training in cross-border health in the Greater Mekong Sub-region.

**Southeast Asian Ministers of Education Organization**, Bangkok, Thailand: \$99,225 for use by its Regional Tropical Medicine and Public Health Network to explore the potential for using Geographic Information Systems to inform disease prevention and control programs in the Greater Mekong Sub-region.

**World Health Organization**, Geneva, Switzerland: \$250,000 toward the costs of a collaboration with regional networks in sub-Saharan Africa and Southeast Asia to strengthen cross-border disease surveillance and response.

### PUBLIC HEALTH SCHOOLS WITHOUT WALLS

**Makerere University**, Kampala, Uganda: \$241,575 toward the costs of transforming its Faculty of Medicine into a College of Health Sciences by introducing innovations in teaching and learning, establishing a unit for continuing education, enhancing coordination and resource mobilization and establishing a process for cost/based financing. (Joint with Africa Regional Program)

**Makerere University**, Kampala, Uganda: \$316,575 for use by its College of Health Sciences to improve and expand its master's in medicine degree program. (Joint with Africa Regional Program)

**Makerere University**, Kampala, Uganda: \$321,850 for use by its Institute of Public Health toward the costs of developing and implementing a master's degree program in public health using distance learning. (Joint with Africa Regional Program)

**University of Ghana**, Accra, Ghana: \$220,000 for use by the School of Public Health, within its College of Health Sciences, toward the cost of developing and implementing a master's degree course in health informatics. (Joint with Africa Regional Program)

## TOBACCO CONTROL

**Adventist Development and Relief Agency International**, Silver Spring, Maryland: \$328,010 for use by its Cambodia office for continuation of the Smoke-Free Buddhist Monks project and for its expansion into the community and to additional provinces.

**Essential Information**, Washington, D.C.: \$250,000 to expand its North-South global partnerships program for tobacco control in developing countries.

**Foundation-administered project**: \$100,000 for consultancies in connection with the Foundation's Trading Tobacco for Health program in Southeast Asia.

**International Union Against Cancer**, Geneva, Switzerland: \$250,000 for the establishment of an online resource for developing-country tobacco control groups that want to counter tobacco promotion campaigns in their countries.

**Ministry of Health, Malaysia**, Kuala Lumpur, Malaysia: \$60,000 for use by its Public Health Department to analyze policy options and potential models for the establishment of a health promotion foundation in Malaysia.

**Ministry of Health, Vietnam**, Hanoi, Vietnam: \$300,000 for use by its Vietnam Committee on



Smoking and Health to expand its communications project aimed at decreasing the exposure of women and children to secondhand smoke at home.

**National Public Health Institute, Finland**, Helsinki, Finland: \$59,675 to support the participation and training of delegates from Southeast Asia and other developing countries at the 12th World Conference on Tobacco OR Health.

**PATH Canada**, Ottawa, Canada: \$200,000 toward the costs of strengthening and expanding tobacco control in Vietnam through integration of tobacco control into existing programs and expansion of the number of key agencies involved in tobacco control.

**Thai Health Promotion Foundation**, Bangkok, Thailand: \$1,318,760 to enable it to serve as the hub for Southeast Asian Tobacco Control Alliance activities, continue its regional collaborative tobacco control research program and create an ASEAN fellowship program for this field.

**University of Science Malaysia**, Pulau Pinang, Malaysia: \$280,880 for use by its National Poison Centre to advance tobacco control in Malaysia through the establishment of a research network and a national council for tobacco control.

## ■ Working Communities

### Adequate School Financing

#### ■ BUILDING ORGANIZATIONAL CAPACITY

**Northwest Bronx Community and Clergy Coalition**, Bronx, New York: \$70,000 toward the costs of a project to renovate the Kingsbridge Armory in the Bronx as a mixed-use facility anchored by several small public schools.

#### ■ CONVENINGS

**Southern Education Foundation**, Atlanta, Georgia: \$75,000 toward the costs of convenings for policymakers, lawyers and activists engaged in education finance efforts in U.S. southern states.

#### ■ RESEARCH AND POLICY ANALYSIS

**Brown University**, Providence, Rhode Island: \$250,000 for use by its Annenberg Institute for School Reform's national task force on the future of urban school districts to develop and pilot a set of tools to assist communities with the redesign of their local school districts.

**California Tomorrow**, Oakland, California: \$100,000 in support of its work to refine tools for improving the education of immigrant and language minority youth, and implement strategies for educational reform at the local, state and national levels.

**Center for Applied Linguistics**, Washington, D.C.: \$75,000 toward the costs of a study to measure teacher implementation of a sheltered instruction approach for secondary school English language learners in the Houston Independent School District and the impact of the approach on student achievement.

**Center on Education Policy**, Washington, D.C.: \$100,000 toward the costs of a comparative study of school finance issues related to high school exit examinations.

**Education Law Center**, Newark, New Jersey: \$100,000 toward the costs of planning a project to develop an accountability model to measure the implementation of New Jersey's new school finance system and the educational progress made in the 30 urban school districts it covers, in order to engage local, state and national audiences in a dialogue about adequate school finance and accountability.

**Education Leadership Institute, Inc.**, East Syracuse, New York: \$100,000 in support of a research study and public engagement initiative to show the impact of New York State's public school funding system on educational opportunities for New York students.

**Fordham University**, New York, New York: \$53,070 for use by its National Center for Schools and Communities toward the costs of planning a three-year study of the interplay of macro-economic conditions, state education funding policy

and educational outcomes in the major urban school districts in New York State.

**Healthy Schools Network, Inc.**, Albany, New York: \$20,000 toward the costs of a feasibility analysis in preparation for a major study of the costs for upgrading school facilities to enable students in New York State to obtain a sound and basic education.

**Hunter College, City University of New York**, New York, New York: \$100,000 for use by its Centro de Estudios Puertorriqueños's National Latino Education Research Agenda Project toward its work to build a national network of Latino educational researchers committed to presenting Latino perspectives on public school reform.

**Institute on Taxation and Economic Policy**, Washington, D.C.: \$50,000 toward planning costs associated with an initiative to study, analyze and suggest tax-reform options for the tax systems of New York and Wisconsin.

**National Center for Educational Accountability**, Austin, Texas: \$149,989 toward the costs of research to examine indicators of teacher learning that enhance accountability and school improvement efforts.

**National Commission on Teaching and America's Future**, Washington, D.C.: \$125,106 toward the costs of analyzing research and survey data to demonstrate how the school environment – physical and professional – impacts teacher turnover, teaching quality and students' opportunity to learn.

**New Visions for Public Schools**, New York, New York: \$150,000 to develop a model for mobilizing community resources to deepen school-community partnerships in New York City's secondary schools.

**New York University**, New York, New York: \$74,865 for use by its Institute for Education and Social Policy toward the costs of planning research on increasing community participation in school facilities design and development in New York City.

**PolicyLink**, Oakland, California: \$175,251 in support of research to inform and shape policy development and advocacy strategies that promote equitable funding for public school facilities construction in California.

**Teachers College, Columbia University**, New York, New York: \$75,000 toward the costs of planning a four-year, multi-method and multi-institutional study on the effects of competition, choice and student selection policies on non-selective urban public high schools and their students.

**Teachers College, Columbia University**, New York, New York: \$90,000 for use by its National Center for Restructuring Education, Schools & Teaching toward implementing the findings of the Regional Minority Consortium's initiative to remedy the minority student achievement gap.

**University of Missouri-Columbia**, Columbia, Missouri: \$20,607 in support of a book analyzing youth poverty and education in America.

**University of Wisconsin-Madison**, Madison, Wisconsin: \$150,000 for use by its College of Engineering toward the costs of conducting research on effective ways to implement New Jersey's school construction program.

**Yale University**, New Haven, Connecticut: \$199,692 for use by its Bush Center in Child Development and Education toward the costs of research promoting an understanding of the experiences of young immigrant children and the impact of immigration on school finance.

#### ■ SETTING THE PUBLIC AGENDA

**American Council on Education**, Washington, D.C.: \$100,000 in support of "Unfinished Agenda: Ensuring Success for Students of Color," an initiative to engage the higher education community in using best practices to ensure minority student success. (Joint with Creativity & Culture)

**Campaign for Fiscal Equity**, New York, New York: \$250,000 for general support.

**Institute for Wisconsin's Future**, Milwaukee, Wisconsin: \$300,000 toward the costs of the Wisconsin School Funding Project to improve educational opportunities for children in low- and moderate-income communities by increasing school resources and parent involvement in education policy decision-making.

**Institute for Wisconsin's Future**, Milwaukee, Wisconsin: \$50,000 toward the costs of the National School Investment Network's efforts to increase state capacity to inform and mobilize parents, educators and concerned citizens around the issue of fair and adequate school funding.

**Public Policy and Education Fund of New York**, Albany, New York: \$215,000 toward the costs of developing a communications program for its Alliance for Quality Education project.

**Teaching Quality Foundation, Inc.**, Chapel Hill, North Carolina: \$90,000 for use by its Southeast Center for Teaching Quality to develop a school- and district-level accountability model for measuring teacher development.

### University of California, Los Angeles,

Los Angeles, California: \$200,000 in support of its project, toward a California Campaign for Educational Adequacy and Equity, to expand and conduct public education, research, policy analysis and leadership training to contribute to California's school finance and accountability reform efforts.

### Commemorating the 50th Anniversary of *Brown v. Board of Education*, the 1954 U.S. Supreme Court decision that mandated the desegregation of schools across America.

**CEJES Institute & Library**, Pomona, New York: \$40,000 toward the costs of a monograph by Edmund W. Gordon, "Education, Excellence and Equity," to commemorate the 50th anniversary of *Brown v. Board of Education*.

**Editorial Projects in Education, Inc.**, Bethesda, Maryland: \$75,430 for research and development of a five-part series of stories in *Education Week* that would examine current conditions in U.S. education through the lens of *Brown v. Board of Education*.

**Foundation-administered project**: \$350,000 toward costs associated with the production of a commissioned publication and convening on the occasion of the 50th anniversary of *Brown v. Board of Education*.

**Foundation-administered project**: \$25,000 in support of a landscaping study of organizations in the U.S. planning events, conferences and publications focused on the 50th anniversary of *Brown v. Board of Education*.

**Graduate School and University Center, City University of New York**, New York, New York: \$45,315 in support of a youth institute that will create a performance piece, "Echoes: Youth Perspectives on Racial Justice and Public Education Since *Brown*," to illustrate the legacy and ongoing struggles of *Brown v. Board of Education*.

**Howard University**, Washington, D.C.: \$50,000 for use by its School of Law toward the costs of its *Brown@50* Project, which will conduct commemorative activities examining the impact of *Brown v. Board of Education*.

**Mexican American Legal Defense and Educational Fund**, Los Angeles, California: \$100,000 for a re-examination of the principles of *Brown v. Board of Education* and its impact on the Latino community.

**NAACP Legal Defense and Educational Fund**, New York, New York: \$100,000 in support of planning activities to recognize its role in achieving, and commemorate the 50th anniversary of *Brown v. Board of Education*.

**Smithsonian Institution**, Washington, D.C.: \$100,000 for use by its National Museum of American History in support of an exhibition on the 50th anniversary of *Brown v. Board of Education*.

**Teachers College, Columbia University**, New York, New York: \$35,000 toward the costs of a celebration to commemorate the 50th anniversary of *Brown v. Board of Education*.

## Building Competent Organizations

### RACIAL JUSTICE ORGANIZATIONS

**The Advancement Project**, Washington, D.C.: \$350,000 for general support of its work on racial justice innovation and its role as a national resource center for attorneys and community activists.

**Lawyers' Committee for Civil Rights Under Law**, Washington, D.C.: \$125,000 for general support.

**Mexican American Legal Defense and Educational Fund**, Los Angeles, California: \$125,000 for general support.

**NAACP Legal Defense and Educational Fund**, New York, New York: \$125,000 for general support.

**National Asian Pacific American Legal Consortium**, Washington, D.C.: \$137,500 for general support.

**Puerto Rican Legal Defense and Education Fund**, New York, New York: \$150,000 for general support.

**Southern Echo**, Jackson, Mississippi: \$300,000 for general support of its efforts to increase democratic participation in the southern region of the United States.

## Building Mixed-Income Communities

### BUILDING ORGANIZATIONAL CAPACITY

**Charlottesville Public Housing Association of Residents**, Charlottesville, Virginia: \$25,000 in general support of its mission to provide public housing residents with the knowledge, skills and leadership development to improve their communities.

**Collins Center for Public Policy**, Miami, Florida: \$200,000 in support of its project, the Funders' Network for Smart Growth and Livable Communities to raise the profile of housing and metropolitan strategies within philanthropy.

**Corporation for Supportive Housing**, New York, New York: \$700,000 toward general support of its mission to end homelessness in the United States by creating an effective delivery system for supportive housing.

**Good Old Lower East Side, Inc.**, New York, New York: \$80,000 in general support of its mission to promote equitable community development and community revitalization and prevent homelessness in Lower Manhattan.

**Habitat for Humanity International**, Americus, Georgia: \$100,000 toward the costs of developing a dynamic knowledge network around leadership, community development and low-cost housing that will nurture leadership development in its affiliates across the United States.

**Housing Partnership Network**, Boston, Massachusetts: \$100,000 toward general support of its mission to promote peer-to-peer collaboration, business development and policy advocacy among regional nonprofit housing partnerships.

### Local Initiatives Support Corporation,

New York, New York: \$40,000 for use by its Phoenix office toward pre-development and start-up costs for the Phoenix Housing Partnership, which will seek to develop affordable housing in the greater Phoenix area.

**McAuley Institute**, Silver Spring, Maryland: \$15,000 toward the costs of business plans for its programs to assist low-income women and families with affordable housing, including its revolving loan fund, technical assistance program and women's leadership program.

**National Community Building Network**, Oakland, California: \$50,000 toward transitional support for development of a long-term business plan for the organization.

**National Community Reinvestment Coalition**, Washington, D.C.: \$100,000 toward general support of its mission to build wealth in traditionally underserved communities.

**National Housing Law Project**, Oakland, California: \$100,000 toward general support of its mission to advance housing justice for low-income people.

### PRIVATE AND PUBLIC INVESTMENT IN LOW-INCOME COMMUNITIES

**Boston Community Capital**, Boston, Massachusetts: \$150,000 toward general support of its mission to link low-income communities and conventional financial and capital markets.

**Calvert Foundation**, Bethesda, Maryland: \$150,000 for general support of its mission to increase the flow of capital to low-income communities in the United States.

**Community Development Venture Capital Alliance**, New York, New York: \$300,000 for general support of its mission to build, strengthen and support the field of community development venture capital with the aim of attracting more investment capital to low-income communities.



**Community Reinvestment Fund**, Minneapolis, Minnesota: \$125,000 toward support of its project aiming to standardize loan documents used by community development lenders, thereby attracting private capital to low-income communities.

**Pacific Community Ventures**, San Francisco, California: \$163,000 toward the costs of measuring the social return on its venture capital investment in low-income communities across California and developing a strategy to help other institutional and private equity investors do the same.

**Social Enterprise Alliance**, Columbus, Ohio: \$52,000 for general support of its mission to provide resources to strengthen nonprofit organizations by mobilizing a community of practitioners and investors to advance earned-income strategies.

## ■ RESEARCH AND POLICY ANALYSIS

**CEOs for Cities**, Boston, Massachusetts: \$250,000 toward further development and dissemination of findings of its New Dynamics of Urban America project, which aims to keep cities economically competitive and elevate urban issues in national policy debates.

**Columbia University**, New York, New York: \$100,000 in support of its project, the Institute for Social and Economic Research and Policy, toward a longitudinal study and a film documentary to examine the experiences of Chicago families relocating from distressed public housing developments into the private residential market as part of the Chicago Housing Authority's plan to transform the distressed neighborhoods into mixed-income communities.

**Harlem Congregations for Community Improvement**, New York, New York: \$150,000 to strengthen its institutional capacity through the creation of a department of marketing and development.

**Harvard University**, Cambridge, Massachusetts: \$250,000 for use by its Joint Center for Housing Studies toward an initiative to investigate the importance of affordable housing to human, community and workforce development.

**Harvard University**, Cambridge, Massachusetts: \$150,000 for use by its Civil Rights Project toward its initiative, "Redefining Barriers to Housing - Race, Place and Home: A Civil Rights and Metropolitan Opportunity Agenda."

**McAuley Institute**, Silver Spring, Maryland: \$50,000 to support its project advancing the Success Measures Data System, a web-based outcomes measurement tool for nonprofit affordable housing organizations.

**National Congress for Community Economic Development**, Washington, D.C.: \$50,000 in support of its Fifth National Community Economic Development Census.

**National Low Income Housing Coalition**, Washington, D.C.: \$450,000 toward general support of its mission to end the affordable housing crisis in the United States.

**University of Chicago**, Chicago, Illinois: \$10,500 in support of a comparative study of redevelopment in the predominantly African-American neighborhoods of Harlem in New York City and Bronzeville in Chicago, Illinois.

**Urban Institute**, Washington, D.C.: \$200,000 in support of a longitudinal study to assess how the HOPE VI program, in which distressed developments are being demolished and replaced with mixed-income housing, is affecting the health and well-being of original, displaced residents.

**Vera Institute of Justice**, New York, New York: \$100,000 in support of a project to better understand the current surge in homelessness among families in New York City, to strengthen the effectiveness of existing prevention programs and to develop new coordinated strategies to prevent homelessness.

## ■ SETTING THE PUBLIC AGENDA

**Association for Neighborhood & Housing Development**, New York, New York: \$300,000 toward general support of its advocacy and policy work to promote a progressive affordable housing agenda in New York City.

**Association for Neighborhood & Housing Development**, New York, New York: \$50,000 in support of its Housing First! public education and advocacy initiative centered on the affordable housing crisis in New York City, toward its projects to keep housing in the public eye and to educate the public on housing issues.

**Chicago Lawyers' Committee for Civil Rights Under Law**, Chicago, Illinois: \$100,000 in support of its project to provide low-income families in Chicago, particularly displaced public housing residents, the opportunity to move to safe, stable, mixed-income communities.

**City Limits Community Information Service**, New York, New York: \$100,000 for use by its project, the Center for an Urban Future, toward the costs of an analysis of the creative sector of New York City's economy in order to enhance economic development and workforce opportunities for low- and middle-income city residents. (Joint with Creativity & Culture)

**Conservation Law Foundation**, Boston, Massachusetts: \$175,000 for use by its Greater Boston Institute, in its ongoing efforts to encourage transparency, accountability and informed public participation in urban planning and development processes in the city of Boston.

**Drum Major Institute**, New York, New York: \$25,000 in support of its Speakers Series of lectures for practitioners of various fields who have successfully incorporated values of equity and fairness into their work.

**Harvard University**, Cambridge, Massachusetts: \$10,000 for use by its Joint Center for Housing Studies toward planning activities for an international conference on housing finance.

**Initiative for a Competitive Inner City**, Boston, Massachusetts: \$100,000 in support of its Inner City Economic Forum, which aims to advance private investment in America's inner cities.

**Municipal Art Society of New York**, New York, New York: \$15,000 toward continued support of "Imagine New York: Giving Voice to the People's Visions," a project to encourage greater New York City metropolitan area residents to share their ideas and visions for rebuilding and memorializing the World Trade Center site, and to revitalize their own communities.

**National Housing Institute**, Montclair, New Jersey: \$200,000 in general support of its research and education activities, which support nonprofit, community-based organizations providing affordable housing and economic opportunities for residents of low- to moderate-income neighborhoods.

**National Trust for Historic Preservation**, Washington, D.C.: \$300,000 for general support of its mission to make historic preservation more useful and relevant in a community development context.

**Neighborhood Funders Group**, Washington, D.C.: \$10,000 toward the costs of a meeting of grantmakers to discuss strategies for increasing foundation support of affordable housing programs and activities.

**PolicyLink**, Oakland, California: \$1,050,000 to provide a final year of general support and to develop a long-range strategic plan for the organization.

**Studio Museum in Harlem**, New York, New York: \$100,000 in support of "harlemworld: metropolis as metaphor," an exhibition designed to increase awareness of strategies that diminish the negative impact of community revitalization by engaging cultural and community development stakeholders.

**Surface Transportation Policy Project**, Washington, D.C.: \$150,000 toward general support of its mission to develop transportation policies that better serve poor, urban neighborhoods.

## California Works for Better Health

**Alameda Corridor Jobs Coalition**, Los Angeles, California: \$15,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**Chinatown Service Center**, Los Angeles, California: \$15,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**Community Coalition for Substance Abuse Prevention and Treatment**, Los Angeles, California: \$14,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**Environmental Health Coalition**, San Diego, California: \$10,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**Fresno Center for New Americans**, Fresno, California: \$15,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**Fresno Leadership Foundation**, Fresno, California: \$15,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**Los Angeles Metropolitan Churches**, Los Angeles, California: \$14,500 to support the continued participation of its project, the United African-American Ministerial Action Council, in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**Metropolitan Area Advisory Committee on Anti-Poverty of San Diego County, Inc.**, National City, California: \$15,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**Mutual Assistance Network of Del Paso Heights**, Sacramento, California: \$10,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**San Diego Organizing Project**, San Diego, California: \$15,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**SVOC Affordable Homes**, Sacramento, California: \$15,000 to support its continued participation in the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

**West Fresno Coalition for Economic Development**, Fresno, California: \$75,000 to support its expanded participation in the Fresno regional collaborative of the California Works for Better Health project, a statewide initiative designed to improve the health and economic opportunity of residents living in California.

### Encouraging Economic Resiliency

#### BUILDING ORGANIZATIONAL CAPACITY

**Boston Foundation**, Boston, Massachusetts: \$300,000 for its project, the Boston Workforce Development Initiative, which aims to provide disadvantaged adults with high quality employment and training opportunities that lead to economic security for themselves and their families.

**Center for Labor and Community Research**, Chicago, Illinois: \$75,000 in support of its Food Chicago program that operates a skills-based, credentialed workforce development system for all food manufacturers in the Chicago region.

**Consortium for Worker Education**, New York, New York: \$150,000 in support of policy development and community outreach activities that will advance deeper ties among labor unions and community groups in New York City.

**Fifth Avenue Committee**, Brooklyn, New York: \$75,000 for continued support of its Learn More, Earn More program that combines adult education with career counseling to enable low-wage earners to progress to sustainable livable income jobs.

**Foundation-administered project**: \$435,000 toward the costs of strengthening and assessing an initiative to improve the effectiveness of job training agencies in Boston, Fort Worth and Nashville.

**HERE Education and Support Fund**, Washington, D.C.: \$65,000 in support of its project, the Restaurant Opportunities Center of New York, to improve working conditions, wages and employment opportunities for displaced restaurant workers.

**ICA Group**, Brookline, Massachusetts: \$30,000 for general support of its work promoting income-generating projects that save and create jobs for low-income people.

**Jobs for the Future**, Boston, Massachusetts: \$475,000 for general support of its mission to develop and implement effective strategies for expanding economic opportunity for the urban, working poor.

**Local Initiative Support, Training, and Education Network**, Washington, D.C.: \$75,000 in general support of its mission to build the capacity of community-based organizations that develop leadership among young adults of color.

**Miami Workers Center**, Miami, Florida: \$150,000 in general support of its mission to improve the livelihoods of welfare recipients and low-wage workers through leadership development, organizing outreach, coalition building and advocacy.

**Nashville Career Advancement Center**, Nashville, Tennessee: \$250,000 in support of its program aiming to increase the effectiveness of job training agencies in Nashville, Tennessee that help low-income job seekers secure livable wage employment.

**National Alliance for Fair Employment**, Boston, Massachusetts: \$120,000 in general support of its mission to undertake research, policy analysis and convenings for its network of grassroots groups working to improve policies that affect day laborers and part-time and contingent workers.

**National Council of La Raza**, Washington, D.C.: \$125,000 in support of its Policy Analysis Center, which conducts research, policy analysis and outreach activities to improve the socio-economic status of Latinos in the United States.

**National Employment Law Project**, New York, New York: \$30,000 in general support of its mission to enforce and expand employment protections for low-income and unemployed workers.

**Origin, Inc.**, New York, New York: \$35,000 in support of its project to produce a practitioners' guide for nonprofit staffing agencies that seek to help low-income adults find employment.

**Workforce Learning Strategies**, Cambridge, Massachusetts: \$25,000 to support the enhancement of its project, WorkforceUSA.net, an online library that provides resources to community-based organizations focused on workforce development in under-served communities.

**Young Community Developers**, San Francisco, California: \$100,000 toward the development of a strategic plan and for general support of its mission to provide comprehensive community-based employment and workforce development services to youth and adults in San Francisco's Southeast community.

#### RESEARCH AND POLICY ANALYSIS

**Brandon Roberts and Associates**, Chevy Chase, Maryland: \$95,000 toward support of its Working Poor Families project, which uses a framework of indicators to assess state efforts to assist the working poor to achieve economic self-sufficiency.

**Center for Community Change**, Washington, D.C.: \$100,000 in general support of its mission to support the creation and increase the capacity of grassroots organizations that work to reduce poverty and improve low-income communities in the United States.

**Center for Law and Social Policy**, Washington, D.C.: \$200,000 for general support of economic research and policy analysis on economic security and employment issues relating to working families.

**Fiscal Policy Institute**, Latham, New York: \$120,000 for general support of its mission to conduct research and policy analysis on labor market and economic issues in New York City and New York State.



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**Florida International University**, Miami, Florida: \$45,000 for use by its Center for Labor Research and Studies toward the costs of a research study on employment practices and working conditions in the building services industry in Miami, Florida.

**Foundation-administered project**: \$250,000 for a public education strategy that will incorporate the findings from several years of research from the Future of Work program into national and local policy debates.

**Foundation-administered project:** \$70,966 for the costs of meetings and editing and promotion of a book on international production networks.

**Hispanics in Philanthropy,** San Francisco, California: \$100,000 to support the efforts of its Funders' Collaborative for Strong Latino Communities to strengthen Latino non-profit organizations in New York City.

**Institute of Development Studies,** Brighton, England: \$17,000 toward the costs of a paper on value chain analysis for policymakers and practitioners concerned with generating jobs and income by promoting small and medium enterprises.

**Institute on Taxation and Economic Policy,** Washington, D.C.: \$150,000 in support of its Good Jobs New York project, to monitor how federal, state and local funding and subsidies are used in economic development in the New York metropolitan area.

**National Bureau of Economic Research,** Cambridge, Massachusetts: \$29,000 toward the costs of a research study to better understand the way reward structures affect individual and group performance.

**National Law Center on Homelessness & Poverty,** Washington, D.C.: \$50,000 toward general support of its mission to end homelessness by increasing opportunities for self-reliance.

**One Economy Corporation,** Washington, D.C.: \$150,000 for continued support of a project to improve technology access and use in order to expand the workforce and economic opportunities of low-income households in the San Francisco Bay area.

**University of Illinois at Chicago,** Chicago, Illinois: \$260,000 in support of its Center for Urban Economic Development to respond to the needs of local community groups and public officials in Chicago for quality, objective research and policy analysis on a range of economic issues.

**University of Illinois at Chicago,** Chicago, Illinois: \$100,000 toward the costs of a pilot study of unregulated work in New York and Chicago.

**University of Massachusetts, Lowell,** Lowell, Massachusetts: \$65,000 toward the costs of a research study on the impact of retail industry restructuring on workers in the United States and Mexico.

**Urban Institute,** Washington, D.C.: \$15,000 to conduct a simulation analysis of various ways to increase the solvency of the Massachusetts unemployment insurance trust fund.

**William J. Brennan Jr. Center for Justice,** New York, New York: \$250,000 in support of its project, the Economic Justice Program, which provides research and policy analysis to assist the work of community-based groups in New York City involved in economic justice issues.

## ■ SETTING THE PUBLIC AGENDA

**Center for Community Change,** Washington, D.C.: \$250,000 for general support of its work to help low-income people build the skills, resources and alliances needed to shape public policies that affect their lives.

**Center for Community Change,** Washington, D.C.: \$50,000 in support of its project, the Coalition on Human Needs, which seeks to inform and coordinate the efforts of a diverse coalition of civil rights, religious, labor and advocacy groups to improve policies and programs for low-income families.

**Center for Public Policy Priorities,** Austin, Texas: \$100,000 in general support of its work to improve public policies and practices in Texas, so that they can better address the economic and social needs of low- and moderate-income Texans.

**Center on Budget and Policy Priorities,** Washington, D.C.: \$475,000 in general support of its work to improve federal policies to help low-income families.

**Chicago Coalition for the Homeless,** Chicago, Illinois: \$150,000 in support of its Day Labor Project, which seeks to improve wages and working conditions for the growing numbers of homeless individuals in Chicago who work as temporary day laborers.

**Chicago Jobs Council,** Chicago, Illinois: \$150,000 for general support for its work ensuring access to employment and career advancement for low-skilled people.

**Citizens Budget Commission,** New York, New York: \$20,000 in general support of its mission to encourage sustainable fiscal policies and processes in New York City and New York State.

**Citizens Union Foundation,** New York, New York: \$75,000 toward the costs of the "Community Gazette," a website that connects New York City residents with salient information about their neighborhoods and engages them in debates about community-based planning.

**City Project,** New York, New York: \$30,000 in general support of its mission to ensure that New York City's fiscal policies are grounded in principles of fairness and transparency and designed to serve the city's low-income residents.

**Coalition for Humane Immigrant Rights of Los Angeles,** Los Angeles, California: \$100,000 toward the costs of its National Day Laborer Organizing Network project, a coalition of community-based organizations whose aim is to improve the lives and working conditions of day laborers in the United States.

**Community Voices Heard,** New York, New York: \$80,000 in general support of its mission to improve the lives of low-income New Yorkers through public education, leadership development and advocacy.

**Economic Policy Institute,** Washington, D.C.: \$300,000 in support of research and analysis on the living standards of low-income working people in America and for general support of economic research and policy analysis.

**Foundation-administered project:** \$100,000 toward the costs of program-related meetings and related activities that inform Working Communities grantees and/or policymakers about strategies for improving how workforce development systems meet the needs of low-skilled jobseekers and the working poor.

**Fund for the City of New York,** New York, New York: \$120,000 in support of its project, the New York City Employment and Training Coalition, for increasing the availability of high-quality employment and training to low-income New Yorkers.

**George Washington University,** Washington, D.C.: \$30,000 for use by its George Washington Institute of Public Policy toward the costs of research and an expert seminar comparing state accountability measures for United States labor and welfare policies with current European approaches.

**Institute for Public Policy Research,** London, England: \$56,148 toward the costs of a conference, to be held at the Bellagio Study and Conference Center, Italy, that brings together academics and policymakers from Europe, Australia and the United States to discuss the challenges of designing and implementing policies that benefit the broad public and the poor.

**Institute of Development Studies,** Brighton, England: \$12,034 toward the costs of a session on global value chains to be held at the Cancun Trade and Development Symposium, in Cancun, Mexico, September 2003.

**Jobs with Justice Education Fund,** Washington, D.C.: \$75,000 to help strengthen its Chicago-area coalition in order to increase its effectiveness in improving the living conditions of low-income workers in Chicago.

**National Center on Poverty Law,** Chicago, Illinois: \$100,000 in general support of its mission to provide national leadership in identifying, developing and supporting creative and collaborative approaches to achieving social and economic justice for low-income workers.

**National Employment Law Project,** New York, New York: \$335,000 in support of its New York Unemployment Project, which uses grassroots public education and advocacy to improve New York's safety-net programs for the unemployed, and for its coordination and support of public education efforts at the state level about the federal Unemployment Insurance program.

**National Women's Law Center**, Washington, D.C.: \$75,000 for general support of its work to promote public policies that improve the well-being of women and girls in the United States.

**New York Jobs with Justice**, New York, New York: \$300,000 toward the costs of three projects being undertaken by its city-wide labor, community, religious and student coalition to promote worker rights and more accountable, equitable economic development in New York City.

**Strategic Concepts in Organizing and Policy Education**, Los Angeles, California: \$100,000 in general support of its mission to improve job training and placement models, encourage job creation and access strategies that benefit low-income communities and increase the participation and effective representation of low-income groups in local decision-making in Los Angeles.

**Tides Center**, San Francisco, California: \$250,000 for support of its Women in Informal Employment Globalizing and Organizing project, a global network of activists, researchers and international development officials dedicated to improving the status of low-income women in the informal sector through research and public policy advocacy.

**University of Texas at Austin**, Austin, Texas: \$70,000 for use by its Lyndon B. Johnson School of Public Affairs' Ray Marshall Center for the Study of Human Resources toward the costs of a project aiming to improve state workforce systems in effectively meeting the needs of the working poor.

**Urban Institute**, Washington, D.C.: \$30,000 in support of its project, the Reentry Roundtable, toward a meeting to explore the relationship between work, crime reduction and the successful reintegration of inmates after their release from prison.

#### ■ WORKFORCE DEMONSTRATION

**Foundation-administered project:** \$49,994 toward publication costs and dissemination activities for Stories of Work, a monograph on the Foundation's employment and workforce development initiatives.

**Manpower Demonstration Research Corporation**, New York, New York: \$250,000 in support of its national Work Advancement and Support Center demonstration project, which seeks to improve the income and rates of sustained employment among low-wage workers.

**New York Community Trust**, New York, New York: \$25,000 in support of its project, the New York City Workforce Development Funders Group, to promote the Financial Management Training Initiative for employment service providers serving low-income youth and adults.

#### Next Generation Leadership

**Foundation-administered project:** \$303,000 for the costs of the Next Generation Leadership program and its alumni gatherings.

#### Other

**Public Interest Projects**, New York, New York: \$1,680,000 in support of its project, the Funders' Collaborative for Racial Justice Innovation, to promote collective efforts by lawyers and local community-based organizations that are using legal tools to improve resource equity and policy outcomes for racially and ethnically marginalized communities.

#### Setting a More Equitable Public Agenda

##### ■ POLICY ANALYSIS AND ADVOCACY

**American Civil Liberties Union Foundation**, New York, New York: \$150,000 for general support.

**Asian Pacific American Legal Center of Southern California**, Los Angeles, California: \$275,000 for general support of its mission to provide multilingual, culturally sensitive legal services, education and civil rights support to southern California's growing Asian Pacific American population.

**William C. Velasquez Institute**, Los Angeles, California: \$50,000 toward continued support of a longitudinal analysis of U.S. Census data over the last 30 years to provide a comprehensive profile of the social mobility of Latinos in the U.S., and to examine whether there is ongoing need within U.S. Latino communities for Voting Rights Act protections to ensure meaningful democratic participation by Latino groups.

##### ■ RACE, POLICY AND DEMOCRACY

**Asian-American/Pacific Islanders in Philanthropy**, San Francisco, California: \$100,000 toward the costs of research and convenings to explore the dimensions of the social exclusion of poor Asian-American women in metropolitan regions of the United States.

**Beloved Community Center**, Greensboro, North Carolina: \$300,000 for general support of its efforts to stimulate productive ongoing public discussion about addressing issues of racial exclusion in Greensboro, North Carolina.

**Foundation-administered project:** \$162,500 for support of production costs of a reflective documentation of lessons learned in the five Race, Policy and Democracy sites.

**Harvard University**, Cambridge, Massachusetts: \$100,000 toward operating costs of the John F. Kennedy School of Government's Harvard Project on American-Indian Economic Development and the Project's awards program honoring contributions in the governance of American Indian Nations.

**Independent Press Association**, San Francisco, California: \$100,000 in support of its project, Independent Press Association - New York, toward a series of editorial workshops and meetings designed to share information and resources among its members that will strengthen their ability to cover issues of social exclusion in metropolitan regions.

**Leadership Conference on Civil Rights Education Fund, Inc.**, Washington, D.C.: \$100,000 for general support to conduct research and educate the public about racial and social disparities in federal civil rights enforcement and social and economic policy.

**Massachusetts Institute of Technology**, Cambridge, Massachusetts: \$175,000 for use by its Center for Reflective Community Practice toward general support of its mission to build democracy by focusing on the relationship between reflective practice, community development, social change and technology.

**National Center for Black Philanthropy, Inc.**, Washington, D.C.: \$10,000 in support of a Black Philanthropy Dialogue among five key organizations in the field to assess the current state of philanthropy by and toward the African American community and to develop strategies to increase and strengthen this area of philanthropy.

**Tides Foundation**, San Francisco, California: \$50,000 toward the costs of maintaining public education and litigation clearinghouses on issues around criminal justice.

**University of Texas Law School Foundation**, Austin, Texas: \$100,000 for use by its Texas LEADS project, in continued support of its programs to develop equitable educational opportunities for Texas students.



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## Global Inclusion

### Building Support for Global and Regional Policies to Benefit the Poor

#### GLOBAL PLANT BIOTECHNOLOGY DIALOGUES (A joint program with Food Security)

**Advocates Coalition for Development and Environment**, Kampala, Uganda: \$138,000 toward the costs of a project to increase understanding and promote dialogues among scientists, policymakers and civil society on appropriate biotechnology and biosafety policies for eastern and Central Africa.

**Bread for the World Institute**, Washington, D.C.: \$150,000 toward the costs of a project to disseminate its views on biotechnology as part of a larger effort to strengthen U.S. support for African food security.

**Center for Science in the Public Interest**, Washington, D.C.: \$150,000 toward the costs of a project to inform the international debate around scientific and regulatory issues related to biotechnology, and to put forward a balanced perspective on biotechnology in that debate.

**Forum for Agricultural Research in Africa**, Accra, Ghana: \$100,000 toward the costs of its African biosafety initiative to accelerate and improve the development and implementation of biosafety systems in sub-Saharan Africa.

**Georgetown University**, Washington, D.C.: \$175,000 toward the costs of a project to develop a framework for public/private partnerships to bring sustainable agricultural technology to the developing world.

**International Center for Tropical Agriculture**, Cali, Colombia: \$30,000 toward the costs of a workshop on models of food safety assessment of transgenic crops, to be held in Washington, D.C., May 2003.

**International Institute of Tropical Agriculture**, Ibadan, Nigeria: \$73,500 for the costs of a workshop to assist the Government of Nigeria to build its capacity to regulate the development, introduction, testing and release of agricultural products resulting from genetic engineering.

#### LOWERING POLICY BARRIERS TO KNOWLEDGE AND INNOVATION FOR THE POOR

**Center for Global Development**, Washington, D.C.: \$400,000 toward the costs of researching and publishing second and third editions of the Commitment to Development Index, a tool for rating the impact of economic and social policies of rich countries' governments on the development of poor countries.

**Foundation-administered project**: \$150,000 toward the costs of an exploration on trade liberalization and its impacts on poor farmers.

**German Marshall Fund of the United States**, Washington, D.C.: \$150,000 for use by its Transatlantic Center toward the costs of a Fellowship on Global Development Issues to explore how the United States and the European Union can work together to reform their trade and development aid policies in order to reduce the disparity in living standards between rich and poor nations.

**German Marshall Fund of the United States**, Washington, D.C.: \$450,000 to promote understanding, partnerships and policies between the European Union and the United States on food, trade and development, particularly as they relate to Africa.

**International Centre for Trade and Sustainable Development**, Geneva, Switzerland: \$25,000 toward the costs of its Cancun Trade and Development Symposium on issues related to trade and development policy and how they affect the developing world, held in conjunction with the Fifth Ministerial Conference of the World Trade Organization in Cancun, Mexico, September 2003.

**International Institute for Environment and Development**, London, England: \$20,000 toward the costs of organizing the conference, Millennium Development Goals and Local Development Processes: Hitting the Targets or Missing the Point?, to be held in London, England, November 2003.

**New York University**, New York, New York: \$100,000 for use by its Center on International Cooperation toward the costs of a project to examine new multilateral approaches, such as public/private partnerships, to solving global problems.

**Nuffield Foundation**, London, England: \$40,000 for use by its Nuffield Council on Bioethics toward the costs of a workshop on the ethics of research related to health care in developing countries, to be held in Cape Town, South Africa, February 2004.

**Jennifer Washburn**, Brooklyn, New York: \$20,000 to complete a book on the privatization of the university and its impact on academic freedom and scientific inquiry.

#### PROMOTING MORE EQUITABLE INTELLECTUAL PROPERTY POLICIES

(A joint program with Creativity & Culture, Food Security and Health Equity)

**Center for International Environmental Law**, Washington, D.C.: \$450,000 toward the costs of a joint project with the South Centre to assist developing countries to bring their concerns to, and participate in, international policy discussions on intellectual property.

**Duke University**, Durham, North Carolina: \$50,000 toward the costs of a conference entitled, International Public Goods, the Public Domain, and the Transfer of Technology after TRIPS, to be held April 2003.

**First Nations Development Institute**, Fredericksburg, Virginia: \$30,000 toward the costs of its project, the International Funders for Indigenous Peoples, whose mission is to increase the effectiveness of grantmaking to benefit indigenous communities.

**International Centre for Trade and Sustainable Development**, Geneva, Switzerland: \$605,000 toward the costs of advancing a development perspective in intellectual property policy discussions through research, dialogue and outreach activities.

**International Centre for Trade and Sustainable Development**, Geneva, Switzerland: \$66,400 toward the costs of a conference on strengthening developing-country leadership on intellectual property policy, one in a series of Frati global dialogues on intellectual property at the Bellagio Study and Conference Center, Italy, September 2003.

**Resources for the Future**, Washington, D.C.: \$49,594 toward the costs of a series of initiatives to communicate the results of its research on American patent policy, biotechnology and African agriculture.

**South Centre**, Geneva, Switzerland: \$625,000 toward the costs of its joint project with the Center for International Environmental Law to assist developing countries to bring their concerns to, and participate in, international policy discussions on intellectual property.

**South Centre**, Geneva, Switzerland: \$500,000 toward the costs of a project designed to increase the capacity of developing countries to think strategically about intellectual property policy and development and to provide guidance for the operationalization of a development-friendly intellectual property system.

**United Nations University**, Tokyo, Japan: \$490,000 for use by its Institute of Advanced Studies toward the costs of its project, Call of the Earth, an indigenous peoples' initiative on intellectual property policies in relation to indigenous communities.

### Informing Approaches to Reducing Conflict

**Centre UNESCO de Catalunya**, Barcelona, Spain: \$25,000 toward the costs of a conference to examine ways of ensuring full implementation of self-rule arrangements as a contribution to the prevention and resolution of intrastate conflict.

**Foundation-administered project:** \$75,000 for a series of meetings and consultancies to advise Global Inclusion's Initiative in Peace and Security on ways to assist the United Nations system and regional organizations in becoming more informed about reducing conflict.

**Human Rights Internet,** Ontario, Canada: \$350,000 toward the costs of a joint project with the International Centre of Ethnic Studies, Sri Lanka, to establish a mechanism that aims to prevent inter-ethnic conflict through quiet diplomacy.

**International Crisis Group,** Washington, D.C.: \$100,000 for a project to develop the capacity of local analysts in Central Africa to analyze conflicts and to bring them to the United Nations to deepen its understanding of how to prevent conflicts in Central Africa.

**International Peace Academy,** New York, New York: \$200,000 toward the costs of two projects: (1) Conflict Management in Africa and (2) Strengthening the Security and Development Nexus, and for core support.

**Ploughshares Fund,** San Francisco, California: \$25,000 toward the costs of the Peace and Security Funders Group, an affinity group of foundations and peace and security funders.

**Social Science Research Council,** New York, New York: \$75,000 toward the costs of a joint project with the United Nations to strengthen that institution's strategic analysis capacities in the area of peace and security.

**United Nations Association of the United States of America,** New York, New York: \$50,000 toward the costs of two programs: (1) The Partnership on Peace-Building and the Rule of Law, to address rule-of-law challenges in post-conflict societies and (2) Access Discussions, to bring together United Nations and foreign officials with U.S. government officials to discuss global issues.

## Making Transnational Flows

## Work for the Poor

### ■ INCREASING PHILANTHROPY'S COMMITMENT TO GLOBAL EQUITY

**Acumen Fund,** New York, New York: \$2,800,000 for general support of its mission to link new philanthropists to investment strategies that seek solutions to global problems that will ultimately help to improve the lives and livelihoods of poor and excluded people.

**Foundation-administered project:** \$350,000 for costs associated with The Philanthropy Workshop and The Philanthropy Workshop/West, a collaborative program of the Hewlett, TOSA and Rockefeller foundations

**Institute for Philanthropy,** London, England, \$12,500 to identify and recruit high net worth individuals in the United Kingdom for The Philanthropy Workshop and to design and organize a module, to be held in London, England, April 2004.

**World Affairs Council of Northern California,** San Francisco, California: \$50,000 for use by its Global Philanthropy Forum toward the costs of its third annual Conference on Borderless Giving, to be held in Menlo Park, California, March 2004.

## Other

**Boston University,** Boston, Massachusetts: \$100,000 for use by its African Presidential Archives and Research Center toward the costs of three programs: 1) the African Presidential Roundtable, an annual summit of former African heads of state; 2) the Balfour President-in-Residence project; and 3) the African Leaders' State of Africa Report. (Joint with Africa Regional Program)

**Columbia University,** New York, New York: \$350,000 toward the costs of its Earth Institute's project, Managing Climate Variability to Improve Livelihoods in South and South East Asia: Methods, Tools and Policies.

**Leadership for Environment and Development International, Inc.,** London, England: \$5,000,000 for general support as the organization makes a transition to a new mission and financial independence.

**Royal Institute of International Affairs,** London, England: \$20,000 to support the launch of the United States Study Group, a project aimed at increasing Europeans' understanding of the factors influencing U.S. foreign policy.

**United Nations Development Programme,** New York, New York: \$100,000 toward the costs of its Human Development Report 2004, whose theme is Building Inclusive Societies: Managing Diversity.

**United Nations,** New York, New York: \$100,000 toward the costs associated with the Secretary General's blue-ribbon panel constituted to assess the U.N.'s relations with civil society organizations and recommend improvements for the future.





## Regional Programs

### Africa Regional Program

#### Human Capacity Building

##### AFRICA UNIVERSITY INITIATIVE

###### Foundation Partnership

**African Economic Research Consortium,** Nairobi, Kenya: \$250,000 toward the costs of an Africa-based collaborative Ph.D. program to strengthen teaching and research capacity on the continent.

**Association of African Universities,** Accra-North, Ghana: \$134,500 toward the costs of its project to develop a database of African theses and dissertations.

**Association of African Universities,** Accra-North, Ghana: \$65,000 toward the costs of its restructuring and revitalization.

**Foundation-administered project:** \$206,500 toward the costs of meetings, seminars, publications, communications, evaluations and consultancies associated with the activities of the Foundation Partnership for Higher Education in Africa.

**Makerere University,** Kampala, Uganda: \$62,915 toward the costs of documenting the institution's transformation, 1990 to 2003.

**National Council for Higher Education,** Kampala, Uganda: \$214,250 toward the costs of its project to develop the capacity of its members to effectively regulate the Uganda higher education system and to conduct a detailed mapping of tertiary institutions in Uganda.

**University for Development Studies,** Tamale, Ghana: \$79,750 toward the costs of first priority activities to develop its institutional capacity.

###### Uganda Program

**Makerere University,** Kampala, Uganda: \$2,000,000 toward the costs of its revitalization as an institution that can nourish Uganda's social, political, and economic transformation in the 21st century and address the human capacity and research needs of decentralization.

##### QUALITY EDUCATION FOR SOCIAL TRANSFORMATION

**Egerton University,** Njoro, Kenya: \$203,000 for a planning grant to integrate the results of projects on improving English literacy proficiency and on sexual maturation into teacher education and primary schools in Kenya.

**Egerton University,** Njoro, Kenya: \$50,000 toward the costs of its reading tent project to promote reading in Njoro, Kenya, and to involve communities in project activities.

**Forum for African Women Educationalists, Ghana Chapter,** Accra, Ghana: \$182,907 for a project to train adolescent girls as peer educators and counselors on issues related to sexual maturation.

**Forum for African Women Educationalists, Ghana Chapter,** Accra, Ghana: \$25,000 for general support.

**Forum for African Women Educationalists,** Nairobi, Kenya: \$2,760,000 as final general support of its mission to increase access to schooling for poor and marginalized girls.

**Forum for African Women Educationalists, Uganda Chapter,** Kampala, Uganda: \$25,000 for general support.

**Foundation-administered project:** \$255,000 for administrative expenses of the Quality Education for Social Transformation program.

**Makerere University,** Kampala, Uganda: \$158,872 for the costs of a study to examine current practices for, and to make recommendations for interventions to improve, literacy development in primary schools in Uganda.

**Makerere University,** Kampala, Uganda: \$279,652 for a planning grant to integrate the tools and results from its literacy norms and sexual maturation projects into interventions for the Uganda teacher and primary education systems.

**Makerere University,** Kampala, Uganda: \$78,000 for use by its Faculty of Technology toward the costs of developing a prototype machine to produce sanitary pads that are affordable to poor school girls.

**Ministry of Finance, Planning and Economic Development, Uganda,** Kampala, Uganda: \$40,897 for use by its Population Secretariat for activities designed to build national consensus in support of policy development and community action for a sustainable school feeding program in Uganda.

**National Book Development Council of Kenya,** Nairobi, Kenya: \$50,000 toward the costs of its project to enhance literacy skills among school children in Kenya.

**National Book Trust of Uganda,** Kampala, Uganda: \$25,797 to enable the participation of 50 Ugandan teachers in the Third Pan-African Conference on Reading for All and in a pre-conference workshop, and toward the general costs of the Conference, to be held in Kampala, Uganda, August 2003.

**Uganda Rural Development and Training Programme,** Kampala, Uganda: \$275,267 toward the costs of its project on education and communication for social transformation - an approach to poverty eradication and women's empowerment in Kibaale District, Uganda.

**United Nations Educational, Scientific and Cultural Organization,** Paris, France: \$160,000 for use by its International Institute for Educational Planning toward the costs of the activities of the Association for the Development of Education in Africa, in particular for its working groups on education statistics, on finance and education, on books and learning materials and on early childhood development.

**University of Cape Town,** Cape Town, South Africa: \$198,000 toward the costs of its African Gender Institute's associates program to strengthen resources for gender equity.

**University of Zimbabwe,** Harare, Zimbabwe: \$69,437 for a planning grant to integrate the implementation of its projects on improving English literacy proficiency and the management of sexual maturation into teacher education and primary school curricula in Zimbabwe.

**Zimbabwe Book Development Council,** Harare, Zimbabwe: \$58,200 toward the costs of its project to promote in Zimbabwe the habit and practice of reading from early childhood.

#### Information for Development

(A joint program with Food Security and Health Equity)

**African Medical and Research Foundation,** Nairobi, Kenya: \$98,240 toward the costs of developing a health information management system in Kenya.

**African Population and Health Research Centre,** Nairobi, Kenya: \$380,907 toward the costs of its project to provide the evidence base for effective interventions to improve the well-being of the urban poor in sub-Saharan Africa.

**Aga Khan Foundation U.S.A.,** Washington, D.C.: \$337,615 toward the costs of a project to facilitate the development and implementation, in four districts of Coast Province, Kenya, of a reliable and efficient health management information system that has the potential of being adopted as a prototype for the whole country.

**Economic Policy Research Centre,** Kampala, Uganda: \$35,700 toward the costs of meetings, to be conducted in collaboration with the Ministry of Local Government, to assess the roll-out of the local government information communication system in Uganda.

**Foundation-administered project:** \$200,000 for administrative expenses of the Information for Development program.

**INDEPTH Network,** Accra, Ghana: \$45,100 toward the costs of developing a demographic surveillance system manual for use by resource-constrained countries to gain a better understanding of population dynamics.

**International Livestock Research Institute**, Nairobi, Kenya: \$252,000 for a project to utilize the Kenyan poverty mapping results to explore interactions between poverty and natural resource management.

**International Livestock Research Institute**, Nairobi, Kenya: \$35,000 toward the costs of producing the Poverty Atlas, a technical report on poverty mapping analysis in Kenya.

**Ministry of Health, Ghana**, Accra, Ghana: \$8,855 for the costs of a meeting to discuss how to devise and implement an innovative, efficient and sustainable demographic surveillance system in Ghana.

**National Agricultural Research Organisation**, Entebbe, Uganda: \$74,159 toward the costs of creating a data management system for its National Banana Research Programme in Uganda.

**Sokoine University of Agriculture**, Morogoro, Tanzania: \$298,649 toward the costs of its project to generate information for food and nutrition planning and policymaking in Tanzania.

**Tropical Institute of Community Health and Development in Africa**, Kisumu, Kenya: \$79,332 toward the costs of a research project to identify, assess and develop an improved and sustainable community-based health management information system in Kenya.

**University of Natal**, Durban, South Africa: \$8,275 to enable five Kenyan statisticians to attend the International Biometrics Society Conference and a pre-conference course, Enhanced Sampling and Messy Data Analysis for Biometricians, to be held in Durban, July 2003.

**University of Ouagadougou**, Ouagadougou, Burkina Faso: \$367,870 for use by its Research and Training Unit in Demography toward the costs of its project to improve the evidence-base for interventions to address education and health inequities in Ouagadougou.

**University of Pennsylvania**, Philadelphia, Pennsylvania: \$27,344 for use by its African Census Analysis Project toward the costs of a meeting to discuss how Ugandan census data can best be used in district planning, to be held in Kampala, Uganda, August 2003.

**University of the Western Cape**, Bellville, South Africa: \$321,500 for use by its School of Public Health toward the costs of developing an integrated health information system and an equity resource allocation tool that will be sustainable and assist in improving health services in sub-Saharan Africa.

## Explorations

**The AIDS Support Organisation**, Kampala, Uganda: \$134,480 toward the costs of developing a database on country-wide care and support services for people living with AIDS and of increasing the capacity of its drama group members to provide AIDS education to Ugandans.

**HelpAge International**, London, England: \$35,766 toward the costs of a project to address the health and nutritional needs of older people in Uganda.

**Ipas**, Chapel Hill, North Carolina: \$99,500 for use by its Africa regional office to address unsafe abortion in Africa through evidence-based policy and practice.

## North America Regional Program

### North American

### Transnational Communities

(A joint program with Creativity & Culture, Global Inclusion and Working Communities)

### LOCAL MODELS/PILOT PROJECTS

**American Friends Service Committee**, Philadelphia, Pennsylvania: \$100,000 for use by its Pan Valley Institute toward the costs of the Tamejavi Cultural Exchange Project, a series of regional cultural exchanges, training sessions and creative productions to deepen understanding about civic participation among immigrants in California's Central Valley.

**Binational Center for the Development of Oaxacan Indigenous Communities**, Fresno, California: \$41,525 for the costs of a series of strategic planning workshops to strengthen its Binational Oaxacan Indigenous Front - a coalition of organizations, communities and individuals of indigenous origin from Oaxaca working to assist transnational Oaxacan communities in Mexico and the United States.

**Boca de Polen**, Chiapas, Mexico: \$10,500 toward the costs of an educational kit about the links among international trade, sustainable agriculture, local knowledge and migration, to be distributed to indigenous and peasants' organizations in Mexico and Central America.

**Center for Immigrant Democracy**, Chicago, Illinois: \$40,000 in general support of its mission to educate, mobilize and encourage the full civic participation of immigrants in the United States.

**El Rescate**, Los Angeles, California: \$51,000 to conduct case-study evaluations of three Home Town Association-financed local development projects in El Salvador.

**Federación de Clubes Zacatecanos del Sur de California / Zacatecan Federation of Southern California**, Los Angeles, California: \$214,610 toward the costs of building its capacity to promote and sustain strategic philanthropic investment in the state of Zacatecas, Mexico.

**Heartland Alliance**, Chicago, Illinois: \$170,000 for use by its project, Enlaces America, toward the costs of the project, Hometown Associations as Grassroots Philanthropists and Social Investors - Building Knowledge and Building Capacity for Building Capital.

**Immigrant Workers Citizenship Project**, Washington, D.C.: \$25,000 in general support of its mission to help new immigrants fully participate in American life.

**SubCine**, New York, New York: \$55,750 for a series of film screenings at community forums in which its documentary on collective remittances will be used to build bridges between hometown associations and other established community organizations in the United States.

**Tides Foundation**, San Francisco, California: \$168,555 for use by its project, the Los Angeles Immigrant Funders' Collaborative, for the costs of a project to develop a new model for the joint investment in Mexico of collective remittances from Mexican hometown associations in the United States.

**Unite for Dignity**, Miami, Florida: \$75,000 in general support of its mission to develop the leadership skills of immigrant women from the Caribbean and Latin America in communities in southern Florida.

### POLICIES, INSTITUTIONS AND SCENARIOS

**Centro de Investigación y Docencia Económicas**, Mexico City, Mexico: \$50,000 toward the costs of a research project to assess the impacts of Mexico's Human Development Program, Oportunidades, on poverty and migration in Mexico.

**Coalition for Women's Economic Development and Global Equality**, Washington, D.C.: \$150,000 toward the costs of two case studies of the impacts of regional economic integration on the poor, especially women, in Mexico and the Caribbean.

**Institute for Policy Studies**, Washington, D.C.: \$75,000 toward the costs of a research project to study the applicability to the North American transnational community of lessons learned from the economic integration process of the European Union.

**Northern California Grantmakers**, San Francisco, California: \$25,000 to support the costs of publishing and disseminating a report on immigrant workers, "Newcomers in the American Workplace: Improving Employment Outcomes for Low-Wage Immigrants and Refugees."

**Popular Education Research Group**, Ontario, Canada: \$62,075 in support of its project, the Maquila Solidarity Network, which aims to ensure that civil society groups from Mexico and Central America have the information and resources to actively participate in shaping North-South initiatives to monitor labor violations and protect workers.

**Tufts University**, Medford, Massachusetts: \$99,342 toward the costs of a project to assess the social and environmental impacts of regional integration policies in the North American region by an analysis of the corn sector and the quality of foreign direct investments in Mexico.



**University of California, Los Angeles,** Los Angeles, California: \$150,205 for use by its Center for the Study of Urban Policy toward the costs of a research study that will survey day laborers in a number of cities across the U.S. in order to better understand their associational affiliations, work histories, remittance and consumption patterns, and conditions of work.

## ■ UNDERSTANDING TRANSNATIONALISM

**Autonomous Metropolitan University, Iztapalapa,** Iztapalapa, Mexico: \$95,900 toward the costs of research to analyze the links between social exclusion and citizenship in transnational communities in Mexico and the United States.

**Autonomous University of Zacatecas,** Zacatecas, Mexico: \$30,000 toward the costs of a research project to describe and analyze the characteristics and impact of migration between the state of Zacatecas and the United States.

**Center for Research and Advanced Studies in Social Anthropology,** Mexico City, Mexico: \$8,520 toward the costs of research to analyze the role of women within the Binational Indigenous Oaxacan Front, an emerging transnational organization.

**Center for Strategic and International Studies,** Washington, D.C.: \$20,000 toward the costs of a book on the accomplishments and shortcomings of the North America Free Trade Agreement during its first ten years, and on ways to strengthen the North American community in the future.

**Center of Border Studies and Promotion of Human Rights,** Tamaulipas, Mexico: \$15,000 toward the costs of a documentary on migration between Mexico and the United States.

**El Colegio de la Frontera Norte,** Tijuana, Mexico: \$6,300 for the costs of research to analyze the role of Mexican women of indigenous origin in the transnational communities of the Guerrero-Los Angeles circuit.

**Georgetown University,** Washington, D.C.: \$106,260 for use by its Institute for the Study of International Migration for the costs of its research project on transnationalism and its impacts on development in Central America and the Caribbean.

**Harvard University,** Cambridge, Massachusetts: \$250,000 for use by its School of Public Health's Project on Global Working Families toward the costs of a research study on the health and welfare of families with children living in Mexico and one parent living in the United States.

**Harvard University,** Cambridge, Massachusetts: \$103,425 for use by its Hauser Center for Non-profit Organizations toward the costs of a workshop that will inform a book about transnational processes, forms and practices and their relationship to globalization, to be held in Cambridge, Massachusetts, fall 2004.

**Mexico-North Research Network,** San Antonio, Texas: \$50,000 toward the costs of a fellowship program to promote research on the multiple dimensions of transnational communities within the U.S.-Mexico context.

**Petate Productions,** Los Angeles, California: \$34,000 toward the costs of a documentary on the experiences of two indigenous migrant groups from Oaxaca - the Mixtecos and Chatinos - in the United States.

**Second Generation Media,** New York, New York: \$19,800 toward the costs of a documentary on the origin and evolution of a hometown association in New York of migrants from the state of Puebla in Mexico.

**Stanford University,** Stanford, California: \$33,492 for the costs of a research project on the dynamic relationship between migration and inequality in Mexico and their impact on prospects for the growth of Mexico.

**Universidad Iberoamericana, Plantel Golfo Centro,** Puebla, Mexico: \$5,000 toward the costs of translating into Spanish and disseminating the book, "Immigrants and Schooling: Mexicans in New York."

**University of Texas at San Antonio,** San Antonio, Texas: \$100,000 for use by its Division of Bicultural Bilingual Studies toward the costs of the second year of a research study of transnational U.S.-born Mexican-Americans in San Antonio.

**York University,** Toronto, Canada: \$10,000 for use by its Centre for Research on Latin America and the Caribbean toward the costs of follow-up activities to expand the impact of its international conference, International Migration in the Americas: Emerging Issues, held in Toronto, Canada, September 2003.

## ■ Southeast Asia Regional Program

### ■ LEARNING ACROSS BOUNDARIES IN THE GREATER MEKONG SUB-REGION

**Asian Migrant Centre,** Kowloon, Hong Kong, China: \$297,103 to continue support for the monitoring and analysis of migration issues, needs, responses and strategies in the Greater Mekong Sub-region, and to strengthen the newly established Mekong Migration network.

**Cambodia Development Resource Institute,** Phnom Penh, Cambodia: \$250,000 to enhance the study of emerging regional trends in the Greater Mekong Sub-region through support of research collaboration among institutions in Cambodia, Lao PDR, Thailand and Vietnam.

**Chiang Mai University,** Chiang Mai, Thailand: \$18,500 for use by its Regional Center for Social Science and Sustainable Development to add Vietnam to an ongoing experimental exchange program for graduate and postgraduate students and scholars in the Greater Mekong Sub-region to study the civilization and culture of the Mon and Mon-Khmer people of the region.

**Chiang Mai University,** Chiang Mai, Thailand: \$87,655 for use by its Social Research Institute toward the costs of a comparative study on the impact of globalization, regionalization and nationalism on the culture and social systems of selected ethnic groups in the Greater Mekong Sub-region.

**Chulalongkorn University,** Bangkok, Thailand: \$234,408 for use by its Faculty of Arts to launch a fellowship program, Weaving the Mekong into Southeast Asia, thus enabling eight students from Greater Mekong countries to participate in its newly established master's degree program in Southeast Asian Studies.

**Dararith Kim-Yeat,** Vaison la Romaine, France: \$30,000 to undertake research on the relationship between human rights, labor and international trade laws in the context of economic integration in the Greater Mekong Sub-region.

**EMPOWER Foundation,** Nonthaburi, Thailand: \$18,900 for use by its Concrete House to support participation by Greater Mekong and ASEAN artists in "Asiatopia 5," a performance arts festival to be held in Thailand, November 10-23, 2003.

**Foundation-administered project:** \$100,000 toward the costs of further enhancing the conceptual development of the Southeast Asia Regional Program's Learning Across Boundaries Area of Work through better integration of the notion of identity boundaries with that of geopolitical boundaries.

**Fund for Reconciliation and Development,** New York, New York: \$100,000 in support of its work to promote cooperation and understanding between the United States and Cambodia, Lao PDR and Vietnam.

**Hue University,** Hue City, Vietnam: \$60,000 for use by its College of Arts to support Mekong and ASEAN sculptors to participate in the Fourth International Sculpture Symposium, to be held in Hue, Vietnam, May 1-June 15, 2004.

**National Center for Social Sciences and Humanities of Vietnam,** Hanoi, Vietnam: \$25,205 to support participation of scholars, social activists and government officials in a regional conference on cooperation among countries in the Greater Mekong Sub-region entitled, Challenges and Opportunities in the Context of New Changes in Asia-Pacific, to be held in Hanoi, Vietnam.

**Siam Society Under Royal Patronage,** Bangkok, Thailand: \$50,000 to support a series of cultural performances by ethnic groups from Mekong countries now residing in Thailand, thus promoting understanding of the close linkages among the various ethnic identities in the region.

**Top Production House,** Vientiane, Lao PDR: \$95,890 toward the production costs of "Growing up on the Mekong," a series of television episodes to inform Lao youth about emerging socio-cultural trends in the Greater Mekong Sub-region.

**Vietnam Museum of Ethnology,** Hanoi, Vietnam: \$135,000 to continue support for a cross-border capacity-building initiative among museums and cultural institutions in Yunnan (China), Lao PDR, Thailand and Vietnam that will culminate in a collaborative travel exhibit entitled, "Thai Textiles in the Greater Mekong Sub-region: Change and Continuation."

**Yunnan Nationalities University,** Yunnan, China: \$54,478 toward the costs of a comparative study of the impact of globalization, regionalization and nationalism on the culture and social systems of selected ethnic groups in the Greater Mekong Sub-region.

## ■ CROSS-BORDER HEALTH IN THE GREATER MEKONG SUB-REGION

(A joint program with Health Equity)

**AIDS ACCESS Foundation**, Bangkok, Thailand: \$100,000 to develop and deliver a regional training institute addressing the prevention, care and support needs of people living with HIV/AIDS in the Greater Mekong Sub-region.

**AIDS Network Development Foundation**, Chiang Mai, Thailand: \$212,836 for use by its Khon Kaen branch to develop and test HIV prevention intervention models for migrants from Lao PDR living in border provinces.

**Hanoi Medical University**, Hanoi, Vietnam: \$100,000 for use by its Community Health Research Unit to undertake, in relation to HIV and STI transmission, a comprehensive socio-medical impact analysis of transnational infrastructural development and resulting increased mobility across Greater Mekong countries.

**International Organization for Migration**, Geneva, Switzerland: \$55,000 for use by its Regional Mission, Bangkok, Thailand, to strengthen disease control measures and increase access to HIV/AIDS prevention and TB control among detained migrants in the Thai Immigration Detention Center.

**Kunming Medical College**, Kunming, China: \$75,860 to develop an intervention model that strengthens health system capacity and community resilience to cope with health problems, primarily HIV/AIDS, and other impacts of regional roadway construction in the Greater Mekong Sub-region.

**National University of Laos**, Vientiane, Lao PDR: \$48,180 for use by its Faculty of Medical Sciences in collaboration with leading public health institutions in Thailand and Vietnam to develop a community-based curriculum for the first-ever Master's of Public Health program to be undertaken in Lao PDR.

**Pattanak Foundation**, Chachoengsao, Thailand: \$99,700 to develop experimental models to improve the health of marginalized cross-border ethnic communities in Kanchanaburi, Thailand.

**Population and Community Development Association**, Bangkok, Thailand: \$56,575 for use by its Community Program Committee to plan community programs to ensure greater relevance to, and participation by, Greater Mekong Sub-region communities in the 15th International AIDS Conference to be held in Bangkok, Thailand in 2004.

**Raks Thai Foundation**, Bangkok, Thailand: \$249,710 to strengthen capacity in HIV/AIDS, sexual health and gender advocacy and programming among organizations working with migrants in the Greater Mekong Sub-region.

**STDs/HIV/AIDS Prevention Center**, Hanoi, Vietnam: \$120,000 in support of its project to reduce the vulnerability and strengthen the health and social support systems of ethnic minority communities in the Vietnam-Lao PDR border area, especially in relation to HIV/AIDS.

## ■ MEKONG UPLAND COMMUNITIES IN TRANSITION

(A joint program with Food Security)

**CARE Australia**, Canberra, Australia: \$31,360 for use by its CARE in Myanmar project to map the food security situation in Myanmar through a review and analysis of relevant NGO experiences.

**Center for Community Development Studies**, Yunnan, China: \$71,100 toward the costs of a project aimed at building the capacity of trans-boundary upland poor communities of China, Lao PDR and Vietnam to improve their livelihood security by promoting market access and strengthening their marketing capability.

**Centre for Research and Development of Ethnomedicinal Plants**, Hanoi, Vietnam: \$32,540 to support a feasibility study on strategies to increase incomes through marketing of indigenous plant resources among the Dao upland communities in northern Vietnam.

**Foundation-administered project**: \$50,000 toward the costs of exploring development by the Foundation's Southeast Asia Regional Program and its Food Security Theme of an integrated course of action for the Foundation in the Greater Mekong Sub-region of Southeast Asia.

**Hanoi Agricultural University**, Hanoi, Vietnam: \$45,020 in support of its efforts to foster a collaborative process among Vietnamese institutions and enhance their research and training capacity in sustainable agricultural development and natural resource management in the upland communities.

**Hanoi Agricultural University**, Hanoi, Vietnam: \$88,000 to assist organizations in Lao PDR and Vietnam in carrying out trans-bordered watershed management planning.

**Hue University of Agriculture and Forestry**, Hue City, Vietnam: \$45,860 in support of its project to foster a collaborative process among Vietnamese institutions and enhance their research and training capacity in sustainable agricultural development and natural resource management in the upland communities.

**Khon Kaen University**, Khon Kaen, Thailand: \$148,000 for use by its Faculty of Agriculture's Office of International Agriculture toward the costs of a training program for selected faculty members of Laotian agricultural teaching institutions.

**Maejo University**, Chiang Mai, Thailand: \$64,000 for use by its Faculty of Agricultural Production to enable agricultural organizations in Lao PDR, Vietnam and Thailand to collaborate in a feasibility study on the potential of upland fisheries development for mountainous poor communities in the Greater Mekong Sub-region.

**Ministry of Agriculture and Forestry, Lao PDR**, Vientiane, Lao PDR: \$40,000 for use by its National Agriculture and Forestry Research Institute to explore adaptation and use of extension tools and material by poor farmers in upland communities in northern Lao PDR.

**Ministry of Agriculture and Rural Development, Vietnam**, Hanoi, Vietnam: \$50,000 for use by its Information Center for Agriculture and Rural Development to conduct training programs for Ministry staff on data management, poverty mapping, rural poverty analysis and policy research methodologies.

**National University of Laos**, Vientiane, Lao PDR: \$15,000 for use by its Faculty of Agriculture in developing, through workshops and study tours to China, Thailand and Vietnam, a suitable curriculum of upland agriculture for application in Lao PDR.

**National University of Laos**, Vientiane, Lao PDR: \$85,000 for use by its Faculty of Agriculture to strengthen its teaching capacities in upland agriculture and improve laboratory facilities in consultation with experts from Thai universities.

**Nong Lam University**, Ho Chi Minh City, Vietnam: \$42,730 in support of its project to foster a collaborative process among Vietnamese institutions and enhance their research and training capacity in sustainable agricultural development and natural resource management in the upland communities.

**Tay Nguyen University**, Daklak, Vietnam: \$31,790 in support of its efforts to foster a collaborative process among Vietnamese institutions and enhance their research and training capacity in sustainable agricultural development and natural resource management in the upland communities.

**Thai Nguyen University of Agriculture and Forestry**, Thai Nguyen, Vietnam: \$34,600 in support of its project to foster a collaborative process among Vietnamese institutions and enhance their research and training capacity in sustainable agricultural development and natural resource management in the upland communities.

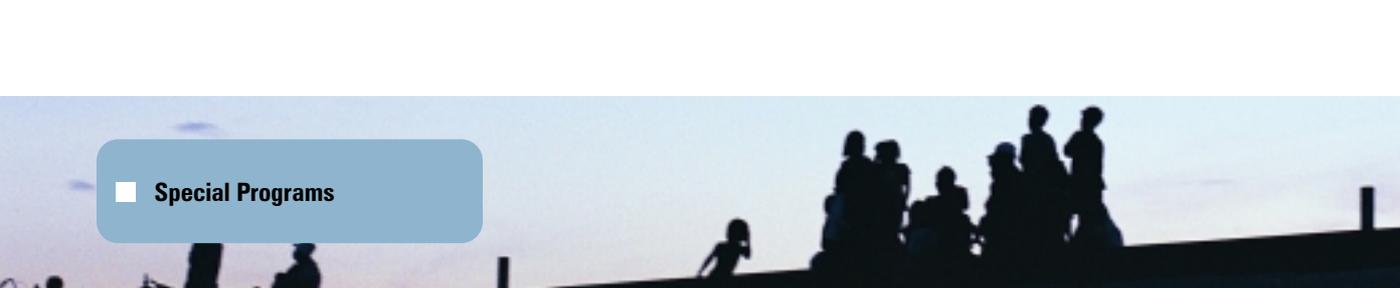
**Thai Nguyen University of Agriculture and Forestry**, Thai Nguyen, Vietnam: \$35,000 in support of its efforts to enhance the teaching capacity of educational institutions in Lao PDR on sustainable agricultural development and natural resources management in the upland communities.

**Thangone Irrigation Technician School**, Vientiane, Lao PDR: \$40,000 to produce local language textbooks for 33 different subjects relevant to rural development and irrigated agriculture in Lao PDR.



2003 GRANTS

Regional Programs



## Special Programs

### Bellagio

**Zvia Breznitz**, Haifa, Israel: \$5,140 toward the costs of travel for nine individuals from the Middle East to participate in the team residency, Developing, Norming and Dissemination of Diagnostic and Prognostic Tests for Learning Disabilities in Palestinian and Israeli Children and Youth, to be held at the Bellagio Study and Conference Center, Italy, July and August 2003.

**Daniel B. Carr**, Boston, Massachusetts: \$2,600 toward the costs of travel for two individuals from developing countries to participate in the conference, Narrative, Pain and Suffering, to be held at the Bellagio Study and Conference Center, Italy, October 2003.

**Center for Rural Strategies**, Whitesburg, Kentucky: \$8,926 toward the costs of travel for seven individuals from developing countries to participate in the conference, International Rural Strategies Alliance, to be held at the Bellagio Study and Conference Center, Italy, November 2003.

**Center for Victims of Torture**, Minneapolis, Minnesota: \$14,101 toward the costs of travel for 14 individuals from developing countries to participate in the conference, Planning Session for New Tactics in Human Rights, to be held at the Bellagio Study and Conference Center, Italy, December 2003.

**Georgia State University**, Atlanta, Georgia: \$9,500 toward the costs of travel for eight individuals from Latin America to participate in the conference, Latin American and Chicano/ a Art Criticism since the 1940s: Between Modernity and Globalization, to be held at the Bellagio Study and Conference Center, Italy, November 2003.

**International P.E.N.**, London, England: \$7,500 toward the costs of travel for seven individuals from developing countries to participate in the conference, International PEN Strategic Planning and Capacity Building Meeting, to be held at the Bellagio Study and Conference Center, Italy, July 2003.

**Anna Maria Maiolino**, Rio de Janeiro, Brazil: \$3,300 toward the costs of travel for three individuals from Brazil to participate in the team residency, Sine Die: A Multimedia Work, to be held at the Bellagio Study and Conference Center, Italy, June 2003.

**Northwestern University**, Evanston, Illinois: \$3,300 toward the costs of travel for three individuals from developing countries to participate in the conference, The Social Consequences of Rumor and Legend, to be held at the Bellagio Study and Conference Center, Italy, April 2003.

**Caryl Phillips**, New York, New York: \$3,200 toward the costs of travel for two individuals from the Caribbean to participate in the conference, The Caribbean in New York and Paris, to be held at the Bellagio Study and Conference Center, Italy, August 2003.

**Rutgers University**, New Brunswick, New Jersey: \$7,732 toward the costs of travel for seven individuals from developing countries to participate in the conference, Federalism and Sub-national Constitutions: Design and Reform, to be held at the Bellagio Study and Conference Center, Italy, March 2004.

**Ruth Simmons**, Ann Arbor, Michigan: \$25,000 toward the costs of travel for 11 individuals from developing countries to participate in the conference, From Pilot Projects to Policies and Programs: Strategies for Scaling Up Innovations in Health Service Delivery, to be held at the Bellagio Study and Conference Center, Italy, March and April 2003.

**State University of New York at Stony Brook**, Stony Brook, New York: \$6,200 toward the costs of travel for six individuals from Latin America to participate in the conference, Trans/cultural Translators: Mediating Race, Indigeneity, Ethnicity in Four Nations, to be held at the Bellagio Study and Conference Center, Italy, August 2003.

**University of California, Berkeley**, Berkeley, California: \$10,500 toward the costs of travel for nine individuals from developing countries to participate in the conference, Justice in the Balance: Rebuilding Communities in the Aftermath of Genocide and Ethnic Cleansing in Rwanda and the Former Yugoslavia, to be held at the Bellagio Study and Conference Center, Italy, July 2003.

**University of Victoria**, Victoria, Canada: \$5,500 toward the costs of travel for two individuals from Africa to participate in the conference, Capacity Building with Southern Partners, to be held at the Bellagio Study and Conference Center, Italy, December 2003.

**WorldFish Center**, Makati City, Philippines: \$14,360 toward the costs of travel for seven individuals from developing countries to participate in the conference, Conservation and Sustainable Management of Sea Turtles in the Pacific Ocean, to be held at the Bellagio Study and Conference Center, Italy, November 2003.

**Tukufu Zuberi**, Philadelphia, Pennsylvania: \$2,238 to supplement an earlier grant for the costs of simultaneous translation for the team residency, Demography and Health in Africa, held at the Bellagio Study and Conference Center, Italy, December 2002.

### 2003 Bellagio Conferences and Teams

#### GLOBAL DIALOGUE SERIES

##### *Intellectual Property*

**Call of the Earth Dialogue**—Catherine Monagle, Coordinator, Call of the Earth (Llamado de la Tierra), United Nations University Institute of Advanced Studies, Melbourne, Australia, and Joan Shigekawa, Associate Director, Creativity & Culture, Rockefeller Foundation, New York, New York (November 25 to 30).

**Food Security, Plant Genetic Resources, and IP**—Michael Lesnick, Senior Partner, Meridian Institute, Nashville, Tennessee, and Peter Matlon, Deputy Director, Food Security, Rockefeller Foundation, New York, New York (September 8 to 13).

**Public Health and IP/Collective Management of IP**—James Love, Director, Consumer Project on Technology, Washington, D.C., and Anthony So, M.D., Associate Director, Health Equity, Rockefeller Foundation, New York, New York (September 24 to 29).

**Toward Development-Oriented IP Policy: Advancing the Reform Agenda**—Ricardo Melendez-Ortiz, International Centre for Trade and Sustainable Development, Geneva, Switzerland (September 17 to 21).

##### *Media and Social Change*

**Media and War in South Asia**—Saneeya Hussain, Director, South Asia, Panos Institute, Kathmandu, Nepal (July 19 to 24).

**Media, Citizenship and Empowerment: Tackling North/South and Rich/Poor Media Groups**—James Deane, Executive Director, Panos Institute, London, England (October 2 to 7).

##### *Muslim Dialogues*

**U.S.-Saudi Relationship: Bump in the Road or the End of the Road**—Clifford Chanin, President, The Legacy Project, New York, New York (June 2 to 6).

##### *Transitional Justice*

**Repairing the Past: Reparations and Transitions to Democracy**—Pablo deGreiff, International Center for Transitional Justice, New York, New York (October 15 to 19).

**Truth Commission and NGOs: The Essential Relationship**—Louis Bickford, Director, Alliance and Capacity Development, International Center for Transitional Justice, New York, New York (November 5 to 10).

## OTHER MEETINGS AND TEAM RESIDENCIES

**Achieving Diversity in Tertiary and Higher Education: Challenges and Prospects**—Walter R. Allen, Professor of Sociology, University of California, Los Angeles, Los Angeles, California (March 17 to 21).

**Action Mapping NEPAD: Lessons and Future Directions**—Gordon S. Smith, Director, Centre for Global Studies, University of Victoria, Victoria, British Columbia, Canada (December 8 to 12).

**An American Odyssey**—Shem Guibbory, Associate Musician, First Violin Section, MET Orchestra, White Plains, New York (March 31 to April 13).

**The Caribbean in New York and Paris**—Caryl Phillips, Professor of English and Henry R. Luce Professor of Migration and Social Order, Columbia University, New York, New York (August 27 to September 1).

**Chiefdom: A Universal Political Formation?**—Peter Skalnik, Senior Lecturer in Social Anthropology, University of Pardubice, Pardubice, Czech Republic (January 28 to February 14).

**Conservation and Sustainable Management of Sea Turtles in the Pacific Ocean**—Meryl J. Williams, Director General, ICLARM—The World Fish Center, Penang, Malaysia (November 17 to 22).

**Cultural Protection and Sex Equality**—Monique L. Deveaux, Assistant Professor of Political Science, Williams College, Williamstown, Massachusetts (May 19 to June 1).

**Current Status of Research and Opportunities for Collaboration with Industry**—Paul David Griffin, Scientist, World Health Organization, Geneva, Switzerland (May 5 to 9).

**Developing a New Strategic Plan for IPPF**—Steven W. Sinding, Director-General, International Planned Parenthood Federation, London, England (June 11 to 15).

**Developing, Norming and Dissemination of Diagnostic and Prognostic Tests for Learning Disabilities in Palestinian and Israeli Children and Youth**—Zvia Breznitz, Senior Lecturer, University of Haifa, Haifa, Israel (July 28 to August 10).

**An Electronic Edition of Dante's "Commedia"**—Peter M. Robinson, Senior Research Fellow, De Montfort University, Leicester, England (June 23 to July 6).

**Ethical Globalization Initiative Human Rights Building Group**—Mary T. Robinson, Executive Director, and Mr. Scott Jerbi, Program Coordinator, both of the Ethical Globalization Initiative, New York, New York (November 3 to 7).

**Ethnicity, Trust and Transition in Post-Communist Society**—Donna Bahry, Professor of Political Science, Vanderbilt University, Nashville, Tennessee (July 1 to 14).

**Exploring the Potential Use of Biotechnology to Alter Plant Development Programs**—Deborah Delmer, Associate Director for Food Security, Rockefeller Foundation, New York, New York (November 10 to 14).

## Finding Out What Works: Evaluating Complex Community Change Initiatives in the United States and the United Kingdom

Anne C. Kubisch, Co-Director, Roundtable on Comprehensive Community Initiatives for Children and Families, Aspen Institute, New York, New York; Anna Coote, Director, Public Health Programme, King's Fund, London, England; and Julia Lopez, Senior Vice President, Rockefeller Foundation, San Francisco, California (June 11 to 18).

**From Pilot Projects to Policies and Programs: Strategies for Scaling Up Innovations in Health Service Delivery**—Ruth Simmons, Professor of Public Health, University of Michigan, Ann Arbor, Michigan, and Peter Fajans, M.D., Scientist, World Health Organization, Geneva, Switzerland (March 31 to April 5).

**Global Development Venture Capital**—Kerwin Tesdell, President, Community Development Venture Capital Alliance, New York, New York (April 7 to 12).

**Global Perspectives on Youth Conflict**—Colette Daiute, Professor of Psychology, Graduate Center, City University of New York, New York, New York; Larry P. Nucci, Professor of Psychology and Education, University of Illinois, Chicago, Illinois; Zeynep F. Beykont, Instructor and Researcher, Bosphorus University, Etiler-Istanbul, Turkey; and Monika Keller, Max Planck Institute for Human Development, Berlin (Dahlem), Germany (March 10 to 14).

**Global Value Chains**—Gary Gereffi, Professor of Sociology, Duke University, Durham, North Carolina, and Katherine McFate, Deputy Director, Working Communities, Rockefeller Foundation, New York, New York (April 8 to 12).

**Health Equity Research: Beyond the Sound of One Hand Clapping**—Patricia M. Pittman, Senior Manager for International Projects, Academy-Health, Washington, D.C. (April 23 to 27).

**Human Resources in Health Series: Coordinating Group**—Lincoln C. Chen, M.D., Director, Global Equity Initiative, Harvard University, Cambridge, Massachusetts (December 8 to 12).

**Human Resources in Health Series: The History of Global Public Health**—Elizabeth Fee, Chief, History of Medicine Division, National Library of Medicine, National Institutes of Health, Bethesda, Maryland (March 5 to 10 and October 27 to November 1).

**Human Resources and Health Series: The World Health Organization: A Time of Transition**—Debra A. Jones, Co-Director, International Organization for Adolescents, Brooklyn, New York (May 5 to 9).

**The Immigrant Second Generation in North America and Europe**—John Hull Mollenkopf, Distinguished Professor of Political Science, and Director, Center for Urban Research, and Philip Kasinitz, Professor and Executive Officer, Ph.D. Program in Sociology, both of the City University of New York Graduate Center, New York, New York (June 18 to 23).

**The Influence of Cooperative Bacteria on Animal Host Biology**—Margaret J. McFall-Ngai, Professor, and Edward G. Ruby, Professor and Senior Researcher, both of the Pacific Biomedical Research Center, University of Hawaii, Honolulu, Hawaii (October 28 to November 1).

**An Informal Consultation on Global Health**—Jim Kim, M.D., Program in Infectious Disease and Social Change, Harvard University, Boston, Massachusetts (April 1 to 5).

**International Conflict in GMO Regulation**—Richard B. Stewart, University Professor, New York University, New York, New York (May 26 to 30).

**International PEN Strategic Planning and Capacity Building Meeting**—Homero Aridjis, President, International PEN, New York, New York; Philip Edward Terrence (Terry) Carlbom, International Secretary, and Jane Spender, Administrative Director, both of International PEN, London, England; and Michael Roberts, Executive Director, PEN American Center, New York, New York (July 29 to August 2).

**International Rural Strategies Alliance**—Dee A. Davis, President, Center for Rural Strategies, Whitesburg, Kentucky (November 13 to 20).

**Justice in the Balance: Rebuilding Communities in the Aftermath of Genocide and Ethnic Cleansing in Rwanda and the Former Yugoslavia**—Eric Stover, Director, and Harvey M. Weinstein M.D., Associate Director, both of the Human Rights Center, University of California, Berkeley, Berkeley, California (June 30 to July 5).

**Kimihia Te Mea Ngaro (Seek What Is Hidden): Preserving and Distributing Endangered Indigenous-Language Print Collections**—Mark Apperley, Professor of Computer Science, University of Waikato, Hamilton, New Zealand (January 29 to February 9).

**Knowledge Into Action: Improving Equity in Child Health**—Jennifer Bryce, Scientist and Responsible Officer, World Health Organization, Geneva, Switzerland (February 10 to 16).

**Latin American and Chicano/a Art Criticism Since the 1940s: Between Modernity and Globalization**—Florencia Bazzano-Nelson, Assistant Professor of Latin American Art, Georgia State University, Atlanta, Georgia; Holly Barnet-Sanchez, Associate Professor, University of New Mexico, Albuquerque, New Mexico; and Andrea Graciela Giunta, Universidad de Buenos Aires, Buenos Aires, Argentina (November 24 to 29).



**Middle Eastern Islam From Afar: South/Southeast Asian and African Perspectives**—Byron D. Cannon, Professor of Middle East History, University of Utah, Salt Lake City, Utah (February 25 to March 2).

**Museums and Global Public Spheres: Editorial Meeting**—Tomás Ybarra-Frausto, Associate Director, Creativity & Culture, Rockefeller Foundation, New York, New York (June 2 to 8).

**Muslim Women Challenge Fundamentalism: Building Bridges Between Southeast Asia and West Asia**—Zainah Anwar, President, Sisters in Islam, Kuala Lumpur, Malaysia, and Rosalia Sciortino, Regional Representative for Southeast Asia and Associate Director, Health Equity, Rockefeller Foundation, Bangkok, Thailand (September 29 to October 3).

**Narrative, Pain and Suffering**—Daniel B. Carr, M.D., Saltonstall Professor of Pain Research, New England Medical Center, Boston, Massachusetts, and John D. Loeser, M.D., Professor of Neurological Surgery and Anesthesiology, University of Washington, Seattle, Washington (October 13 to 17).

**New and Underutilized Technologies to Reduce Maternal Mortality**—Vivian Tsu, Senior Program Adviser, Program for Appropriate Technologies in Health, Seattle, Washington (July 8 to 12).

**Partnership on Strengthening Higher Education in Africa**—Joyce L. Moock, Associate Vice President, Rockefeller Foundation, New York, New York (February 19 to 23).

**Planning Session for New Tactics in Human Rights**—Douglas A. Johnson, Executive Director, and Kate Kelsch, Project Manager, New Tactics in Human Rights, both of the Center for Victims of Torture, Minneapolis, Minnesota; and Gencyay Saylan, Vice Director, Institute for Public Administration for Turkey and the Middle East, Ankara, Turkey (December 1 to 5).

**The Potential of Membrane Technology for Sustainable Decentralized Sanitation**—Francis A. DiGiano, Professor of Environmental Engineering, University of North Carolina, Chapel Hill, North Carolina (April 22 to 27).

**Progressive Futures 2003–2005**—Matthew Taylor, Director, Institute for Public Policy Research, London, England, and Gordon Conway, President, Rockefeller Foundation, New York, New York (September 12 to 14).

**The Promises and Pitfalls of International Courts**—David Jacobson, Associate Professor of Sociology, Arizona State University, Tempe, Arizona (May 19 to 24).

**Public Values, System Design and the Public Domain**—Helen Nissenbaum, Associate Professor, New York University, New York, New York (March 3 to 7).

**Redox Metabolism in Malaria: From Genes to Drugs**—Katja Becker-Brandenburg, M.D., Professor, Interdisciplinary Research Center, Giessen, Germany (February 3 to 7).

**Reducing Mortality and Improving Quality of Life in Long-Term Survivors of Hodgkin's Disease**—Peter M. Mauch, M.D., Professor of Radiation Oncology, Harvard University, Boston, Massachusetts (July 9 to 16).

**Sexuality, Gender and Human Rights**—Geeta Misra and Radhika Chandiramani, both of Creating Resources for Empowerment and Action, New Delhi, India, and Rosalia Sciortino, Regional Representative for Southeast Asia, Rockefeller Foundation, Bangkok, Thailand (September 22 to 26).

**Sine Die: A Multimedia Work**—Anna Maria Maiolino, Artist, Rio de Janeiro, Brazil (June 4 to 17).

**The Social Consequences of Rumor and Legend**—Gary Alan Fine, Professor of Sociology, Northwestern University, Evanston, Illinois; Chip Heath, Associate Professor of Organizational Behavior, Stanford University, Stanford, California; and Veronique Campion-Vincent, Maison des Sciences de l'Homme, Paris, France (April 15 to 19).

**Social Movements and Contentious Politics in a Democratizing World**—Donatella Della Porta, Professor of Political and Social Sciences, European University Institute, Florence, Italy, and Sidney Tarrow, Professor of Government, Cornell University, Ithaca, New York (July 22 to 26).

**Trans/Cultural Translators: Mediating Race, Indigeneity, Ethnicity in Four Nations**—Elizabeth Ann Kaplan, Professor of English and Comparative Literature, State University of New York at Stony Brook, Stony Brook, New York; Sneja Gunew, Professor of English and Women's Studies, University of British Columbia, Vancouver, British Columbia, Canada; and Zila Bernd, Professor, Graduate Program in Letters, Universidade Federal do Rio Grande do Sul, Pôrto Alegre, Brazil (August 5 to 12).

**Women Writing Africa: Eastern Region**—Florence Howe, Emerita Professor, Graduate Center, City University of New York, New York, New York (August 13 to September 4).

## 2003 Residents

**Dr. Meena Alexander (United States)**, Distinguished Professor of English, Hunter College, City University of New York, New York, New York—a book of new poems.

**Dr. Subrahmanyan Anandalakshmy (India)**, Writer, Chennai, India—a study of a genre of oral literary performance *avadhanam*, "A Genius of the Indian Tradition: Implications for Educational Processes."

**Dr. Lewis Aptekar (United States)**, Professor of Counselor Education, San José State University, San José, Costa Rica—a manuscript, "In the Mouth of the Lion: Life among Displaced Ethiopians in Addis Ababa."

**Mr. Antonio J. Aranibar (Bolivia)**, Independent Consultant, La Paz, Bolivia—a manuscript, "South American Integration: A South Andean Vision."

**Ms. Jean Lynette Christine Arasanayagam (Sri Lanka)**, Writer, Kandy, Sri Lanka—a memoir, "A Nice Burgher Girl: Childhood in Colonial Ceylon."

**Dr. Jacquelynn Baas (United States)**, Director Emeritus, Art Museum and Pacific Film Archive, University of California, Berkeley, Berkeley, California—a book of essays and artist interviews, "In the Space of Art: Buddha and the Culture of Now" (with Mary Jane Jacob).

**Dr. Florence Evelyn Babb (United States)**, Professor and Chair, Department of Anthropology, University of Iowa, Iowa City, Iowa—a manuscript, "From Revolution to Resorts in the 'New' Nicaragua."

**Dr. Andrei Babenko (Russian Federation)**, Tomsk State University, Tomsk, Russian Federation—a study, "Lifestyle of Indigenous People in Siberia: Social and Ecological Problems."

**Dr. Margot F. Badran (Arab Republic of Egypt)**, Northwestern University, Evanston, Illinois—a study, "Islamic Feminism/s: A Comparative Look at Selected Middle Eastern and African Experience."

**Dr. Sikata Banerjee (Canada)**, Associate Professor of Women's Studies, University of Victoria, Victoria, British Columbia, Canada—a study, "The Politics of Masculinity and Nationalism in India."

**Ms. Taunya L. Banks (United States)**, Jacob A. France Professor of Equality Jurisprudence, University of Maryland, Baltimore, Maryland—a manuscript, "Dangerous Women: Elizabeth Key and Other Black Women Lay Advocates."

**Dr. Jim Barnes (United States)**, Professor of Comparative Literature, Brigham Young University, Provo, Utah—a poetry manuscript, "Visiting Picasso."

**Dr. David J. Bearison (United States)**, Professor of Psychology, Graduate Center, City University of New York, New York, New York—a manuscript, "When Treatment Fails: How Medicine Cares for Dying Children."

**Dr. Sven Beckert (Germany)**, Dunwalke Associate Professor of History, Harvard University, Cambridge, Massachusetts—a manuscript, "The Empire of Cotton: A Global History."

**Ms. Andrea S. Belag (United States)**, Artist, New York, New York—artwork "Family Neighborhood."

**Dr. Rustom Homi Bharucha (India)**, Writer, Director and Dramaturge, Calcutta, India—a new play focusing on the "foreign worker" in the age of globalization (with Rodolfo Carlos Vera).

**Dr. Michael P. Bloom (United States)**, Professor and Head of Directing, University of Texas at Austin, Austin, Texas—a manuscript, "Mastering Modern Stage Language: Unlocking the Codes of Performance."

**Mr. Roy Alton Blount Jr. (United States)**, Writer, Mill River, Connecticut—a novel, "Right Under Our Nose."

**Dr. Janice P. Boddy (Canada)**, Professor of Anthropology, University of Toronto at Scarborough, Toronto, Ontario, Canada—a manuscript, "Civilizing Women: British Crusades in Colonial Sudan."

**Dr. Gabor Szappanos Boritt (United States)**, Robert C. Fluhrer Professor of Civil War Studies, Gettysburg College, Gettysburg, Pennsylvania—a narrative history of the Battle of Gettysburg.

**Mr. Cuauhtémoc Camarena (Mexico)**, Coordinator, Community Museum Program of Oaxaca, National Institute of Anthropology and History, Oaxaca, Mexico—a manuscript, "The Community Museum Movement: Initiatives in Oaxaca, Mexico, and Latin America" (with Teresa Morales).

**Mr. Luis Camnitzer (Uruguay)**, Professor Emeritus, Visual Arts, State University of New York at Old Westbury, Old Westbury, New York—a manuscript, "Contextualization and Resistance: Conceptualism in Latin American Art."

**Dr. Roberto Casati (Italy)**, Research Director, Institut Jean Nicod, Paris, France—a study, "Metaphysics and Cognition" (with Alvin I. Goldman).

**Dr. Simon Chesterman (Australia)**, Research Associate, International Peace Academy, New York, New York—a manuscript, "You, the People: Self-Determination, State-Building and the United Nations"

**Dr. Ian Clark (United Kingdom)**, Professor of International Politics, University of Wales, Aberystwyth, Wales—a manuscript, "Legitimacy in International Society."

**Dr. Gerald L. Clore (United States)**, Commonwealth Professor of Psychology, University of Virginia, Charlottesville, Virginia—a study, "The Cognitive Consequences of Emotion."

**Mr. William Coble (United States)**, Lecturer, University of Chicago, Chicago, Illinois—music composition for piano, chamber orchestra and computer.

**Dr. Philip J. Cook (United States)**, Sanford Professor of Public Policy, Duke University, Durham, North Carolina—a study, "Guns and Gun Violence" (with Jens Otto Ludwig).

**Mr. Alfred Corn (United States)**, Adjunct Professor, Writing Division, Columbia University, New York, New York—a book of verse letters.

**Dr. David A. Cressy (United States)**, Professor of History, Ohio State University, Columbus, Ohio—a study, "Revolution and the Outbreak of the English Civil War."

**Ms. Judy Dater (United States)**, Artist, Berkeley, California—an introduction to a manuscript, "California Portraits: A Reflection of Our Time."

**Dr. Michael C. Dawson (United States)**, Professor of Government and Afro-American Studies, Harvard University, Cambridge, Massachusetts—a study, "The Ethics of Aversion: Between Confrontation and Acquiescence" (with Michael G. Hanchard).

**Dr. Carolyn J. Dean (United States)**, Professor of History, Brown University, Providence, Rhode Island—a study, "Numbness, Empathy and Indifference After the Holocaust."

**Dr. Michael Dear (United States)**, Professor of Geography and Director, Southern California Studies Center, University of Southern California, Los Angeles, California—a study, "Managing Urban Sprawl" (with Jennifer Wolch).

**Mr. Nicholas F. Delbanco (United States)**, Robert Frost Collegiate Professor of English, University of Michigan, Ann Arbor, Michigan—a new novel, "The Vagabonds."

**Dr. Judy S. DeLoache (United States)**, William R. Kenan Jr. Professor of Psychology, University of Virginia, Charlottesville, Virginia—a book on the origins and early development of symbolic functioning.

**Dr. Gaurav G. Desai (India)**, Assistant Professor of English, Tulane University, New Orleans, Louisiana—a manuscript, "Under Erasure: 'Culture' and the Diasporic Imaginary."

**Dr. Roseanne Denise Diab (South Africa)**, Professor, University of Natal, Durban, South Africa—a study, "High Ozone Events Over North Africa: Investigation of Possible Long-Range Transport from Europe."

**Dr. Nikolai Dmitrievich Dobrynin (Russian Federation)**, Professor, Voronezh State Agricultural University, Voronezh, Russian Federation—a monograph, "Conservation and Management of Natural Pollinators for the Pollination of Crops."

**Dr. Gerald V. Dunne (Australia)**, Professor of Physics, University of Connecticut, Storrs, Connecticut—a study, "Probing the Quantum Vacuum."

**Mr. Jason K. Eckardt (United States)**, Executive Director, Ensemble 21, New York, New York—music composition, "16," for amplified flute and string trio.

**Ms. Heide Fasnacht (United States)**, Professor of Sculpture, Harvard University, Cambridge, Massachusetts—artwork.

**Dr. Katherine Fennelly (United States)**, Professor of Public Affairs and Adjunct Professor of Public Health, University of Minnesota, Minneapolis, Minnesota—a manuscript, "Immigration, Race Relations and Turkey Production in the Rural Midwest."

**Ms. Gina Ferrari (United States)**, Artist, Southfield, Michigan—a video, "Beyond Landscape: Paradoxes of Life and Death Among the Contadina of Northern Italy."

**Dr. Teresa Fiore (Italy)**, Assistant Professor in Italian, California State University at Long Beach, Long Beach, California—a manuscript, "Preoccupied Spaces: Revisioning the Italian Nation through a Comparative Study of Its Migration Cultures."

**Robert H. Fletcher, M.D. (United States)**, Professor, Department of Ambulatory Care and Prevention, Harvard University, Boston, Massachusetts—a book for the general public on how health research is carried out and interpreted (with Suzanne W. Fletcher).

**Suzanne W. Fletcher M.D. (United States)**, Professor, Harvard University, Cambridge, Massachusetts—a book for the general public on how health research is carried out and interpreted (with Robert H. Fletcher).

**Dr. Rosemary J. Foot (United Kingdom)**, Professor of International Relations, St. Antony's College, Oxford, England—a manuscript, "Human Rights and Security in U.S.-Asia Policy: The Effects of 11 September 2001."

**Dr. Elisabeth A. Frost (United States)**, Assistant Professor of English, Fordham University, New York, New York—a manuscript, "In Another Tongue: Image, Text and the Body in Contemporary Feminist Art and Poetry."

**Dr. Alvin I. Goldman (United States)**, Board of Governors Professor, Rutgers University, New Brunswick, New Jersey—a study, "Metaphysics and Cognition" (with Roberto Casati).

**Ms. Anita González (United States)**, Writer, Director and Choreographer, Florida State University, Tallahassee, Florida—a play script, "Cigar Memories," about the Afro-Cuban cigar workers of Tampa, Florida, 1890–1920.

**Ms. Joanne Greenbaum (United States)**, Artist, New York, New York—artwork, "Painting and Drawing."

**Ms. Lourdes Grobet (Mexico)**, Artist, Mexico City, Mexico—artwork, "Painted Landscapes."

**Dr. Jessie Christine Gruman (United States)**, President, Center for the Advancement of Health, Washington, D.C.—a manuscript, "Capturing the Value of Health Research."

**Dr. Julia S. Guivant (Brazil)**, Senior Lecturer, Universidade Federal de Sta Catarina, Florianópolis, Brazil—a report, "Uncertain Food Risks in the Global Risk Society: Including the Brazilian Case."

**Dr. Richard Pemasiri Gunawardane (Sri Lanka)**, Chairman, National Education Commission, Colombo, Sri Lanka—a national policy paper on tertiary education reforms in Sri Lanka.

**Dr. Michael G. Hanchard (United States)**, Associate Professor, Northwestern University, Evanston, Illinois—a study, "The Ethics of Aversion: Between Confrontation and Acquiescence" (with Michael C. Dawson).

**Dr. William Kenneth Hawes (United States)**, Professor, School of Communication, University of Houston, Houston, Texas—a manuscript, "Caligula Revisited: The Relationship of Pornographic and Traditional Theatrical Moving Pictures since 1970."



2003 GRANTS

Special Programs

**Dr. John Charles Hawley (United States)**, Associate Professor of English, Santa Clara University, Santa Clara, California—a manuscript, “The Arc of African Literature.”

**Mr. Louis Hock (United States)**, Professor of Visual Arts, University of California, San Diego, La Jolla, California—artwork, “Sicily.”

**Ms. Barbara Joyce Hocking (Australia)**, Independent Scholar, Toorak, Victoria, Australia—a legal history of the settlement of Australia, “Suffer the Children.”

**Dr. Karin Holstius (Finland)**, Professor of Economics, Helsinki Business Polytechnic, Helsinki, Finland—a study, “Visionary Management” (with Pentti Malaska).

**Dr. Daniel Walker Howe (United States)**, R. Stanton Avery Distinguished Visiting Fellow, Huntington Library, San Marino, California—a manuscript, “What Hath God Wrought: America Transformed 1815–1848.”

**Ms. Mary Jane Jacob (United States)**, Independent Curator and Adjunct Assistant Professor, School of the Art Institute of Chicago, Chicago, Illinois—a book of essays and artist interviews, “In the Space of Art: Buddha and the Culture of Now” (with Jacquelynn Baas).

**Dr. Ruth Kartun-Blum (Israel)**, Professor and Head, Department of Literature, Hebrew University, Jerusalem, Israel—a manuscript, “Reading the Scriptures in Hebrew and Israeli Literature.”

**Mr. Galway Kinnell (United States)**, Erich Maria Remarque Professor of Creative Writing, New York University, New York, New York—a manuscript of poems.

**Robert L. Klitzman, M.D. (United States)**, Assistant Professor of Clinical Psychiatry, Columbia University, New York, New York—a manuscript, “Double Lives: When Doctors Become Patients.”

**Dr. Anatoly A. Krasikov (Russian Federation)**, Professor and Head, Centre for Religious and Social Studies, Institute of Europe, Moscow, Russian Federation—a manuscript, “The ‘Third Rome’ Today: Religious Liberty as a Condition of Civil Peace and Interethnic Concord in Russia.”

**Mr. Ronald J. Kuivila (United States)**, Adjunct Professor, Wesleyan University, Middletown, Connecticut—music composition, “Implicit Melodies.”

**Mr. Amshan Kumar (India)**, Writer and Filmmaker, Chennai, India—a documentary film, “Seed Bowl,” and scripts for video shorts based on three Ashokamitran stories.

**Mr. Charles T. Labelle (United States)**, Instructor of Art and Art Theory, Otis College of Art and Design, Los Angeles, California—a photographic project, “Illuminated Trees,” and a video project, “Milan Probe.”

**Dr. Lawrence L. Langer (United States)**, Alumnae Chair Professor Emeritus of English, Simmons College, West Newton, Massachusetts—a series of essays, “Life Is Not Beautiful and Other Holocaust Subversions.”

**Dr. Herbert Leibowitz (United States)**, Editor and Publisher, *Parnassus: Poetry in Review*, New York, New York—a critical biography of William Carlos Williams.

**Ms. Zoe Leonard (United States)**, Artist, New York, New York—artwork.

**Ms. Liz Lerman (United States)**, Artistic Director, Liz Lerman Dance Exchange, Takoma Park, Maryland—a series of essays on the philosophy and processes of her work as an artist and developing the framework for the next major performance work.

**Dr. Theodore Levin (United States)**, Associate Professor of Music, Dartmouth College, Hanover, New Hampshire—a manuscript, “Where Mountains Sing: Sound, Music and Spiritual Landscape in Tuva and Beyond” (with Valentina Süzükei).

**Dr. Arend Lijphart (United States)**, Research Professor Emeritus of Political Science, University of California at San Diego, La Jolla, California—a manuscript, “Designing Democratic Institutions: Practical Guidelines.”

**Dr. Arturo Lindsay (United States)**, Associate Professor of Art, Spelman College, Atlanta, Georgia—an art and poetry manuscript, “Children of the Middle Passage” (with Opal J. Moore).

**Prof. Daniel Link (Argentina)**, Writer, Buenos Aires, Argentina—a writing project, “*La Ansiedad: Novela Trash*” (“Anxiety: A Trash Novel”).

**Dr. Françoise Lionnet (United States)**, Professor of French and Francophone Studies, University of California at Los Angeles, Los Angeles, California—a study investigating the role of translation in postcolonial literatures from a multidisciplinary perspective (with Danielle D. Tranquille).

**Dr. Alfred J. López (United States)**, Assistant Professor of English, Florida International University, Miami, Florida—a study, “José Martí and the Role of Literature in the Formation of Cuban Nationalisms.”

**Dr. Jens Otto Ludwig (United States)**, Associate Professor of Public Policy, Georgetown University, Washington, D.C.—a study, “Guns and Gun Violence” (with Philip J. Cook)

**Mr. Jamil Mahuad (Ecuador)**, Senior Research Fellow, Program on Negotiation, Harvard University, Cambridge, Massachusetts—two projects, “Adventures in Fixing the World” and “Resolving an Ancient Conflict: Peru and Ecuador.”

**Dr. Pentti Malaska (Finland)**, Professor of Economics, Turku School of Economics, Turku, Finland—a study, “Visionary Management” (with Karin Holstius).

**Dr. Lenore H. Manderson (Australia)**, Professor of Public Health, University of Melbourne, Victoria, Australia—a manuscript, “Surface Tensions: Surgery, Bodily Boundaries and the Social Self.”

**Dr. Ann R. Markusen (United States)**, Professor of Planning and Public Affairs, University of Minnesota, Minneapolis, Minnesota—a manuscript, “Creating Good Work.”

**Ms. Patricia McKenna (Ireland)**, Artist, Monkstown, Dublin, Ireland—artwork, “Exposure.”

**Mr. Arvind Krishna Mehrotra (India)**, Professor of English, University of Allahabad, Allahabad, India—a collection of new poems.

**Mr. Harold Meltzer (United States)**, Composer and Artistic Director, Sequitur Music Ensemble, New York, New York—music composition, “Sinbad,” for narrator and piano trio.

**Dr. Damian R. Miller (United States)**, Director of Rural Operations, Shell Solar BV, Amsterdam, Netherlands—a manuscript, “Selling Solar: The Lessons for Technology Diffusion and Sustainability.”

**Mr. Larry Minear (United States)**, Director, Humanitarianism and War Project, Tufts University, Medford, Massachusetts—a manuscript, “The Political Economy of the Humanitarian Enterprise” (with Ian R. Smillie).

**Dr. Reshmi Mitra (India)**, Professor of Economics, Xavier Labor Relations Institute, Jamshedpur, India—a study, “Corporate Social Responsibility: A Partnership Management Framework for Reducing Vulnerability in Marginalized Communities.”

**Ms. Opal J. Moore (United States)**, Associate Professor and Chair, Department of English, Spelman College, Atlanta, Georgia—an art and poetry manuscript, “Children of the Middle Passage” (with Arturo Lindsay).

**Ms. Teresa Morales (United States)**, Union of Community Museums of Oaxaca, Oaxaca, Mexico—a manuscript, “The Community Museum Movement: Initiatives in Oaxaca, Mexico and Latin America” (with Cuauhtémoc Camarena).

**Dr. James Nagel (United States)**, J. O. Edison Distinguished Professor of American Literature, University of Georgia, Athens, Georgia—a manuscript, “The Impressionistic Dimensions of Hemingway’s ‘A Farewell to Arms.’”

**Ms. Akemi Naito (Japan)**, Composer, New York, New York—music composition, “New Work for Satsuma Biwa.”

**David G. Nathan, M.D. (United States)**, Robert A. Stranahan Distinguished Professor of Pediatrics, Harvard University, Boston, Massachusetts—a manuscript, “Curing Cancer.”

**Dr. Hiroshi Ono (Canada)**, Professor of Psychology, York University, Toronto, Ontario, Canada—a study, “Direction and Distance: Defining the Historical Dimensions” (with Nicholas J. Wade).

**Ms. Dael Orlandersmith (United States)**, Writer, New York, New York—a novel, “Lone Dancer Underground.”

**Dr. Pramod Kumar Pandey (India)**, Professor of Linguistics, Jawaharlal Nehru University, New Delhi, India—a study, “Sounds and Their Patterns in Indian Languages.”

**Ms. Jan Paris (United States)**, Conservator for Special Collections, University of North Carolina, Chapel Hill, North Carolina—a study, "Rethinking Conservation: New Paradigms for Decision Making."

**Mr. Cesar P. Paternosto (United States)**, Artist, New York, New York—a book of poetry and painting, "Kellccani Sitowa" (with Cecilia Vicuña).

**Mr. Craig John Pearson (Australia)**, Dean, Ontario Agricultural College, Guelph, Ontario, Canada—a manuscript, "Civilization's Journey: A Journey of Western Agriculture and Landscape."

**Dr. Silvia Pedraza (United States)**, Associate Professor of Sociology, University of Michigan, Ann Arbor, Michigan—a manuscript, "False Hopes: Political Disaffection in Cuba's Revolution and Exodus."

**Dr. Charles Perrow (United States)**, Professor Emeritus of Sociology, Yale University, New Haven, Connecticut—a manuscript, "Organizations and Disasters."

**Dr. Agata Preis-Smith (Poland)**, Associate Professor of Literature, University of Warsaw, Warsaw, Poland—a study, "Gender Masquerade as Social Critique in American Poetry of the 1950s and 1960s."

**Mr. Paul Elliot Rock (United Kingdom)**, Professor of Social Institutions, London School of Economics, London, England—a monograph, "The Development of Policies for Victims of Crime in England and Wales, 1997–2001."

**Dr. Victoria L. Rovine (United States)**, Curator, Arts of Africa, Oceania and the Americas, University of Iowa, Iowa City, Iowa—a manuscript, "African Fashion/Global Style."

**Prof. Ramón Eduardo Ruiz (United States)**, Professor Emeritus of Latin American History, University of California at San Diego, La Jolla, California—memoirs, "Memories of a Hyphenated Man."

**Dr. Diane Margaret Sainsbury (United States)**, Lars Hierta Professor of Political Science, Stockholm University, Stockholm, Sweden—a manuscript, "Welfare States, Immigration and Citizenship: The Politics of Inclusion and Exclusion."

**Ms. Ivana Sajko (Croatia)**, Playwright, Zagreb, Croatia—a cycle of theatrical monologues, "Quarantine: Nomads, Lost Faces and Tragic Heroes."

**Dr. Gary R. Saxonhouse (United States)**, Professor of Economics, University of Michigan, Ann Arbor, Michigan—a manuscript, "The Evolution of Labor Standards in Japan: Human Rights, Scientific Management and International Economic Conflict."

**Dr. Vivien A. Schmidt (United States)**, Jean Monnet Professor of European Integration, Boston University, Boston, Massachusetts—a study, "Democracy in Europe: Institutions, Ideas, Discourse."

**Steven A. Schroeder, M.D. (United States)**, Distinguished Professor of Health and Health Care, University of California, San Francisco, San Francisco, California—a study, "Shaping a Center for Smoking Cessation and Health Professionals"

**Dr. Ullica Segerstråle (Finland)**, Professor of Sociology, Illinois Institute of Technology, Chicago, Illinois—an intellectual biography of William D. Hamilton.

**Dr. Lee A. Siegel (United States)**, Professor of Religion, University of Hawaii, Honolulu, Hawaii—a novel, "Love and the Old Man."

**Mr. David J. Simons (United States)**, Composer, New York, New York—a new music composition for the Harry Partch Instruments, "Odentity."

**Dr. Richard P. Sloan (United States)**, Professor of Behavioral Medicine, Columbia University, New York, New York—a study, "Blind Faith: Evidence, Anecdote and Advocacy in the Union of Religion and Medicine."

**Mr. Ian R. Smillie (Canada)**, Consultant, Humanitarianism and War Project, Tufts University, Medford, Massachusetts—a manuscript, "The Political Economy of the Humanitarian Enterprise" (with Larry Minear).

**Dr. Sylvia Wassertheil Smoller (United States)**, Professor and Head, Division of Epidemiology and Biostatistics, Albert Einstein College of Medicine, Bronx, New York—a manuscript, "Evidence and Reasoning in Health Research."

**Dr. Kayode Soremekun (Nigeria)**, Professor of International Relations, Obafemi Awolowo University, Ile-Ife, Nigeria—a study, "Washington and the Democratic Imperative in Nigeria and Kenya."

**Mr. Jon Spelman (United States)**, Writer, Silver Spring, Maryland—a personal memoir, essay and oral history project, "Sauntering Toward Promised Land."

**Dr. Nico Stehr (Germany)**, Professor, Kulturwissenschaftliches Institut, Essen, Germany—a study, "The Governance of Knowledge."

**Dr. Sidney Strauss (Israel)**, Branco Weiss Professor of Research in Child Development and Education, Tel Aviv University, Tel Aviv, Israel—a manuscript, "Teaching as a Natural Cognition."

**Mr. Rennard Strickland (United States)**, Philip H. Knight Professor of Law, University of Oregon, Eugene, Oregon—a manuscript, "Spirit Red: The Five Hundred Year War for Native American Conquest and Survival."

**Ms. Valentina Süzükei (Russian Federation)**, Senior Academic Officer, Tuvan Institute for Humanistic Research, Kyzyl, Tuva, Russian Federation—a manuscript, "Where Mountains Sing: Sound, Music and Spiritual Landscape in Tuva and Beyond" (with Theodore Levin).

**Mr. Habib Tanvir (India)**, Artistic Director, Naya Theatre, Bhopal, India—an autobiography.

**Dr. Danielle D. Tranquille (Mauritius)**, Lecturer, University of Mauritius, Reduit, Mauritius—a study investigating the role of translation in postcolonial literatures from a multidisciplinary perspective (with Françoise Lionnet).

**Dr. Nancy J. Turner (Canada)**, Professor of Environmental Studies, University of Victoria, Victoria, British Columbia, Canada—a manuscript, "The Earth's Blanket: Cultural Teachings for Sustainable Living."

**Mr. Larry Tye (United States)**, Correspondent, The Boston Globe, Cambridge, Massachusetts—a manuscript, "Rising From the Rails: Pullman Porters and the Birth of the Black Middle Class"

**Dr. Ann Varley (United Kingdom)**, Reader in Geography, University College London, London, England—a manuscript, "Gender and the Meaning of Home: Cultures of Housing in Urban Mexico."

**Mr. Rodolfo Carlos Vera (Philippines)**, Playwright, Philippine Educational Theater Association, Quezon City, Philippines—a new play focusing on the "foreign worker" in the age of globalization (with Rustom Homi Bharucha).

**Ms. Cecilia Vicuña (Chile)**, Poet, New York, New York—a book of poetry and painting, "Kellccani Sitowa" (with Cesar P. Paternosto).

**Dr. Robert Vitalis (United States)**, Associate Professor of Political Science, University of Pennsylvania, Philadelphia, Pennsylvania—a manuscript, "America's Kingdom: Saudi Arabia and the World Oil Frontier, 1945-1970"

**Dr. Veljko Vujacic (Federal Republic of Yugoslavia)**, Associate Professor of Sociology, Oberlin College, Oberlin, Ohio—a manuscript, "Nationalism, Myth and Politics: Russians and Serbs in the Dissolution of the Soviet Union and Yugoslavia."

**Dr. Nicholas J. Wade (United Kingdom)**, Professor of Visual Psychology, University of Dundee, Dundee, Scotland—a study, "Direction and Distance: Defining the Historical Dimensions" (with Hiroshi Ono).

**Dr. Robert Wade (United Kingdom)**, Professor of Political Economy, London School of Economics, London, England—a manuscript, "Poverty and Income Distribution on a World Scale: Trends, Causes and a Theory of the Ladder."



**Dr. Donald Weber (United States)**, Professor of English, Mount Holyoke College, South Hadley, Massachusetts—a study, “The Anxiety of Belonging: Multiculturalism and Identity Politics in United States and United Kingdom Literary and Popular Culture.”

**Dr. Jennifer A. Widner (United States)**, Associate Professor of Political Science, University of Michigan, Ann Arbor—a study exploring cross-cultural variation in norms of good faith and fair dealing.

**Dr. Oliver E. Williamson (United States)**, Edgar F. Kaiser Professor of Business, Economics and Law, University of California, Berkeley, Berkeley, California—a re-examination of corporate governance from a combined law, economics and organization perspective.

**Dr. Jennifer Wolch (United States)**, Professor of Geography and Director, Sustainable Cities Program, University of Southern California, Los Angeles, California—a study, “Managing Urban Sprawl” (with Michael Dear).

**Ms. Wendy Woodson (United States)**, Professor of Theater and Dance, Amherst College, Amherst, Massachusetts—performance and video pieces, “Cross Continental.”

**Prof. David Woodward (United States)**, Arthur H. Robinson Professor of Geography, University of Wisconsin, Madison, Wisconsin—a manuscript, “Cartography in the European Renaissance.”

**Dr. Donald R. Wright (United States)**, Distinguished Teaching Professor of History, State University of New York at Cortland, Cortland, New York—a manuscript, “Globalization in the Daily Lives of Gambians.”

**Mr. John C. Yoo (United States)**, Professor of Law, University of California at Berkeley, Berkeley, California—a manuscript, “Globalization and the Constitution.”

**Mr. Alfred A. Yuson (Philippines)**, Lecturer in English, Ateneo de Manila University, Quezon City, Philippines—a novel, “Mountain Lake.”

**Dr. Ghil’ad Zuckermann (Israel)**, Gulbenkian Research Fellow, Churchill College, Cambridge, England—a manuscript, “Language, Culture and Identity—‘Lexical Engineering’ as a Tool for Judging Other Religions: A Socio-Philological Perspective.”

## Assets and Capacities

### Communication for Social Change

#### Communication for Social Change

**Consortium**, South Orange, New Jersey: \$4,250,000 for general support of its mission to increase the capacity of communication specialists, development workers, aid agencies, nonprofit organizations and communities to improve use of communications in advancing development outcomes.

#### Communication Initiative Networks

**Corporation**, Victoria, Canada: \$500,000 toward the costs of implementing the Communication Initiative project to highlight and share examples of communication for social change action and to support and to engage practitioners, funders, policymakers and researchers in the strategic dialogue and debate on the communication for social change approach to addressing development issues.

#### Forum for African Women Educationalists,

Ghana Chapter, Cantonments, Accra, Ghana: \$40,000 for construction of an FM broadcasting facility that will enhance its ability to promote positive social change in support of the status of girls and women, and in particular, the education of girls.

**Foundation-administered project:** \$150,000 to explore the feasibility of establishing a non-profit entity separate from the Rockefeller Foundation to ensure the long-term sustainability of the communication for social change work, and, if feasible, to develop a business plan and mobilize resources to launch the entity.

**Independent Press Association**, San Francisco, California: \$60,000 to expand its research study documenting the role of the independent press in social justice movements, with the aim of producing a full-length book and a companion manual on business strategies for independent publications.

**Panos Institute**, London, England: \$250,000 toward the costs of strengthening the institutional capacity and increasing the independence of Panos Institutes in southern and eastern Africa and South Asia.

**Panos Institute**, London, England: \$40,000 toward the travel costs of developing-country participants in two Global Dialogues on Media and Social Change, “Media and War in South Asia” and “Media, Citizenship and Empowerment - Tackling North/South and Rich/Poor Media Gaps,” at the Bellagio Study and Conference Center, Italy, July and October 2003, respectively.

### New York City

#### Corporate Citizenship Grants

#### Advocates for Children of New York,

New York, New York: \$100,000 in support of its Equity Monitoring Project for Immigrant and Refugee Education, designed to increase the engagement of immigrant parents in their children’s education through school monitoring and advocacy.

**Asociacion Tepeyac**, New York, New York: \$100,000 to support efforts to strengthen its internal operating capacity, in order to enhance its ability to meet the needs of the Mexican immigrant population in New York City.

**Casa Mexico**, New York, New York: \$50,000 in general support of its mission to provide education and advocacy assistance to the Mexican community in New York City.

#### Independent Press Association,

San Francisco, California: \$100,000 to continue support for its Grassroots Media Project, which seeks to encourage increased coverage of civic affairs in the immigrant press through fellowships, training opportunities and briefings for immigrant press journalists.

**New York Community Trust**, New York, New York: \$100,000 to support the Fund for New Citizens, a funders’ collaborative that builds the capacity of New York City’s immigrant organizations to respond to special registration and other Federal immigration measures.

**New York Foundation**, New York, New York: \$200,000 to support its efforts to sustain immigrant-serving organizations in New York City.

### Global Philanthropy

**Harvard University**, Cambridge, Massachusetts: \$2,225,000 in support of a Global Equity Initiative aimed at (1) increasing global funding to reduce inequities, and (2) strengthening the impact of global philanthropy on inequality, poverty and human insecurity worldwide.

### Philanthropic Sector

**Council on Foundations**, Washington, D.C.: \$49,600 toward general operating expenses in 2003.

**Independent Sector**, Washington, D.C.: \$12,000 toward general operating expenses in 2003.

**New York Regional Association of Grantmakers**, New York, New York: \$15,500 toward general support for the year 2003.

### Program Venture Experiment

**Foundation-administered project:** \$240,000 to apply frameworks for assessing the social impact of ProVenEx investments.

**Foundation-administered project:** \$250,000 to facilitate the organization and establishment of an investment fund to provide capital and technical assistance to small and medium-sized agri-business companies serving small and medium-sized farmers in eastern and southern Africa.

**Jacobs Center for Neighborhood Innovation**, San Diego, California: \$1,000,000 as a program-related investment to provide equity capital to finance Phase I of Market Creek Plaza, a 20-acre commercial, retail and cultural community economic development project in a distressed neighborhood in San Diego, California.

## Other

**Asma Society**, New York, New York: \$50,000 toward the costs of launching the Cordoba Dialogues, an interfaith effort to heal the relationship between Islam and America, increase communication and tolerance and stimulate fresh, new approaches to achieving peace.

**Bennett College**, Greensboro, North Carolina: \$25,000 to strengthen its ability to train young women of color in journalism and communication skills.

**Brookings Institution**, Washington, D.C.: \$25,000 toward the costs of implementing the recommendations made by its National Commission on the Public Service for reform of the Federal civil service. (Joint with Working Communities)

**Center for Strategic and International Studies**, Washington, D.C.: \$100,000 for general support. (Joint with Global Inclusion)

**Cold Spring Harbor Laboratory**, Cold Spring Harbor, New York: \$25,000 toward the costs of an exhibition at the New York Public Library entitled, "Seeking the Secret of Life: DNA in NY."

**Faith and Politics Institute**, Washington, D.C.: \$25,000 in support of its United States-Republic of South Africa Faith and Politics Initiative, an effort to facilitate the sharing among members of the U.S. Congress and South African Parliamentarians of the experiences of the Republic of South Africa during the transition to majority democracy and the United States during the civil rights movement, with a view to learning from the "unfinished business" of justice and reconciliation.

**Faith Regen UK**, London, England: \$50,000 toward the costs of a colloquium entitled, The Impact of Faith in Action: U.S.-U.K. Colloquium on Good Practice in Muslim-Christian Regeneration Initiatives, to be held in Philadelphia, February 2004.

**Foundation-administered project**: \$175,000 for a series of consultancies to assist in the integration of program learning and evaluation mechanisms into the Foundation's areas of work.

**Harvard University**, Cambridge, Massachusetts: \$50,000 for use by its John F. Kennedy School of Government toward the costs of four workshops on business risks and appropriate responses in connection with the HIV/AIDS epidemic in sub-Saharan Africa and Asia.

**Long Island Educational Television Council, Inc.**, Plainview, New York: \$100,000 toward the costs of distributing the "BBC World News" to public television stations in the United States.

**Medical Education Cooperation with Cuba**, Atlanta, Georgia: \$25,000 toward the costs of distributing a documentary film on the global impact of Cuba's South-South cooperation in medicine and public health.

**National Summit on Africa**, Washington, D.C.: \$100,000 in general support of its efforts to educate Americans about Africa and its people, to build bridges of understanding and partnership and to facilitate African social and political development.

**New York University**, New York, New York: \$25,000 toward the costs of archival processing of John Brademas' Congressional papers, which will serve as the seed for the creation of the John Brademas Center for the Study of Congress.

**Rockefeller Foundation Matching Gift Program**: \$2,000,000 toward costs of the Rockefeller Foundation Matching Gift Program.

**Rockefeller University**, New York, New York: \$50,000 toward the costs of an event to mark the 50th anniversary of the discovery of the DNA double helix, to be held February 28, 2003.

**Rockefeller University**, New York, New York: \$844,456 to cover operating costs associated with the preservation and continuing use of Foundation records deposited at the Rockefeller Archive Center.

**Synergos Institute**, New York, New York: \$68,500 in general support of its mission to develop effective, sustainable and locally-rooted solutions to poverty in developing countries.

**Urban Improv**, Jamaica Plain, Massachusetts: \$50,000 for general support of its theater-based violence-prevention programs for students in Boston area public schools. (Joint with Creativity & Culture)

**Virtue Foundation**, New York, New York: \$50,000 toward the costs of a symposium to commemorate the worldwide compassionate response toward the United States following the tragic events of September 11, 2001.







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Remarkably strong equity returns during 2003 were a great relief to foundation investors after three years of severe declines. The Rockefeller Foundation benefited from strong markets and from excellent manager performance in U.S., international and emerging market equities. The Foundation's portfolio returned 24.1 percent for the year, and the endowment market value was \$3 billion on December 31, 2003. During the year, Foundation spending totaled \$173 million, or 6.5 percent of endowment market value.

Including the strong 24.1 percent return for 2003, the Foundation's annualized return for the five-year period ending 2003 was 4.5 percent. Since foundations are required by law to spend an average of 5 percent of endowment value, long-term investment returns must average at least 8 percent, assuming 3 percent inflation, in order to preserve the purchasing power of the endowment. Thus, the Foundation's 4.5 percent five-year return is below its long-term objective.

Given the lofty valuations of almost all asset classes today, it will be challenging for foundations to meet their long-term goals in the years ahead. The Treasurer's Office is responding by continuing its aggressive efforts to diversify the portfolio and increase investments in alternative asset classes. The combination of an equity bias and broad diversification among equity-oriented asset classes provides a powerful underpinning for a long-term institutional portfolio. Managers in the alternative asset classes are more likely to add alpha, or risk adjusted excess return, and to be less benchmark oriented.

The Foundation's commitment to alternatives includes using absolute return managers who take advantage of market anomalies and use hedging techniques to lower their correlation with public markets. There are also investments in

inefficient private markets with partners who have strong incentives to add value through investment selection and value-added strategies. Private market investments include venture capital, buyouts and real assets.

Returns in alternative asset classes are substantially better for top-tier managers. For example, in venture capital, first quartile managers returned over 20 percent more than third quartile managers over 10 years. In addition, investments in alternative asset classes are less liquid and require longer-term commitments. Therefore, the Treasurer's Office conducts extremely thorough due diligence on managers in these sectors and is unwilling to compromise its high standards in order to achieve target allocations more quickly.

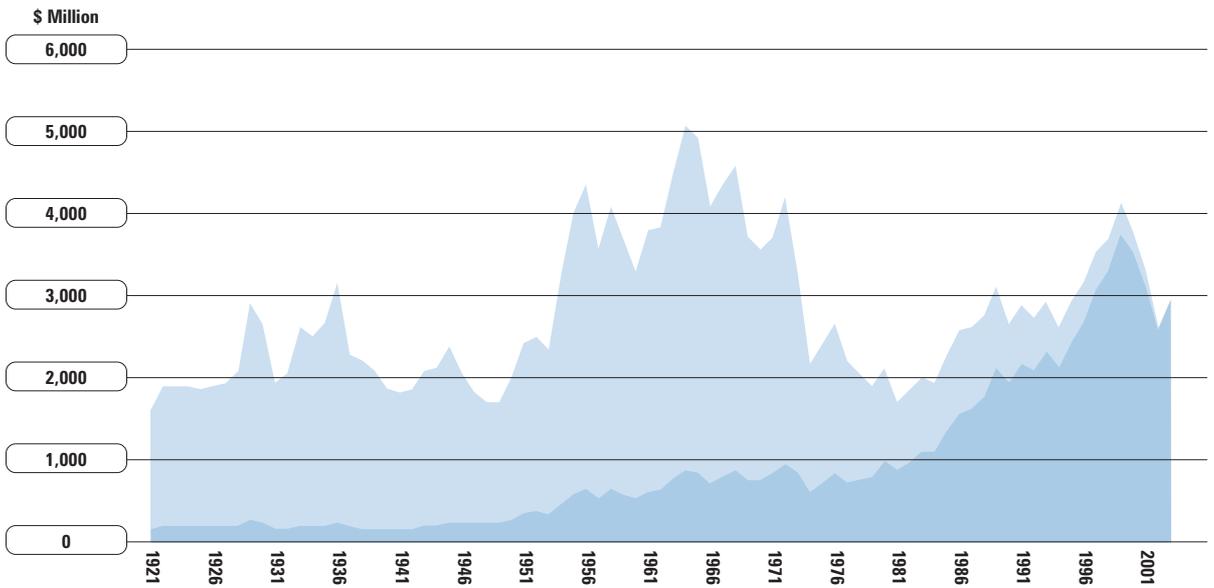
The concept of generational neutrality—maintaining the long-term purchasing power of the endowment after inflation and grantmaking—is a touchstone for the Foundation. With the benefit of compounding investment returns, the Foundation has been able to make \$13 billion (2003 dollars) in grants over the years and at the same time to maintain the endowment in real dollars. Thus, the Rockefeller Foundation's ongoing grantmaking capacity, as well as its legacy of knowledge and experience in philanthropy, are still benefiting the world today.

The following graph shows the history of the Foundation's endowment value in nominal terms and in 2003 dollars. The original corpus, which was fully funded in 1929, was worth \$2.9 billion in 2003 dollars. Though the inflation-adjusted value has been as low as \$1.7 billion and as high as \$5.0 billion, it has averaged \$2.9 billion over the life of the Foundation. Strong returns in 2003 enabled the Foundation to maintain a position in which long-term generational neutrality has been preserved.

**Endowment Assets From 1921 Through 2003**

Value in 2003 Dollars

Nominal Value



In providing oversight of the Rockefeller Foundation's endowment, the board of trustees strives to balance the conflicting objectives of maintaining generational neutrality and maximizing funds for current programs through policies on the spending rate and on the asset allocation of the investment portfolio. The Foundation's long-term target for annual spending is 5.5 percent of the market value of the endowment.

Asset allocation policy is reviewed annually by the Finance Committee, which establishes a target allocation for each asset class. The Foundation rebalances to its policy targets as markets move and does not make frequent tactical shifts in asset allocation. During 2003, staff presented a plan for moving the portfolio further away from investments in marketable securities and increasing commitments to absolute return, real assets, and private equity. The long-term asset allocation targets are:

ASSET CLASS	PERCENT
U.S. Equity	22 – 24
International Equity	18
Global Equity	5
Fixed Income	15
Cash	1
Absolute Return	14 – 16
Real Assets	10 – 12
Private Equity	10 – 12

The Foundation's investment staff develops overall investment strategy, recommends investment managers and oversees their performance and adherence to guidelines, researches new investment opportunities, and monitors and controls portfolio risks. In selecting outside managers, the Foundation seeks firms that, in addition to strong track records, have the people, management structure and disciplined processes, including fundamental research, to generate superior future results. Because investment expenses have a substantial impact on long-term results, cost control is another important component of portfolio oversight.

The Foundation's U.S. equity portfolio is 20 percent invested in an S&P 500 index fund, with the remainder allocated among nine active managers. While the overall portfolio has style and size characteristics similar to the Russell 3000 benchmark, the individual managers have distinct investment approaches and can add significant value through sector and security selection. In some cases, this results in portfolios that are concentrated in a relatively small number of securities. The 400 basis points of alpha generated by the U.S. equity portfolio in 2003 validated the structure and team of managers for this asset class.



The Foundation's international equity portfolio has a small index fund component, which is maintained for purposes of portfolio rebalancing, plus five active managers with EAFE benchmarks. Of the 18 percent allocation to international equities, 6 percent is invested with specialist emerging markets managers. In addition, the Foundation's international managers can include emerging market securities when they are expected to add value versus an EAFE benchmark.

The currency risk in the Foundation's developed international portfolio is hedged by specialist overlay managers with a 50 percent hedged benchmark. The guidelines for the hedging program give managers the latitude to actively adjust their hedge levels in response to market conditions. Thus, while hedging detracted from international equity returns as the dollar declined in 2003, the managers added value compared to their benchmarks through active currency management.

In early 2002, the Foundation added a global equity asset class. The Treasurer's Office believes that increasing worldwide economic integration requires that investment managers be thoughtful about the relative attractiveness of regions and able to identify the best companies in global industries. It is difficult to find managers with true global capacity. The Foundation hired one manager for this role in 2002 and will expand the global asset class and add another manager in 2004. The program has generated outstanding returns since inception.

The fixed income portfolio is invested by four managers. The target allocation includes a 40 percent position in index funds holding government securities, including Treasury Inflation Protected Securities (TIPS). The move to passively managed government securities was made to increase credit quality, to allocate portfolio risk in asset classes where there is greater value-added potential, and to reduce investment management fees. In addition to U.S. Treasury and agency securities, the actively managed portion of the portfolio includes mortgages, corporate bonds and asset-backed securities. A limited commitment to international bonds may be made if the active managers believe they will add value compared to the Lehman Aggregate benchmark.

During 2001, an absolute return asset class was added to the Foundation's portfolio. This asset class, which staff is building slowly with top-tier firms, includes investments in event-driven strategies, long/short equity strategies, and distressed debt.

These investments are expected to provide equity-like returns that are not highly correlated with the public equity and fixed income markets. As of December 31, 2003, the absolute return asset class was 5.6 percent of the endowment. It includes an investment with one fund-of-funds manager, with whom the Foundation has initiated a strategic relationship, as well as direct investments with eight managers.

The Foundation makes investments in private equity and real assets through limited partnerships. The inefficiency of private markets offers long-term institutional investors, who can tolerate illiquidity, the opportunity to benefit from value added by experienced partners. Our strategy is to build relationships with leading firms with whom we can invest in a series of funds over time and to structure partnerships that align our interests with those of our partners.

In private equity, the Foundation has ongoing relationships with 23 venture and buyout partners. Currently, there are substantial commitments that have not been funded as partnerships attempt to digest an overhang of capital raised in prior years. During 2003, partnership calls for capital were approximately equal to distributions on realized investments.

In real assets, the Foundation has ongoing relationships with 12 partners. Property sales in older partnerships substantially exceeded capital calls during 2003 as advisers took advantage of the opportunity to sell high-quality, well-leased properties at favorable prices. This pricing trend has persisted in spite of poor property fundamentals, especially in the office markets. The Foundation has continued to make commitments to proven real estate partners, believing that it is important to be a steady investor in this asset class and that, when interest rates rise, it would be wise to have capital poised to take advantage of any distress that emerges.

As previously underscored, meeting the Foundation's long-term financial objectives will continue to be a challenge. The Treasurer's Office will be responsive, though not narrowly reactive, to the changing market environment and will actively explore potential avenues for enhancing return without unduly increasing portfolio risk.



## ■ Independent Auditors' Report

The Board of Trustees

The Rockefeller Foundation

**W**e have audited the accompanying statement of financial position of the Rockefeller Foundation (the "Foundation") as of December 31, 2003, and the related statements of activities and cash flows for the year then ended. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audit. The financial statements of the Foundation for the year ended December 31, 2002, were audited by other auditors whose report, dated February 21, 2003, expressed an unqualified opinion on those statements.

We conducted our audit in accordance with auditing standards generally accepted in the United States. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the 2003 financial statements referred to above present fairly, in all material respects, the financial position of the Rockefeller Foundation at December 31, 2003, and the changes in its net assets and its cash flows for the year then ended in conformity with accounting principles generally accepted in the United States.

*Deloitte & Touche LLP*

New York, New York

March 31, 2004



## ■ Statements of Financial Position

December 31, 2003 and 2002  
(Amounts in thousands)

<b>Assets</b>	<b>2003</b>	2002
Cash and cash equivalents, including restricted bond funds of \$646 in 2003 and \$662 in 2002 (Notes 2 and 7)	<b>\$ 4,220</b>	\$ 4,532
Dividends, interest and other receivables	<b>6,579</b>	9,548
Investments (Notes 2, 3 and 4)	<b>2,981,278</b>	2,577,455
Property, net of accumulated depreciation and amortization (Note 5)	<b>23,255</b>	24,695
Deferred Federal excise tax (Note 2)	-	5,598
Prepaid pension cost and other assets (Note 6)	<b>56,162</b>	57,236
Total assets	<b>\$ 3,071,494</b>	\$ 2,679,064
<b>Liabilities and Net Assets</b>		
Liabilities:		
Accounts payable and accrued liabilities	<b>\$ 15,926</b>	\$ 10,296
Appropriations by the trustees, approved for specific grantees/purposes but not yet paid (Note 8)	<b>103,622</b>	110,252
Bonds payable, net of unamortized discount totaling \$240 in 2003 and \$252 in 2002 (Note 7)	<b>24,210</b>	24,893
Federal UBIT taxes payable	<b>1,700</b>	-
Deferred Federal excise tax (Note 2)	<b>4,477</b>	-
Accrued post-retirement benefits (Note 6)	<b>18,923</b>	18,676
Total liabilities	<b>168,858</b>	164,117
Commitments (Notes 3 and 4)		
Unrestricted net assets, including board-designated amounts of \$183,735 in 2003 and \$197,246 in 2002 (Note 8)	<b>2,902,636</b>	2,514,947
Total liabilities and net assets	<b>\$ 3,071,494</b>	\$ 2,679,064

See notes to financial statements

## ■ Statements of Activities

	<i>Years ended December 31, 2003 and 2002 (Amounts in thousands)</i>	
<b>Changes in Net Assets</b>	<b>2003</b>	2002
Investment return:		
Realized and change in unrealized gain (loss) on investments—net	<b>\$ 513,408</b>	\$ (416,153)
Dividend and interest income (Note 2)	<b>71,531</b>	82,512
Other investment income	<b>993</b>	725
	<b>585,932</b>	(332,916)
Investment expenses	<b>(18,429)</b>	(15,198)
Net investment return	<b>567,503</b>	(348,114)
Other expenses:		
Approved grants and program costs	<b>134,892</b>	136,214
Program administrative expenses	<b>19,855</b>	19,383
General administrative expenses	<b>12,394</b>	13,678
Provision (benefit) for Federal excise and unrelated business income taxes (Note 2):		
Current	<b>2,598</b>	3,203
Deferred	<b>10,075</b>	(4,297)
	<b>179,814</b>	168,181
Increase (decrease) in unrestricted net assets	<b>387,689</b>	(516,295)
Unrestricted net assets:		
Beginning of year	<b>2,514,947</b>	3,031,242
End of year	<b>\$ 2,902,636</b>	\$ 2,514,947

See notes to financial statements.



## ■ Statements of Cash Flows

Years ended December 31, 2003 and 2002  
(Amounts in thousands)

<b>Cash flows from operating activities</b>	<b>2003</b>	2002
Increase (decrease) in net assets	<b>\$ 387,689</b>	\$ (516,295)
Adjustments to reconcile increase (decrease) in net assets to cash (used in) provided by operating activities:		
Depreciation and amortization	<b>1,470</b>	1,465
Net unrealized (gain) loss on investments	<b>(509,314)</b>	212,398
Net realized (gain) loss on investments	<b>(4,094)</b>	203,755
Changes in operating assets and liabilities:		
Dividends, interest and other receivables	<b>2,969</b>	2,303
Prepaid pension cost and other assets	<b>1,066</b>	(3,794)
Accounts payable and accrued liabilities	<b>7,330</b>	(3,598)
Appropriations by the trustees, approved for specific grantees/purposes but not yet paid	<b>(6,630)</b>	(11,748)
Deferred Federal excise tax	<b>10,075</b>	(4,297)
Accrued post-retirement benefits	<b>247</b>	231
Net cash used in operating activities	<b>(109,192)</b>	(119,580)
<b>Cash flows from investing activities</b>		
Net sales of investments	<b>109,585</b>	120,076
Property additions	<b>(10)</b>	(69)
Net cash provided by investing activities	<b>109,575</b>	120,007
<b>Cash flows from financing activities</b>		
Repayments of bonds payable	<b>(695)</b>	(665)
Net cash used in financing activities	<b>(695)</b>	(665)
Net increase (decrease) in cash and cash equivalents, excluding amounts held in investment portfolio	<b>(312)</b>	(238)
Cash and cash equivalents:		
Beginning of year	<b>4,532</b>	4,770
End of year	<b>\$ 4,220</b>	\$ 4,532
<b>Supplemental information</b>		
Cash paid for bond interest	<b>\$ 1,325</b>	\$ 1,356

See notes to financial statements.

## 1. Organization

The Rockefeller Foundation (the "Foundation"), chartered in 1913 "to promote the well-being of mankind throughout the world," is a knowledge-based global foundation with a commitment to enrich and sustain the lives and livelihoods of poor and excluded people throughout the world. Grantmaking is organized around thematic lines of work: Creativity & Culture, Food Security, Health Equity, Working Communities, a cross-theme of Global Inclusion, and a number of regional and specialty programs. In managing the endowment, the Foundation has two primary objectives: to maximize the funds available for current funding and to preserve the value of the endowment. These objectives are achieved through a diversified investment portfolio and spending policies.

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to Federal income tax (Note 2).

## 2. Summary of Significant Accounting Policies

### CASH AND CASH EQUIVALENTS

Cash and cash equivalents consists of cash and investments with maturities of less than 90 days from the time of purchase. Cash and cash equivalents held by the Foundation's investment managers is not included.

### INVESTMENTS

Investments in marketable securities are stated at fair value. Fair value is determined using daily closing prices, where available, for any tradeable instruments on any global stock exchange. Interest income and related expenses are accounted for on the accrual basis on trade date. Dividend income and related expenses are recognized on ex-date, net of withholding taxes where applicable. Realized gains and losses on investments in securities are calculated based on the specific identification method, based on trade date.

Limited partnership investments and similar interests are stated at estimated fair value. Values for these partnerships, which may include investments in both nonmarketable and market-traded securities, are provided by the general partner and reviewed by the Foundation's management. Values may be based on historical cost, appraisals, fair values discounted for concentration of ownership or other estimates that require varying degrees of judgment. The financial statements of the limited partnerships are audited annually by independent auditors.

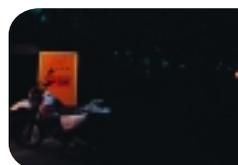
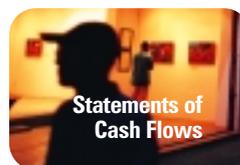
Programmatic investments are philanthropically-driven, non-marketable investments and loans, made under the Foundation's Program Venture Experiment (ProVenEx), in businesses that further the Foundation's program work. Programmatic investments are stated at estimated fair value, which may be based on historical cost, financing events or material changes in the business.

Transactions in other currencies are translated into U.S. dollars at the exchange rates in effect at the date of the transactions. Monetary assets and liabilities denominated in non-U.S. currency are reported at the exchange rates in effect at the dates of the statements of financial position. Any gain or loss arising from a change in exchange rates subsequent to the date of the transaction is included in realized and change in unrealized (loss) gain on investments, net, in the statements of activities. For the years ended December 31, 2003 and 2002, the realized and change in unrealized (loss) gain, net, resulting from foreign exchange was approximately \$46.5 million and \$23.7 million, respectively.

### FEDERAL EXCISE AND UNRELATED BUSINESS INCOME TAXES

The Foundation is classified as a private foundation. It is subject to a Federal excise tax of 1 percent or 2 percent on investment income (its principal source of revenue) less investment expenses, and on net realized taxable gains on securities transactions. In accordance with Section 4940(e) of the Internal Revenue Code, for the years ended December 31, 2003 and 2002, the Foundation met the specified distribution requirements and, therefore, was subject to a Federal excise tax of 1 percent. Additionally, the Foundation's investments in certain private equity and real estate partnerships give rise to unrelated business income tax liabilities.

Deferred Federal excise tax arises from temporary differences between financial and tax reporting related to investment income and the difference between the cost basis and fair value of marketable securities.



### NEW ACCOUNTING PRONOUNCEMENTS

SFAS No. 132, *Employers' Disclosures About Pensions and Other Postretirement Benefits*, was revised and becomes effective for the Foundation's fiscal year ending December 31, 2004. This revision will not have an effect on the accounting for pensions and other post-retirement benefit costs, but will require additional disclosures.

### 3. Investments

The Foundation's investment portfolio consists of the following:

	2003 Cost	2003 Fair Value	2002 Cost	December 31 (In thousands) 2002 Fair Value
Marketable securities:				
Money market funds	\$ 155,047	\$ 155,051	\$ 195,067	\$ 195,116
Foreign currency—short-term	-	(7,076)	-	(7,300)
U.S. and other government obligations	309,482	315,492	242,343	252,839
Corporate obligations	119,181	109,766	260,397	244,069
Common stock (including REITs)	1,674,781	1,969,866	1,702,281	1,499,524
Other investments	8,981	9,755	9,264	7,008
Subtotal	2,267,472	2,552,854	2,409,352	2,191,256
Limited partnerships and similar interests:				
Absolute return	129,074	155,144	69,692	80,012
Real estate	108,697	134,463	131,446	156,798
Private equity	307,555	201,954	296,099	194,493
Subtotal	545,326	491,561	497,237	431,303
Programmatic investments	11,886	5,594	9,310	9,310
Pending securities transactions, net	(68,702)	(68,731)	(54,428)	(54,414)
Total	\$ 2,755,982	\$ 2,981,278	\$ 2,861,471	\$ 2,577,455

In 2001, the Foundation began investing in absolute return strategies. Absolute return strategies focus on long/short, event-driven and distressed investments. These investments are held in the form of limited partnerships.

As of December 31, 2003, under the terms of various private equity, real estate and other limited partnership agreements, the Foundation has commitments to contribute approximately \$387 million in additional capital over the next 10 to 15 years.

The Foundation has three investment custodians. Two of these custodians maintained securities lending programs during 2003. Collateral was held at all times in excess of the value of the securities on loan. Investment of this collateral is in accordance with specified guidelines. Interest earned on these transactions is included with other investment income in the statements of activities. The fair value of securities on loan at

### USE OF ESTIMATES

The preparation of financial statements in conformity with accounting principles generally accepted in the United States requires management to make estimates and assumptions that affect the amounts reported in the financial statements and accompanying notes. Management believes that the estimates utilized in preparing its financial statements are reasonable and prudent. Actual results could differ from these estimates.

December 31, 2003 and 2002, was approximately \$228.8 million and \$158.4 million, respectively.

### 4. Derivative Financial Instruments

Derivatives are highly effective tools used to maintain asset mix or adjust portfolio risk exposure. The Foundation invests in futures on the S&P 500 index and U.S. Treasury bonds, and foreign currency forward contracts. The S&P 500 index and U.S. Treasury futures are purchased or sold at minimum transaction cost to adjust desired asset mix. Currency forward contracts are utilized by certain specialist investment managers to hedge foreign currency exposure in the Foundation's international equity portfolio.

Some of the Foundation's investment managers are permitted to use exchange-based options to reach desired investment risk profiles. Options are often used in the Foundation's fixed income portfolio to adjust exposure to interest rate fluctuation

and yield curve movements. Within the limited partnerships, managers may create additional exposure to the Foundation through short sales of securities, and trading in futures and forward contracts, options, swaps and other derivatives products.

The Foundation records its derivative activities on a fair value basis. The fair value of futures, forwards and options is reflected in the statements of financial position. Each of these financial instruments contains varying degrees of risk where-by changes in the fair value of the securities underlying the financial instruments or the cost of satisfying the Foundation's obligation may exceed the amount recognized in the statements of financial position.

The full market risk and credit risk of derivative financial instruments are associated with their underlying contract amounts or "notional values" in addition to their fair values. Market risk represents potential loss from the decrease in the value of these financial instruments. Credit risk represents potential loss from possible nonperformance by obligors and counterparties on the terms of their contracts.

Assets and liabilities represent the derivative contracts purchased and sold by the Foundation. The fair value of such positions represents the net unrealized gains and losses and, consequently, the net receivables and payables at December 31, 2003 and 2002. Fair values of the Foundation's derivative financial instruments generally are determined by either quoted market prices or third-party pricing models. Pricing models utilize a series of market inputs to determine the present value of future cash flows, with adjustments, as required, for credit risk, liquidity risk and ongoing costs.

Fair values of the Foundation's derivative financial instruments at December 31, 2003 and 2002, are summarized below. This table excludes exposures relating to derivatives held indirectly through partnership investments.

	December 31 (In thousands)	
	2003	2002
Equity contracts to manage desired asset mix (contracts primarily based on S&P 500 index):		
Futures contracts:		
Assets	\$ 132	\$ 70
Fixed income contracts to manage portfolio duration, asset mix and interest rate risk:		
Futures contracts:		
Assets	49	(76)
Liabilities	(38)	128
Foreign currency contracts to hedge foreign exchange exposure in non-U.S. dollar securities:		
Forward contracts:		
Assets	5,091	2,527
Liabilities	(11,938)	(9,853)

At December 31, 2003 and 2002, there was approximately \$17.0 million and \$12.3 million related to over-the-counter ("OTC") contracts and approximately \$219,000 and \$274,000 related to exchange-traded contracts. As of December 31, 2003 and 2002, approximately \$8.7 million and \$7.8 million were maintained on deposit with brokers for margin requirements on futures, forwards and options. Counterparties to the Foundation's OTC derivative products are high credit quality institutions, which are primarily banks, securities firms and investment companies. Management does not anticipate that losses, if any, resulting from credit or market risk, would materially affect the Foundation's financial position.

## 5. Property

Expenditures for capital items currently in use are included in the property account and depreciated on a straight-line basis over the lives of the respective assets. At December 31, 2003 and 2002, the property account included the following:

	(In thousands)	
	2003	2002
Condominium interest in		
420 Fifth Avenue	\$ 16,555	\$ 16,555
Condominium improvements	14,130	14,130
Furniture, fixtures and equipment	2,764	2,831
	<b>33,449</b>	33,516
Less accumulated depreciation and amortization	10,194	8,821
Property—net	<b>\$ 23,255</b>	\$ 24,695



2003 FINANCIAL REPORT

Notes to Financial Statements



## 6. Pensions and Other Post-Retirement Benefits

The Foundation maintains a defined benefit pension plan (the "Plan") for regular salaried employees who were at least 21 years old and have completed one year of service or had attained the age of 40 prior to July 1, 2000. As of July 1, 2000, the Plan was closed to new employees and also to those employees hired prior to July 1, 2000, who did not meet the eligibility requirements. The Plan provides retirement benefits based on years of service and final average pay, with benefits after retirement subject to increase under a cost-of-living augmentation formula. The Foundation makes annual contributions to the Plan, as needed, based on actuarial calculations, in amounts sufficient to meet the minimum funding requirements pursuant to the Employee Retirement Income Security Act of 1974. Plan assets are invested in a diversified portfolio of equities and fixed income securities.

In 2000, the Foundation enhanced its 401(k) plan to create the Retirement Savings Plan (formerly, the Trusteed Savings Plan).

Foundation contributions are now made to equal 13 percent of compensation plus a dollar-for-dollar match of up to an additional 2 percent of compensation contributed on a pre-tax basis by employees up to the compensation cap of \$200,000. Current members of the Plan had the option of remaining in the combined retirement plan consisting of the defined benefit pension plan and the former 401(k) Trusteed Savings Plan or moving to the new Retirement Savings Plan. Employees can make additional unmatched pre-tax contributions which, when combined with employee contributions that are matched, cannot exceed the maximum pre-tax contribution limit of \$12,000. All contributions are credited to the participants' accounts. The Foundation's contributions to the plans were \$ 1,517,000 in 2003 and \$1,538,000 in 2002.

Locally hired staff, in the Foundation's foreign offices, participate in provident funds or building societies that conform with local customs, conditions or law.

	2003 Pension Benefits	2002 Pension Benefits	2003 Other Benefits	(In thousands) 2002 Other Benefits
Benefit obligation at year-end	\$ 63,022	\$ 60,075	\$ 16,744	\$ 16,437
Fair value of plan assets at year-end	90,471	79,442	-	-
Funded status of the plan (underfunded)	\$ 27,449	\$ 19,367	\$ (16,744)	\$ (16,437)
Prepaid (accrued) benefit cost recognized in the statements of financial position	\$ 52,914	\$ 54,150	\$ (18,923)	\$ (18,676)
Weighted-average assumptions as of December 31:				
Discount rate	6.25 %	6.75 %	6.25 %	6.75 %
Expected return on plan assets	8.75	8.75		
Rate of compensation increase	4.50	4.50		

The Foundation provides certain health care and life insurance benefits ("Other Benefits") for retired employees. Employees are eligible for these benefits when they meet the criteria for retirement under the Foundation's pension plan. The plans are noncontributory and there are no cost sharing features.

The Foundation accrues the expected cost of providing post-retirement benefits over the years that employees render service and pays the cost of retiree health-care benefits with excess pension plan assets under the applicable provisions of the Internal Revenue Code.

	2003 Pension Benefits	2002 Pension Benefits	2003 Other Benefits	(In thousands) 2002 Other Benefits
Net periodic benefit cost (credit)	\$ 1,235	\$ (3,601)	\$ 1,280	\$ 1,273
Benefits paid	3,134	3,226	1,069	1,004

The Medicare Prescription Drug, Improvement and Modernization Act of 2003 introduces a prescription drug benefit under Medicare, as well as a federal subsidy to sponsors of retiree medical benefit plans that provide a benefit that is similar to Medicare. In accordance with Financial Accounting Standards Board Staff Position (FSP) No. 106-1, *Medicare Prescription Drug, Improvement and Modernization Act of 2003*, the Foundation has elected to defer recognizing the effects of the Act on its accounting of retiree medical benefits until such time that specific authoritative guidance is issued. When authoritative guidance is issued, the Foundation may be required to change previously recorded information.

For measurement purposes, an 8 percent annual rate of increase in the pre-65 per capita cost of covered health-care benefits was assumed for 2003. The rate was assumed to decrease gradually to 5 percent by 2006 and remain at that level thereafter.

## 7. Bonds Payable

During fiscal 1993, the Foundation issued \$20,445,000 in tax-exempt term bonds and \$9,815,000 in tax-exempt serial bonds to fund the acquisition, construction and furnishing of a new office facility (the "Facility"). The bond proceeds and related investment income earned were held by a trustee (the "Trustee") and have been disbursed at the direction of the Foundation to fund allowable Facility-related costs.

The bonds are rated Aaa by Moody's and AAA by Standard & Poor's and are backed by the general assets of the Foundation. In addition, the bonds are secured by the Foundation's ownership interest in the Facility, a leasehold interest in the Facility, and insurance proceeds with respect to the Facility. The nominal interest rates on the serial bonds range from 4.8 percent to 5.1 percent. The nominal interest rates attributable to the term bonds are 5.3 percent and 5.4 percent.

The serial bonds mature in various amounts, ranging from \$725,000 to \$880,000 per year, through 2008. The term bonds are due in 2013 (\$5,140,000) and 2023 (\$15,305,000). Bond maturities are as follows (in thousands):

Fiscal year ending December 31:		
2004	\$	725
2005		760
2006		800
2007		840
2008		880
Thereafter		20,445
	\$	24,450

## 8. Appropriations and Expenditures

Appropriations by the trustees are considered to be obligations when grants are approved (awarded) for specific grantees; appropriations not released for specific grantees and the appropriation for the budget for the next year are considered as board-designated net assets. The majority of approved grants are scheduled for payment within one year. Investment expenses, program and general administrative expenses and excise and unrelated business income taxes account for approximately 28 percent in 2003 (27 percent in 2002) of the Foundation's total expenses and are charged to operations when incurred.

Appropriations and expenditures for the year are summarized as follows:

	(In thousands)		
	Approved for Specific Grantees/ Purposes	Approved for Allocation and Next Year's Budget	Total Appropriated
Balance—			
December 31, 2002	\$ 110,252	\$ 197,246	\$ 307,498
Approved grants and program and administrative costs	169,336	(169,336)	-
Lapses and refunds	(1,501)	(4,175)	(5,676)
Expenditures for grants and operations	(174,465)	-	(174,465)
2004 budget	-	160,000	160,000
Balance—			
December 31, 2003	\$ 103,622	\$ 183,735	\$ 287,357



2003 FINANCIAL REPORT

Notes to Financial Statements



## ■ Trustees and Staff

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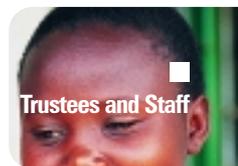
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