

*Andrew Carnegie*

Carnegie  
Corporation  
of New York

Annual  
Report  
1998



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of New York

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Report  
1998

Carnegie Corporation of New York is a philanthropic foundation created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding among the people of the United States. Its charter was later amended to permit the use of funds for the same purposes in certain countries that are or were members of the British overseas Commonwealth. The Corporation's basic endowment was \$135 million; the market value of its assets was approximately \$1.4 billion as of September 30, 1998.

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Report  
of the  
President

**A**s New York City concludes the celebration of its first 100 years of incorporation, Carnegie Corporation plans to mark another centennial year for the city, that of Andrew Carnegie's remarkable gift to New York to establish sixty-five branch libraries. This gift, by far the largest of any he made for library development, came to more than \$5.2 million around the turn of the twentieth century, offering vigorous testimony to his faith in the future of this great metropolis. While the city offered the sites and promised to maintain the libraries, Carnegie's money paid for the buildings. Carnegie's benefaction brought to the doorstep of a largely immigrant population not only the means for self-education and enlightenment, but opportunity for understanding our democracy, for the study of English, for instruction in new skills, for the enjoyment of community, for the exercise of the imagination, and for the pleasure of contemplation and silence. As one who was once a youth fresh off the plane from Lebanon, whose first stop in New York was the New York Public Library, and who later, as head of this same institution, made deep study of it, I can state unequivocally that the New York public library system, in which Carnegie played such a pivotal role, has profoundly affected the lives of millions of grateful people.

## Libraries and Andrew Carnegie's Challenge

Carnegie, more than most, understood the value of libraries as the primary institution for the cultivation of the mind. To Carnegie the library symbolized the unity and summit of all knowledge, the bones, the binding sinews, the flesh and heart of any society that could call itself strong. No city could sustain progress without a great public library — and not just as a font of knowledge for scholars, but as a creation for and of the

people, free and accessible to all. To him it was no exaggeration to say that the public library “outranks any other one thing that a community can do to help its people.”

### A LIVING INSTITUTION

**T**oday the existence of libraries in our midst is so much taken for granted that their significance as living institutions is almost lost to us. Why are libraries important, and why will they ever be

so? I will attempt an answer — one that I hope can give fresh meaning to the word “library.” Libraries contain the heritage of humanity: the record of its triumphs and failures, its intellectual, scientific, and artistic achievements, and its collective memory. They are a source of knowledge, scholarship, and wisdom. They are an institution, withal, where the left and the right, God and the Devil, are together classified and retained, in order

to teach us what to emulate and what not to repeat. Libraries are, in short, the mirror held up to the face of humankind, the diary of the human race.

Libraries are not only repositories of past human endeavor, they are instruments of civilization. They provide tools for learning, understanding, and progress. They are the wellspring of action, a laboratory of human aspiration, a window to the future. They are a source of self-renewal, intellectual growth, and hope. In this land and everywhere on earth, they are a medium of progress, autonomy, empowerment, independence, and self-determination. They have always provided, and I would suggest always will provide, place and space for imaginative re-creation, for imaginative rebirth.

More than this, the library is the University of Universities, the symbol of our universal community, of the unity of all knowledge, of the commonwealth of learning. It is the only true and free university there is. In this university there are no entrance examinations, no subsequent examinations, no diplomas, no graduations. Ralph Waldo Emerson had it right when he called the library the People's University. Thomas Carlyle, too, called it the True University or The House of Intellect. By the same token, no university in the world has ever risen to greatness without having a corresponding great library, and no university is greater than its library.

Above all else, the library constitutes an act of faith in the continuity of life. It represents — embodies — the spirit of humanity in all ages. The library is not, therefore, an ossified institution or a historical relic. Together with the museum, the library is the DNA of our culture. Cemeteries do not provide earthly immortality to men and women or preserve their memories; libraries and museums do.

The historian Joseph Frazier Wall has written in his biography of Andrew Carnegie that it is important for children in their early years to acquire a sense of the continuity of time, for it is only in the realization that the verb "to live" has past, present, and future tenses that they successfully establish their own identity, their

own place in the complex world of which they find themselves a part. Where better to attain the sense of the continuity of time than in a library? I savored past, present, and future during my boyhood in the Armenian public library of my hometown in Tabriz, Iran. My first glimpse of life beyond my neighborhood was through that library. Andrew Carnegie experienced the three tenses in the lending library that his father helped establish in his birthplace of Dunfermline, Scotland. His formal education ended on his arrival in Allegheny, Pennsylvania, at age twelve, but he pursued his self-education first in the private library of a local benefactor, where he learned Shakespeare by heart, studied the Renaissance artists, and honed a memory that was to serve him superbly all his business life.

## BOOKS AND READING

The late Jorge Luis Borges, one of the world's great contemporary writers and himself a former librarian, paid a moving tribute to the book: "Down through the ages, Man has imagined and forged no end of tools. He has created the key, a tiny metal rod that allows a person to enter an enormous palace. He has created the sword and the plowshare, extensions of the arm of the man who uses them. He has created the telescope, which has enabled him to investigate the firmament on high." But it is the book, Borges observed, that is "a worldly extension of his imagination and his memory." He went on to say, "I am unable to imagine a world without books.... Now, as always, the unstable and precious world may pass away. Only books, which are the best memory of our species, can save it."

John Milton wrote that "books are not absolutely dead things, but do contain a potency of life in them to be as active as that soul whose progeny they are." Not only do they bestow knowledge and power upon the reader, but they offer solace, distraction, and delight to the spiritually wounded and whole alike. A book needs no defense. Its spokespersons come and go; its readers live and die; what remains constant is the book.

The act of reading is universal, transcending time and space. Reading is a source of renewal. What is renewed is the imagination, which takes us to points

beyond reach of the everyday. Reading forces us to see the ways we would be poorer, what kinds of experience we would be missing, and what strengths we would lack if we did not read. Because what we do when we read is indeed very much more complex than the getting of new facts. The qualities we would miss by not reading (active, imaginative collaboration and critical distance) have implications for what a library is and what it ought to be and ought to do.

Reading and writing are not merely cosmetic skills, comparable to good manners. The European and English philosophical traditions have taught us that language and thought are inseparable. Reading and writing are the essence of thinking. In a memorable essay on the decay of language, George Orwell, of *1984* fame, observed that, when we begin to prefer the vague to the exact, we reduce the range of our consciousness. Eventually, he predicted, we will not know, and then we will not care. The late A. Bartlett Giametti, former president of Yale University, eloquently summed it up, "There can be no transmission of values, no sharing of perspectives on human nature; no common good aggregated from the shared convictions of disparate individuals, no unique design in words imposed on chaos, or consciousness: there can be no legitimate aesthetic or intellectual or civic gratification alone for literary study, without the primary recognition that the *language* [italics mine], its defense, nurture, and dignity, is our first and our special responsibility. For ours is a culture radically imbued with logocentricity, with the ancient, enduring, and finally numinous awe of writing and what is written."

Throughout history, the relationship between the book, as container of information and knowledge and insight, and the reader — the receiver — has been dialectical, dynamic, and collaborative; it is not passive but constructive. Reading always, at once, entails the effort to comprehend and the effort to incorporate; it involves in its essence a process of digestion. Rabelais, during the epoch of the Renaissance, advised the reader of his *Pantagruel* to "eat the book." In other words, books cannot nourish or even be said to exist until they are digested. "We are of the ruminating kind,"

wrote John Locke late in his life, "and it is not enough to cram ourselves with a great load of collections. Unless we chew them over again, they will not give us strength and nourishment."

It is not wholly accurate to say one *reads* a book; one can only *reread* it. A good reader, an active reader, a creative reader, is thus a rereader. The reader completes a job only begun by an author. There are modern authors who take great pains to recall our original responsibility as readers. For we make the book as the book makes us.

The other aspect of the collaboration between the book and the reader is its intimacy, its privacy. We must not forget that pleasure, discretion, silence, and creative solitude are the primary aspects of a life of reading, its most tangible justification and its most immediate reward. This solitude may appear now as an unaffordable luxury, and yet any book creates for its reader "a place elsewhere." A person reading is a person suspended between the immediate and the timeless. This suspension serves a purpose that has little to do with escape from "the real world" — the sin avid readers are most commonly accused of. Being able to transcend the limitations of time and space oneself allows not only the renewal of one's imagination but also the development of one's mind. Whether it is a work of fiction or a work of science, a book appeals first of all to the mind.

Virginia Woolf, in an essay on reading, concludes: "I have sometimes dreamt, at least, that when the Day of Judgment dawns and the great conquerors and lawyers and statesmen come to receive their rewards — their crowns, their laurels, their names carved indelibly upon imperishable marble — the Almighty will turn to Peter and will say, not without a certain envy, when He sees us coming with our books under our arms, 'Look, these need no reward. We have nothing to give them here. They have loved reading.'" If I were to paraphrase Virginia Woolf, I would substitute the following lines. "Look, these need no reward. We have nothing to give them here. They built libraries, they loved libraries, they were readers."

## A SHORT HISTORY

Libraries are as old as civilization, the object of pride, envy, and sometimes senseless destruction throughout the ages. Between the clay tablets of Babylon and the computers of a modern library stretch more than 5,000 years of man's and woman's insatiable desire to ensure their immortality through the written word, to transmit the fruits of culture and civilization, and to share memory, experience, wisdom, fantasy, and longing with the whole of humankind and with future generations.

The first "libraries" in Mesopotamia contained clay tablets stamped with wedge-shaped marks and baked in the sun. Tens of thousands of them are now stored in museums, many still awaiting translation. These early collections included myths, commercial records, and documents of state that were housed in the temple under the custody of the priest. There were "libraries" of a sort in ancient Greece. Around 300 B.C., Ptolemy I built the renowned library at Alexandria, Egypt, which was destroyed in the seventh century A.D.

The Book of Maccabees in the Old Testament refers to a treasury of books — implying the kind of "library" that may have been kept in the Holy Temple. According to the Dead Sea Scrolls, the ascetic Jews who lived in Qumran near the Dead Sea maintained a "library."

In Rome, the Bibliotheca Ulpia, established around 100 A.D., continued until the fifth century, serving as the Public Record Office of Rome. By the fourth century A.D., Rome, reportedly, had some twenty-eight public "libraries."

Following the advent of Islam, the Prophet Muhammad and the Quran singled out Jews and Christians as "People of the Book." In the Islamic realm from the ninth century on, there were libraries in Baghdad, Cairo, and Alexandria. The Muslims built a network of public libraries in Toledo, Cordoba, and Granada.

With the emergence of medieval institutions of higher learning in the thirteenth and fourteenth centuries, scholarly collections and libraries arose in the Vatican, the Sorbonne, Oxford, Prague, and Heidelberg,

among the most important. In the next two centuries, during the Renaissance and the Reformation, the Escorial of Madrid, the Herzog August Bibliothek at Wolfenbuttel, the Library of Uppsala University, and the State Library of Prussia came into being.

The seventeenth and eighteenth centuries saw the emergence of the great research and national libraries of England — Corpus Christi College at Cambridge, the Bodleian Library at Oxford, the British Museum — and of France, the Germanies, Austria, and Russia.

The rise of libraries in America — public, university research, and privately endowed — is an extraordinary phenomenon. No other nation has made available both to the scholarly community and to the general public such an array of libraries. This has been possible thanks to the generosity of public and private funds and the efforts of bibliophiles, private collectors, and philanthropists such as Andrew Carnegie as well as to the municipalities that braved objection to the dedication of tax money for library support.

The early "social libraries" had their beginnings in New England in the fourth decade of the eighteenth century, and their golden age of expansion occurred between 1790 and 1850. Based on the ability of the user to pay for the service, they formed the foundation for the first true public libraries in America. Massachusetts, in 1848, was the first state to pass an act authorizing one of its cities, Boston, to levy a tax for the establishment of a free public library service. Other states were soon to follow. By 1896, twenty-nine of the then forty-five states and the District of Columbia had such laws in effect.

The impetus for this efflorescence was the popular Enlightenment idea that all people are endowed with unlimited rational capacity and that everyone possesses a natural right to knowledge. The urge for self-improvement was linked with the idea of progress, which in turn spurred the growth of free public education. Industrialization, urbanization, and rising prosperity were still other developments influencing public library growth. The forward march of science and technology in the late nineteenth century and increasing specialization in occupations placed further emphasis

on reading for self-improvement. Public libraries were increasingly hailed as agencies for the benefit and improvement of all.

Over the course of this century, the library has grown to occupy a central role in our democratic society. Not only is it a critical component of the free exchange of information, which lies at the heart of our democracy, in both the actual and symbolic sense, the library in America is the guardian of freedom of thought and freedom of choice and a bulwark against manipulation by demagogues. Hence, it constitutes the finest symbol of the First Amendment of our Constitution. What would be the result of a political system if a majority of the people were ignorant of their past and of the ideals, traditions, and purposes of our democracy? "A nation that expects to be ignorant and free," wrote Thomas Jefferson in a letter to Charles Yancy in 1816, "expects what never was and never will be."

#### ANDREW CARNEGIE'S LEGACY

**A**ndrew Carnegie never forgot the time when as a boy he had been unable to pay the subscription fee of \$2 a year to borrow books from one of the country's first public libraries. Public, he learned, does not always mean free. Though, by 1887, twenty-five states had passed public library enabling laws, laws alone were not enough to bring those libraries into existence. By 1896 there were still only 971 public libraries in the United States having 1,000 volumes or more. Out of his own experience—the measure by which he judged the worth of almost everything—Carnegie determined to make free library services available to all who needed and wanted them. His great interest was not in library buildings as such but in the opportunities that circulating libraries afforded men and women, young, old, and in-between, for knowledge and understanding. "Only in popular education," he asseverated, "can man erect the structure of an enduring civilization." Beginning in 1886, he used much of his personal fortune to establish free public libraries throughout America. In all, he spent \$56 million to create 1,681 public libraries in nearly as many U.S. communities and 828 libraries in other

parts of the English-speaking world. Thirty-four big towns and cities received at least a main building and one or more branches, for a total of 138 libraries. The majority of the 1,349 other communities that received only one building were small towns.

The significance of Andrew Carnegie's gifts for the development of libraries in America can scarcely be overestimated. According to two distinguished historians, Samuel Eliot Morison and Henry Steele Commager, the most effective impetus to the public library movement in the United States did not come from official sources or from public demand but from Andrew Carnegie's generosity. This generosity was, in turn, the result of Carnegie's genuine passion for education, his persuasion that the public library was the most democratic of all roads to learning, and his mindfulness of the debt he owed to books and the love he felt for them. Another scholar, Harold Underwood Faulkner, went further, crediting Carnegie with being the greatest single incentive to library growth in the United States.

The scope of Carnegie Corporation's subsequent grants for public and academic library development and services and for training of librarians cannot be encompassed in these pages, but a few highlights will serve. Beginning in 1926, the foundation embarked on a large-scale expansion of its library program aimed mainly at strengthening the library profession but also at the enhancement of central services. In these efforts, the Corporation spent an average of about \$830,000 a year until 1941. The American Library Association, founded in 1876, received an endowment of \$100,000 from Andrew Carnegie in 1902, general support from the Corporation during the 1920s, \$2 million in endowment in 1926, and numerous other grants for special purposes since then. The first graduate library school was established on the foundation's initiative at the University of Chicago.

Rural library services were greatly enhanced under Corporation grants in the 1920s and 1930s, especially in the South. As to academic libraries, between 1930 and 1943 the Corporation appropriated

nearly \$2.5 million to more than 200 liberal arts colleges in a series of grants for library development and services and for the purchase of books for undergraduate reading. The Corporation began promoting the concept of free library services in sub-Saharan Africa in 1928. The majority of the funds went to the central State Library of South Africa, which stimulated the development of free library services throughout the Union. Substantial grants also went for the development of libraries, the purchase of books, and training in the Gambia, Nigeria, Kenya, Sierra Leone, Uganda, and other Commonwealth African countries. The Library of Congress received a \$200,000 grant in 1959 to establish an Africana unit.

After World War II, the Corporation's support for individual public and academic libraries (except for Africa) began to abate. More emphasis was placed on grants for central services provided by the American Library Association, the Association of Research Libraries, the Library of Congress, and other organizations and for the use of new technologies and equipment to facilitate library use. A \$750,000 grant was given toward the building and equipment of a joint library in Chicago for twelve Midwestern universities. In the past twenty-five years, Corporation support for libraries has been confined to a few grants for specific purposes including, most recently, those to establish electronic information systems in research institution libraries in Africa.

Altogether, it seems fair to say that Andrew Carnegie and Carnegie Corporation have been associated in the past with nearly every major development in library services in the United States and in most parts of the Commonwealth.

## CARNEGIE'S LIBRARY GIFT TO NEW YORK

It began by noting that the year 1999 marks the 100th anniversary of Andrew Carnegie's support for the planning and development of sixty-five branch libraries of the New York Public Library system. A small payment was made on December 8, 1899, with a full \$5.2 million awarded on December 4, 1901, representing an average operating cost of about \$80,000 per branch.

The year 1999 finds public libraries in a very different situation from a century ago, when their potential was just beginning to be appreciated by ordinary Americans. Today they are mature institutions numbering more than 8,000. In the main these libraries have shown remarkable resilience in the face of repeated challenges to their viability and a remarkable ability to transform themselves to meet changing needs. They continue to adapt to one of the most astonishing shifts in the technology of communication ever to take place: the rapidly spreading use of networked computers bringing vast amounts of information (and misinformation) directly to the home, school, and office. The breathtaking pace of these developments has led some proponents of the Internet to wonder whether brick-and-mortar libraries are any longer relevant. Never fear. Libraries have always found a way to fit new media to their fundamental purposes, bringing information and knowledge to the user in a multiplicity of ways, from radio to slides to film to television to the computer to CD-ROMS to the World Wide Web, while remaining the essential place for the book. No experience of reading online, in any case, will ever replace the visceral excitement of holding a book in hand and experiencing its totemic power; no technology can yet match the convenience of a book's portability and easy proximity; no electronic medium can provide the intimacy of private communion or collaboration between the reader and the book. It is dismaying to hear of some students conducting all their research online these days, for no search engine as yet can replace the library or the experts within it, whose role it is in this age of knowledge fragmentation and information overload to distill the best, to separate fact from opinion, to provide a structure for knowledge.

The new technologies stand to deliver unheard-of benefits to seekers of information, instruction, knowledge, and community, but integrating these tools into the historical identity of the library and, conversely, accommodating the library's traditional organizational and social structures to these media will take time. I am optimistic about the possibility of a lively coexistence between the library and the computer, and between the computer and the book, provided that public access is protected, that services remain free to one and all, and that learning is not permitted to become an isolated, isolating experience but part of a community of learning.

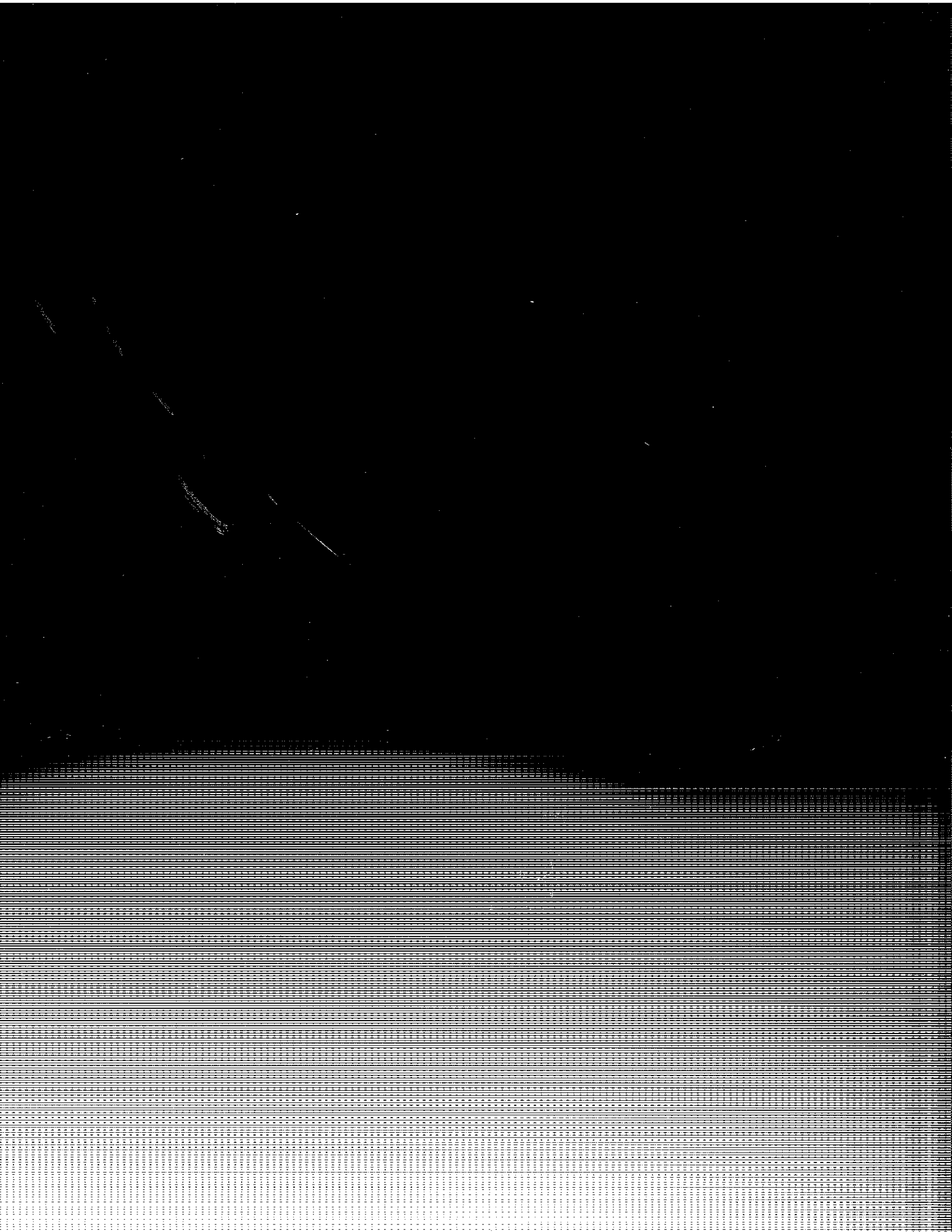
Which brings me to the question of how Carnegie Corporation can assist in the transformations under way in public library systems, so that they become even more visible and vital institutions among the people they serve. How can libraries be helped to integrate the new tools of communication into their services and operations without jeopardizing their traditional functions? What will induce states and localities to give libraries and books, among our most important cultural artifacts, and reading more vigorous public support? Certainly one place to start is to revitalize the concept of what a library is, what a book is, what reading is, as I have tried to do in these brief pages, and then to determine the place of technology in promoting the unity of knowledge. The emphasis on historical preservation in the White House's millennium initiative overlaps with the centennial celebrations in New York. The conjunction of these events offers Carnegie Corporation a unique opportunity to remember Andrew Carnegie, "the Patron Saint of American Public Libraries," with a series of one-time-only gifts to selected libraries. The funds, to be negotiated, will be used for the promotion of literacy, the preservation of texts, and the improvement of children's library services — in a word, reading.



PRESIDENT

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Report on  
Program

Carnegie Corporation, with a mandate to promote "the advancement and diffusion of knowledge and understanding," is the only U.S. organization created by Andrew Carnegie as a grantmaking foundation. While, under the terms of the first deed of gift in 1911, grants must benefit the people of the United States, a subsequent deed of gift allows up to 7.4 percent of the funds to be used to benefit the people of some countries that are or have been members of the British overseas Commonwealth.

Over the years it has been the foundation's policy to concentrate its grants and appropriations in a few areas where it stands to make a difference. This past year, the Corporation's major programs were: *Education and Healthy Development of Children and Youth*; *Preventing Deadly Conflict*; and *Strengthening Human Resources in Developing Countries*. A fourth program, *Special Projects*, comprised grants and appropriations that did not fit easily into these categories. Descriptions of each of these programs and supported projects appear on pp. 21 through 57. Grants of \$25,000 or less are listed on pp. 31, 42, 50, and 57. Listings of selected publications and non-print materials resulting from grants and appropriations may be found on pp. 58 through 62.

Under Vartan Gregorian, who succeeded David A. Hamburg as president in June 1997, the Corporation

reviewed its programs in the light of new challenges, making substantial changes while maintaining its long-standing interest in certain areas. The new program guidelines are described on pp. 89 through 99.

In 1997-98, the Corporation made one hundred sixty-four grants and seven appropriations for projects administered by the officers, totaling \$35,883,732. Thirty-five grants were made to twenty-three colleges

and universities; one hundred twenty-nine went to one hundred nine other institutions.

Two appropriations were made for projects either authorized in a previous year or made into a grant after the close of the 1997-98 fiscal year. One, totaling \$281,537, was for expenses related to research and writing by David A. Hamburg, M.D., in the areas of conflict resolution and education and health of children and youth. These expenses were charged to the three-year appro-

propriation of \$866,000 authorized for the project the previous year. The other, totaling \$1,000,000 to the American Council of Learned Societies, was for fellowships in the humanities and related social sciences. The remaining appropriations were for the Corporation's major multiyear study groups and programs: the Starting Points State and Community Partnerships for Young Children; the Middle Grade School State Policy Initiative; and the Carnegie Commission on Preventing Deadly Conflict.

## Grants and Appropriations

# Education and Healthy Development of Children and Youth

In the program on Education and Healthy Development of Children and Youth, high priority has been given to ensuring positive outcomes for disadvantaged students, who constitute a growing proportion of the student body in urban schools. The program has focused principally on the biological, emotional, and intellectual underpinnings of long-term healthy development and educational success and on the transition from age ten to age fifteen, when many young people begin to engage in risk-taking behaviors and move toward dropping out of school.

The subprogram in *early childhood and early grades* has included efforts to strengthen families with young children, improve the quality of early care and education, and ensure success in moving from preschool to the early elementary grades. Under *young adolescents*, the foundation has sought to enhance the educational achievement of middle grade and junior high school students and reduce their involvement in violence, drug use, and early sexual activity. Across both age spans, the Corporation has emphasized ways that families, schools, community organizations, and the media can cooperate in helping children and young adolescents become healthy, productive, problem-solving adults.

Under *education reform*, the emphasis has been on strengthening the teaching profession, implementing performance standards for students, restructuring schools to promote high educational achievement of all students, and linking schools more effectively to other institutions.

In *science education*, grants have been made to improve the teaching and learning of science and mathematics, in school and during the nonschool hours. The Corporation's particular concern has been

with the replication of effective programs that encourage minority members and girls to pursue studies in science and math.

Through its crosscutting, or *general*, grants, the Corporation has explored the broad social and economic forces that affect family functioning and linked new knowledge about children and youth to media and policy audiences. In the Youth Intergroup Relations Initiative, support was given to research aimed at improving relations among children and youth from different racial, ethnic, and religious backgrounds.

The Corporation's successor program in Education will encompass K-16 education. It will emphasize early childhood education and development through grade three, teacher education, both preservice and in-service, urban school reform focusing on training of administrators and the requirements for upgrading school systems, and aspects of liberal arts education. See the 1998-99 program guidelines beginning on p. 89 for more information.

## EARLY CHILDHOOD AND EARLY GRADES

**Carnegie Corporation of New York**, New York, NY. Program and policy initiatives to meet the needs of young children. Eleven grants, two years.

In the Starting Points State and Community Partnerships for Young Children, model programs being developed by several sites include health care and home-visiting programs for pregnant women, infants, and toddlers; comprehensive family centers for children from birth to age five; training programs for child care workers; and partnerships with business, university, and religious leaders. Many sites have developed new public education strategies, in conjunction with a 1997 Corporation-supported national early childhood campaign. In addition to providing technical assistance to the grantees, the Corporation is funding research projects to analyze the impact of the sites' work on program and policy issues and to assess the sites' integration of federal welfare and other policy reforms.

The Corporation has awarded a second round of grants, matched by private-sector and government funds, to seven states and four cities:

Baltimore City Healthy Start	\$300,000
Boston University Medical Center	\$300,000
(Colorado) Bright Beginnings	\$300,000
Florida Children's Forum	\$300,000
(Hawaii) Community Research Bureau	\$300,000
North Carolina Partnership for Children	\$250,000
University of Pittsburgh	\$300,000
Rhode Island Department of Elementary and Secondary Education	\$250,000
San Francisco Foundation Community Initiative Funds	\$250,000
Vermont Community Foundation	\$250,000
(West Virginia) Governor's Cabinet on Children and Families	\$250,000

*Michael H. Levine, Deputy Chair and Program Officer, and Susan V. Smith, Program Associate. (www.carnegie.org)*

**Carnegie Corporation of New York**, New York, NY. Technical assistance to the Starting Points State and Community Partnerships for Young Children. Appropriation administered by the officers of the Corporation. One year, \$600,000.

The Starting Points State and Community Partnerships for Young Children, a program of competitive grants to states and cities, was established in 1996 to plan and implement the reforms called for in the Corporation's task force report, *Starting Points: Meeting the Needs of Our Youngest Children*. Site projects are developing and strengthening policies and programs to promote responsible parenthood, ensure high-quality child care choices, provide children with good health and protection, and mobilize citizens to support young children and families. The Corporation has contracted with the Finance Project to coordinate technical assistance to the grantees, assist in strategic planning, hold annual conferences, and manage the initiative's day-to-day operations and communications.

*Michael H. Levine, Deputy Chair and Program Officer, and Susan V. Smith, Program Associate. (www.carnegie.org)*

**Columbia University**, New York, NY. National Center for Children in Poverty (final). One year, \$500,000.

The National Center for Children in Poverty, based at Columbia University's School of Public Health, promotes strategies to reduce the number of children under the age of six living in poverty in the United States and to lessen the effects of poverty on this age group. The 1998 edition of *Map and Track*, the center's national inventory of policies and programs for young children, examines state efforts to link welfare reforms with children's initiatives. Jointly with the Harvard Family Research Project at Harvard University, staff members are documenting progress achieved under the Corporation's Starting Points State and Community Partnerships grants network, which assists states and cities in strengthening policies and practices on behalf of young children. The Ford Foundation also provides core support.

*J. Lawrence Aber, Director, National Center for Children in Poverty. (cpmcnet.columbia.edu/dept/nccp)*

**Child Care Action Campaign**, New York, NY. Media strategies to improve child care quality (final). Fourteen months, \$240,000.

The Child Care and Education Media Strategies Group was created in 1994 to strengthen the content, coordination, and dissemination of information about early childhood care and development programs. The group is a joint project of the Child Care Action Campaign, a coalition of corporate, union, government, community, and media leaders, and the Communications Consortium Media Center, a public interest organization in Washington, D.C. Along with briefing the media, project staff members sponsor policy forums for community planners, academics, and business leaders. The group, also funded by the A. L. Mailman Foundation for Child Development, plans to become a self-sustaining organization.

*Faith Wohl, President.*

**Yale University**, New Haven, CT. Research and publication on the Head Start program for disadvantaged preschool children. Two years, \$325,000.

Researchers at Yale University's Bush Center in Child Development and Social Policy are studying whether children's participation in Head Start can offset early behavioral problems that are associated with subsequent delinquency. The focus is on three groups of low-income elementary school children: those who participated in Head Start, those who participated in other early care programs, and those who did not participate in a formal program. With further support from the Smith Richardson Foundation and the U.S. Department of Health and Human Services, the center is also assessing partnerships between Head Start programs and child care providers and completing an analysis of Head Start's effect on long-term development.

*Edward Zigler, Sterling Professor of Psychology, Bush Center in Child Development and Social Policy.*

**Carnegie Corporation of New York**, New York, NY. Middle Grade School State Policy Initiative. Appropriation administered by the officers of the Corporation. One year, \$250,000.

The Middle Grade School State Policy Initiative is a program of grants to fifteen states that promotes reforms in the education of young adolescents. These reforms were called for in the Carnegie Council on Adolescent Development's report, *Turning Points: Preparing American Youth for the 21st Century* (1989). The grantees receive assistance in preparing materials to support the implementation of reforms and in disseminating lessons from the project. A small technical assistance staff, based at the University of Maryland, is providing support to the network of schools and working with Corporation staff members on writing a sequel to *Turning Points* that will update its suggestions for improving middle grade schools.

*Michael H. Levine, Deputy Chair and Program Officer. (www.carnegie.org)*

**University of Rhode Island**, Providence, RI. Technical assistance for the Middle Grade School State Policy Initiative. One year, \$1,050,000.

The University of Rhode Island's National Center on Public Education and Social Policy is documenting progress made by the schools participating in the Corporation's Middle Grade School State Policy Initiative. Through annual surveys, researchers are determining the extent to which successful practices are being used. In addition, they are eliciting administrators' and teachers' views of the types of professional development needed to help students succeed. The data are being correlated with student achievement scores on standardized tests in all fifteen states that have received grants from the Corporation in order to gauge the overall effects of the initiative in promoting learning.

*Robert D. Felner, Director, National Center on Public Education and Social Policy.*

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**Puerto Rico Community Foundation**, San Juan, Puerto Rico. Project to improve middle grade schools in Puerto Rico (final). Eighteen months, \$300,000.

In 1992 the Puerto Rico Community Foundation created a commission of educators and island policymakers to document problems in the education of Puerto Rico's young adolescents and to propose interventions. With financial and technical assistance from the Corporation's Middle Grade School State Policy Initiative, the foundation is helping twelve demonstration schools in disadvantaged communities to adopt the commission's recommendations. Foundation staff members are documenting initial improvements in classroom practices, including greater academic achievement and lower dropout rates. The foundation is also promoting middle grade school reform islandwide by creating partnerships with two universities and the Puerto Rico Department of Education.

*Andrea Barrientos, Program Coordinator.*

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**Center for Collaborative Education, Metro Boston**, Boston, MA. Implementation of state policy reforms in middle grade education. Two years, \$200,000.

Like the other fourteen recipients of grants under the Corporation's Middle Grade School State Policy Initiative, the Massachusetts Department of Education has supported networks of "systemic change schools" serving large numbers of low-income students. With this grant to the Massachusetts project, awarded to the Center for Collaborative Education, Metro Boston, efforts are focusing exclusively on Boston. The center is creating a network of schools engaged in reform efforts that within two years is expected to include all twenty-four of the city's middle grade schools. Additional funders are the Boston Public Schools, the Walter H. Annenberg Foundation, and the Boston Plan for Excellence, a local education fund.

*Daniel French, Executive Director.*

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**Arkansas Department of Education**, Little Rock, AR. Implementation of state policy reforms in middle grade education (final). Two years, \$200,000.

In 1991 the Arkansas state legislature passed a comprehensive reform bill whose provisions closely parallel the objectives of the Corporation's Middle Grade School State Policy Initiative. The Arkansas Department of Education, a recipient of grants under the Corporation's initiative since 1990, created a distinct unit within the state education agency dedicated to improving middle grade education. Participants have helped create new standards for curricula, school accreditation, and teacher certification. They are now developing the Arkansas Network of Middle Level Schools, which will provide professional development opportunities for interested schools, including intensive training in math and science instruction and the use of technology in teaching.

*Danny Barnett, Project Director.*

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**Interfaith Education Fund**, Austin, TX. Project to promote effective parental and community involvement in improving middle schools (final). Eighteen months, \$300,000.

Since 1986 the Interfaith Education Fund, formerly the Texas Interfaith Education Fund, has helped break the pattern of diminishing parental involvement in children's education during the elementary and middle school years. With the assistance of local churches and community groups, the fund informs parents about the principles of education reform and encourages them to work with school staff members to help their children succeed. Supported by other foundations, the fund now works with more than 200 schools in Arizona, Louisiana, New Mexico, and Texas. In addition to strengthening its efforts in twenty middle schools, the fund is training parents and community members to become leaders of school reform efforts.

*Ernesto Cortés, Jr., Director.*

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**Constitutional Rights Foundation**, Los Angeles, CA. Dissemination of a program to integrate youth service into the middle grade curriculum (final). Two years, \$350,000.

**C**ityYouth, developed by the Los Angeles-based Constitutional Rights Foundation, is a program that integrates civic participation into the middle grade curriculum. Math, science, language arts, and social studies teachers are provided with training and materials to help students analyze and address community problems in an interdisciplinary manner. Some 20,000 students in more than 100 schools in California and twelve other states are now participating. CityYouth is continuing to expand nationally and is moving toward becoming a self-sustaining organization. Funding also comes from the city of Los Angeles, the California Department of Education, the Corporation for National Service, the Ralph M. Parsons Foundation, and the Ford Foundation.

*Todd Clark, Executive Director. (www.crf-usa.org)*

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**University of Colorado Foundation**, Boulder, CO. Center for the Study and Prevention of Violence (final). Two years, \$600,000.

**T**he Center for the Study and Prevention of Violence draws on public health, criminal justice, education, law, and social services to conduct research on violence, particularly adolescent violence. The center issues a newsletter on program evaluation, publishes articles on the results of its studies, and offers technical assistance to violence prevention practitioners. Members of the center's staff and advisory board are preparing reports on ten drug, delinquency, and related programs that meet high scientific standards for effectiveness in preventing violence. They are also expanding dissemination efforts to federal and state legislators. Other funders include the Centers for Disease Control and Prevention and the Knight, William T. Grant, and Annie E. Casey foundations.

*Delbert S. Elliott, Director, Center for the Study and Prevention of Violence, University of Colorado. (www.Colorado.EDU/cspv)*

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**Educational Development Center**, Newton, MA. National Network of Violence Prevention Practitioners. Two years, \$500,000.

**T**he National Network of Violence Prevention Practitioners, based at the Education Development Center, is a 200-member organization founded to improve the implementation, evaluation, and dissemination of violence prevention and treatment programs across the country. In addition to providing technical assistance to practitioners, the network conducts regional training workshops. Its two publications, *Monthly Alert* and the quarterly *Connections Alert*, between them report research findings and case studies and generally keep readers abreast of developments in the field. Members of the network are recruited through direct-mail campaigns, member referrals, a World Wide Web site, and advertisements in selected publications.

*Gwendolyn Dilworth, Senior Research Associate. (www.edc.org)*

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**Drug Strategies**, Washington, DC. Research and dissemination on national drug policies and programs (final). One year, \$300,000.

**D**rug Strategies is an organization that develops, monitors, and evaluates national strategies against substance abuse. Its annual publication, *Keeping Score: What We Are Getting for Our Federal Drug Control Dollars*, is used by the media, government officials, civic groups, and antidrug coalitions. *Making the Grade: A Guide to School Drug Prevention Programs* (1996) provides an evaluative resource for school administrators, local officials, community leaders, and parents. Staff members also hold forums for journalists and the media and are currently examining drug abuse and drug policies in seven states. This final grant supports a revision of *Making the Grade* and the production of the 1999 edition of *Keeping Score*, which will focus on alcohol abuse.

*Mathea Falco, President. (www.drugstrategies.org)*

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**National Campaign to Prevent Teen Pregnancy**, Washington, DC. Support (final). Two years, \$800,000.

The National Campaign to Prevent Teen Pregnancy is a nonpartisan private sector effort created in 1996 to reduce the rate of U.S. school-age pregnancy, still the highest of any industrialized nation. The campaign is guided by several principles: support for diverse values; collaboration with the myriad pregnancy prevention, health, advocacy, and youth-serving organizations that also address teen pregnancy; and a commitment to providing accurate, current information. Four task forces are enlisting help from the media, stimulating state and local coalitions, linking research results about effective programs with these efforts, and fostering dialogues on religion, culture, and values. The campaign is guided by bipartisan advisory groups from the U.S. Senate and House of Representatives. Two additional advisory groups — one of governors, one of corporate leaders — are being established.

This final grant supports the addition of several items to the campaign's Web site: fact sheets on teen pregnancy; a list of resources to help parents communicate better with their children about the consequences of early sexual activity; and a page for teens that will ask them to design pregnancy prevention advertising campaigns. Planned publications include a tool kit for states and communities; a report of a focus group of parents and other adults involved with teenagers; and papers on the role of parents and families in reducing teen pregnancy and on the strategies used by other industrialized nations to prevent adolescent pregnancy. The campaign is holding workshops and roundtables that will evaluate abstinence-only programs and strategies to encourage sexually active teens to use contraceptives and to change high-risk behaviors. It is also continuing to provide information to broadcast and print media outlets. Additional support comes from individuals and other foundations.

*Sarah S. Brown, Director. (www.teenpregnancy.org)*

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**Boys & Girls Clubs of America**, Atlanta, GA. Implementation and evaluation of model education enhancement programs for young adolescents in public housing projects. Eight months, \$350,000.

A model education enhancement program is being offered by Boys & Girls Clubs of America in five public housing sites across the country. It provides young adolescents with structured after-school opportunities to do homework, engage in group discussions, participate in sports, and attend cultural events. The five sites are being compared to five sites with traditional after-school programs and five without programs. Preliminary results show that children who participated in the clubs' education enhancement program had higher grade point averages and fewer school absences than those not in the program. After documenting the factors accounting for these results, the organization will publish the findings and expand the program among its affiliates.

*Judith J. Carter, Senior Vice President for Program Services. (www.bgca.org)*

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**National Coalition of Hispanic Health and Human Services Organizations**, Washington, DC. Policy initiative on the health and well-being of Hispanic youth (final). One year, \$376,000.

The Growing Up Hispanic Youth Policy Initiative of the National Coalition of Hispanic Health and Human Services Organizations (COSSMHO) has created an infrastructure to analyze national data on Hispanic adolescents' health status and access to health care. Under the initiative, six Hispanic organizations have been designated regional policy centers, which make research-based recommendations to state and local governments. COSSMHO is holding a conference in June 1999 for Hispanic leaders about the centers' research results, expanding its World Wide Web site, and mobilizing Hispanic high school students to press for health policy changes. This grant supports three of the policy centers; the others are funded by the Ford Foundation.

*Adolph P. Falcón, Vice President for Policy and Research. (www.cossmho.org)*

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**Stanford University**, Stanford, CA. Center on Adolescence (final). Twenty-six months, \$1,000,000.

Stanford University's Center on Adolescence was established in 1996 with Corporation funding. Its mission is to synthesize and stimulate multidisciplinary research and best practices among families, schools, community organizations, and other pivotal institutions to ensure optimal learning and development among young adolescents. The center has created an interdisciplinary predoctoral and postdoctoral training program on adolescence and an undergraduate certificate program on children and society.

Center faculty and students are engaged in numerous research projects, including studies of academic learning among language-minority students from various backgrounds, an analysis of the ways that young people are influenced by their peers and the mass media, and an examination of adolescents who have dropped out of school, engaged in violence, and become involved in the criminal justice system. One cross-national project is comparing political engagement among Bulgarian youth during the transition from communism to democracy with political engagement among young people in Western Europe and the United States.

The center will hold two conferences — one in 1999 and one in 2000 — at which researchers and experts in school reform from several countries will examine contemporary issues in education and development. These include the increasing linguistic and cultural diversity of school populations, the health risks of adolescent behavior, and the need for young people to acquire greater technological expertise for future economic success. Reports of the meetings will be distributed to policymakers and practitioners. The center also receives in-kind and financial support from the university.

*William Damon, Director, Center on Adolescence.*

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**Corporation for Advancement of Social Issues in the Media (Mediascope)**, Studio City, CA. Support (final). Two years, \$700,000.

Mediascope is a media policy organization legally incorporated in California as the Corporation for Advancement of Social Issues in the Media. Its forums, studies, script consultations, and information clearinghouse treat the violent content of media as a public health issue. Beyond encouraging responsible portrayals of conflict in movies, television, video games, popular music, and on the Internet, Mediascope fosters dialogues about the potentially harmful effects of gratuitous violence on young people. *Building Blocks: A Resource Guide for Creating Children's Educational Television* was issued in 1998. Additional funders include the U.S. Department of Health and Human Services, the California Wellness Foundation, the William T. Grant Foundation, and the Foundation for Child Development.

*Marcy Kelly, President. (www.igc.org/mediascope)*

#### EDUCATION REFORM

**New Visions for Public Schools**, New York, NY. New York Networks for School Renewal. Two years, \$500,000.

Four educational organizations created the New York Networks for School Renewal in 1995 to rebuild the city's public school system around small, autonomous schools that afford students a personalized learning environment. All twenty-six networks consist of three to eight new or restructured schools, which obtain assistance with educational reforms, stipends for professional development, and opportunities to share information. The schools and the networks, which together serve more than 50,000 students, have become models for reform throughout New York. New Visions for Public Schools, one of the sponsoring agencies, is the fiscal agent.

*Lucille Renwick, Director, New York Networks for School Renewal. (www.newvisions.org)*

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**Education Writers Association**, Washington, DC. Seminars for reporters on critical issues in education. Two years, \$180,000.

**I**mproving the coverage of education issues in local newspapers is the goal of the Education Writers Association's regional-seminars for journalists. The seminars, attended by reporters from newspapers, magazines, radio, and television, cover issues in education, from preschool through higher education, and related topics that affect children, young people, and their families. Topics for the 1998 series included school finance, bilingual education, reading, special education, affirmative action, teacher quality, testing, and math standards. At least three seminars will focus on children's critical life stages: early childhood, the elementary grades, and adolescence. The series also receives support from other foundations.

*Lisa J. Walker, Executive Director.*

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**Education Trust**, Washington, DC. Implementation of standards-based education in high-poverty school districts. Twenty-one months, \$450,000.

**T**he Education Trust, formerly a program of the American Association for Higher Education's Office of School/College Collaboration, works to strengthen academic achievement among poor students and students of color. In addition to providing technical support to twenty-four school districts, staff members are producing a variety of educational resource materials, including guidebooks to standards setting and professional development, to assist low-income schools in implementing high standards for student learning. They are also helping communities build local councils to plan and implement improvements. The trust's annual conference, to take place in November 1999, will encourage K-12 and higher education leaders to work together to promote school reforms. Other supporters include the Pew Charitable Trusts and the Annie E. Casey Foundation.

*Kati Haycock, Director. (www.edtrust.org)*

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**NAACP Legal Defense and Educational Fund**, New York, NY. Education litigation program. Three years, \$555,000.

**T**he NAACP Legal Defense and Educational Fund promotes equal educational opportunity for African Americans. In addition to engaging in litigation and public education on elementary and secondary school desegregation, the fund addresses discrimination in educational tracking and placement and works to improve the quality of educational services and programs available to minority students. It also defends affirmative action plans in higher education as a way of redressing inequities in elementary and secondary education and preserving diversity at universities. A new strategic planning committee is examining the economic, social, political, demographic, and educational trends affecting the African American community. The aim is to determine where and how the fund might redirect its activities.

*Norman J. Chachkin, Director of Litigation. (www.naacp.org)*

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**University of Pittsburgh**, Pittsburgh, PA. Institute for Learning. Eighteen months, \$350,000.

**A**lthough many states have begun establishing standards for students' performance, little attention has been directed to changes in teaching that would enable children to reach these standards. The Institute for Learning, at the University of Pittsburgh's Learning Research and Development Center, was founded in 1995 to help schools redesign instructional practices using current knowledge about how children learn. Working with school districts in Boston, Kansas City, Pittsburgh, Philadelphia, New York City, and San Diego and a group of schools in western Pennsylvania, institute fellows are developing and providing tools for translating standards into curricula. They are also implementing training programs for teachers based on these tools.

*Lauren B. Resnick, Director, Learning Research and Development Center.*

**National Board for Professional Teaching Standards**, Southfield, MI. Support, outreach, and professional development activities. One year, \$1,000,000.

The National Board for Professional Teaching Standards was founded by the Corporation in 1987 to improve the quality and professionalism of teachers. The board has created a voluntary performance-based certification system, called National Board Certification, which assesses and certifies teachers who meet standards for excellence in teaching in different fields. Assessment is based on a portfolio of teaching over an entire school year, including videotapes of classroom practice, plans for different types of students and the resulting progress of those students, and teaching exercises and written examinations during the summer. The long-term goal is for the new standards to influence initial teacher preparation and licensing, make the profession more attractive to talented persons, and create a leadership cadre of teachers.

The board will eventually offer certificates in thirty fields, defined by age (early and middle childhood, early adolescence, young adulthood) and subject matter, including special certificates for work with students with disabilities and students whose English proficiency is limited.

To date, thirty-four states have enacted legislation providing financial incentives for teachers to pursue board certification. Researchers conducting an outside evaluation have concluded that certification is indeed leading teachers into new roles as mentors for novice teachers and as leaders of curricular reform efforts in their schools. They have also found that the board is spurring a variety of other efforts to improve the quality of teaching.

The board plans to achieve self-sufficiency through candidates' fees by the 2001-2002 school year. Meanwhile, the Corporation's funding, joined by support from federal, corporate, and other foundation sources, is shifting from core support to funding of the board's outreach and professional development activities in selected cities.

*James A. Kelly, President. (www.nbpts.org)*

**American Association for the Advancement of Science**, Washington, DC. National project to reformulate the content of elementary and secondary education in science, mathematics, and technology. One year, \$592,450.

Project 2061 was created in 1985 by the American Association for the Advancement of Science (AAAS) to reform science education from kindergarten through high school. It has established benchmarks for scientific literacy at specific grade levels and made recommendations for what students should know in science and math by the time they complete their elementary and secondary education. Project staff members are now analyzing the extent to which selected science and math textbooks are aligned with these benchmarks and standards. Print and electronic versions of the results will be issued to teachers and to district and state textbook adoption committees. Other foundations, the National Science Foundation, and AAAS also provide funding.

*George D. Nelson, Director, Project 2061. (www.aaas.org)*

**Hofstra University**, Hempstead, NY. Production of a textbook and supporting materials for an undergraduate physics course appropriate for future K-12 teachers. Twenty-eight months, \$250,000.

This grant, joined by funding from the Alfred P. Sloan Foundation, is supporting the development of a textbook and related materials for a new undergraduate physics course, directed mainly at future K-12 teachers. The aim of the course, to be prepared by Hofstra University's Natural Science Program, is to impart knowledge of basic phenomena in the physical world, foster understanding of scientific research as a cultural enterprise, and develop critical thinking skills. In the course materials, faculty members are integrating everyday experiences and the historical and philosophical aspects of science into traditional physics curricula. Student and teacher guides and sample textbook chapters will be made available on the World Wide Web.

*David C. Cassidy, Professor and Coordinator, Natural Science Program.*

**Second Nature**, Boston, MA. Activities to promote the integration of environmental studies and principles of sustainable development in teacher training programs (final). One year, \$90,000.

**S**econd Nature's mission is to make the principles of environmental sustainability central to the curriculum of the nation's colleges and universities. Its online database, called "Starfish," was launched in 1997 to collect and disseminate innovative teaching resources and foster communication among teacher trainers and general educators. The database contains full course syllabi, teaching techniques, bibliographic references, and links to online resources from more than thirty sustainability organizations. Staff members are upgrading the database and expanding their work with other institutions to jointly acquire and market educational resources.

*Stephen L. Bolton, Project Manager, Starfish. (www.2nature.org)*

#### GENERAL

**Aspen Institute**, Washington, DC. Public policy project to promote the well-being of children. One year, \$418,000.

**T**he Children's Policy Forum, administered by the Aspen Institute's Congressional Program, convenes members of Congress, scholars, and practitioners to consider the problems of America's children and youth. Its meetings and an annual retreat are designed to inform a core group of congressional representatives about selected issues so they can exercise an effective role in shaping public policy for children. The 1997 retreat explored the developmental and educational needs and problems of children ages three to ten. The 1998 retreat, which focused on youth development, examined race and ethnic relations, school reform, civic values, and violence prevention and pregnancy prevention programs.

*Dick Clark, Director, Congressional Program. (www.aspeninst.org)*

**National Academy of Sciences**, Washington, DC. Board on Children, Youth, and Families (final); and the Forum on Adolescence. Two years, \$900,000.

**T**he National Academy of Sciences' Board on Children, Youth, and Families communicates the results of research on child and adolescent health and development to officials responsible for shaping health and education policies and programs for high-risk youth. Members of the board, drawn from fields including child development, pediatrics, sociology, public health, economics, and the media, conduct science-based workshops, conferences, panel studies, and media briefings for federal, state, and local policymakers. The board's publications, which include research reports on family violence, Head Start, and the health and education of immigrant children, are also available on its Web site. The board's planned activities include an analysis of the effectiveness of home visitation services and a synthesis of research on brain development in the early years and of scientific research on early childhood development. The board is also funded by other foundations and by agencies of the U.S. departments of Health and Human Services, Education, Justice, and Labor.

The board's Forum on Adolescence, created in 1996 with support from the Corporation, aims to improve the scientific basis for programs and policies related to adolescent health and development. Forum members identify new directions for future research and disseminate information on adolescent development to researchers, policymakers, and practitioners. The forum's current work focuses on youth development in community contexts, intergroup relations, and the changing sociodemographic profile of adolescents in the United States. Possible future activities include research on school reform and on parenting education for families with adolescents. A forum report that synthesizes more than sixty academy publications will be published by the National Academy Press in 1999.

*Michele D. Kipke, Director, Forum on Adolescence. (www2.nas.edu/bocyf)*

## DISCRETIONARY GRANTS

**Carnegie Corporation of New York**, New York, NY. Meetings of researchers studying ways to improve intergroup relations among children and youth. Appropriation administered by the officers of the Corporation. One year, \$170,000.

In 1996 the Corporation awarded sixteen grants for research on improving relations among African American, European American, Latino, and Asian American elementary, middle, and high school students. The grants, to university research groups and independent organizations in nine states, are for two types of studies: intergroup perception and behavior and the effectiveness of intervention strategies. The Corporation has subcontracted with the National Academy of Sciences to bring the principal investigators together in a meeting to report their research results, discuss potential applications of their findings for schools and youth organizations, and consider dissemination techniques.

*Vivien Stewart, Program Chair. (www.carnegie.org)*

**Children Now**, Oakland, CA. Conferences on children and the media. One year, \$125,000.

Children Now's national program on children and the media engages members of the news and entertainment industries in the effort to improve the coverage and treatment of children's issues. The program organizes an annual conference for scholars, policymakers, children's advocates, and leaders from the print and broadcast media. The 1998 conference analyzed the portrayal, in television and movies, of racial and ethnic minorities and economically disadvantaged Americans. The conference is being followed by briefings to media leaders on related issues and the dissemination of research findings concerning television's effect on children's perceptions of racial identity. Other foundations provide further support.

*Karen Stevenson, Director, Children and the Media Program.*

*American Association for the Advancement of Science*, Washington, DC

Toward outreach activities for a children's science radio program, \$25,000

*Association of Science-Technology Centers*, Washington, DC

For research on preservice teacher training partnerships among science museums, institutions of higher education, and schools, \$25,000

*University of California, Berkeley*, Berkeley, CA  
Toward planning a center on educational research on diversity and school reform, \$25,000

*Columbia University*, New York, NY

For dissemination of reports on the future of American social policy, \$14,300

*Council of Chief State School Officers*, Washington, DC  
For assistance to states in implementation of the Comprehensive School Reform program, \$25,000

*Families and Work Institute*, New York, NY

Toward publications and dissemination of a report on brain research and early childhood development, \$25,000

*GlobaLearn*, New Haven, CT

For evaluation and evaluation design of interactive educational expeditions for students and teachers on the World Wide Web, \$15,900

*Los Angeles Educational Partnership*, Los Angeles, CA  
Toward support of a program to improve science education in the Los Angeles public schools, \$25,000

*Marylhurst College*, Marylhurst, OR

For preparation and dissemination of science curriculum materials for Head Start teachers, \$25,000

*University of Minnesota Foundation*, Minneapolis, MN  
Toward support of the Jane Goodall Institute's Center for Primate Studies, \$22,000

*National Academy of Sciences*, Washington, DC

Toward a symposium on science education reform, \$25,000

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*National Conference of State Legislatures*, Denver, CO  
For a project on the relevance of new research on early childhood development for state legislatures, \$25,000

*National Middle School Association*, Columbus, OH  
For development of public education materials on middle school reform, \$24,000

*National Urban League*, New York, NY  
For dissemination of the book, *Waiting for a Miracle: Why Schools Can't Solve Our Problems — And How We Can*, \$8,300

*New York University*, New York, NY  
For planning education reform strategies for preschools and elementary schools, \$25,000

*New York University*, New York, NY  
For education reform strategies for preschools and elementary schools, \$25,000

*Laura Sessions Stepp*, Arlington, VA  
Toward research and writing on parents and young adolescents in the United States, \$25,000

# Preventing Deadly Conflict

In the post-Cold War world, ethnic, nationalist, and religious enmities, both within and between states, pose a grave threat to global security. They also present new and formidable challenges to governments and multilateral organizations often charged with resolving them. The dangers are heightened in situations where the hatreds and fears of groups are exploited in violent ways by political opportunists or where possession of nuclear, chemical, and biological weapons has the potential for menacing the lives of millions.

Under its program, Preventing Deadly Conflict, the Corporation has supported independent research and discussion among scholars, policymakers, and informed members of the public to examine major interstate and intrastate conflicts and to advance ideas for their prevention or enduring resolution. This work has been carried out under the subprogram, *preventing mass intergroup violence*, in close cooperation with the Carnegie Commission on Preventing Deadly Conflict. Fundamental questions include the origins of conflicts, the conditions that deter or encourage their deadly outbreak, the conflicts that are most likely to escalate into violence and lawlessness, and the functional requirements for an effective system of prevention. Funded projects have included research on ways to reconcile tensions between group rights and individual rights, analyses of the media's role in reporting responsibly on conflicts and helping to defuse them, and efforts to inform those living in conflict-prone areas about the concepts, techniques, and institutions of conflict resolution.

The Corporation has also examined ways of *strengthening democratic institutions* in the former Soviet Union and Eastern and Central Europe, where

ethnic and nationalist conflicts pose especially ominous threats to international stability. Support has been given for efforts to build elements of a civil society in the Soviet successor states and to increase the effectiveness of Western responses to the threat of disintegration or destabilization in the new states.

In the subprogram on *cooperative security and nonproliferation*, the Corporation has supported policy research and the interaction of scholars and policymakers toward developing a strong international security strategy based on principles of cooperation rather than competition, integration rather than isolation, and transparency rather than secrecy. Primary emphasis has been placed on encouraging more robust efforts by the United States, Russia, and other nations to curb the spread of advanced weaponry and weapons technologies that threaten to raise the stakes dangerously in regional or intrastate conflicts.

The successor program, International Peace and Security, will continue to stress arms control and the prevention of proliferation of weapons of mass destruction. A new initiative will seek to heighten the awareness of policymakers on a range of arms control challenges in South and East Asia. The program will also address the need to assist major influential groups within Russia in promoting democratic reforms and in providing career opportunities for members of the intelligentsia, particularly in the humanities and social sciences. The Corporation will support discrete projects following up recommendations of the Carnegie Commission on Preventing Deadly Conflict. Finally, there will be a cross-program initiative on higher education in Russia and other post-Soviet states. See the 1998-99 program guidelines beginning on p. 89 for more information.

**Carnegie Corporation of New York**, New York, NY. Carnegie Commission on Preventing Deadly Conflict. Appropriation administered by the officers of the Corporation (final). Three years, \$5,480,000.

To address current and looming threats to international peace posed by intergroup violence and to advance new ideas toward the prevention and resolution of deadly strife, the Corporation in 1994 established the Carnegie Commission on Preventing Deadly Conflict. Corporation president emeritus David A. Hamburg and former U.S. secretary of state Cyrus R. Vance are cochairs; political scientist Jane E. Holl is executive director.

The commission members — sixteen international scholars and policy practitioners — have met quarterly over three years, pursuing several main avenues of inquiry: first, to analyze the character of deadly conflicts of the 1990s, both between and, more commonly, within states; second, to identify the roles that international institutions, regional organizations, individual states, and ad hoc coalitions can play in preventing mass violence; and finally, to consider what blend of political, military, economic, social, and other tools are, or should be, at the disposal of the international community.

Thus far, the commission's staff, based in Washington, D.C., has overseen publication of seven academic books and over twenty technical reports. The final report, *Preventing Deadly Conflict*, was released to the public in 1997. As part of an extensive two-year outreach program, individual commissioners are delivering the report to their respective parliaments and making presentations to the editorial boards of major international newspapers and at international conferences.

*David C. Speedie, Program Chair. (www.ccpdc.org)*

**National Academy of Sciences**, Washington, DC. Study of conflict resolution in international relations (final). One year, \$175,000.

Scholars working under the auspices of the National Research Council, the operating arm of the National Academy of Sciences, are concluding their assessment of a broad range of traditional and nontraditional techniques for preventing and resolving conflict. The techniques include economic sanctions, leverage, deterrence, coercive diplomacy, and interactive problem solving. The researchers are also examining the effects of structural approaches, such as new electoral systems and attempts to balance justice and reconciliation. A book to be published in 1999 will identify effective strategies in international conflict resolution and draw conclusions about recent efforts in this area.

*Paul C. Stern, Principal Staff Officer, National Research Council. (www.nas.edu)*

**Conflict Management Group**, Cambridge, MA. Project on managing ethnic conflict in the former Soviet Union. One year, \$300,000.

Conflict Management Group offers governments and nongovernmental groups training and consultation in negotiation and conflict resolution. Its Project on Ethnic Conflict Management in the Former Soviet Union has two components. One is the electronic Network on Ethnological Monitoring and Early Warning of Conflict, which links twenty-eight regular users in the successor states; the other is a program in the Caucasus that brings together regional political and ethnic leaders to discuss the relationship between central and regional governments in the area. Further support comes from numerous private and public organizations.

*Arthur Martirosyan, Project Manager and Consultant. (www.cmgonline.org)*

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**Carter Center**, Atlanta, GA. Conflict Resolution Program (final). Two years, \$600,000.

Most of the organizations attempting to resolve conflict are engaged in training, research, or advocacy. In contrast, the Carter Center's Conflict Resolution Program functions at the head-of-state level, serving as a precursor or alternative to official diplomacy. The program and its International Negotiation Network, an informal group of eminent persons, respond to requests for analysis, advice, and third-party mediation. Current activities include efforts to stabilize peace in Liberia and monitor the political transition in the Democratic Republic of the Congo. Among the program's publications are a compendium of organizations working in conflict resolution and the annual State of World Conflict Report. This final grant is joined by support from other foundations and the U.S. Agency for International Development.

*Harry J. Barnes, Program Director, Conflict Resolution Program. ([www.cartercenter.org](http://www.cartercenter.org))*

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**Internews Network**, Arcata, CA. Project on the use of television to promote conflict resolution in the Caucasus. One year, \$100,000.

Internews Network supports independent media in the former Soviet Union. Under a new project, Internews is linking persons from opposing sides in the conflict between Armenia and Azerbaijan over the enclave of Nagorno-Karabakh in the southern Caucasus. Armenians and Azeris are jointly producing television programs that feature refugees, doctors, displaced families, and others, who share their experiences and thoughts on the war's causes and consequences. Programs based on the conversations will be broadcast on the Internews network of independent television stations in the Caucasus. Additional funders include other foundations, the United States government, and the European Union.

*David Hoffman, President.*

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**United Nations Research Institute for Social Development**, Geneva, Switzerland. War-Torn Societies Project. One year, \$150,000.

The War-Torn Societies Project, operated by the United Nations Research Institute for Social Development, helps governmental and non-governmental organizations respond to the needs of societies recovering from violent internal strife. Through case studies of Eritrea, Guatemala, Mozambique, and Somalia, national teams have analyzed the perspectives and progress of donors engaged in reconstruction. Two research projects have been completed: an analysis of the ways in which postconflict initiatives can benefit from women's experiences and capabilities, and an assessment of the effects of macroeconomic and external assistance policies on certain groups and sectors. Further support comes from United Nations agencies and the Canadian and U.S. governments.

*Matthias Stiefel, Project Director, War-Torn Societies Project. ([www.unrisd.org/wsp](http://www.unrisd.org/wsp))*

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**International Institute for Strategic Studies**, London, United Kingdom. Projects on peacekeeping, enforcement, and conflict resolution (final). One year, \$150,000.

With further support from the British Ministry of Defense, the International Institute for Strategic Studies is analyzing the debate in Russia over military reform and assessing the prospects for adopting new policies. Two approaches are being studied — a minimal change in the size and configuration of the armed forces and an immediate downsizing — as well as options between these extremes. The institute is also examining changing patterns and targets of terrorist activity worldwide, including the systematic targeting of communications networks, electric power transmission systems, and other components of the technological infrastructure.

*Terence Taylor, Assistant Director.*

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**Partners for Democratic Change**, San Francisco, CA. Project to develop ethnic conciliation commissions in Central and Eastern Europe and the Caucasus. Two years, \$100,000.

**P**artners for Democratic Change pursues grassroots solutions to ethnic, national minority, and religious conflicts in Central and Eastern Europe. In 1996 it created two types of structures in Bulgaria, the Czech Republic, Hungary, and Slovakia to promote the airing of grievances and disputes. Ethnic conciliation commissions, modeled after human rights commissions, handle minority-majority disputes, while social interest conciliation networks address broad issues such as police brutality and discrimination in housing and employment. Partners is setting up commissions and networks in Romania and Georgia while helping its existing structures become independent. The Charles Stewart Mott Foundation also provides funding.

*Raymond Shonholtz, President. (www.partners-intl.org)*

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**Carnegie Endowment for International Peace**, Washington, DC. Center for Russian and Eurasian programs in Moscow. One year, \$300,000.

**T**he Carnegie Endowment for International Peace's Moscow Center offers a forum for Russian scholars and policymakers and their Western counterparts to debate Russian policy issues. The focus is on seven areas: domestic politics and political institutions, post-Soviet economies, ethnicity and nation-building, migration and refugees, nuclear nonproliferation, foreign and security policy, and U.S.-Russian relations. The core activity in each program is a seminar series for Moscow-based analysts, decision makers, and journalists. The center, which is also supported by other foundations, is expanding its activities beyond Moscow. The endowment's long-term goal is to establish a permanent institution in the region that will maintain the center's bilateral character and that will be funded in part by local donors.

*Arnold Horelick, Vice President for Russian and Eurasian Affairs. (www.ceip.org)*

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**International Foundation for Socio-Economic and Political Studies (Gorbachev Foundation)**, Moscow, Russia. Research project on Russia in the emerging global system (final). Two years, \$200,000.

**T**he Moscow-based International Foundation for Socio-Economic and Political Studies, known as the Gorbachev Foundation, conducts research and training on Russian domestic politics and foreign policy. In a new project, foundation scholars are drawing on statistical and survey data, roundtable discussions, and content analyses of scholarly and mass media materials to study issues of Russian national identity and self-determination. They are addressing economic reform and development, social and environmental problems, and Russia's geopolitical identity and alliances. Findings will be incorporated in monographs and a final report for Russian, U.S., and European policymakers, scholars, and journalists.

*Georgy Shakhnazarov, Director, Centre for Global Problems Studies.*

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**Foundation for a Civil Society**, New York, NY. Project on conflict prevention in states building a civil and democratic society. One year, \$50,000.

**T**he Foundation for a Civil Society promotes democracy in societies emerging from political or social struggle. Its Project on Justice in Times of Transition brings governmental and nongovernmental leaders of countries moving from civil conflict to peace together with their counterparts from countries that have undergone similar changes. Project members have held conferences for leaders from Eastern and Central Europe, South Africa, and Northern Ireland and are continuing to conduct programs on reconciliation for Bosnia. Support also comes from other foundations, the Open Society Institute, and the National Endowment for Democracy.

*Sara Zucker, Program Director.*

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**University of Southern California**, Los Angeles, CA. Study of conflict prevention successes and failures (final). One year, \$74,000.

The aim of the Conflict Early Warning Systems Research Program, based at the University of Southern California, is to improve international contributions to conflict prevention. Since 1995 research teams have been examining the extent to which different interventionist strategies help prevent deadly conflict. Their resulting book, scheduled for completion in 1999, will present case studies of successes and failures and address the development and use of information systems for prevention efforts. Findings from the book will also be disseminated on a new World Wide Web site and at two international conferences.

*Hayward R. Alker, John A. McCone Professor of International Relations, School of International Relations.*

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**Brown University**, Providence, RI. Research project on relations among Russia, Ukraine, Belarus, Georgia, and Kazakhstan (final). Two years, \$200,000.

Researchers at the Thomas J. Watson Jr. Institute for International Studies at Brown University are completing a study on challenges to regional security in the former Soviet Union. The researchers, who work with scholars and experts in the region, have identified seven factors that may influence the likelihood of violent disintegration of the post-Soviet states. They are now testing these factors by analyzing three paired cases of violent and nonviolent outcomes in Abkhazia and Ajaria within Georgia; Transnistria in Moldova and Crimea in Ukraine; and Chechnya and Tatarstan in the Russian Federation. Conclusions will be shared with policymakers at a conference and through a series of research papers, a final report, and a book.

*P. Terrence Hopmann, Research Director, Program on Global Security, Thomas J. Watson Jr. Institute for International Studies.*

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**Center for Political and Strategic Studies**, Washington, DC. Project on Central Asia in the post-Cold War era (final). One year, \$150,000.

Since 1994 the Center for Political and Strategic Studies, formerly the Center for Post-Soviet Studies, has been gathering information on the sources of stability and instability in Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, and Uzbekistan. The center's network of Central Asian, Russian, and U.S. scholars, policy analysts, and political leaders is now exploring the nature and scope of Islam in Central Asia. In addition to studying elements of Islam in contemporary political, legal, and military systems, members of the network are evaluating the influence of neighboring Islamic countries on nationalist movements in the Central Asian states. Project staff members are presenting their findings at a 1999 seminar in Washington, D.C., and in a book, scheduled for completion in 1999.

*Roald Z. Sagdeev, Senior Associate. (www.cpss.org)*

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**Council on Foreign Relations**, New York, NY. Center for Preventive Action (final). One year, \$300,000.

The Council on Foreign Relations' Center for Preventive Action was founded in 1994 to increase the possibility of resolving interstate and intrastate conflicts before they escalate to violence. The center's efforts are directed at a broad range of situations, including clearly defined violent conflicts, conflicts in danger of escalation, and post-conflict reconstruction and consolidation. Working groups of council members and other experts have conducted case studies in Burundi, Nigeria, the South Balkans, and the Fergana Valley in Central Asia and have produced a Preventive Action Report for each region of inquiry. Members are synthesizing the center's research for presentation in a book on conflict prevention. The United States Institute of Peace and other foundations also provide support.

*Barnett R. Rubin, Director, Center for Preventive Action. (www.foreignrelations.org)*

**University of Maryland**, College Park, MD. Project on conflict resolution in the Caucasus and Central Asia (final). One year, \$100,000.

In 1995 the Center for International Development and Conflict Management at the University of Maryland launched its Partners in Conflict project. Eight scholars from three areas of armed conflict in the Caucasus — Armenia, Azerbaijan, and Nagorno-Karabakh; Georgia and Abkhazia; and Georgia and South Ossetia — were recruited for a training program in democracy, conflict resolution, and human rights. After returning to their home countries, the partners set up their own centers for conflict management and training, coauthoring a book in Russian and English on the conflicts in the region and developing conflict prevention reference libraries. The university provides additional funding and in-kind support.

*Barri Sanders, Associate, Center for International Development and Conflict Management.*

**International Peace Academy**, New York, NY. Research on postconflict peacebuilding. Two years, \$200,000.

The International Peace Academy develops strategies and mechanisms for long-term peacebuilding linked to local efforts and circumstances. Researchers at the academy are now conducting studies in Afghanistan, Palestine, Democratic Republic of the Congo, Haiti, and Bosnia, where international efforts to build peace have been ineffective. Literature reviews and interviews with participants in and victims of conflict are aimed at determining the institutional, economic, social, and cultural roots of violence in each case. Findings will be shared with journalists, international policymakers, and analysts through briefing papers, policy forums, and a book. Support is also provided by other foundations and the United States Institute of Peace.

*Elizabeth Cousens, Associate. (www.ipacademy.org)*

**Aspen Institute**, Washington, DC. Support of the international activities of the Congressional Program. One year, \$750,000.

The Aspen Institute's Congressional Program organizes bipartisan conferences and smaller meetings for congressional leaders on U.S. relations with the Soviet successor states and the new democracies of Eastern Europe. It also holds conferences for members of Congress and the Russian Duma. The aims of the conferences are to help American policymakers understand the importance of continuing a deeper engagement with their Russian counterparts and to foster a collegial dialogue on critical policy issues among the factions in the Duma. More than one hundred and twenty members of Congress have attended the twenty-three major conferences and thirty-six interim meetings held to date.

*Dick Clark, Director, Congressional Program. (www.aspeninst.org)*

**Harvard University**, Cambridge, MA. Programs with Russian military personnel and policymakers on foreign and security policies. One year, \$580,000.

Three programs organized by Harvard University's John F. Kennedy School of Government promote dialogue between Russian and U.S. officials. The program for general officers of the Russian Federation brings Russian and U.S. generals together for the exchange of ideas on defense, national security, and foreign policy. The Duma executive program invites Russian parliamentarians to Harvard to study the role and function of the U.S. Congress and address the economic and security issues they face. A third program, held in Moscow, offers joint seminars for Duma staff members and U.S. faculty on constitutional issues and congressional procedures. The programs are also funded by the U.S. Department of Defense, the Russian Defense Ministry, and the Russian State Duma.

*Robert D. Blackwill, Belfer Lecturer in International Security, John F. Kennedy School of Government.*

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**International Research and Exchanges Board,** Washington, DC. Support. One year, \$500,000.

The International Research and Exchanges Board (IREX) was established in 1968 to promote scholarly exchange and joint research between the United States and the Soviet bloc countries. In the post-Cold War era, IREX offers programs designed to rebuild the scholarly infrastructure of the successor states and the nations of Eastern and Central Europe and strengthen American specialists' knowledge of the region. IREX, also supported by federal agencies and other foundations, maintains a network of seventeen field offices. In addition to designing new academic curricula, expanding its field research programs, and broadening access to the Internet, IREX is supporting Centers for Corporate and Cultural Development in Russia.

*Daniel C. Matuszewski, President. (www.irex.org)*

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**New York University,** New York, NY. Media assistance program in the Russian Federation (final). One year, \$250,000.

In 1992 New York University's Center for War, Peace, and the News Media and the Moscow-based Institute for USA and Canada Studies created the Russian-American Press and Information Center (RAPIC). Through briefings, seminars, publications, and training organized by its six regional offices in Russia, RAPIC helps journalists cover elections, market economics, and ethnic conflicts. In 1997 it became an independent Russian nongovernmental organization, the National Press Institute. Additional funding for the institute comes from other U.S. foundations and the Agency for International Development.

*Robert Karl Manoff, Director, Center for War, Peace, and the News Media.*

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**Duke University,** Durham, NC. Media fellows program (final). One year, \$100,000.

The DeWitt Wallace Center for Communications and Journalism at Duke University offers professional development programs for broadcast journalists and media policymakers in the United States and throughout the world. Participants in the center's international media fellows program attend seminars at the university on topics including the rights, ethics, and responsibilities of news media in democratic societies. They also receive training in recent media technologies and meet with news executives, editors, producers, and reporters from broadcast affiliates. The program, which operates in coordination with the Commission on Radio and Television Policy, a joint project of the university's center and the Carter Center in Atlanta, receives additional funding from public and private sources.

*Ellen Mickiewicz, Director, DeWitt Wallace Center for Communications and Journalism.*

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**Lawyers Committee for Human Rights,** New York, NY. Support. Two years, \$100,000.

The Lawyers Committee for Human Rights was founded in 1978 to protect human rights internationally. Beyond promoting the integration of human rights concerns in the programs of the UN and the World Bank, staff members write articles for journals and major newspapers and testify on request before the U.S. House of Representatives Committee on International Relations. Since 1987 the committee has worked with lawyers, human rights advocates, and nongovernmental organizations in the former Soviet Union to foster compliance with international human rights agreements. More recently it has attempted to strengthen the ad hoc international tribunals for Rwanda and the former Yugoslavia and has worked with the UN to create a permanent international criminal court.

*Jelena Pejic, Senior Europe Program Coordinator. (www.lchr.org)*

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**Human Rights Watch**, New York, NY. Human rights monitoring by its Moscow office. Two years, \$100,000.

**H**uman Rights Watch is the founder and the U.S. member organization of the International Helsinki Federation for Human Rights. Its Moscow office, also supported by the John Merck Fund and the Moriah Fund, reports on and responds to violations of civil and political rights in Russia and other Soviet successor states. Moscow staff members serve as a resource for the local media, human rights groups, and the diplomatic community and maintain a network of lawyers and journalists who monitor the practices of the Russian courts. They are now investigating and documenting illegal deportation, torture by police, trafficking of women, and orphanages' neglect and abuse of children with disabilities.

*Holly Cartner, Executive Director, Europe and Central Asia Division. (www.hrw.org)*

#### COOPERATIVE SECURITY AND NONPROLIFERATION

**University of Georgia Research Foundation**, Athens, GA. Project on evaluating national export controls. One year, \$100,000.

**T**he University of Georgia's Center for International Trade and Security has created a questionnaire to assess individual countries' nonproliferation and export control practices. The questionnaire focuses on such areas as the licensing of sensitive exports, training programs for export control personnel, penalties for violating export laws, and verification measures for ensuring that transactions are legal. Resulting national ratings enable a country's export control system to be evaluated against an ideal system, against another country, and over time. Analyses of China, Taiwan, Japan, India, and Cuba will result in the publication of policy papers for governments and intergovernmental agencies and a final report. Other foundations also support the project.

*Gary K. Bertsch, Director, Center for International Trade and Security, University of Georgia.*

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**National Academy of Sciences**, Washington, DC. Support of activities of the Committee on International Security and Arms Control with China. One year, \$100,000.

**T**he Committee on International Security and Arms Control of the National Academy of Sciences brings together scientific and technical specialists in the United States and elsewhere to work toward common solutions of security and defense problems. Annual bilateral meetings and seminars between committee members and their counterparts in China are focusing on the threat of missile proliferation in Asia, the reduction and possible elimination of nuclear weapons, and the effects of nuclear energy policy on international security. The committee receives additional funding from the John D. and Catherine T. MacArthur Foundation.

*Inta Brikovskis, Staff Director, Committee on International Security and Arms Control. (www.nas.edu)*

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**Henry L. Stimson Center**, Washington, DC. Support. Two years, \$600,000.

**T**his grant joins funding from the Ford and W. Alton Jones foundations to support two projects of the Henry L. Stimson Center. In one undertaking, staff members are working to create a verification protocol for the 1972 Biological and Toxin Weapons Convention and resolve problems in implementing the 1993 Chemical Weapons Convention. In a second project, the center is promoting the use of confidence-building measures — tools such as direct communication between potential combatants and the provision of advance notice of military exercises — to defuse tensions in South Asia. It is holding workshops for military officers, government officials, scholars, and journalists, and issuing a new edition of its handbook analyzing confidence-building measures' strengths and weaknesses.

*Michael Krepon, President. (www.stimson.org)*

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**Institute for EastWest Studies**, New York, NY. Project on subregional security and cooperation (final). One year, \$250,000.

Several subregional organizations in Eastern and Central Europe were founded in the early 1990s to promote economic and social cooperation. In 1996 the Institute for EastWest Studies began a three-part project to determine the potential of these organizations for enhancing European security. The institute first examined the role of subregional groups and the relationships between these and larger European institutions. Through a series of workshops and seminars, it also explored options for promoting regional cooperation among organizations on Europe's periphery as well as this area's closer integration with Europe. In the final phase, the institute members are analyzing ways to improve subregional cooperation, developing a World Wide Web site, and producing three books on the project.

*Dag Hartelius, Vice President, European Security. (www.iew.s.org)*

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**Aspen Institute**, Washington, DC. Aspen Strategy Group. One year, \$150,000.

The Aspen Strategy Group, a standing committee of the Aspen Institute, was established in 1984 to promote constructive discussion of issues affecting U.S. foreign and defense policy. The bipartisan group consists of approximately thirty leaders from research institutes and universities, Congress and the executive branch, business, religious organizations, and the media. Rotating members convene workshops and conferences that result in books, articles, and monographs written for policymakers and the general public. A conference in August 1998, one of fifty-five held in the last thirteen years, focused on U.S. interests in East Asia in the wake of the region's financial crisis. The group is also supported by the John D. and Catherine T. MacArthur Foundation and the Center for Global Partnership.

*Mary McKinley, Program Coordinator, Aspen Strategy Group. (www.aspeninst.org)*

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**University of Maryland Foundation**, College Park, MD. Women in International Security program (final). One year, \$100,000. Institutional development of the Women in International Security program. Two years, \$100,000.

Women in International Security (WIS) is a membership organization dedicated to strengthening opportunities for women working in international security and related fields. It has created a network of women professionals around the world and organized seminars, workshops, and publications to support women at critical points in their careers. Beyond continuing its international outreach efforts and programs for midcareer women, WIS is expanding its programs for senior women and for those in graduate school. Additional funding comes from corporations and other foundations.

*Peggy Knudson, Executive Director, Women in International Security, Center for International and Security Studies at Maryland School of Public Affairs.*

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**Council on Foreign Relations**, Washington, DC. Project on foreign policy discussions for congressional staff. Three years, \$100,000.

The Council on Foreign Relations recently launched a three-year project entitled Congress and U.S. Foreign Policy. Its major goals are to help congressional staff better understand current international affairs and to help develop the next generation of foreign policy leaders. Representatives from Congress, the council, and nongovernmental organizations participate in roundtable and study groups on Asia, trade, and security. Debates, programs for senators and representatives, and one-time events are also being held to broaden participation in the program. Papers published by the council are used as a basis for discussion. Additional support comes from other foundations and from United Technologies.

*Alton Frye, Senior Vice President and Senior Fellow. (www.foreignrelations.org)*

**Stanford University**, Stanford, CA, and **Harvard University**, Cambridge, MA. Research and writing on international security by William J. Perry and Ashton B. Carter. One year, \$172,000, \$175,000, respectively.

The Preventive Defense Project is a joint venture of Stanford and Harvard universities codirected by William J. Perry, former secretary of defense, and Ashton B. Carter, former assistant secretary of defense for international security policy. Through regular consultations, particularly in regions of transition, the project draws military leaders into durable and mutually beneficial cooperative security relationships. Five issues are being explored: an integrated security order for Eurasia, Russia's need to conceive a security identity, relations between the United States and a rising China, biological and chemical weapons proliferation, and large-scale terrorism.

*William J. Perry, Michael and Barbara Berberian Professor, Department of Engineering-Economic Systems/Operations, Center for International Security and Arms Control, Stanford University.*

*Ashton B. Carter, Ford Foundation Professor of Science and International Affairs, John F. Kennedy School of Government, Harvard University.*

**Carnegie Corporation of New York**, New York, NY. Research and an edited volume on McGeorge Bundy's role in policymaking on the Vietnam War. Eight months, \$60,000.

At the time of his death in 1996, Corporation scholar-in-residence McGeorge Bundy was writing a book on his role, as national security advisor to Presidents Kennedy and Johnson, in formulating policy on Vietnam. Gordon Goldstein, Bundy's collaborator in the project, is drawing on the public record of Bundy's writings and on unpublished materials to complete an edited volume that will come as close as possible to the volume Bundy envisaged. The materials will be reviewed by members of Bundy's family and by experts selected in consultation with Yale University Press, which will publish the book.

*David C. Speedie, Program Chair. (www.carnegie.org)*

*Center for Civil Society International*, Seattle, WA  
Toward a project on civil society in Central Asia, \$25,000

*Center for Defense Information*, Washington, DC  
Toward initiation of a weekly electronic news service on contemporary Russia, \$25,000

*Coalition for International Justice*, Washington, DC  
Toward support, \$25,000

*Donetsk Scientific-Applied Association Psychological Center*, Donetsk, Ukraine  
Toward support of conflict resolution in Ukraine and development of a network of conflict resolution organizations and practitioners, \$25,000

*Fund for Peace*, Washington, DC  
Toward the transfer of ACCESS's programs to outside institutions, \$20,000

*Institute for Science and International Security*, Washington, DC  
Toward a collaborative project on the Iraqi nuclear weapons program, \$20,000

*Institute of USA and Canada Studies*, Moscow, Russia  
For a research project on U.S.-Russian relations, \$25,000

*John Jay College of Criminal Justice of the City University of New York*, New York, NY  
For a workshop on humanitarian controls in civil conflicts, \$5,000

*Lawyers Committee for Human Rights*, New York, NY  
Toward fair trial monitoring in the former Yugoslavia, \$15,000

*Massachusetts Institute of Technology*, Cambridge, MA  
Toward research and writing on nuclear deterrence and U.S.-Russian relations, \$15,000

*National Peace Institute Foundation*, Washington, DC  
Toward a network of women civic and professional leaders in Armenia, Azerbaijan, and Georgia, \$25,000

*New York University*, New York, NY  
For a project of the Center for the Study of International

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Organizations on strengthening international enforcement capabilities, \$24,700

*Search for Common Ground*, Washington, DC  
For strengthening its fund-raising capacity, \$25,000

*Tulane University*, New Orleans, LA  
For research on the South African nuclear weapons program, \$9,000

*United Nations Association of the United States of America*, New York, NY  
Toward a project on the United Nations and U.S. national interests, \$25,000

# Strengthening Human Resources in Developing Countries

The Corporation's program, Strengthening Human Resources in Developing Countries, has sought to enhance capacity within selected countries for sustaining social and economic development in the context of transitions to democratic governance. Grants have been concentrated in Commonwealth African countries, with limited activities in the Commonwealth Caribbean.

Three interlocking strategies have been pursued: expansion of indigenous scientific and technical capabilities to manage development challenges; improvement in women's health, education, and legal status; and furtherance of democratic processes.

Under *science and technology for development*, grants have been made to link science and technology policies with economic policies and to share knowledge and innovations among scientists and policymakers, mainly in sub-Saharan Africa. In addition to fostering intersectoral and interdisciplinary networks, the Corporation has funded the establishment of computer-based information and networking systems at universities and scientific institutions. Support has also been given for empirical analyses in selected African countries, aimed at increasing the effectiveness of these nations' health policies.

The subprogram *women's health and development* has built on the successful experiences of a West African operations research network on maternal mortality. The results of this project have led to the recognition that sustained improvement in the health of

women will depend on progress in other aspects of their lives. The Corporation has, therefore, funded efforts to reduce the gender gap in education, promote laws and policies to improve the status of women, and expand women's leadership in planning and setting development priorities and policies in sub-Saharan Africa.

Through the initiative on *transitions to democracy in Africa*, the Corporation has promoted progress toward democratic governance in the continent. Recent funds have enabled a network of African scholars to analyze the literature produced in Africa on the factors influencing democratic processes and transitions. In addition, support has been given to studies of national sovereignty and military-civilian relationships — two areas that have implications for the resolution of internal conflicts in Africa. The Corporation has also promoted new approaches to designing and implementing collaborative development assistance strategies in Africa. A long-standing concern, addressed by grant recipients in this country, has been to build constituencies for Africa among United States leaders in the public and private sectors. The aim has been to contribute to an understanding of changes under way in the continent and to an awareness of the opportunities and benefits of U.S. partnership aimed at reinforcing these changes.

The successor program, International Development, in the coming year will be exploring selected opportunities to strengthen the contribution of higher education and libraries to national development in Commonwealth Africa and will seek to improve women's opportunities in higher education. See the 1998-99 program guidelines beginning on p. 89 for more information.

**International Development Research Centre**, Nairobi, Kenya. African Technology Policy Studies Network. Two years, \$500,000.

The African Technology Policy Studies Network was created in 1993 to strengthen the region's institutional capacity for managing science-led development. It supports interdisciplinary studies in fifteen anglophone African countries on issues including the acquisition and use of technology and the role of women in technological change. Network staff members are training new investigators in research methodology and exploring ways to improve the dissemination of research findings to policymakers, business leaders, and academics. The network is sponsored by the Corporation, the Rockefeller Foundation, and the International Development Research Centre, which serves as its fiscal agent and institutional base.

*Judi Wakhungu, Coordinator, African Technology Policy Studies Network.*

**United Nations African Institute for Economic Development and Planning**, Dakar, Senegal. Technical assistance to science and technology policy dialogues in Ghana, Nigeria, Tanzania, and Zimbabwe (final). Two years, \$100,000.

The United Nations African Institute for Economic Development and Planning provides African countries with training, research, and technical assistance in development strategies. It is coordinating national science and technology policy dialogues in Ghana, Nigeria, Tanzania, and Zimbabwe that are designed to help decision makers and scientists link science and technology policies with broad economic planning and management. Institute staff members are preparing background papers for the dialogues that focus on policy formulation and implementation, long-term planning, and practices that foster the integration of science and technology policies with economic policies.

*Jeggan C. Senghor, Director.*

**Nigerian Institute of Social and Economic Research**, Ibadan, Nigeria. Promotion of strategic management of science and technology policy in Nigeria (final). Two years, \$75,000.

The African Technology Policy Studies Network was founded in 1993 to strengthen the research base of technology policymaking in sub-Saharan Africa. Of the fifteen countries that contribute to the network, four — Ghana, Nigeria, Tanzania, and Zimbabwe — are engaged in a project to synthesize findings and establish a model series of national dialogues to bridge technology and economic policies. Researchers at the Nigerian Institute of Social and Economic Research, which leads the policy dialogue initiative in Nigeria, are linking science and technology experts with policymakers through a compendium of science and technology policy research studies. The studies are published and distributed to the public and private sector.

*G. O. A. Laditan, Director, Business and Technology Development Department.*

**United Nations Economic Commission for Africa**, Addis Ababa, Ethiopia. Capacity building to improve science and technology information and communications systems in Africa. One year, \$250,000.

One of the goals of the United Nations Economic Commission for Africa (ECA) is to strengthen information systems throughout the African continent. In collaboration with European and U.S. private foundations, bilateral donors, nongovernmental organizations, and the World Bank, ECA is developing standardized guidelines for information exchange systems across countries and convening meetings to harmonize databases on development. The objective is to build an information infrastructure that can support implementation of the African Information Society Initiative, established in 1996 to help all African countries attain a minimum level of Internet connectivity.

*K. Y. Amoako, Executive Secretary. ([www.un.org/depts/eca](http://www.un.org/depts/eca))*

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**Harvard University**, Boston, MA. Collaborative training program with African institutions in health and behavioral research (final). Nineteen months, \$625,000.

**H**arvard University's East African Health and Behavior Fellowship Program, created to promote interdisciplinary research and training in the social sciences and medicine at the universities of Nairobi and Dar es Salaam, completed its eighth and concluding year in 1998. Under the program, faculty members from both universities received training at Harvard and produced research proposals, manuscripts for publication, and training materials. The Corporation's final grant is enabling ten former fellows to return to Harvard to develop guidelines for sustaining new, similar programs at the East African universities. The results of an evaluation of the program will be published in a journal article and a book. Harvard provides in-kind support.

*Arthur Kleinman, Chairman, Department of Social Medicine, Harvard Medical School.*

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**University of Dar es Salaam**, Dar es Salaam, Tanzania. Interdisciplinary program in social science and medicine (final). Three years, \$300,000.

**T**he Social Science and Medicine Program at the University of Dar es Salaam, founded by the first two faculty members to receive fellowships under Harvard University's East African Health and Behavior Fellowship Program, aims to increase the use of combined social science and medical research methods to solve Tanzania's health problems. Program team members organize conferences on culture and medicine, prepare teaching materials, produce and disseminate monographs, and conduct interdisciplinary research. Under a final grant, the program is being institutionalized within the university as the Centre for Studies in Social Science and Medicine. Support also comes from bilateral and multilateral donors and the Ford Foundation.

*Melkizedeck T. Leshabari, Chairman, Social Science and Medicine Program, Muhimbili Medical Centre.*

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**University of Nairobi**, Nairobi, Kenya. Interdisciplinary program in social science and medicine (final). Three years, \$300,000.

**L**ike its sister program at the University of Dar es Salaam, the Interfaculty Collaboration Programme was founded by the first two University of Nairobi faculty members to participate in Harvard University's East African Health and Behavior Fellowship Program. With a focus on priority health problems in Kenya, the program holds cross-disciplinary annual conferences and twice-monthly workshops for medical and social scientists from around the country. It is making the transition to an organization within the university, the Centre for Health and Behavior Studies, where program team members will create cross-faculty courses; publish books, monographs, and a newsletter; and continue to engage in collaborative research. The university also provides support.

*Violet N. Kimani, Programme Coordinator, Interfaculty Collaboration Programme.*

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**Social Science and Medicine Africa Network**, Nairobi, Kenya. Support (final). Three years, \$300,000.

**T**he Social Science and Medicine Africa Network promotes the use of social science theories and methods in health research and policymaking in Africa. Through its twelve national chapters, the network maintains a directory of Africa-based health and social scientists, publishes a newsletter, and holds conferences, workshops, and seminars. Under a final grant joined by support from the U.S. Agency for International Development and the Canadian International Development Research Centre, it is documenting collaborations between social and medical scientists that produced new health interventions. The published case studies will be used to educate policymakers about integrated approaches to the improvement of health in the continent.

*Anne M. Pertet, Coordinator.*

**Akina Mama wa Afrika**, London, United Kingdom. African Women's Leadership Institute. Two years, \$200,000.

**A**kina Mama wa Afrika (Swahili for "solidarity among African women") is a London-based non-governmental organization that serves as a resource on African women's issues in Europe and in Africa. In 1996 it initiated the pilot phase of the Uganda-based African Women's Leadership Institute, designed to strengthen young women's leadership skills. Participants complete a program of training in strategic planning, advocacy, and constituency building and apply to the institute for small grants to organize similar programs in their own countries. At a 1999 conference, alumnae will analyze the institute's progress and make recommendations on its future. Bilateral and multilateral donors and other foundations provide additional funding.

*Bisi Adeleye-Fayemi, Director.*

**Natal Women's Resource Centre**, Durban, South Africa. Women's resource center in Natal, South Africa (final). Two years, \$100,000.

**T**he Natal Women's Resource Centre works with the more than 200 women's groups in largely rural KwaZulu/Natal province to enhance their participation in policymaking. A central activity is a series of workshops about selected policy issues that elicit women's views for incorporation in briefs for provincial and national decision makers. Workshops are being planned to address land policy and violence against women. Staff members also publish a newsletter and a directory of women's organizations and offer training for women interested in running for local office. The center has received local funding from the private sector and from government.

*Smalgele Lesuthu, Coordinator.*

**Women in Law and Development in Africa**, Harare, Zimbabwe. Training and advocacy on women's rights. Two years, \$300,000.

**W**omen in Law and Development in Africa (WILDAF) is a regional network of individuals and organizations working to improve the legal status of women. WILDAF holds workshops and produces manuals to help its members — lawyers, scholars, activists, and community organizers from more than 120 groups throughout Africa — design and implement programs to educate women about their rights. A 1999 workshop will focus on an evaluation of these efforts. The network is also training members to monitor and report on women's rights and to advocate for legal reform at the national and the local level. Further support comes from the Ford Foundation and from bilateral and multilateral agencies.

*Joana Foster, Regional Coordinator.*

**University of Ghana**, Legon, Ghana. Research on women's legal rights in West Africa. Two years, \$200,000.

**T**he Women and Law in West Africa network, based at the University of Ghana, conducts research on laws and customs affecting women's rights in Ghana, the Gambia, Nigeria, and Sierra Leone. Network teams of social scientists and lawyers from the four countries have reviewed the application of law in three areas: marriage and the family, violence against women, and land tenure and land rights. The country reports are being published as a book, *Situational Analyses of Some Key Issues Affecting Women*, which is consonant with the network's goal of adding to the body of knowledge on the status of women. The teams are now researching inheritance laws and working with other nongovernmental organizations in West Africa to develop dissemination and advocacy strategies.

*Akua Kuenyehia, Project Director, Women and Law in West Africa, Human Rights Study Centre, Faculty of Law.*

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**Women's Action Group**, Harare, Zimbabwe. Outreach on women's rights in Zimbabwe (final). Three years, \$100,000.

The Women's Action Group conducts national campaigns to change laws governing citizenship, inheritance, and ownership of property in Zimbabwe. The group has three core activities: health education workshops, legal education and policy advocacy, and a magazine on women's issues. The magazine, *Speak Out*, is distributed to a readership of more than 125,000 and is published in English, Shona, and Ndebele, the most widely spoken languages in the country. Members of the group are organizing workshops for policymakers, community leaders, and representatives of local women's groups to discuss national policy issues related to women's rights. They are also increasing their networking and advocacy efforts at the national level. Additional funds come from bilateral donors and the Buntstift Foundation.

*Salina Mumbengegwi, Director.*

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**University of Minnesota Foundation**, Minneapolis, MN. International Women's Rights Action Watch (final). Two years, \$100,000.

The International Women's Rights Action Watch, based at the Hubert H. Humphrey Institute of Public Affairs at the University of Minnesota, promotes worldwide ratification of and compliance with the 1979 United Nations Convention on the Elimination of All Forms of Discrimination Against Women. The watch operates through a global network of more than 4,000 individuals and organizations, which report on developments in their countries. Among its publications are a guide to reporting under the convention and a newsletter that links women's groups around the world. This final grant, for continued support to African participants in the network, joins funding for the action watch from other foundations and the Swedish International Development Agency.

*Marsha A. Freeman, Director, International Women's Rights Action Watch.*

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**Multi-Disciplinary African Women's Health Network**, Accra, Ghana. Support. One year, \$100,000.

Participants at a Corporation-supported 1997 workshop in Nairobi, Kenya, appointed a steering committee to establish the Multi-Disciplinary African Women's Health Network. Its aim is to bring together medical practitioners and advocates from the continent to exchange information about women's health. Staff members of the network's steering committee have established a World Wide Web site and are producing a newsletter and developing databases on the related activities of organizations in Africa. In subsequent years, the network will organize training activities for members and devise a strategy to raise awareness in the continent about women's health issues.

*Afua Hesse, Cochair. (www.mawhn.net)*

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**University of Ghana**, Kumasi, Ghana. Postgraduate training in obstetrics and gynecology in Ghana (final). Two years, \$500,000.

In 1989 the University of Ghana Medical School in Accra and the University of Science and Technology in Kumasi launched a model five-year residency program in obstetrics and gynecology, designed to reduce the number of obstetricians who leave Ghana for training and remain abroad after certification. Fourteen postgraduates have completed the curriculum — all of them remaining in the country as practicing specialists. Ten Ghanaian physicians who received training in other countries have returned to join the program as teachers. The Corporation's final grant is supplemented by support from the British Department for International Development.

*Josiah A. Martey, Programme Coordinator, OBGYN Postgraduate Training Program, University of Science and Technology, School of Medical Sciences.*

**Council for the Development of Social Science Research in Africa**, Dakar, Senegal. Review of African research on transitions to democracy (final). Nine months, \$100,000.

The Council for the Development of Social Science Research in Africa (CODESRIA) is directing a project to synthesize and disseminate research on transitions to democracy produced in the continent by African scholars. A preliminary report, *Democratic Transition or Political Liberalization*, summarizes some of the most important issues facing Africa's new democracies and includes a bibliography of more than 800 titles. One review is being issued in English and French, in book form and on CD-ROM for each of the seven geographic or linguistic regions designated by CODESRIA. Staff members are also organizing three sub-regional workshops for scholars, policymakers, and journalists to discuss the findings and develop further dissemination strategies.

*Mamadou Diouf, Program Officer for Research and Documentation.*

**International Peace Academy**, New York, NY. Projects to build capacity to manage conflict in Africa. Two years, \$400,000.

Since 1992 the International Peace Academy has cooperated with the Organization of African Unity (OAU) to develop a program to prevent and manage conflicts within and between African nations. The academy is evaluating the effectiveness of the OAU program and will issue a report in 1999. It is also assessing the effects of interventions by neighboring countries in recent conflicts in Burundi, Republic of Congo, Liberia, and Sierra Leone. The case studies will be published as part of the academy's policy briefing series and will serve as background to a 1999 consultation on conflict management in Africa. Governmental organizations and other foundations provide further support.

*Margaret A. Vogt, Senior Associate, Africa Program. (www.ipacademy.org)*

**Brookings Institution**, Washington, DC. Project by Francis M. Deng to develop a normative framework for governance in Africa. One year, \$200,000.

In his Corporation-supported book *Sovereignty as Responsibility: Conflict Management in Africa* (Brookings Institution, 1996), Francis M. Deng stressed the responsibilities of national governments toward their citizens. He is now working to define a set of standards for responsible governance that would be accepted by a majority of African countries. In Deng's view, these include adherence to democratic principles, respect for fundamental rights and freedoms, constructive management of diversity, and economic policies aimed at producing growth along with equitable resource distribution. Advised by a committee of African, U.S., and European scholars and practitioners, he is holding workshops to review the themes and recommendations emerging from the study and to plan strategies for disseminating the resulting book.

*Francis M. Deng, Senior Fellow. (www.brook.edu)*

**African Association of Political Science**, Harare, Zimbabwe. Institutional strengthening (final). Two years, \$150,000.

The African Association of Political Science has national chapters in thirteen African countries and the United States. The association has built its membership by publishing a quarterly newsletter and a semiannual journal and by providing funds for the chapters to hold forums on democratization. In August 1998, it organized a pilot workshop for junior political science lecturers to strengthen their research, teaching, and writing skills. It is currently sponsoring twelve forums in francophone West, Central, and North Africa. Additional core funding comes from the Ford Foundation and the Swedish International Development Agency; other foundations support several of the chapters.

*Kwame A. Ninsin, Administrative Secretary. (www.aaps.co.zw)*

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**Carter Center**, Atlanta, GA. New model of international cooperation for development assistance. One year, \$250,000.

The Global Development Initiative was established in 1993 at the Carter Center to test a model for improving the effectiveness of development assistance through increased collaboration among donors and between donors and developing countries. The model has two components: elaboration by the host country of a national development strategy that establishes economic, legislative, and human resources plans and priorities, and the coordination of donor support for implementation of the strategy. The center provides technical assistance to the host country and acts as an advocate for the process with donors. Development experts and an advisory group of leaders from donor agencies and nongovernmental organizations are helping the center to monitor and evaluate the initiative.

*Jason S. Calder, Program Coordinator, Global Development Initiative. (www.cartercenter.org)*

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**National Summit on Africa**, Washington, DC. Planning a national leadership conference on U.S.-Africa relations. One year, \$250,000.

A National Summit on Africa will be held in Washington, D.C., in November 1999. Its three interrelated aims are to educate the U.S. public about Africa and current U.S.-Africa relations; to broaden and strengthen the network of supporters of Africa in the United States; and to develop an agenda for guiding U.S. relations with Africa. Modeled on United Nations conferences, the summit has held preparatory meetings to foster debate on the importance of Africa to the United States and on U.S. involvement in the continent's renewal. Recommendations from these meetings, together with those from a U.S.-Africa policy meeting being convened in Addis Ababa, Ethiopia, in March 1999, will be considered at the summit. The Ford Foundation is the summit's largest single supporter.

*Leonard Robinson, Executive Director. (www.africasummit.org)*

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**Africa-America Institute**, New York, NY. Development of an expanded policy information and advocacy program (final). Two years, \$200,000.

Since its inception in 1953, the Africa-America Institute has managed educational programs for Africans studying in this country and has worked to educate U.S. policymakers and the public about African issues. The Corporation's final grant is supporting the institute's new policy program. Planned activities include roundtables for members of Congress and their staffs; regional symposia for Africans living in the United States; and the highlighting of policy issues through policy papers, op-ed pieces, letters to the editor, and a quarterly newsletter. The institute is also funded by the Ford Foundation and U.S. government agencies.

*Mora McLean, President. (www.igc.org/ia/mb/aa.html)*

#### DISCRETIONARY GRANTS

*Akina Mama wa Afrika*, London, United Kingdom. Toward an African women's leadership institute, \$25,000

*American Academy of Arts and Sciences*, Cambridge, MA. Toward planning an issue of *Daedalus* on South Africa, \$25,000

*American Assembly, Columbia University*, New York, NY. Toward publication and dissemination of a book on Africa and U.S. national interests, \$25,000

*American Assembly, Columbia University*, New York, NY. Toward dissemination of a report on Africa and U.S. national interests, \$9,000

*Continental Consultants (Ghana)*, Accra-North, Ghana. For planning a multidisciplinary African women's health network, \$25,000

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*Family Planning Association of Tanzania*, Dar es Salaam, Tanzania

For a project to strengthen programs and cooperation on women's health among nongovernmental organizations in Tanzania, \$25,000

*University of Florida*, Gainesville, FL

Toward the International Court of Justice Fiftieth Anniversary Seminar for Africa on the rule of law, \$25,000

*FORO Nacional/International*, Lima, Peru

As a final grant toward research and writing by Francisco R. Sagasti on the role of science and technology in the process of development, \$25,000

*International Peace Academy*, New York, NY

As a final grant toward publication and dissemination of a conference report on militaries, democracies, and security in sub-Saharan Africa, \$25,000

*Kenya Medical Women's Association*, Nairobi, Kenya

For a project to strengthen programs and cooperation on women's health among nongovernmental organizations in Kenya, \$25,000

*National Academy of Sciences*, Washington, DC

Toward dissemination of a report by the Institute of Medicine on the role of health in U.S. foreign assistance, \$25,000

*National Policy Association*, Washington, DC

Toward a quarterly newsletter on international development for U.S. business and labor leaders, \$18,000

*Scientific and Industrial Research and Development Centre*, Harare, Zimbabwe

Toward its scientific publishing and dissemination program, \$25,000

*Uganda Protestant Medical Bureau*, Kampala, Uganda

For a project to strengthen programs and cooperation on women's health among nongovernmental organizations in Uganda, \$25,000

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*United Nations Economic Commission for Africa*, Addis Ababa, Ethiopia

Toward an international conference on African women and economic development, \$25,000

*Women's Foreign Policy Group*, Washington, DC

Toward programs on African issues for women in international affairs, \$25,000

*Yale University*, New Haven, CT

As a final grant toward research and writing by Ruben P. Mendez on the United Nations Development Programme, \$25,000

# Special Projects

Some grantmaking flexibility, embodied in relatively untargeted funds, permits foundations to seize promising and unusual opportunities, support the planning and start-up of new ventures that others may continue, explore possible new programs, and make other grants outside defined program areas.

In recent years, the Corporation's Special Projects funding has tended to coalesce around efforts to strengthen American democracy, to contribute to the health and welfare of the philanthropic and nonprofit sectors, and, on occasion, to study ways that universities can contribute to society beyond their traditional teaching and research. Grants have been made for gathering and analyzing information that has been used by researchers, lawyers, and community advocates to enhance citizen participation in democratic processes. A number of projects have challenged discriminatory redistricting and voting practices and assisted eligible immigrants in obtaining citizenship and registering to vote. In addition, support has been given for the use of new communications technologies to provide nonpartisan information about candidates and issues; for analyzing national, state, and local campaign financing and campaign finance reforms; for studying the relationship of economic and social problems; and for fostering public education and debate about global issues.

The Corporation has maintained its membership in, or provided support to, five national organizations concerned with the nonprofit and philanthropic sector — the Council on Foundations, the Foundation Center, Independent Sector, the National Committee for Responsive Philanthropy, and the National Charities Information Bureau — and two local ones, the New York Regional Association of Grantmakers and the Nonprofit Coordinating Committee of New York. These groups publish information about the nonprofit sector, encourage the sector to report fully to the public, and monitor relations between the sector and government. Also under Special Projects, major attention has been given to the Carnegie Commission on Science, Technology, and Government, an operating program that formally ended in 1993. The Corporation continues to disseminate the commission's reports, and in 1997 it completed projects resulting from commission recommendations and initiatives.

The successor programs, Democracy and Special Projects, will continue to stress electoral reform, especially in campaign finance. In addition, the programs will explore intergroup relations within the United States and the implications of gross disparities of income for the well-being of our democratic system. Special Projects will continue its long-time interests in strengthening the nonprofit sector and increasing public understanding of philanthropy and nonprofit organizations but also explore other opportunities outside the regular program areas. See the 1998–99 program guidelines beginning on p. 89 for more information.

**Harvard University**, Cambridge, MA. Seminar series on encouraging civic engagement in the United States. Fifteen months, \$150,000.

Communities across the nation are involved in efforts to reverse the decline in citizens' engagement with the political process. The Saguro Seminar, a project based at Harvard University's John F. Kennedy School of Government, is systematically assessing these experiments, which include neighborhood revitalization programs, economic development projects, and efforts by parents and other citizens to work together in support of school reform. The seminar, also funded by other foundations, is convening leaders in government, education, business, unions, and the media to review case studies and share strategies. The discussions will be synthesized for distribution to scholars, representatives of nonprofit groups, and the public and are expected to generate practical ideas for renewing community life.

*Thomas H. Sander, Executive Director, Saguro Seminar. (www.ksg.harvard.edu/saguro)*

**American Civil Liberties Union Foundation**, Atlanta, GA. Voting Rights Project. Three years, \$500,000.

The Voting Rights Project of the American Civil Liberties Union Foundation provides litigation assistance and public education regarding redistricting and minority voter participation. The project has played a leading role in the creation of congressional and state legislative districting plans that increase fair political representation for minority groups. It is now responding to federal courts' challenges to the constitutionality of these districts. It is also bringing litigation to ensure states' and localities' compliance with the National Voter Registration Act of 1993, which requires social service agencies and departments of motor vehicles to provide voter registration information and applications on site. Additional funding comes from the Ford and Rockefeller foundations.

*Laughlin McDonald, Director, Voting Rights Project. (www.aclu.org)*

**Center for Community Change**, Washington, DC. Increasing the public policy capacity of community-based organizations (final). Two years, \$300,000.

The Center for Community Change helps persons of low income shape the policies and institutional processes that affect them and their communities. Center staff members provide public policy education, technical assistance, and organizational training to nonprofit groups in urban neighborhoods, rural areas, small towns, and settlements along the U.S.-Mexico border. A weekly Policy Alert is distributed by e-mail and fax to a broad range of community-based organizations and individuals. The center, also supported by individuals, corporations, and private foundations, is continuing to facilitate networking between organizations and to hold workshops about changes in federal antipoverty programs. It is also assisting fund-raising efforts for the State Welfare Redesign Grants Pool, a program that helps state and local groups participate in welfare reform activities.

*Andrew H. Mott, Executive Director. (www.commchange.org)*

**Leadership Education for Asian Pacifics**, Los Angeles, CA. Asian Pacific American Public Policy Institute. Two years, \$300,000.

Asian Pacific peoples living in the United States comprise more than sixty racial and ethnic groups and subgroups, each with its own history, language, and culture. To respond to the need for disaggregated data on issues affecting this community, Leadership Education for Asian Pacifics in 1992 established the Asian Pacific American Public Policy Institute. The institute's reports, which have covered topics including poverty, immigration, and affirmative action, are followed by public policy roundtables in major cities. A new study will explore how non-Asians view Asian Pacific Americans and how Asian Pacific Americans view non-Asians and each other.

*J. D. Hokoyama, President and Executive Director.*

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**William C. Velásquez Institute**, San Antonio, TX. Support. Two years, \$200,000.

The William C. Velásquez Institute, formerly the Southwest Voter Research Institute, works to increase Latinos' political participation. As the basis for a new nonpartisan voter education and outreach program, the institute is conducting demographic and survey research among young voters, naturalized voters, and occasional voters in Arizona, California, New Mexico, and Texas. Bilingual educational materials, including public service announcements on Latinos' contributions to the United States, will be developed in partnership with Univision, the nation's largest Spanish-language television network. Individuals, corporations, government contracts, and other foundations also provide support.

*Antonio González, President. (www.wcvi.org)*

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**Southern Regional Council**, Atlanta, GA. Voting rights and voter participation project; and improving fund-raising capabilities. Eighteen months, \$250,000.

The Southern Regional Council formulates strategies to promote full democratic rights for African Americans and other minorities in the region and the nation. The central aim of its voting programs is to ensure that electoral districts fairly represent minority constituents. The council's members — local, state, and national leaders from the eleven southern states — provide civil rights lawyers and elected officials with information and model redistricting plans for cities, counties, school boards, legislatures, congressional seats, and state judiciaries. In addition to diversifying its revenue sources and publishing a manual on alternative voting methods for voting rights advocates and litigators, the council is upgrading its technical capacity to serve more localities following Census 2000 redistricting. Further funding comes from the Ford Foundation.

*Wendy S. Johnson, Executive Director. (www.src.wi.com)*

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**United States Hispanic Leadership Institute**, Chicago, IL. Support. Two years, \$200,000.

The United States Hispanic Leadership Institute conducts voter registration and education campaigns in urban and rural communities and attempts to sustain citizen participation projects after the campaigns end. With further support from the Ford Foundation and from corporations, unions, and individuals, the institute (formerly the Midwest-Northeast Voter Registration Education Project) is organizing fifty local leadership development programs in the Midwest and Northeast. Elected and appointed officials are meeting with local leaders to discuss government operations and public policy issues such as city planning, municipal services, school curricula, judicial systems, and local elections.

*Juan Andrade, President.*

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**Center for Responsive Politics**, Washington, DC. Support. Two years, \$250,000.

The Center for Responsive Politics works to educate the public about the role of money in American politics. In addition to analyzing the sources of contributions to candidates for the U.S. Congress, staff members provide technical assistance to regional organizations that monitor state and local campaign financing. Visitors to the center's World Wide Web site can use the "Do-it-Yourself Congressional Investigation Kit" to track the relationship between lawmakers' votes on specific issues and the timing and source of campaign contributions. The center, which receives further support from other foundations, is using \$50,000 of the grant to consider ways to expand its revenue base over the next three to five years.

*Larry Makinson, Executive Director. (www.crp.org)*

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**Puerto Rican Legal Defense and Education Fund**, New York, NY. Establishing a public policy division. Two years, \$200,000.

The Puerto Rican Legal Defense and Education Fund conducts advocacy, education, and litigation to safeguard the rights of Latinos. In January 1998 the fund merged with the nonpartisan Institute for Puerto Rican Policy, resulting in a new public policy division. During the division's first two years of operation, fund staff members are documenting the status of English-only laws and practices in states with significant Latino populations and assessing the policy implications of these laws. They are also monitoring the economic effects that welfare changes in selected states are having on Latinos. The Ford and Rockefeller foundations provide additional funding.

*Angelo Falcón, Senior Policy Executive and Director, Public Policy Division. (www.iprnet.org/IPR)*

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**Communications Consortium Media Center**, Washington, DC. Media outreach and public education on the U.S. Census 2000. Two years, \$250,000.

In the 1990 census, the undercount of minority and poor citizens was estimated to be significant. To increase the public's awareness of and informed participation in Census 2000, the Communications Consortium Media Center is launching an outreach project. The center, a public interest organization that helps nonprofit groups use telecommunications technology for public education projects, is informing the media, state and local officials, business professionals, and leaders in communities of color about decisions affecting the form and content of the census. Publications are being prepared by leading academics, scientists, and policymakers on such topics as redistricting, the impact of the census of 2000 on social policy, and the allocation of federal funds. Other foundations also provide support.

*Kathy Bonk, Executive Director. (www.census2000.org)*

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**Mexican American Legal Defense and Educational Fund**, Los Angeles, CA. Outreach and education program on the U.S. Census 2000. Twenty-five months, \$250,000.

To minimize the undercount of Latinos in the 2000 census, the Mexican American Legal Defense and Educational Fund (MALDEF) is conducting its fourth census-related community outreach program. The program, also supported by other foundations, uses census awareness task forces, outreach networks, and print and broadcast media to inform the Latino community of the importance of taking part in the census. MALDEF staff members are also collaborating with the Bureau of the Census to ensure that the bureau's outreach efforts are bilingual and that the census form includes items important for determining the needs of the Latino community. As in the past, MALDEF will analyze the official results of the census when they become available, in early 2001.

*Antonia Hernández, President and General Counsel. (www.maldef.org)*

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**Center for National Independence in Politics**, Corvallis, OR. Information services for citizen education. Two years, \$300,000.

Project Vote Smart, the popular name of the Center for National Independence in Politics, is a national effort to provide voters and reporters with reliable information about political candidates at all levels. Based at Oregon State and Northeastern universities, the project offers access to candidates' voting records, campaign financing, performance evaluations, biographies, and position statements through publications, a toll-free hotline, and the World Wide Web. The center is increasing its collaboration with libraries, doubling its Internet capacity, and extending its outreach to low-income, minority, and young voters. Individuals and other foundations provide further support.

*Richard Kimball, Director. (www.vote-smart.org)*

## PHILANTHROPY AND NONPROFIT INSTITUTIONS

**Foundation Center**, New York, NY. Support. Two years, \$150,000.

The Foundation Center, established in 1956 by the Corporation and the Russell Sage Foundation, provides information on foundations and corporate giving and publishes reference books on these and related subjects. It operates full-service libraries in New York, Washington, Cleveland, San Francisco, and Atlanta and 200 cooperating collections around the country. All five libraries have electronic resource centers, where users can gain access to the center's databases and to its World Wide Web site. The site offers basic instruction in grantseeking techniques and proposal writing, highlights the center's research studies, and provides hyperlinks to related Web sites. The center now receives support from more than 500 foundations and corporations nationwide.

*Sara L. Engelhardt, President. (www.fdncenter.org)*

**Aspen Institute**, Washington, DC. Nonprofit Sector Research Fund. Two years, \$200,000.

The Nonprofit Sector Research Fund, a program of the Aspen Institute, offers an independent vehicle for foundations, corporations, nonprofit organizations, and individual donors to support basic and applied research on the charitable sector in the United States and other countries. The fund, which is also supported by other foundations, focuses on three areas: the role of nonprofits and philanthropy in society; the relationship of public policy to nonprofits and the people they serve; and nonprofit accountability, governance, and management. Research findings are disseminated through a variety of channels, including public forums. The fund also organizes conferences at which academics, government representatives, practitioners, and others explore issues in philanthropy and the nonprofit sector.

*Alan J. Abramson, Director, Nonprofit Sector Research Fund. (www.aspeninst.org)*

**Independent Sector**, Washington, DC. Public education program. Two years, \$250,000.

Independent Sector, a coalition of 800 corporate, foundation, and national nonprofit groups, educates the public about philanthropy and volunteering and attempts to strengthen the work of the charitable sector. In addition to producing kits for member organizations containing fact sheets and articles about volunteering, charitable giving, and ethics and accountability, Independent Sector issues publications for the media, policymakers, and the public. These include the Nonprofit Almanac, which documents changes in the finances and sources of funds of nonprofit organizations and reports on surveys of giving and volunteering among adults and teenagers. Further support comes from other foundations.

*Sara A. Meléndez, President. (www.indepsec.org)*

## SCIENCE POLICY

**American Association for the Advancement of Science**, Washington, DC. Center to provide science and technology information to members of Congress (final). Two years, \$200,000.

Creation of a nonprofit institute to promote dialogue between scientists and policymakers was a major recommendation of the Carnegie Commission on Science, Technology, and Government (1988-93). The Center for Science, Technology, and Congress, founded in 1994 by the American Association for the Advancement of Science (AAAS), informs scientists and legislators at all levels about federal funding for research and development. Under this final grant, staff members are preparing a guidebook on science and technology issues and reports on cloning, high-energy physics, and encryption technology. These and other publications will be added to the center's World Wide Web site. Additional supporters include the AAAS, the U.S. Department of Energy, and the Burroughs Wellcome Fund.

*Albert H. Teich, Director, Center for Science, Technology, and Congress. (www.aaas.org/spp/dspp/cstc)*

## DISCRETIONARY GRANTS

*American Assembly, Columbia University*, New York, NY  
Toward a national meeting on the future of philanthropy, \$25,000

*Institute for Puerto Rican Policy*, New York, NY  
Toward preparations for a merger with the Puerto Rican Legal Defense and Education-Fund, \$25,000

*Karolinska Institutet*, Stockholm, Sweden  
Toward travel for participants in an India-Pakistan dialogue in the health sciences, \$25,000

*New York Community Trust*, New York, NY  
As a final grant toward the naturalization project of the Fund for New Citizens, \$25,000

*Northeast Citizen Action Resource Center*, Hartford, CT  
Toward planning a funders' collaborative to support statewide citizens' coalitions, \$25,000

*Public Citizen Foundation*, Washington, DC  
Toward a seminar on constitutional issues in campaign finance reform, \$25,000

*Rutgers University Foundation*, New Brunswick, NJ  
For use by the Walt Whitman Center for the Culture and Politics of Democracy for research and a planning conference on renewing civil society, \$25,000

*University of Texas, Austin*, Austin, TX  
As a final grant toward the publication of essays on restoring broadly shared prosperity, \$25,000

# Publications and Nonprint Materials

In seeking to fulfill Andrew Carnegie's mission to promote "the advancement and diffusion of knowledge and understanding," the Corporation funds studies, research and writing, and similar projects that often result in print, film/video, audio, and electronic materials for public dissemination. More than 1,000 books, reports, textbooks, and curricula have been published with Corporation grants in the past fifteen years. Although a high proportion are intended for academic and professional readers and other specialists, quite a few have reached a broad audience, and the ideas have taken root in policy and practice. Electronic publishing has become an increasingly important arena for dissemination, and many of the Corporation's grantees now have Web sites, which are listed in the grant descriptions, pp. 22 through 57.

Among recent publications that explored issues central to the Corporation's programs are *Educating Language-Minority Children*, edited by Diane August and Kenji Hakuta, *Safe Passage: Making It through Adolescence in a Risky Society*, by Joy G. Dryfoos, *The Price of Peace: Incentives and International Conflict Prevention*, edited by David Cortright, *The State and Democracy in Africa*, edited by Georges Nzongola-Ntalaja and Margaret C. Lee, and *The Decline of Representative Democracy: Process, Participation, and Power in State Legislatures*, by Alan Rosenthal. The Corporation's support of high-quality audiovisual materials, particularly those for children, is exemplified by the public television program for teenagers, *In the Mix* (Castle Works), and the educational radio program,

*Kinetic City Super Crew* (American Association for the Advancement of Science). The Center for National Independence in Politics, recognizing that the growing body of knowledge on the Web can be useful only to those who know where to find it, has published *Vote Smart Web Yellow Pages, 1998-99*, a resource designed to assist voters navigating the Web in search of information about ballot issues and candidates.

The following selections of publications and nonprint materials resulting from grants were received by the Corporation in 1997-98. The list does not include papers published in journals, newspapers, magazines, or books. The materials are listed by program area.

## CHILDREN AND YOUTH

*Big Cities in the Welfare Transition*, by Alfred J. Kahn and Sheila B. Kamerman (New York, NY: Columbia University School of Social Work, 1998)

*Blueprints for Reform*, report of Project 2061 (New York, NY: Oxford University Press, 1998)

*Blueprints for Violence Prevention News Briefing*, press kit for meeting held December 10, 1997 (Boulder, CO: University of Colorado at Boulder, 1997)

*Children, Families, and Government: Preparing for the Twenty-First Century*, edited by Edward F. Zigler, Sharon Lynn Kagan, and Nancy W. Hall (Cambridge, United Kingdom: Cambridge University Press, 1996)

*Educating Language-Minority Children*, report of the Committee on Developing a Research Agenda on the Education of Limited-English-Proficient and Bilingual Students, Board on Children, Youth, and Families,

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edited by Diane August and Kenji Hakuta  
(Washington, DC: National Academy Press, 1998)

*In the Mix*, public television program for teenagers, vhs  
videotapes (New York, NY: Castle Works, 1997)

“Sports: Get in the Game”

“Self-Image: The Fantasy, The Reality”

“Kinetic City Super Crew: Flower Power, or the Case  
of the Burst Bubbleworld,” audiotape (Washington,  
DC: American Association for the Advancement of  
Science, 1995)

*Kinetic City Super Crew*, audiotapes (Washington,  
DC: American Association for the Advancement of  
Science, 1996)

“All Washed Up, or the Case of the Long Gone  
Geyser”

“Forest Slump, or the Case of the Pilfered Pine  
Needles”

“Fuzzy Phone Calls, or the Case of the Little-  
Known Language”

“Lousy Timing, or the Case of the Cuckoo Clock”

“Metal Heads, or the Case of the Rock'em  
Sock'em Robots”

“Pulp Nonfiction, or the Case of the Purloined  
Paper”

“The Squelch of Music, or the Case of the Awful  
Acoustics”

*Kinetic City Super Crew*, audiotapes (Washington,  
DC: American Association for the Advancement of  
Science, 1997)

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“A Bad Case of Hives, or the Case of Big  
Buzzness”

“Bowling for Science, or the Case of Galileo's  
Gravity Goof-up”

“Ice Follies, or the Case of the Melting  
Masterpiece”

“Out of the Loop, or the Case of the Uncool  
Coaster”

“Sneezy Street, or the Case of the Miserable  
Millionaires”

“Snow Problem, or the Case of Mushing  
Madness”

“Sunny Side Up, or the Case of the Shady Driver”

“Tall Tales, or the Case of the Growing  
Suspensions”

*Kinetic City Super Crew Adventure Express Kit*, kit  
containing eight audiotapes of the radio program (two  
programs per tape), student workbooks, postcards, and  
poster (Washington, DC: American Association for the  
Advancement of Science, 1997)

*Map and Track: State Initiatives for Young Children and  
Families*, 1998 edition, by Jane Knitzer and Stephen  
Page (New York, NY: National Center for Children in  
Poverty, Columbia School of Public Health, 1998)

*Safe Passage: Making It through Adolescence in a  
Risky Society*, by Joy G. Dryfoos (New York, NY:  
Oxford University Press, 1998)

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*A Science Odyssey*, VHS videotapes (Boston, MA: WGBH, 1997)

"Bigger, Better, Faster"

"In Search of Ourselves"

*A Science Odyssey Museum Toolkit*, kit containing "A Science Odyssey" newsletter, issue 1; 13 photographic slides; "A Science Odyssey" poster; and "A Science Odyssey: Matters of the Heart, Life Beyond Earth, Computer Animations, "The Rock Story,"" VHS videotape (Boston, MA: WGBH, 1997)

*A Science Odyssey*, VHS videotapes (Boston, MA: WGBH, 1998)

"Matters of Life and Death"

"Mysteries of the Universe"

"Origins"

*A Science Odyssey: 100 Years of Discovery*, by Charles Flowers (New York, NY: William Morrow and Company, 1998)

*Skilled Observation: The Key to Understanding Child Development Series*, VHS videotapes (Boston, MA: Boston Medical Center, 1998)

"Cognitive Development"

"Fine Motor Development"

"Social Emotional Development"

"Street Soldiers," audiotope (San Francisco, CA: Omega Boys Club, 1997)

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*The Two Sexes: Growing Up Apart, Coming Together*, by Eleanor E. Maccoby (Cambridge, MA: Harvard University Press, 1998)

*Violence in Families: Assessing Prevention and Treatment Programs*, report of the Committee on the Assessment of Family Violence Interventions, Board on Children, Youth, and Families, edited by Rosemary Chalk and Patricia A. King (Washington, DC: National Academy Press, 1998)

*When Work Disappears: The World of the New Urban Poor*, by William Julius Wilson (New York, NY: Alfred A. Knopf, 1996)

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## PREVENTING DEADLY CONFLICT

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*The ACCESS Guide to International Affairs Internships: Washington, DC*, edited by Matthew T. Higham and Hilary Berkey (Washington, DC: ACCESS, 1997)

*Cases and Strategies for Preventive Action: Preventive Action Reports*, volume 2, report of the Council on Foreign Relations and the Twentieth Century Fund, edited by Barnett R. Rubin (New York, NY: The Century Foundation Press, 1998)

*Democracy in East Asia*, edited by Larry Diamond and Marc F. Plattner (Baltimore, MD: Johns Hopkins University Press, 1998)

*Democratization and Revolution in the USSR, 1985-1991*, by Jerry F. Hough (Washington, DC: Brookings Institution Press, 1997)

*The Evolution of Center-Regional Relations in Russia: From Conflict to a Search for Agreement*, edited by

Jeremy Azrael, Emil Payin, and Natalya Zubarevich, in Russian (Moscow, Russia: RAND Center for Russian and Eurasian Studies, 1997)

*A Half Penny on the Federal Dollar: The Future of Development Aid*, by Michael O'Hanlon and Carol Graham (Washington, DC: Brookings Institution Press, 1997)

*How to Be a Cheap Hawk: The 1999 and 2000 Defense Budgets*, by Michael O'Hanlon (Washington, DC: Brookings Institution Press, 1998)

*Increasing the Effectiveness of the International Court of Justice: Legal Aspects of International Organizations*, volume 29, proceedings of the ICJ/UNITAR colloquium to celebrate the 50th anniversary of the court, edited by Connie Peck and Roy S. Lee (The Hague, The Netherlands: Kluwer Law International, 1997)

*International Law and Ethnic Conflict*, edited by David Wippman (Ithaca, NY: Cornell University Press, 1998)

*Policing the New World Disorder: Peace Operations and Public Security*, report of the Carnegie Commission on Preventing Deadly Conflict, edited by Robert B. Oakley, Michael Dziedzic, and Eliot M. Goldberg (Washington, DC: National Defense University Press, 1998)

*Post-Soviet Political Order: Conflict and State Building*, edited by Barnett R. Rubin and Jack Snyder (New York, NY: Routledge, 1998)

*Prevention and Management of Conflicts: An International Directory* (Amsterdam, The Netherlands: NDCO Dutch Centre for Conflict Prevention, 1996)

*The Price of Peace: Incentives and International Conflict Prevention*, report of the Carnegie Commission

on Preventing Deadly Conflict, edited by David Cortright (Lanham, MD: Rowman & Littlefield, 1997)

*Private Markets for Public Goods: Raising the Stakes in Economic Reform*, by Carol Graham (Washington, DC: Brookings Institution Press, 1998)

*Russia in the World Arms Trade*, edited by Andrew J. Pierre and Dmitri V. Trenin (Washington, DC: Carnegie Endowment for International Peace, 1997)

*Saving Lives with Force: Military Criteria for Humanitarian Intervention*, by Michael O'Hanlon (Washington, DC: Brookings Institution Press, 1997)

*Sustainable Peace: The Role of the UN and Regional Organizations*, report of the Carnegie Commission on Preventing Deadly Conflict, by Connie Peck (Lanham, MD: Rowman & Littlefield, 1998)

*Sustaining the Transition: The Social Safety Net in Postcommunist Europe*, edited by Ethan B. Kapstein and Michael Mandelbaum (New York, NY: Council on Foreign Relations, 1997)

*Toward a True Alliance: Restructuring U.S.-Japan Security Relations*, edited by Mike M. Mochizuki (Washington, DC: Brookings Institution Press, 1997)

*Transition without End: Nigerian Politics and Civil Society under Babangida*, edited by Larry Diamond, Anthony Kirk-Greene, and Oyeleye Oyediran (Boulder, CO: Lynne Rienner, 1997)

*Turkey's Kurdish Question*, report of the Carnegie Commission on Preventing Deadly Conflict, by Henri J. Barkey and Graham E. Fuller (Lanham, MD: Rowman & Littlefield, 1998)

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## DEVELOPING COUNTRIES

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*AIDS: The State of the Art; SIDA: Estado Actual del Conocimiento*, report of the eleventh International Conference on AIDS, edited by José Izazola-Licea (Mexico City, Mexico: Fundación Mexicana para la Salud, 1996)

*Beasts of Burden: A Study of Women's Legal Status and Reproductive Health Rights in Nigeria*, by Theresa U. Akumadu (Lagos, Nigeria: Women's Rights Project, Civil Liberties Organisation, 1998)

*José Luis Bobadilla: Una Vida en Transición, 1955-1996*, edited by Julio Frenk and Jamie Sepúlveda (Mexico City, Mexico: Fundación Mexicana para la Salud, 1997)

*Mental Health Policy Issues for South Africa*, edited by Don Foster, Melvyn Freeman, and Yogan Pillay (Pinelands, South Africa: Medical Association of South Africa Multimedia Productions, 1997)

*Observatorio de la Salud: Necesidades, Servicios, Políticas*, edited by Julio Frenk (Mexico City, Mexico: Fundación Mexicana para la Salud, 1997)

*Semblanzas: Los Fundadores de la Sociedad Mexicana de Bioquímica, 1957-1997*, edited by Raúl N. Ondarza (Mexico City, Mexico: Fundación Mexicana para la Salud, 1997)

*The State and Democracy in Africa*, edited by Georges Nzongola-Ntalaja and Margaret C. Lee (Harare, Zimbabwe: African Association of Political Science, 1997)

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*The United States and Africa: A Post-Cold War Perspective*, by David F. Gordon, David C. Miller, Jr., and Howard Wolpe (New York, NY: W. W. Norton, 1998)

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## SPECIAL PROJECTS

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*Challenges to Research Universities*, edited by Roger G. Noll (Washington, DC: Brookings Institution Press, 1998)

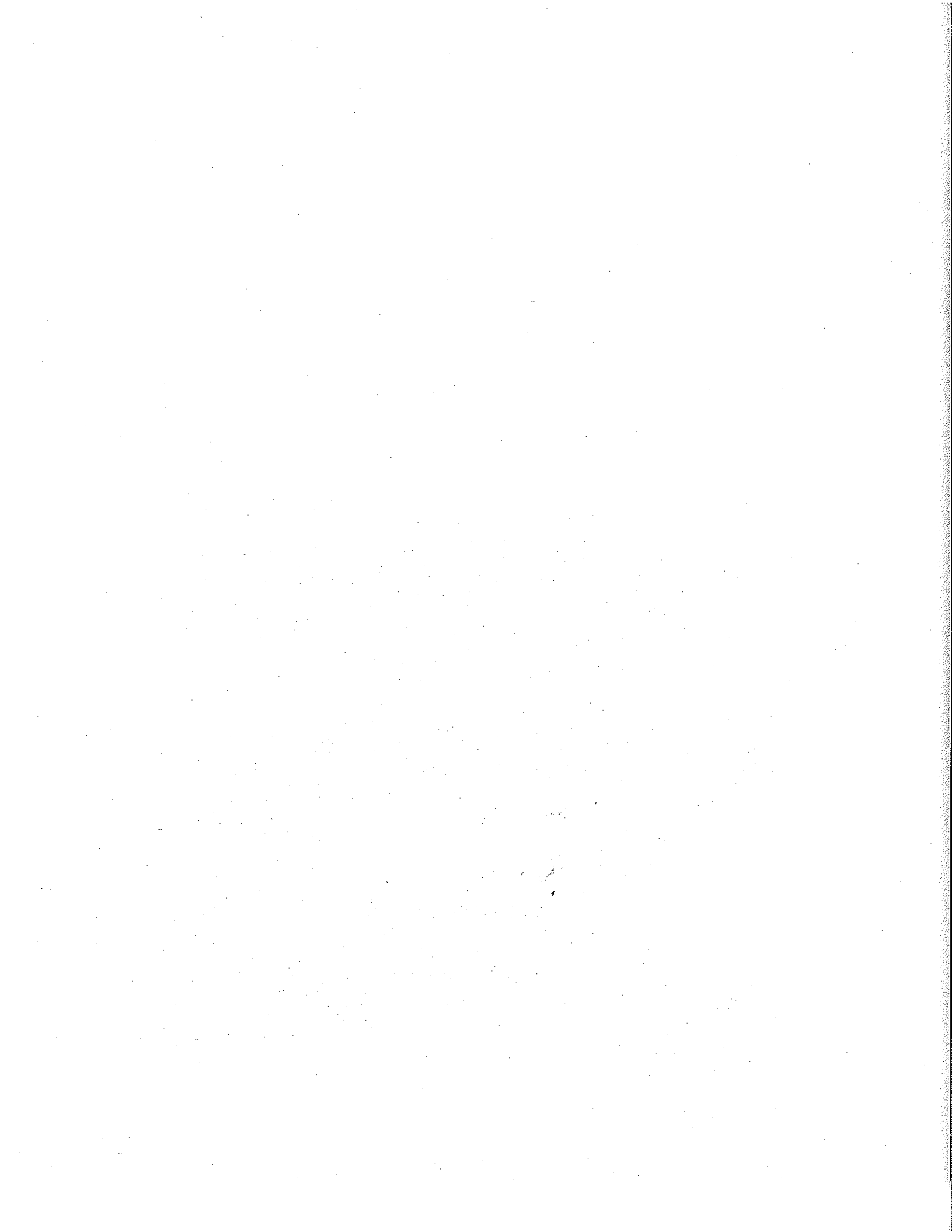
*The Decline of Representative Democracy: Process, Participation, and Power in State Legislatures*, by Alan Rosenthal (Washington, DC: CQ Press, 1997)

*International Policy Institutions around the Pacific Rim: A Directory of Resources in East Asia, Australia, and the Americas*, by Ramon Bahamonde (Boulder, CO: Lynne Rienner, 1998)

*Vote Smart Web Yellow Pages, 1998-99* (Corvallis, OR: Project Vote Smart, 1998)

*Why People Don't Trust Government*, edited by Joseph S. Nye, Jr., Philip D. Zelikow, and David C. King (Cambridge, MA: Harvard University Press, 1997)

"A Woman's Place," VHS videotape (Owings Mills, MD: Maryland Public Television, 1998)



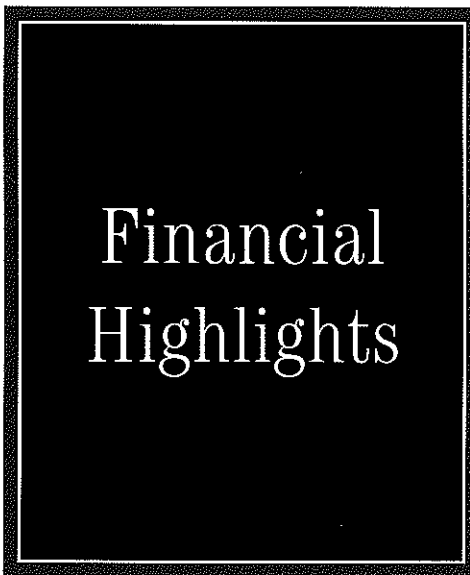
Report  
of the  
Treasurer

**C**arnegie Corporation of New York awarded grants of \$39.5 million during the fiscal year ended September 30, 1998, bringing total grants awarded since the Corporation's inception in 1913 to \$1,237.6 million.

The financial statements for the Corporation for the fiscal years ended September 30, 1998, and 1997, appear on pp. 73 through 80. The following comments and data supplement that information.

### INVESTMENTS

On September 30, 1998, the market value of the Corporation's investments was \$1,436.4 million, compared with \$1,536.2 million on September 30, 1997. Over the last ten years, assets have increased by \$636 million or 79 percent, net of all spending,



or more than twice the rate of inflation over the decade. In that period, the portfolio generated a 12.5 percent annual compound return, outperforming the target policy index of 12.3 percent by .2 percent.

### ASSET ALLOCATION

In June 1996, the finance and administration committee approved changes to the Corporation's asset allocation to further diversify the portfolio. Diversification into alternative investments, including private equity, real estate, and absolute return investments, is expected to increase the portfolio's return on a risk-adjusted basis, while reducing exposure to public equity markets.

The Corporation's target and actual allocations as of fiscal year-end 1998 and 1997 are as follows:

Asset Class	Policy Target	Actual Allocation	
	% of total	September 30, 1998*	September 30, 1997
U.S. equities	30	30	35
Non-U.S. equities	15	13	12
Fixed income	20	24	31
Absolute return	10	18	10
Private equities	10	5	4
Real estate	10	10	6
Cash	5	—	2
Total portfolio	100%	100%	100%

\*As of September 1998, the Corporation has unfunded commitments of about 15.6 percent of assets, primarily in private equity and real estate.

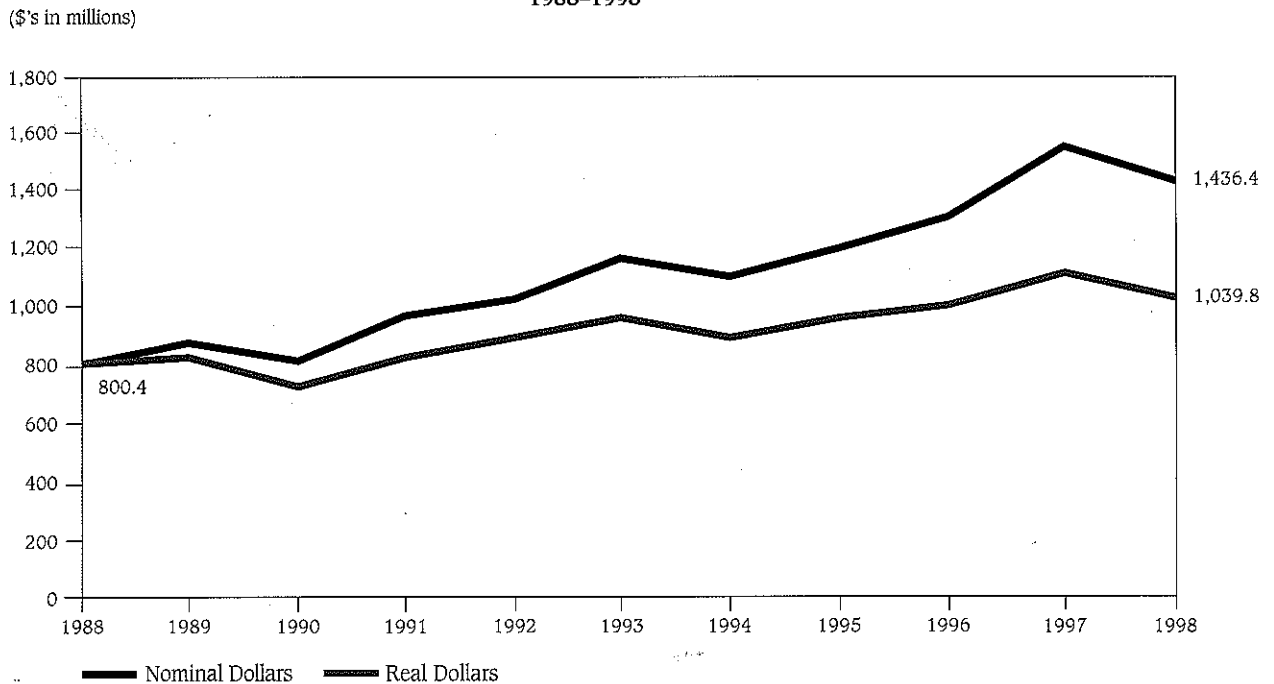
## INVESTMENT PERFORMANCE

The Corporation's investment objective is to achieve a long-term total return, consisting of capital appreciation and dividend and interest income, sufficient to maintain the purchasing power of the assets, while continuing to support the programs of the Corporation. The gross average annual rate of return over the last ten years has been 12.5 percent (12.2 percent net of fees), compared to returns of 12.4 percent for a comparable peer group. After inflation and net of fees, the average annual real return

over the last ten years has been 9.0 percent. Moreover, an average of 3.3 percent has been added to the value of the Corporation's assets for each of the past ten years, net of inflation and average annual spending of 5.7 percent.

The following graph illustrates the growth of investment assets in nominal and real dollars for the ten years ended September 30, 1998, using 1988 as the base year. The significant rise in the market value of investment assets over the past ten fiscal years has provided the basis for substantial increases in appropriations during this period.

INVESTMENTS IN NOMINAL AND REAL DOLLARS  
1988-1998

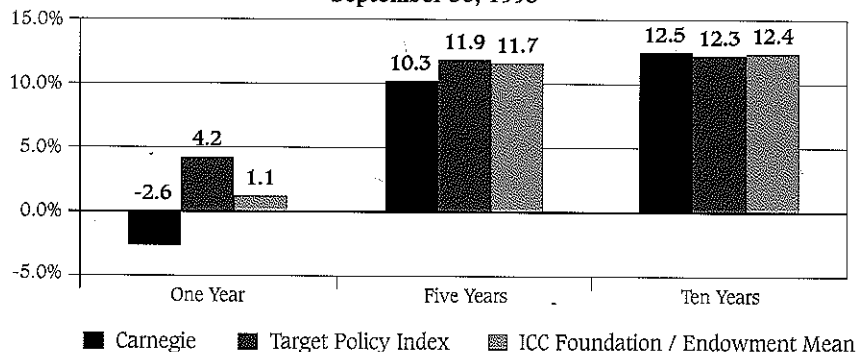


During fiscal 1998, the portfolio generated a total return before fees of (2.6) percent and a total return after fees of (2.8) percent, underperforming its policy benchmark of 4.2 percent and a peer group median of 1.1 percent. The year was a difficult one for most institutional investors. The volatile capital markets environment, combined with the Corporation's initiatives to

restructure and diversify the portfolio, contributed to the underperformance. At the top of p. 69 is a chart showing one-year, five-year, and ten-year investment performance compared to the policy target and the Institutional Consultants' Cooperative (ICC) foundation/endowment universe.

## INVESTMENT RESULTS

September 30, 1998



### GOVERNANCE CHANGES

As of October 1998, the Corporation voted to change the governance structure with respect to oversight of its financial assets. The Corporation created an investment management committee of trustees, with responsibility for investment policy, including asset allocation and policy relating to the exercise of responsibilities by the public corporations represented in the investment portfolio. A chief investment officer has been hired to implement the policy decisions of the investment management committee and to provide day-to-day portfolio management. These changes are more fully described in the secretary's report on pp. 83 through 87.

### APPROPRIATIONS AND EXPENSES

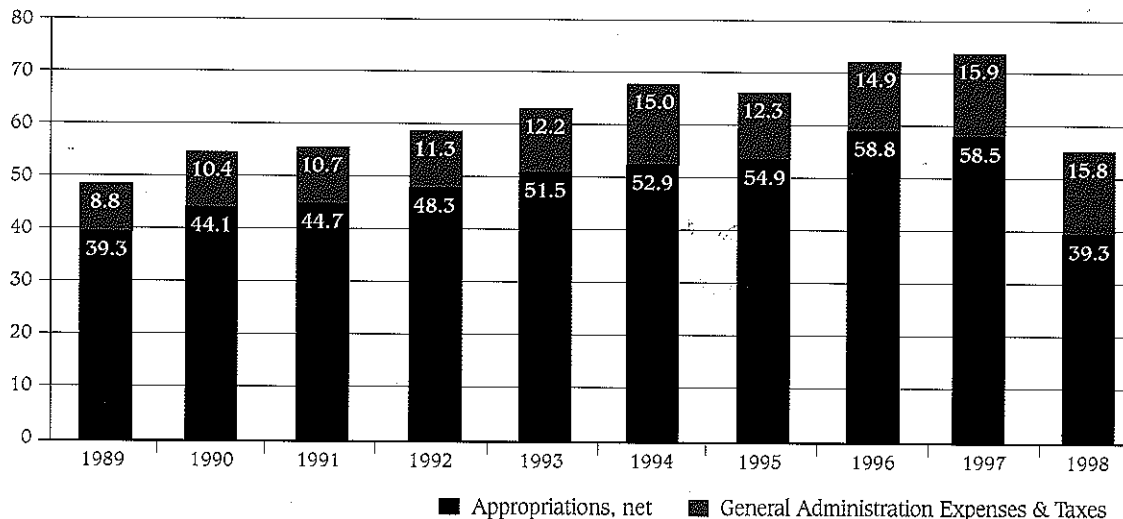
For the ten years ended September 30, 1998, the Corporation awarded 2,771 grants totaling \$492.4 million. It incurred expenses of \$109.6 million for direct charitable activities and administration expenses, excluding investment expenses, and \$17.8 million for taxes, for a total of \$619.8 million.

Nineteen ninety-eight was a year of transition for the Corporation. As it entered a period of program review, fewer grants were made than in prior years. (See the overview of grants and appropriations in the report on program.) The graph below illustrates the growth in expenses by category over the ten-year period ended September 30, 1998.

### EXPENSES BY CATEGORY

(\$'s in millions)

1989-1998



Each year the trustees appropriate funds to be used for grants and for projects administered by the officers. Many of the grants involve multiyear commitments. In the fiscal year ended September 30, 1998, 59 percent of the appropriated funds were paid within the fiscal year. Appropriations, net of refunds and cancellations, totaled \$39.3 million, compared to \$58.5 million in the preceding year.

The general administration and program management expenses were \$9.5 million in the fiscal year ended September 30, 1998, compared with \$10.8 million in the previous fiscal year. The 1998 amount includes a one-time benefit of about \$1.1 million related to a work contribution and free rent on a lease extension. Amounts spent for direct charitable activi-

ties were \$2 million in 1998, compared to \$2.5 million in 1997. Direct charitable activities are services provided directly to other exempt organizations, governmental bodies, and the general public. Such services include providing technical assistance to grantees and potential grantees, conducting educational conferences and research, publishing and disseminating educational materials, and serving on boards of other charitable organizations or public commissions.

The schedule below breaks down total expenses for the year ended September 30, 1998, into categories.

	General administration and program management	Investment	Direct charitable activities	Total
Salaries	\$ 4,545,767	\$ 217,092	\$ 932,645	\$ 5,695,504
Investment advisory and custody fees	—	3,871,065	—	3,871,065
Employee benefits	1,674,918	86,324	339,727	2,100,969
Rent	497,839	26,587	101,157	625,583
Amortization and depreciation	592,174	—	—	592,174
Quarterly and annual reports	54,701	—	452,138	506,839
Conferences and meetings	490,697	239	10,902	501,838
Office expenses	349,834	18,683	71,083	439,600
Travel	358,585	13,072	23,467	395,124
Consultants	271,078	—	—	271,078
Legal and accounting services	115,518	109,775	—	225,293
Trustees' honoraria and expenses	180,529	17,644	—	198,173
Computer equipment and services	116,941	6,245	23,761	146,947
Other	275,362	11,325	45,131	331,818
<b>TOTAL</b>	<b>\$ 9,523,943</b>	<b>\$4,378,051</b>	<b>\$2,000,011</b>	<b>\$15,902,005*</b>

\*In 1997, total expenses, excluding appropriations and taxes, were \$17.9 million, which included \$4.6 million of investment expenses and \$2.5 million of direct charitable activities expenses.

## TAXES

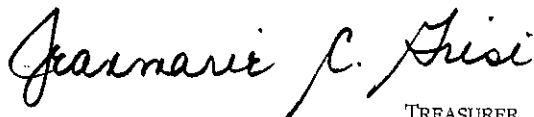
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Under the provisions of the Tax Reform Act of 1969, Carnegie Corporation as a private foundation is subject to a federal excise tax of 2 percent on income and realized capital gains. However, under the Tax Reform Act of 1984, the rate is reduced to 1 percent if the foundation maintains its average expense rate of the previous five years and, in addition, spends the tax savings. The Corporation did not qualify for the reduced tax rate in fiscal year 1998 but did qualify in fiscal year 1997. The cumulative tax saved by qualifying in eleven of the previous thirteen years was \$14.1 million. Excise tax expense for the year was \$3.9 million. During 1998, the Corporation had unrelated business income of \$.7 million from certain investment partnership activities. Taxes of \$.2 million on this income are calculated using applicable corporate tax rates. The deferred tax liability represents the potential tax (at 2 percent) on gains as yet unrealized, as well as book-to-tax timing difference.

### AUDIT BY INDEPENDENT ACCOUNTANTS

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The bylaws provide that the Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of KPMG LLP audited the Corporation's financial statements for the fiscal year ended September 30, 1998. The Corporation's financial statements, together with the independent auditors' report, appear on the following pages.

  
TREASURER

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## INDEPENDENT AUDITORS' REPORT

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The Board of Trustees  
Carnegie Corporation of New York:

We have audited the accompanying balance sheets of Carnegie Corporation of New York as of September 30, 1998 and 1997, and the related statements of changes in unrestricted net assets and cash flows for the years then ended. These financial statements are the responsibility of the Corporation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards. 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 audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Carnegie Corporation of New York as of September 30, 1998 and 1997, and the changes in its net assets and its cash flows for the years then ended in conformity with generally accepted accounting principles.

**KPMG LLP**

KPMG LLP  
New York, New York

December 23, 1998

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**BALANCE SHEETS**

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September 30, 1998 and 1997

	<u>1998</u>	<u>1997</u>
<b>Assets</b>		
Cash	\$ 1,540,616	\$ 128,727
Investments — note 3	1,436,361,797	1,536,238,576
Accrued investment income	3,023,042	5,742,674
Prepaid expenses and other assets	71,707	81,649
Fixed assets — note 4	678,698	1,180,152
Total assets	<u>\$1,441,675,860</u>	<u>\$1,543,371,778</u>
<b>Liabilities and net assets</b>		
Liabilities		
Grants payable	\$ 19,255,500	\$ 16,687,215
Accounts payable and other liabilities	2,113,858	9,388,978
Taxes payable, net — note 5	8,970	600,457
Deferred taxes payable — note 5	8,462	4,332,279
Total liabilities	<u>21,386,790</u>	<u>31,008,929</u>
Net assets		
Unrestricted	1,284,952,202	1,377,025,981
Permanently restricted (no change)	135,336,868	135,336,868
Total net assets	<u>1,420,289,070</u>	<u>1,512,362,849</u>
Total liabilities and net assets	<u>\$1,441,675,860</u>	<u>\$1,543,371,778</u>

*See accompanying notes to financial statements.*

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**STATEMENTS OF CHANGES IN UNRESTRICTED NET ASSETS**

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for the years ended September 30, 1998 and 1997

	<u>1998</u>	<u>1997</u>
<b>Investment income</b>		
Interest and dividends	\$ 40,792,860	\$ 43,990,805
Income from partnerships, net	24,025,042	27,987,249
Net realized gain on investment transactions	<u>125,153,435</u>	<u>116,276,716</u>
Total realized investment income	189,971,337	188,254,770
Less investment expenses	<u>4,378,051</u>	<u>4,607,400</u>
Net realized investment income	<u>185,593,286</u>	<u>183,647,370</u>
<b>Expenses</b>		
Grant appropriations, net	34,474,784	53,520,182
Appropriations for projects administered by officers, net	4,864,702	5,002,248
General administration, program management, and direct charitable activities	11,523,954	13,336,735
Provision for taxes, net — note 5	<u>4,278,865</u>	<u>2,590,797</u>
Total expenses	<u>55,142,305</u>	<u>74,449,962</u>
<b>Excess of net realized investment income over expenses</b>	130,450,981	109,197,408
Increase (decrease) in unrealized appreciation of investments, net of related deferred federal excise tax (credit) of \$(4,541,321) in 1998 and \$2,143,405 in 1997 — note 5	<u>(222,524,760)</u>	<u>105,026,852</u>
<b>Increase (decrease) in unrestricted net assets</b>	(92,073,779)	214,224,260
Unrestricted net assets, beginning of year	<u>1,377,025,981</u>	<u>1,162,801,721</u>
<b>Unrestricted net assets, end of year</b>	<u>\$1,284,952,202</u>	<u>\$1,377,025,981</u>

*See accompanying notes to financial statements.*

## STATEMENTS OF CASH FLOWS

for the years ended September 30, 1998 and 1997

	1998	1997
<b>Cash flows from operating activities:</b>		
Change in net assets	\$ (92,073,779)	\$ 214,224,260
Adjustments to reconcile change in net assets to net cash provided by (used in) operating activities:		
Change in unrealized appreciation of investments	227,066,081	(107,170,257)
Net realized gain on investment transactions	(125,153,435)	(116,276,716)
Depreciation and amortization	592,174	739,197
Deferred federal excise tax provision	(4,323,817)	1,758,568
Total adjustments	98,181,003	(220,949,208)
Change in accrued investment income, prepaid expenses, and other assets	2,729,574	1,652,491
Change in grants payable, accounts payable and other liabilities, and taxes payable	(5,298,322)	(1,500,736)
Net cash provided by (used in) operating activities	3,538,476	(6,573,193)
<b>Cash flows from investing activities:</b>		
Proceeds from sales or redemptions of investments	1,898,360,699	1,705,042,618
Purchases of investments	(1,900,396,566)	(1,698,466,096)
Purchases of fixed assets	(90,720)	(131,337)
Net cash (used in) provided by investing activities	(2,126,587)	6,445,185
<b>Change in cash</b>	1,411,889	(128,008)
Cash, beginning of year	128,727	256,735
<b>Cash, end of year</b>	\$ 1,540,616	\$ 128,727

*See accompanying notes to financial statements.*

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## NOTES TO FINANCIAL STATEMENTS

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for the years ended September 30, 1998 and 1997

(1) Organization:

Carnegie Corporation of New York is a philanthropic foundation that was created by Andrew Carnegie in 1911 to promote the advancement and diffusion of knowledge and understanding. The Corporation has a policy of selecting a few areas at a time in which to concentrate its grants.

(2) Summary of significant accounting policies:

The accompanying financial statements have been prepared on the accrual basis of accounting.

Fixed assets are stated at cost. Depreciation is calculated on a straight-line basis over the estimated lives of the related assets. Leasehold improvements are amortized over the remaining life of the lease.

For purposes of the statements of cash flows, cash includes all uninvested cash of the Corporation.

The resources of the Corporation consist of permanently restricted and unrestricted net assets. Permanently restricted net assets represent the original sums received from Andrew Carnegie, who, by the terms of the conveying instrument, stipulated that the principal may never be expended.

The fair value of investments has been determined as indicated in note 3. The carrying amount of cash, accrued investment income, prepaid expenses and other assets, grants payable, and accounts payable and other liabilities approximates fair value because of the short maturity of these financial instruments.

The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

(3) Investments:

Equities, fixed income securities, and due to brokers, net, are reported on the basis of quoted market value. Limited partnerships and similar interests are reported at fair value based on financial statements and other information received from the partnerships. The general partner determines the fair value of securities using quoted market prices, if available, or using other valuation methods, including independent appraisals.

## NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1998 and 1997

Investments are composed of the following at September 30, 1998 and 1997:

	September 30, 1998		September 30, 1997	
	Cost	Market/Fair Value	Cost	Market/Fair Value
Equities	\$ 522,181,037	\$ 466,039,736	\$ 406,385,533	\$ 526,417,387
Fixed income				
Short term	119,292,163	125,447,998	175,959,923	184,129,767
Long term	317,012,080	324,684,895	334,308,542	345,876,458
Limited partnerships and similar interests				
Hedge funds	173,025,919	196,328,693	159,260,605	230,163,739
Absolute return	161,764,012	159,574,739	150,052,830	158,868,912
Real estate	92,005,286	98,885,065	49,904,861	48,055,702
Private equity	49,819,587	65,702,809	34,139,725	44,879,925
Due to brokers, net	(107,106)	(302,138)	(2,208,343)	(2,153,314)
<b>Total</b>	<b><u>\$1,434,992,978</u></b>	<b><u>\$1,436,361,797</u></b>	<b><u>\$1,307,803,676</u></b>	<b><u>\$1,536,238,576</u></b>

The Corporation uses a market-neutral strategy whereby it purchases long and sells short equities for approximately equal amounts. Equities owned in the market-neutral strategy are recorded net in the Corporation's financial statements. U.S. equities sold but not yet purchased (short sales) in this strategy are valued at \$37.7 million at September 30, 1998. At September 30, 1997, U.S. equities sold but not yet purchased totaled \$69.2 million. Required cash collateral for the short sales is held by the broker, and required collateral in the form of equities is pledged to the broker and held by a third-party safekeeping bank.

As a result of its investing strategies, the Corporation is a party to off-balance-sheet index futures contracts. The Corporation's investment advisors use index future contracts to manage both short-term asset allocation and the duration of the fixed income portfolio. Changes in the market value of these futures contracts are recognized currently in the statement of changes in unrestricted net assets, using the

marked-to-market method. However, off-balance-sheet index futures contracts involve, to varying degrees, elements of market risk and credit risk in excess of the amounts recorded on the balance sheet. Market risk represents the potential loss the Corporation faces due to the decrease in the value of the off-balance-sheet financial instruments. Credit risk represents the potential loss the Corporation faces due to the inability of counterparties to meet the terms of their contracts.

## NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1998 and 1997

The table below summarizes the long and short exchange-traded financial futures positions at September 30, 1998, and September 30, 1997.

	September 30, 1998		September 30, 1997	
	Net number of contracts- long/(short)	Contract value in \$ millions	Net number of contracts- long/(short)	Contract value in \$ millions
<u>Index futures contracts</u>				
S&P 500	—	\$ —	29	\$13.8
Non-U.S. equity				
Long	69	4.0	34	3.3
Short	(34)	(2.6)	(16)	(1.1)
30-year Treasury bond	119	15.6	524	60.4
10-year Treasury note	(148)	(18.0)	(40)	(4.4)
5-year Treasury note	(144)	(16.6)	437	46.9
2-year Treasury note	—	—	132	27.3
Municipal bond	48	6.2	—	—

The margin requirements on deposit with third-party safekeeping banks for index futures contracts were approximately \$1.2 million at September 30, 1998, and \$2.6 million at September 30, 1997.

The partnerships in which the Corporation invests may also hold index futures and options. These positions are not included in the table above.

The Corporation permits its investment managers to use forward foreign exchange contracts to manage the currency risk inherent in owning securities denominated in foreign currencies. In a forward foreign currency transaction, the Corporation agrees to exchange one currency for another on an agreed-upon

date at an agreed-upon exchange rate. At September 30, 1998, the Corporation held forward currency buy contracts and sell contracts with notional amounts totaling \$10 million and \$13 million, respectively. At September 30, 1997, the Corporation held forward currency buy contracts and sell contracts with notional amounts totaling \$10 million and \$47.6 million, respectively. Such contracts involve, to varying degrees, risks of loss arising either from the potential change in market prices or from the possible inability of counterparties to meet the terms of their contracts. Changes in the value of forward foreign currency contracts are recognized as unrealized gains or losses until such contracts are closed.

The Corporation's investment advisors monitor the financial condition of the firms used for futures and forward foreign currency trading in order to minimize the risk of loss. Exposure limits are placed on firms relative to their credit worthiness. Management does not anticipate that losses, if any, resulting from credit or market risk would materially affect the financial statements.

## NOTES TO FINANCIAL STATEMENTS

for the years ended September 30, 1998 and 1997

(4) Fixed assets:

Fixed assets are composed of the following at September 30, 1998 and 1997:

	1998	1997
Leasehold improvements	\$3,871,650	\$3,871,650
Furniture and equipment	<u>2,776,745</u>	<u>2,686,025</u>
	6,648,395	6,557,675
Less: Accumulated amortization and depreciation	<u>(5,969,697)</u>	<u>(5,377,523)</u>
Total	<u>\$ 678,698</u>	<u>\$1,180,152</u>

(5) Taxes:

The Corporation is liable for federal excise taxes of 2 percent of its net investment income, as defined, which includes realized capital gains, for the year. However, this tax is reduced to 1 percent if certain conditions are met. The Corporation did not meet the requirements for the reduced tax for 1998 but did for 1997. Therefore, current taxes are estimated at 2 percent of net investment income, as defined, for 1998 and at 1 percent for 1997.

Deferred taxes represent 2 percent of unrealized appreciation of investments at September 30, 1998 and 1997, as qualification for the 1 percent tax is not determinable until the fiscal year in which gains are realized.

During 1998, the Corporation had unrelated business income of \$660,000 from certain investment partnership activities. Taxes of \$238,000 on this income are calculated using applicable corporate tax rates and are included in the provision for taxes.

The Corporation paid estimated federal excise taxes of \$3,725,000 in 1998 and \$2,150,000 in 1997. The Corporation also paid estimated federal unrelated business income taxes of \$235,000 in 1998 and \$225,000 in 1997.

(6) Benefit plans:

The Corporation purchases annuities for qualifying employees under the terms of a noncontributory, defined contribution retirement plan with Teachers Insurance and Annuity Association and College Retirement Equities Fund. Retirement plan expense for the years ended September 30, 1998 and 1997, was \$905,180 and \$967,076, respectively.

In addition, the Corporation has a noncontributory defined benefit annuity plan to supplement the basic plan described above. This plan is also administered by Teachers Insurance and Annuity Association and College Retirement Equities Fund. Contributions to this plan are based on actuarial calculations. No contribution was required in 1998 or 1997. At December 31, 1997, the assets of the plan exceeded the actuarial present value of accumulated plan benefits by approximately \$948,000.

In addition, the Corporation provides certain medical benefits to its retirees. The cost of providing these benefits was \$85,890 in 1998 and \$78,161 in 1997, on a pay-as-you-go basis.

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## NOTES TO FINANCIAL STATEMENTS

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for the years ended September 30, 1998 and 1997

(7) Lease:

The Corporation occupies office space at 437 Madison Avenue under two lease agreements. One lease expires December 31, 2003. The second lease expires on February 28, 2001.

The following is a schedule of the future minimum lease payments at September 30, 1998.

<u>Fiscal year ending September 30</u>	
1999	\$1,139,366
2000	1,232,866
2001	1,267,194
2002	1,254,000
2003	1,254,000
2004	313,500
	<u>\$6,460,926</u>

Rental expense for 1998 and 1997, including escalations, was \$656,411 and \$1,741,134, respectively. Rent for 1998 is net of free rent and work contributions totaling \$775,500 under a new lease agreement that began in January 1998.

Report  
of the  
Secretary

**A**t its meeting on October 8, 1998, the board of trustees of Carnegie Corporation of New York approved changes in the foundation's constitution and bylaws with respect to committees of the board and officers of the Corporation. These changes took effect immediately and are reflected in the trustee and staff lists on pp. 100 through 104.

During the 1997-98 year, the Corporation conducted a thorough review of its current program areas and explored new areas. The resulting plans for grantmaking focus were discussed in detail at the board meetings held June 10-11 and October 8, 1998. Following the October meeting, the Corporation's new program was announced to the public. Further information about the program begins on p. 89.

The January 8, 1998, annual meeting of the board of trustees marked the end of service for five trustees: James P. Comer, Wilma Tisch, and James D. Watkins retired from the board at the completion of their term; Richard F. Céleste and Condoleezza Rice resigned because of other commitments. At the same meeting, Thomas H. Kean was re-elected chairman of the board. Helene L. Kaplan was elected vice chairman, succeeding Dr. Comer. Vincent Mai was re-elected to a four-year term as trustee through the annual meeting in 2002.

Martin L. Leibowitz was elected to a four-year term on the board at the June meeting. Mr. Leibowitz, who has served as a member of the Corporation's external investment advisory group since the fall of 1995, is vice chairman and chief investment officer for TIAA-CREF. Previously, he was for more than twenty-six years associated with Salomon Brothers, Inc., where he was a managing director, director of research for both fixed income and equities, and a member of the firm's executive committee.

Olara A. Otunnu was elected to a four-year term as trustee at the October 1998 meeting. Earlier that year, Mr. Otunnu received a three-year appointment as the United Nations Secretary-General's Special Representative for Children and Armed Conflict. From 1990 to 1998, he was president of the UN-affiliated International Peace Academy. Mr. Otunnu earlier served as

Uganda's minister of foreign affairs and as the permanent representative of Uganda to the United Nations. His UN service included terms as president of the Security Council, vice president of the UN General Assembly, chairman of the UN Commission on Human Rights, and chairman of the African Group.

Elections were held in January 1998 for one-year terms on the finance and administration committee. James A. Johnson served as chairman; other committee members elected in January were Ms. Kaplan, Mr. Mai,

## Corporate Update

and James J. Renier. Mr. Leibowitz was elected to the committee in June, when he was elected to the board. Mr. Kean and Mr. Gregorian serve *ex officio*. The committee was superseded by the planning and finance committee and the investment management committee under the changes made in October 1998.

During the 1997-98 year, the members of the nominating committee were Henry Muller, chairman, Mr. Gregorian, Teresa Heinz, and Marta Tienda. The committee's responsibilities for identification and recommendation of new members of the board of trustees is now in the purview of the committee on trustees.

The agenda committee, an ad hoc committee of the board since 1981, did not meet in 1997-98. Under the new committee structure, it no longer exists.

At the October 1998 meeting, the board of trustees approved changes to the Corporation's constitution that created four new standing committees of the board. The board of trustees as a whole serves as a program committee, reserving the right to establish appropriate subcommittees from time to time to familiarize itself with programs of the Corporation.

The planning and finance committee consists of the chairman, the president, and not more than five other members of the board, elected by majority of the board each year at the annual meeting. The committee chairman is elected annually by members of the committee. The committee will recommend the annual budget to the board of trustees and will consider other matters of administration at the request of the president or the board. Elected in October 1998 to serve until the annual meeting in February 1999 were Mr. Johnson (chairman), Ms. Kaplan, Mr. Mai, and Mr. Muller. Mr. Gregorian and Mr. Kean serve *ex officio*.

The investment management committee consists of the chairman, the president, and not more than five other members of the board, elected by majority of the board each year at the annual meeting. The committee chairman is elected annually by members of the committee. The committee is responsible for guiding and overseeing investment of the Corporation's endowment. Elected in October 1998 to serve until the annual meeting in February 1999 were Mr. Mai (chairman),

Mr. Johnson, Ms. Kaplan, and Mr. Leibowitz. Mr. Gregorian and Mr. Kean serve *ex officio*.

The committee on trustees consists of the chairman, the president, and at least four other members of the board, elected by majority of the board each year at the annual meeting. The committee chairman is elected annually by members of the committee. The committee considers possible new members of the board of trustees to fill vacancies and makes nominations for the election of new trustees. It also makes nominations for the offices of chairman and vice chairman of the board and for membership in the standing committees of the board or subcommittees of the program committee. Elected in October 1998 to serve until the annual meeting in February 1999 were Mr. Muller (chairman), Ms. Heinz, Mr. Mai, Mr. Renier, and Ms. Tienda.

During the 1997-98 fiscal year, the board of trustees met on October 9, 1997, and on January 8, April 9, and June 10-11, 1998.

## MILESTONES

The changes in the Corporation's constitution and bylaws approved at the October 1998 meeting included the creation of two new vice presidential positions, one to be chief administrative officer and the other to be chief investment officer. At the same meeting, the board approved appointments to fill both positions.

Edward Sermier was appointed vice president and chief administrative officer beginning December 1, 1998. He served as chief financial officer of the New York Philharmonic since 1992. From 1990 to 1992 he was deputy director in the office of operations of the Office of the Mayor, New York City, and from 1988 to 1990 he was deputy vice president, capital budget and strategic planning, at the New York City Transit Authority. He is a graduate of Manhattan College and holds a M.B.A. from Columbia University.

D. Ellen Shuman was appointed vice president and chief investment officer beginning January 1, 1999. From 1986 to 1998, she was director of investments at Yale University, where she managed the real estate and capital market activities of the university's \$6.5 billion endowment portfolio. She graduated from Bowdoin College and received a masters in public and private management from the Yale School of Management.

Frederic Mosher retired in September 1998, ending a varied and distinguished career at the Corporation that spanned four decades. He joined the staff in 1962, working first in the International Program and later in the Commonwealth Program. In both, he monitored the Corporation's grantmaking to universities in Africa, the Caribbean, and the South Pacific. In the 1960s, he directed a program in Governmental Affairs that sought to strengthen state governmental institutions. From 1970 to 1982 he developed and ran a program in elementary and secondary education. From 1982 to 1992 he was chair of the Avoiding Nuclear War program (which subsequently became the Cooperative Security program and then the Preventing Deadly Conflict program). As senior policy analyst since 1992, he turned his interests once again to education issues, working closely with the Education and Healthy Development of Children and Youth program and in particular with the Corporation's Task Force on Learning in the Primary Grades.

Anthony W. Jackson, program officer in the Children and Youth program, left the Corporation in October 1998 to become director of the Learning Initiative at the Disney Corporation. He joined the Corporation in 1987 as a staff member of the Carnegie Council on Adolescent Development, where he directed the work of the Task Force on Education of Young Adolescents. Following the publication of the task force's report, *Turning Points: Preparing American Youth for the 21st Century*, Mr. Jackson moved to the Corporation's New York office to head a major, multi-year grantmaking initiative to reform middle grade education, the Middle Grade School State Policy Initiative. As a consultant to the Corporation, he will

prepare a volume reflecting the lessons learned in the initiative's ten years, *Turning Points 2000*, for publication in 1999.

## CORPORATION PUBLICATIONS AND DISSEMINATION

The Corporation undertakes a variety of efforts to make the results of its grants and programs available to the public. In addition to the annual report and president's essay, the Corporation issues the *Carnegie Quarterly*, a serial publication launched in 1956. The *Quarterly* examines particular areas of grantmaking activity or Corporation-sponsored programs, often addressing issues of national and international importance.

During 1997-98, as a product of the Corporation's review of its program areas, three meeting reports were published and are available upon request: *Carnegie Corporation's Youth Intergroup Relations Initiative*, *New Directions for Africa*, and *Russia, the Caucasus, Central Asia, and Ukraine*.

The Carnegie Commission on Preventing Deadly Conflict released its final report at an international meeting held in Washington, D.C., in December 1997. The report is one of a number of the commission's publications released in 1997-98. Selected additional titles are listed on pp. 58 through 62; the full list of publications is available on the commission's Web site ([www.ccpdc.org](http://www.ccpdc.org)). The commission will disseminate the results of its work through the end of 1999.



SECRETARY

# Program Guidelines 1998-99

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

## OPERATIONS

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

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

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

## PROGRAM DESCRIPTIONS

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

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

#### EDUCATION

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

To remain globally competitive, with vigorous democratic institutions reinforcing the nation's common bonds while respecting differences, the United States must strive to offer real opportunity to all the members of its pluralistic society. By adulthood, every young American must acquire the skills, knowledge, and values to participate fully in national and world affairs. The American education system, however, was designed for an earlier age, when the intention was to prepare most children for a world that relied primarily on physical labor and, by today's standards, simple

machinery. Today, the nation cannot afford to allow the majority of its young people to fall short of their academic promise. It is urgent that the educational structures inherited from the industrial age be revitalized and adapted to fit the new economic, technological, and social context.

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

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

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

**Early Childhood Education and Care.** Cumulative research evidence from neuroscience, psychology, and physiology indicates that the most rapid physical and mental growth occurs during infancy and early childhood. The early years are thus critical to the development of intelligence, motivation, and social behavior throughout the life span. The traditional emphasis of

public investment on the education of children of school age is outmoded in light of evidence from research on the importance of early learning and the extensive participation of women with preschool children in the labor force.

At present, child care and early childhood education services constitute a patchwork of poorly financed, unevenly staffed, and scattered programs. Working families in need of such services have only limited access to affordable, high-quality programs. As a consequence, millions of children are entering school without the benefit of important experience in language, numeracy, and social development. In their progress from preschool through the early grades, moreover, many children, especially in urban settings, lose their natural curiosity and enthusiasm for learning. Failure to master basic skills such as reading and arithmetic by the third grade places children at high risk for special education and is a strong predictor of academic, social, and health problems later on.

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

**Urban School Reform.** Over the past decade, considerable progress has been made in upgrading the quality of public education nationwide, and there are

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

In the coming year the Corporation will pursue several avenues for scaling up reforms in urban school districts and for stimulating effective solutions across the nation. These include analyses of progress and barriers to change in a number of cities; identification and dissemination of effective district practices with respect to key roles, such as professional development of teachers; assistance for local school change; the institution of accountability mechanisms; and mobilization of public support. The Corporation will also support analyses of the patterns of recruitment and training of urban school principals and superintendents and help to devise better models of preparation to meet the dramatically changing nature of their roles.

Finally, the foundation will build on its work on community/after-school supports for children and adolescents, seeking to foster research on the increasing availability and success of after-school and extended-service programs that promote academic achievement, particularly for students in urban areas.

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

The Corporation will concentrate initially on the dissemination of the best models of teacher education to encourage their wider adoption; on assistance to governors and other state policymakers in developing incentives and accountability mechanisms to promote more

widespread change; and on promoting broader public understanding of the importance of teaching quality.

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

#### INTERNATIONAL PEACE AND SECURITY

The International Peace and Security program will largely build on previous activities of the Corporation related to the nonproliferation of weapons of mass

destruction, development in Russia and the other post-Soviet states, and U.S.-Russian relations, with the discontinuation of some major themes. The new emphases will be commensurate with the changing global security environment, in which such factors as terrorism and resource scarcity may play a more prominent role in arms proliferation, internecine strife, and international relations. The program will seek to bring the best available knowledge to bear on problems of world peace and security and draw public and policy attention to critical issues through analysis and dissemination of the findings to policymakers, scholars, the media, and the general public. Longer-term grants will be made to a smaller number of independent centers of excellence in policy research and analysis. More stress will be placed on project support rather than on general operating support. Other vehicles for the Corporation's grant-making will include bilateral and multilateral working groups on critical issues; conferences and workshops; training fellowships; and scholarly exchanges. Some initiatives will be taken in cooperation with other funders. The program will have three specific foci:

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

**Nonproliferation of Weapons of Mass Destruction.**

As the threat of the deliberate use of nuclear weapons by the major nuclear states has diminished substantially since the end of the Cold War, the threat of inadvertent or unauthorized use has risen. Economic and political uncertainties in Russia are one source of concern, but the Asian continent may well pose the gravest arms-control

challenge for the next century. Added to the nuclear problem is the spread of chemical and biological weapons worldwide. The foundation will continue to support work to ensure further reductions in weapons of mass destruction, the security of their storage, and the safety of their command and control systems. It will also support efforts aimed at integrating China into a wider arms control regime and award grants to heighten the awareness of policymakers on a range of arms-control challenges in South and East Asia.

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

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

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

#### INTERNATIONAL DEVELOPMENT

The Corporation's assistance to the African continent began in 1926, aimed at building African university systems and libraries in Commonwealth countries through the 1960s. In the 1970s it promoted the practice of public interest law in South Africa and, in the 1980s and 1990s, fostered science and technology policy development, research on women's health, education, and legal status, and the use of electronic information systems in key scientific and academic institutions. In the new program on International Development, the Corporation will return to its historical interests in higher education and library development in Commonwealth Africa. It will place special emphasis on women's undergraduate education, reflecting its conviction that national development must include women's development. The Corporation will also explore a few discrete opportunities in the area of the rule of law. The Corporation will not accept unsolicited proposals for International Development until after October 1999. The following themes define the program:

- 1) *Strengthening African Universities*
- 2) *Enhancing Women's Opportunities in Higher Education*
- 3) *Revitalizing Public Libraries*
- 4) *Rule of Law*

**Strengthening African Universities.** A major factor limiting social, economic, and political progress in sub-Saharan Africa is the weakness of national institutions responsible for the creation, assessment, dissemination, and application of knowledge. African universities over the past two decades have suffered

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

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

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

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

## DEMOCRACY

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

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

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

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

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

**Intergroup Relations.** Central to the healthy functioning of our pluralistic society is the growth of democratic mechanisms for sorting out tensions among the nation's many religious, ethnic, cultural, and language groups and for opening the pathways for the

development of individual talent among all peoples. Many young people in the United States are growing up not only educationally disadvantaged but deficient in the requirements of full citizenship, which includes the exercise of tolerance and the understanding of others. Although discrimination continues to be addressed legally, certain problematic cultural conventions and assumptions remain unresolved.

The Democracy program's work on intergroup relations will bridge that of Education, which is winding up its support of school-based research on youth intergroup relations. Still in development, the program will search for effective ways of fostering continued public dialogue around issues of race, ethnicity, and religion in American society; promoting the full participation of new immigrants and new citizens in American civic life; and addressing the social and economic implications of an aging society. No unsolicited proposals will be accepted at this time.

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

#### SPECIAL PROJECTS

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

#### CARNEGIE FELLOWSHIP PROGRAM

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

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

### HOW TO APPLY FOR A GRANT

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

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

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

► What problem does your project address? Why is this issue significant? What is the relationship of the problem/issue to the Corporation's program, as outlined in the foundation's descriptive materials?

► How will your project or activity deal with the stated problem? What do you intend to demonstrate or prove? What means will you use, and what methodology will you apply? If the project is already under way, what have you accomplished so far?

► What outcomes do you expect for the project, both immediate and long term? How will you determine the success or effectiveness of your work?

► What strengths and skills do the organization and personnel bring to this project? What makes this organization the right one to conduct this project?

► What is the overall cost of the project? How much are you requesting from Carnegie Corporation over how long a period? What other sources of support are you pursuing for this project?

► What plans do you have to disseminate information to the public about your project?

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

### RESTRICTIONS

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

In addition to these general restrictions, there are specific criteria for the acceptance of proposals pertaining

to three of the program areas, other than those indicated in the program statement.

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

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

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

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*919 Third Avenue, Room 29-72*

*New York, New York 10022*

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*President, Carnegie Corporation of New York*

*437 Madison Avenue*

*New York, New York 10022*

**Teresa Heinz**

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*1201 Pennsylvania Avenue, NW, Suite 619*

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*3900 Wisconsin Avenue, NW*

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*New York, New York 10017*

---

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*President and Chief Executive Officer*

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*65 East 55th Street, 27th Floor*

*New York, New York 10022*

**Shirley M. Malcom**

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*1200 New York Avenue, NW*

*Washington, D.C. 20005*

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*New York, New York 10020*

**Sam Nunn**

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**Olara A. Otunnu**

*Special Representative of the Secretary-General for Children and Armed Conflict*

*United Nations*

*1 United Nations Plaza, Room S3161*

*New York, New York 10017*

---

\*Through February 2, 1999

---

James J. Renier

*Renier & Associates*

*P.O. Box 116*

*Loretto, Minnesota 55357*

Raymond W. Smith

*Chairman*

*Bell Atlantic Venture Fund*

*1310 North Courthouse Road, Eleventh Floor*

*Arlington, Virginia 22201*

Marta Tienda

*Professor of Sociology*

*Office of Population Research*

*Princeton University*

*21 Prospect Road*

*Princeton, New Jersey 08544*

Judy Woodruff

*Anchor and Senior Correspondent*

*Cable News Network*

*820 First Street, NE, Eleventh Floor*

*Washington, D.C. 20002*

Caryl P. Haskins, *Honorary Trustee*

*1545 Eighteenth Street, NW*

*Washington, D.C. 20036*

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---

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Richard Brown, *Mailroom Clerk*

---

<sup>1</sup> *Part time*

<sup>2</sup> *Through October 9, 1998*

<sup>3</sup> *Through December 4, 1998*

<sup>4</sup> *Through January 5, 1999*

<sup>5</sup> *Through January 4, 1999*

<sup>6</sup> *Staff members who have more than one responsibility are  
listed only once*

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# The Carnegie Philanthropies

**A**ndrew Carnegie was born in Scotland in 1835. He came to the United States with his family in 1848 and went to work as a bobbin boy in a cotton mill. After a succession of jobs with Western Union and the Pennsylvania Railroad, he eventually resigned to establish his own business enterprises and, finally, the Carnegie Steel Company, which launched the huge steel industry in Pittsburgh. At the age of 65, he sold the company and devoted the rest of his life to writing, including his autobiography, and to philanthropic activities, intending to give away \$300 million. He gave away \$311 million.

Gifts to hundreds of communities in the English-speaking world helped to make his idea of the free public library as the people's university a reality. In all, 2,509 libraries were built with Carnegie funds. His endowment of the Carnegie Institute in Pittsburgh brought important educational and cultural benefits to the community in which he made his fortune. From experience he knew the importance of science applied to commerce and industry, and he provided for technical training through the Carnegie Institute of Technology. By establishing the Carnegie Institution of Washington, he helped to stimulate the growth of knowledge through providing facilities for basic research in science.

Mr. Carnegie set up the Carnegie Trust for the Universities of Scotland to assist needy students and to promote research in science, medicine, and the humanities. For the betterment of social conditions in his native town of Dunfermline, Scotland, he set up the Carnegie Dunfermline Trust. To improve the well-being of the people of Great Britain and Ireland, he established the Carnegie United Kingdom Trust.

In the United States, he created The Carnegie Foundation for the Advancement of Teaching primarily as a pension fund for college teachers and also to promote the cause of higher education. To work for the abolition of war, he established the Carnegie Endowment for International Peace. To recognize heroism in the peaceful walks of life as being as worthy as valor in battle, he created funds in the United States, the United Kingdom, and nine European countries to make awards for acts of heroism. In contributing to the construction of the Peace Palace at The Hague, the Pan American Union Building in Washington, and the Central American Court of Justice in Costa Rica, he further expressed his belief in arbitration and conciliation as substitutes for war.

In 1911, having worked steadily at his task of giving away one of the world's great fortunes, Mr. Carnegie created Carnegie Corporation of New York, a separate foundation as large as all his other trusts combined.

Each of the Carnegie agencies has its own funds and trustees and each is independently managed.

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## CREDITS

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### DESIGN

The Office of Eric Madsen, Minneapolis, MN

### PRINTING

Watt/Peterson, Inc., Minneapolis, MN

### TYPOGRAPHY AND PAPER

The text of this annual report is set in Caxton. Headlines are set in Century Light Condensed. The paper stock is Utopia Two Matte (recycled) 80 lb. Cover and Text.

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## OBTAINING INFORMATION ON CARNEGIE CORPORATION

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Those requesting general information receive the latest version of the Corporation's information pamphlet and the most recent *Newsline* listing grants and appropriations. Those requesting information on terms for submitting a grant request receive the 1998-99 program guidelines.

*Mail:* To have information sent to you, write to the Corporation, at 437 Madison Avenue, New York, NY 10022, or telephone (212) 207-6289 (Carnegie information center voice mail). The information will be sent by first class mail within one week of receipt of the request.

*Faxback:* For callers from the United States only, to receive information by return fax, call (212) 223-9871.

*Internet:* General information and selected Carnegie Corporation publications are available on the Internet by accessing [www.carnegie.org](http://www.carnegie.org) on the World Wide Web.