

**SMITH RICHARDSON
FOUNDATION, INC.**

ANNUAL REPORT 2000

CONTENTS

- 1 President's Letter
- 5 2000 Grant Awards:
International Security and
Foreign Policy Program
- 25 2000 Grant Awards:
Domestic Public Policy Program
- 40 2000 Grant Awards:
Direct Service
- 41 Management's Financial Report
- 42 Financial Statements
- 47 Procedures
- 48 Trustees, Governors, and Officers
- 49 Staff and Office Locations
- 51 History

PRESIDENT'S LETTER

The mission of the Smith Richardson Foundation is to contribute to important public debates and to help address serious public policy challenges facing the United States. The Foundation seeks to help ensure the vitality of our social, economic, and governmental institutions. It also seeks to assist with the development of effective policies to compete internationally and to advance U.S. interests and values abroad. This mission is embodied in our international and domestic grant programs.

International Security and Foreign Policy

The International Security and Foreign Policy Program supports research and policy projects on issues central to the strategic interests of the United States. The objective of the program is to assist the U.S. policy community to develop an effective national security strategy and supporting foreign policy. The Foundation's Trustees take the view that, although today's international problems differ significantly from those of the cold war era, the United States continues to face the fundamental challenges of enhancing international order and advancing American interests and values abroad.

Within this broad mandate, the International Security and Foreign Policy Program has a number of priority areas of interest. During the past year, we have sought to illuminate political and economic developments that affect regions critical to U.S. interests and strategy, including Europe, the former Soviet Union, and Asia. We continued to seek to define and analyze important new challenges and opportunities in today's security environment, such as the proliferation of weapons of mass destruction, the revolution in military affairs, and homeland defense. We maintained our support for projects that develop recommendations for U.S. strategy and policy toward important regions and countries and regarding key functional issues, such as the U.S. military force structure. Within the academic community, we continued to support policy-relevant strategic studies and underwrite historical research with clear implications or lessons for current policy.

The following grants illustrate the types of projects supported by the International Security and Foreign Policy Program:

- **Carnegie Endowment for International Peace:** This project will examine the politics surrounding issues of political reform in China by commissioning analysis and convening seminars that bring together analysts from the West and China.
- **Center for Strategic and Budgetary Assessment:** The center will conduct research and analysis on how the U.S. armed forces should adapt to the post-cold war security environment and the revolution in military affairs.

- **Hudson Institute:** The institute will assess the magnitude of the political, economic, military, social, and cultural dimensions of U.S. international primacy, as well as trends affecting U.S. national power.
- **Jamestown Foundation:** The foundation will publish its daily and bi-weekly reports on political, economic, and geopolitical developments in the former Soviet Union.
- **Johns Hopkins University, Paul H. Nitze School of Advanced and International Studies:** This project provides support for the Central Asia-Caucasus Institute's meetings, conferences, and research and analysis on the region.
- **National Committee on American Foreign Policy:** The committee will organize a series of roundtable meetings involving policy experts from China, Taiwan, and the United States to discuss U.S.-China relations and cross-strait relations.
- **National Institute for Public Policy:** The institute will identify and analyze the principal asymmetric challenges to U.S. national security and develop recommendations for responses to those challenges.

Domestic Public Policy

The Domestic Public Policy Program supports projects that will help the public and policy makers understand and address critical challenges facing the United States. An overarching goal of the Foundation's grant making is to support projects that help stimulate and inform important public policy debates. To that end, the Foundation supports research on and evaluation of existing public policies and programs, as well as projects that inject new ideas into public debates.

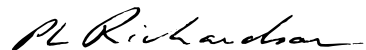
The Foundation is interested in a wide range of topics. During the past year, we have expanded our portfolio of grants on education and school reform, continued to support work on critical issues in public finance and regulation, and maintained our grant making in areas such as child care, child welfare, regulation, and criminal justice. We have supported a number of projects that look at the effectiveness of public and private efforts to improve the lives of at risk children and families, such as home visiting and tutoring programs. We have sought to expand our grant making to include projects that examine how economic and social changes are affecting important institutions, such as the family and the political process. In all of these areas, the Foundation seeks to support research, writing, and analysis to inform the thinking of policy makers and the public. It also seeks opportunities to support the development of innovative institutions and solutions that directly address issues in its areas of interest.

The following grants illustrate the types of domestic public policy projects supported by the Foundation:

- **The Brookings Institution:** This project will examine data on social and economic indicators in order to assess whether the quality of life for most Americans is improving.
- **Center for Policy Studies:** The center will assess how public authorities are holding charter schools accountable for results through a comprehensive examination of charter school renewal decisions across the country.
- **George Washington University:** This project will help to create the Campaign Finance Institute, which will sponsor research on many of the critical policy issues on the campaign finance policy agenda.
- **University of Florida:** This project will examine the effects on student achievement of Florida's standards-based education reform program.
- **The Urban Institute:** The institute will examine the federal budget process and assess how policy makers should make fiscal policy in an environment in which budget surpluses are forecast for the foreseeable future.

The Trustees of the Smith Richardson Foundation believe that the country's well-being depends on vigorous and capable domestic institutions and strong leadership around the world. They hope that through wise and strategic grant making they will enhance the capacity of the public and the policy making community to advance the interests of the nation as a whole.

In closing, I wish to recognize the great contribution made to the work of the Foundation by L. Richardson Preyer, who passed away earlier this year and who served for eighteen years as a Governor of the Foundation. Rich Preyer, a former federal district court judge and member of Congress from North Carolina, personified in his career the Foundation's values of seeking to develop practical and effective policies to address the country's pressing problems. While his insights and values will continue to shape the Foundation's grant making, he will be deeply missed by all of us who were privileged to have worked with him.



Peter L. Richardson
President

**INTERNATIONAL SECURITY AND FOREIGN POLICY
PROGRAM
2000 GRANTS**

The American Committees on Foreign Relations

Washington, DC

A National Speakers Program on Security Policy \$ 75,000

Kenneth Jensen will organize a nationwide speakers program on regional security and defense policy issues for groups interested in foreign policy.

American Enterprise Institute for Public Policy Research

Washington, DC

No Ordinary Country: U.S. Relations with Cuba, Past and Future \$ 60,000

Mark Falcoff will research and write a book on the future of Cuba after communism. He will analyze the key political, economic, and security issues that will confront the government of Cuba and the United States after the end of the Castro era.

The Prospects for American Sovereignty: Are Foreign 'Entanglements' Undermining the Constitution? \$ 125,000

John Bolton, Jeremy Rabkin, and Jack Goldsmith will commission research and convene a conference that will examine whether trends in international law may have a detrimental effect on American sovereignty or on the freedom of action necessary for the United States to exercise its global role.

American Foreign Policy Council

Washington, DC

Ending War in Afghanistan: The Opportunity Within Adversity \$ 142,743

Elie Krakowski will research and write a policy paper on new approaches to resolving the crisis in Afghanistan. He will conduct fieldwork, research and write policy analyses, and convene a series of working group meetings in order to provide the policy community with recommendations about how to stabilize the political situation in and around Afghanistan.

Documenting the Soviet Union's Cold War Challenge and America's Response in the Reagan Administration \$ 75,000

Sven Kraemer will lead an effort to develop a documentary and interpretative history of the Reagan administration's cold war strategy and policies. He will produce a set of two CD-ROMs containing original documents, reports, and statements from the Reagan period and write a book describing the elements and evolution of the Reagan strategy.

The Asia Foundation

San Francisco, CA

Development of Administrative Law in China \$ 100,000

Allen Choate and Stanley Lubman will convene a series of workshops and symposia in collaboration with officials of the National People's Congress to provide assistance in the process of developing a framework for administrative law in China.

The Atlantic Council of the United States

Washington, DC

National Missile Defense: European Attitudes and U.S. Policy \$ 50,000

Richard Nelson will convene a working group of U.S. defense policy experts to brief the European policy community on the rationale for the U.S. policy on national missile defense.

Boston University

Boston, MA

Quandaries of a Democratic Hegemon \$ 59,340

Andrew Bacevich will convene a colloquium and write a book on the internal challenges that face the United States in its exercise of global primacy. He will explore whether American society and institutions are adequately equipped to enable the United States to fulfill the responsibilities of global leadership. He will also assess how the global responsibilities of the United States can be reconciled with the constraints created by its democratic political system and culture.

The Brookings Institution

Washington, DC

Can the United States Lead? Societal Change and the Future of U.S. Foreign Policy

\$ 96,000

James Lindsay will research and write a book that will assess how changes in American society may affect the character of America's foreign policy over the next quarter century. He will describe demographic, economic, and technological trends in American society and assess how these trends are likely to affect the evolution of American foreign policy.

South Asia Project

\$ 100,000

Stephen Cohen will research and write a book on India's national security policy. He will also organize a series of seminars and roundtable meetings for members of the policy community concerned with South Asian issues.

Carnegie Council on Ethics and International Affairs

New York, NY

Foreign Policy Roundtable

\$ 50,000

Nicholas Rizopoulos will organize a forum at which prominent analysts of foreign and defense policy issues can present their research and analysis to leading journalists.

Carnegie Endowment for International Peace

Washington, DC

China Political Reform Project

\$ 125,000

Minxin Pei will research and analyze the state of political reform in China. He will also convene a series of meetings in China and in Washington at which American and Chinese scholars and analysts will make presentations and discuss issues concerning political reform.

The Fragmentation of Russia

\$ 50,000

Thomas Graham will research and write a book and articles on the process and implications of the collapse of state power in Russia. He will analyze the weakness of state power, track the dispersion of power, develop scenarios for Russia's future evolution, and provide policy analysis regarding the management of the U.S.-Russia relationship.

Center for Media and Security, Ltd.

New York, NY

*Enhancing Media and Public Understanding of Traditional
Defense Policy Issues*

\$ 102,769

Harry Disch will convene a series of meetings that bring senior military officers and civilian defense officials together with journalists who cover defense issues in an effort to stimulate informed coverage of traditional security issues in both the print and electronic news media.

Center for Strategic & International Studies Inc.

Washington, DC

*Sustaining the Nuclear Deterrent: Defining a Modernization Strategy
for U.S. Strategic Nuclear Forces*

\$ 100,000

Michele Flournoy and Clark Murdock will conduct and commission research on the modernization of U.S. strategic nuclear weapons systems. They will also convene expert working groups on issues related to the modernization of the U.S. nuclear weapons stockpile, strategic delivery vehicles, and strategic weapons systems.

Rising India and U.S. Policy Options in Asia

\$ 146,000

Teresita Schaffer will commission research and write a report on the evolution of India's geopolitical role and its implications for U.S. interests and policy. She will also convene a series of working group meetings and carry out a simulation on a South Asia crisis scenario.

*Bi-National Action Council: Shaping the Agenda for
U.S.-Mexico Relations in the New Century*

\$ 178,100

M. Delal Baer will organize a bi-national action council that will develop new ideas for the U.S.-Mexico bilateral agenda in collaboration with the Centro de Investigacion para el Desarrollo. She will bring together policy makers, scholars, analysts, and business leaders to discuss and endorse a set of proposals that will be presented to the new U.S. and Mexican presidential administrations.

Center for Strategic and Budgetary Assessments

Washington, DC

Thinking Out of the Box: Addressing America's

Future Military Strategy

\$ 390,000

Andrew Krepinevich will lead an analytical team that seeks to advance the policy community's thinking on the transformation of the U.S. armed forces in light of the changing post-cold war security environment and the revolution in military affairs. The project will organize activities to educate congressional, executive branch, and opinion leaders on alternative strategies to effect a transformation of the American military.

The Center for the Study of the Presidency

Washington, DC

Presidents and Nuclear Arms Control with the

Soviet Union/Russia: 1945-2000

\$ 75,000

Charles Sorrels will research and write a book on the history of U.S. arms control diplomacy with the Soviet Union and Russia. He will provide an interpretive account of 45 years of arms control policy making, with particular emphasis on the 1980s and 1990s, and will identify the lessons that should guide U.S. thinking about the use of arms control as a policy instrument in the future.

New Presidential Leadership Initiative for

National Security and Diplomacy

\$ 250,000

David Abshire will convene meetings of scholars, former policy makers, and congressional leaders in order to develop a report to the president-elect and Congress on the reform of national security policy process and U.S. strategy.

Chemical and Biological Arms Control Institute

Alexandria, VA

The Biological Weapons Convention Protocol Negotiations:

Implications for Security and Industry

\$ 50,000

Michael Moodie will prepare a rolling assessment and critique of the draft verification protocol of the Biological and Toxin Weapons Convention of 1972. He will undertake a baseline study of the draft protocol and periodic reviews of changes in the protocol after every negotiating session in Geneva.

Council on Foreign Relations Inc.

New York, NY

Brazil at 500 \$ 60,000

Kenneth Maxwell will research and write a book on Brazil's economic and political development. He will analyze the cultural, historical, and political factors that have limited Brazil's influence in the past and assess whether Brazil will play a more prominent role in international affairs in the future.

Protecting the Homeland: Rethinking the Role of Border Controls \$ 123,503

Stephen Flynn will research and write a book on how to balance the growing pressures for economic globalization with the need to police and protect U.S. borders against national security threats.

The Economics and National Security Fellows Program \$ 50,000

Leslie Gelb will create a fellows program focused on the relationship between economics and national security.

How Others See Us: The Effect of U.S. Hegemony on Relations with Russia, China, France, and Japan \$ 46,000

Victoria Nuland will write an article that examines the Clinton administration's management of U.S. primacy in its relations with four key states, Russia, China, France, and Japan.

Technological Change and the Future of East Asian Security \$ 133,870

Michael Green will research and write a book about the implications of the revolution in military affairs for U.S. security strategy in East Asia.

Guns, Oil and Ethnic Conflict: U.S. Policy Toward the South Caucasus \$ 121,000

Sheila Heslin will prepare an assessment of the sources of instability in the South Caucasus. She will conduct fieldwork and write a monograph that examines internal and external sources of instability in Armenia, Georgia, and Azerbaijan. She will also assess the regional ambitions of local powers such as Russia, Iran, and Turkey.

Dui Hua Foundation

San Francisco, CA

*An Unofficial Dialogue on Human Rights and
Prisoner Issues with the People's Republic of China*

\$ 150,000

John Kamm will examine Chinese human rights practices and the efficacy of Western human rights advocacy vis-à-vis China. He will undertake archival research to develop a database of Chinese political detainees and evaluate past human rights interventions by Western governments. He will also engage in an informal dialogue with the Chinese government on the disposition of cases involving individuals detained as a result of the expression of political or religious views.

East-West Center

Honolulu, HI

*The Soldier and the State in Asia: Investigating Change and
Continuity in Civil-Military Relations*

\$ 33,000

Muthiah Alagappa will commission research and produce an edited volume on the nature of civil-military relations in sixteen major Asian countries and the role of these relations in shaping the internal political evolution and national security policy of these states. He will also produce a series of policy papers and briefings for the U.S. policy community.

Ethics and Public Policy Center, Inc.

Washington, DC

Ethnic Conflict and the Partition of States

\$ 168,594

Elliott Abrams and Erik Goldstein will convene a conference, commission research, and edit a volume of essays on ethnic conflict and the partition of states. The project will also examine historical and contemporary cases to assess the utility of partition as a solution to ethnic conflict.

Foreign Policy Research Institute

Philadelphia, PA

The Question of Humanitarian Intervention

\$ 72,500

Harvey Sicherman will commission papers and convene a conference on the political, diplomatic, military, and moral-legal issues related to humanitarian interventions. He will develop policy prescriptions on when and how the United States should undertake humanitarian interventions.

Foundation for Democratic Education

Washington, DC

The Next Generation of Leaders in Key Post-Soviet States \$ 57,189

Nadia Diuk will research and write a book analyzing the political attitudes and policy orientations of the next generation of political leaders in Russia, Ukraine, and Azerbaijan. She will conduct field research on the next generation of leaders in order to derive insights on the probable course of reform in these three states.

George Washington University

Washington, DC

Weapons of Mass Destruction Terrorism: A Systematic Examination of Individual and Group Decision Making \$ 100,000

Jerrold Post will research and write a report analyzing the decision making processes of terrorist groups and the factors shaping their deliberations about the potential use of weapons of mass destruction. He will conduct extensive interviews with defectors from terrorist groups and imprisoned terrorists in the Middle East.

Harvard University

Cambridge, MA

U.S. Intervention Decisions: Civil-Military Relations and the Need for Reform \$ 89,125

John Garofano will research and write a book analyzing decision making on the use of military force. He will conduct archival research on the decision-making behind each of the major military interventions of the United States since 1950.

David vs. Goliath: Strategic Interaction and Unexpected Conflict Outcomes \$ 39,100

Ivan Arreguin-Toft will research and write a book that will examine why and how strong states lose wars against weaker adversaries.

Secretary of State: Eight People Who Shaped America's Relations With the World in the 20th Century \$ 45,000

Robert Zoellick will research and write a book that analyzes the U.S. role in the world through the lens of the experiences and philosophies of eight American secretaries of state.

<i>Harvard Project on Cold War Studies</i>	\$ 100,000
Mark Kramer will edit and publish the <i>Journal of Cold War Studies</i> .	
<i>The Elite and Patronage in Russia</i>	\$ 42,109
Virginie Coulloudon will research and write a book and a series of articles on the operation of the post-communist Russian political system. She will conduct interviews and analyze Russia's political networks to determine whether Russian politics is best understood as an elite contest for power among political and economic clans.	
<i>Ukrainian Security Program</i>	\$ 226,699
Ernest May will direct a two-week seminar at the John F. Kennedy School of Government for visiting civilian and military national security policy makers from Ukraine. The project will focus on assisting the participants in the development of a coherent Ukrainian strategic doctrine and a framework for organizing civilian participation in military planning and defense policy.	
Hoover Institution	
Stanford, CA	
<i>China's Strategic Outlook in Historical Perspective</i>	\$ 80,666
Lyman Miller will research and write a book on Chinese geopolitical strategy during the last 400 years and on how China has exerted influence and waged war in periods of strength and weakness.	
Hudson Institute, Inc.	
Indianapolis, IN	
<i>The Savage Wars of Peace: The Forgotten History of America's Small Wars Abroad</i>	\$ 30,000
Max Boot will research and write a book on the role low-intensity operations have played in America's national strategy since its earliest history.	
<i>The Unappreciated Magnitude of American Power</i>	\$ 178,000
William Odom and Robert Dujarric will research and write a book that will assess the dimensions of U.S. global primacy. They will compare the United States and other major powers in terms of seventeen factors that contribute to national power.	

Institute for Foreign Policy Analysis, Inc.

Washington, DC

The Future Faces of Battle: An Operational Level Analysis of Internal Wars in the 1990s

\$ 46,500

Richard Shultz will research and write a book that will analyze internal wars in the post-cold war world. He will examine the conflicts in Bosnia/Kosovo, Somalia, Afghanistan, and Chechnya.

Institute for International Economics

Washington, DC

The Chastening: How Financial Crisis Humbled the Global Economy's High Command

\$ 35,000

Paul Blustein will research and write a book on the role of the International Monetary Fund in managing the financial crises affecting Indonesia, South Korea, Russia, and Brazil.

International Center for Religion & Diplomacy

Washington, DC

A Study of Religion and Conflict Prevention

\$ 120,000

Douglas Johnston will organize a seminar series that will examine issues regarding the intersection of politics, religion, and conflict in the modern world. Experts on five major faiths will examine how their doctrines deal with peacemaking and reconciliation and how they might be engaged to facilitate conflict prevention and resolution.

International Crisis Group

Washington, DC

Balkans Future Project

\$ 100,000

Gareth Evans will direct an effort to develop an integrated strategy for handling the multiple conflicts in the Balkans. He will lead a team that will conduct fieldwork and interviewing and prepare a set of policy recommendations.

The Jamestown Foundation

Washington, DC

Jamestown Foundation Publications Program 2000-2001

\$ 225,000

William Geimer will direct the publication of *Monitor* and *Prism*, the Jamestown Foundation's daily and biweekly reports on political and economic developments within the former Soviet Union.

**Johns Hopkins University, Paul H. Nitze School of
Advanced International Studies**

Washington, DC

*Seminars on Systemic Change and International Security
in Russia and the New States of Eurasia*

\$ 55,440

Bruce Parrott will convene a seminar series to discuss policy-relevant scholarship on the politics and geopolitics of Russia and the other newly independent states.

U.S.-Iran Relations: People-to-People Dialogue?

\$ 108,000

Azar Nafisi will lead an initiative to provide the policy community with an analysis of developments in contemporary Iran and develop recommendations for how the United States should manage people-to-people contacts with Iranian society. She will convene a series of seminar meetings that will bring prominent figures from Iranian civil society to the United States and write an analysis of Iranian politics and U.S. policy.

Central Asia-Caucasus Institute

\$ 295,350

Fred Starr will direct the institute's efforts to support the U.S. policy community's deliberations on critical issues regarding Central Asia and the Caucasus. He will further develop the institute's role as a resource center on these regions through a program of research and analysis, meetings and conferences, publications, and fellowships.

The Mansfield Center for Pacific Affairs

Washington, DC

*Developing A Critical Assessment of North Korea by
Examining the Experience of Non-Governmental Organizations*

\$ 70,000

Scott Snyder will direct an effort to enhance the policy community's understanding of North Korea by systematically de-briefing the staff members of non-governmental organizations and international organizations that have worked in North Korea on a long-term basis.

Massachusetts Institute of Technology

Cambridge, MA

Making Revolutions Happen: The Sources of Innovation in Military Doctrine

\$ 100,000

Harvey Sapolsky, Barry Posen, and Owen Cote will conduct research, convene conferences, and edit a volume of essays on military innovation. They will analyze how the initiative to create the medium weight brigade can enable the Army to meet the challenge of deploying quickly to remote environments with limited logistical support and how the introduction of the brigade could assist the Army in accelerating innovation in its military doctrine.

Monterey Institute of International Studies

Monterey, CA

The Threat of "Nuclear Regionalism" in Russia

\$ 100,000

James Clay Moltz will conduct and commission field research to examine whether the control of the Russian central government over nuclear materials is eroding and whether U.S. policies should be altered to improve the effectiveness of U.S. and Russian programs designed to prevent the theft of nuclear materials. They will analyze the political and economic dynamics in regions where critical nuclear facilities are located and convene workshops in Washington and Moscow.

National Committee on American Foreign Policy, Inc.

New York, NY

Roundtable on U.S.-China Policy and Cross-Strait Relations

\$ 227,176

George Schwab and Donald Zagoria will organize a political dialogue among delegations of scholars and policy experts from the People's Republic of China, Taiwan, and the United States. The roundtable meetings will focus on U.S. policy toward China and cross-strait relations.

National Endowment for Democracy

Washington, DC

World Movement for Democracy

\$ 45,000

Carl Gershman will convene a workshop on how new democracies and international organizations can mobilize broad forces in transitional societies to deal with challenges such as corruption and the growing global drug trade.

National Institute for Public Policy

Fairfax, VA

*The ABM Treaty, the U.S.S.R.'s Dissolution, and
Current Missile Defense Diplomacy*

\$ 115,995

Douglas Feith and George Miron will convene a conference on the legal status of the Anti-Ballistic Missile (ABM) Treaty of 1972. They will commission research from individuals with different viewpoints to debate the status of the treaty and publish the findings in a conference report.

Asymmetric Threats to the United States

\$ 296,893

Keith Payne will lead an effort to research and write a report on the asymmetrical threats facing the United States. He will convene a senior review group to comment on the project's findings and to develop policy recommendations.

National Security Funders Institute

New York, NY

Policy Forum for Grant Makers

\$ 25,000

Devon Cross will lead an effort to mobilize new funding sources for projects focused on national security issues. She will identify new funders, convene meetings with potential grantees, and create a coalition to support work on traditional security issues.

National Strategy Information Center, Inc.

Washington, DC

Strategic Literacy, 1940 to 1999

\$ 49,830

Leigh Anne Gilbert will undertake an assessment of trends affecting the strategic literacy of the American public and foreign policy elite between 1940 and 2000.

*Transition in China: The Threat Posed by the
Political-Criminal Nexus to China's Transformation*

\$ 125,000

Roy Godson will organize a collaborative research project with scholars at the China University of Political Science and Law on the threat criminal-political collusion poses to China's economic and political transformation. The project will produce a series of monographs and a report synthesizing the project's findings for the U.S. and Chinese policy communities.

Naval Postgraduate School

Monterey, CA

Military Innovation: The Case of Special Operations Forces \$ 39,719

David Tucker will research and write a book analyzing why some military organizations have been more successful at innovation than others. His book will examine how U.S. Special Operations Forces have developed and adapted innovative responses to new military problems.

New America Foundation

Washington, DC

Toward Sustainable Peace: The Challenge of Partnering - the United Nations, the World Bank, the Private Sector and NGOs \$ 25,000

Allan Gerson will research and write a book that will offer recommendations about how to structure efforts to stabilize countries emerging from internal conflicts. He will convene meetings to review proposals to coordinate the efforts of the U.N., the World Bank, the private sector, and nongovernmental organizations to sustain peace settlements.

New York University

New York, NY

The Political and Strategic Implications of Growing Differentials in Economic Growth Rates in Southeast Asia \$ 78,958

David Denoon will research and write a book on the impact of the Asian financial crisis of 1997 on the politics and geopolitics of Southeast Asia in the near and medium term. He will assess how the crisis reshaped the balance of power in the region and its implications for U.S. policy makers.

The Nixon Center

Washington, DC

Missile Defense and American Foreign Policy \$ 25,000

Peter Rodman will research and write a monograph that will analyze Russian, European, and Chinese attitudes toward U.S. national missile defense. He will also make recommendations for addressing these views as the United States develops and deploys missile defense.

Four Workshops on U.S.-Iranian Strategic Dialogue \$ 166,500

Geoffrey Kemp will organize four workshops on key strategic issues dividing the United States and Iran.

Pacific Forum CSIS

Honolulu, HI

A Quarterly Electronic Journal on East Asian Bilateral Relations \$ 179,300

Ralph Cossa will lead an effort to publish *Comparative Connections: A Quarterly Electronic Journal on East Asian Bilateral Relations*, a publication designed to provide the policy community with timely analysis of developments in key bilateral relationships in East Asia.

Confidence Building Measures for Averting Conflict in the South China Sea \$ 44,075

Ralph Cossa will research and write a report on feasible confidence building measures that could be adopted by the six claimants to the territorial dispute in the South China Sea: Brunei, China, Malaysia, the Philippines, Taiwan, and Vietnam.

The Rand Corporation

Santa Monica, CA

Australian Defense and Foreign Policy in the Wake of the Intervention in East Timor \$ 85,000

Peter Chalk will research and write a book on Australia's military involvement in the East Timor crisis.

European Military Prospects and Economic Constraints \$ 150,971

Charles Wolf will examine European policies to develop a credible military capability independent of NATO. He will undertake an analysis of the economic constraints and the fiscal tradeoffs that will affect the development of a European Security and Defense Identity.

Stanford University

Stanford, CA

Senior Briefings on U.S. Policy Toward China \$ 12,000

The Asia/Pacific Research Center organized a meeting of China experts to brief leading advisers to presidential candidates George W. Bush and Al Gore.

Tufts University

Medford, MA

Turkish Foreign Policy After the Cold War \$ 88,000

Malik Mufti will research and write a book on the sources of Turkish foreign and national security policy. He will examine the evolution of Turkish foreign policy, the paradigms that shape Turkey's attitudes toward its neighbors, and the key institutional actors behind Turkish foreign policy decision making.

<i>On Leadership</i>	\$ 95,500
Carnes Lord will research and write a book on the philosophical and practical challenges of exercising political leadership in contemporary liberal democracies.	
U. S. Air Force Historical Foundation Andrews AFB, MD <i>NATO-Russia Conference</i>	\$ 17,300
William Smith will convene a meeting between retired generals and flag officers from NATO countries and Russia to discuss issues in NATO-Russia relations.	
United States Military Academy West Point, NY <i>The Future of Army Professionalism</i>	\$ 165,000
Donald Snider will commission papers and edit a volume of essays on trends affecting military professionalism in the Army and analyze the impact of those trends on the Army's effectiveness.	
University of Oklahoma Norman, OK <i>The Army and the State in Russia</i>	\$ 44,754
Brian Taylor will research and write a book, a monograph, and a series of articles on the role of the military in Russia's internal politics. He will conduct archival research and interviews to assess the incentives and disincentives for the Russian military to become involved in domestic politics.	
University of Virginia Charlottesville, VA <i>The Kosovo Oral History Project</i>	\$ 150,000
Phillip Zelikow will direct an effort to analyze the lessons of the military operation in Kosovo. He will organize a team of historians and researchers to conduct oral histories with key Western decision makers, officials, and officers.	
<i>The Real Lessons of the Vietnam War: Reflections Twenty-Five Years After the Fall of Saigon</i>	\$ 48,600
John Norton Moore and Robert Turner will convene a conference and publish a volume of essays on the lessons that U.S. policy makers should draw from the Vietnam War.	

University of Washington

Seattle, WA

The Yeltsin Revolution

\$ 30,800

Herbert J. Ellison will research and write a book analyzing the Yeltsin era. He will systematically review the origins, achievements, and failures of Yeltsin’s leadership in Russia.

The Washington Institute for Near East Policy

Washington, DC

No Status is Final: Security Implications of a

Palestinian State for Israel, Jordan, and the United States

\$ 85,392

Michael Eisenstadt will research and write a book on the security implications of the creation of a Palestinian state. He will also analyze U.S. policy options to ensure stability and security in the region.

Woodrow Wilson International Center for Scholars

Washington, DC

China: Domestic Ferment, International Aspirations, with Special Emphasis on Chinese-American Relations

\$ 60,000

Robert Hathaway will convene public seminars, workshops for members of Congress and their staffs, and conferences for policy makers, government analysts, journalists, and other interested groups. These meetings will focus on key developments in China and their implications for U.S. policy.

Yale Law School

New Haven, CT

The China Project at Yale Law School

\$ 330,000

Paul Gewirtz will direct an institute that will promote the development of the rule of law in China. He will undertake collaborative research and training projects with Chinese legal organizations on such issues as judicial reform. The institute will also convene a working group that will analyze what kind of activities are most effective in promoting the rule of law in China.

Yale University

New Haven, CT

Redefining International Security

\$ 40,000

Paul Kennedy and Charles Norchi will analyze trends in security studies scholarship and grant making. They will build a database of journal articles and foundation grants in order to analyze whether scholars and foundations are focusing on the issues that demand the attention of policy makers.

STRATEGIC STUDIES INITIATIVE

Columbia University

New York, NY

International Security Studies and Military Policy Analysis \$ 50,192

Richard Betts will direct a series of lectures and seminars on topics related to security studies and will organize a program to provide support for graduate student research and fieldwork under the auspices of the Institute of War and Peace Studies.

Columbia University

New York, NY

Summer Workshop on Analysis of Military Operations and Strategy \$ 201,149

Richard Betts will organize a three-week summer study to train young scholars to analyze military strategy, combat operations, and defense budgets and programs.

Johns Hopkins University, Paul H. Nitze School of Advanced and International Studies

Washington, DC

Center for Strategic Education \$ 152,664

Eliot Cohen will direct an initiative to sustain and enhance policy-relevant security studies in the academic world. The Center for Strategic Education will convene summer seminars on the teaching of strategic studies and develop innovative teaching techniques and materials.

Princeton University

Princeton, NJ

Research Program in International Security \$ 89,100

Aaron Friedberg will direct a program to sustain and enhance policy-relevant security studies. The program will include a lecture series, seminar series, conferences, and micro-grants to doctoral graduate students working on topics broadly relevant to policy.

United States Military Academy

West Point, NY

West Point Summer Seminar in Military History, 2000/2001 \$ 161,002

Robert Doughty and Fred Kagan will organize a four-week summer study at the United States Military Academy to train university professors in the teaching of military history.

University of Chicago

Chicago, IL

Sustaining the Program in International Security Policy \$ 105,160

John Mearsheimer, Robert Pape, and Charles Glaser will direct a program to sustain and enhance policy-relevant security studies at the University of Chicago. The program will include a lecture series, seminar series, and micro-grants to doctoral graduate students working on topics broadly relevant to policy.

Yale University

New Haven, CT

Graduate Teaching Program in Security Studies with Special Reference to Historical Approaches and to the Study of Grand Strategy \$ 308,000

Paul Kennedy will direct a program to sustain and enhance policy-relevant security studies and will develop a course of study on grand strategy at Yale University. The program will include lectures, a seminar series, conferences, and micro-grants to students working on topics related to strategy.

JUNIOR FACULTY RESEARCH GRANTS

Boston College

Chestnut Hill, MA

State Capacity, Revenue Extraction, and Transition Economies: Russia and Poland Compared \$ 60,000

Gerald Easter will research and write a book examining the role of the state in command economies as they transition to free markets. He will compare the cases of Poland and Russia.

Columbia University

New York, NY

North Korea and the World: The Historical Origins of DPRK Foreign Policy \$ 60,000

Charles Armstrong will research and write a book on the history of North Korea's relations with the world's major powers.

Pennsylvania State University

University Park, PA

Domestic Political Constraints and Russian Policy \$ 60,000

Regina Smith will research and write a book examining the domestic constraints on Russian foreign policy. She will analyze the results of surveys of Russian elected officials and party leaders to assess the role of regional elites and Duma members in the making of Russian foreign policy.

Pomona College

Claremont, CA

Back to the Future? The Resurgence of Tradition in Africa \$ 60,000

Pierre Englebert will research and write a book that will examine whether renewed interest in traditionalism will improve public institutions in Africa.

University of California, San Diego

La Jolla, CA

The Political Economy of Economic Sanctions: Domestic

Political Conflict Over the Use of

American Economic Power, 1950-1998 \$ 60,000

Michel Hiscox will research and write a book on the history of economic sanctions as a tool of U.S. foreign policy. He will assess the domestic political forces behind sanctions targeted on Cuba, the Soviet Union, South Africa, and China.

University of Cincinnati

Cincinnati, OH

China's Search for Economic Security: Implications

for Chinese Foreign Policy \$ 50,000

Thomas Moore will research and write a book on how the thinking among the Chinese leadership on economic security evolved after the Asian financial crisis.

DOMESTIC PUBLIC POLICY PROGRAM 2000 GRANTS

American Enterprise Institute for Public Policy Research

Washington, DC

AEI-Brookings Center for Regulatory Analysis \$ 500,000

Robert Hahn and Robert Litan will direct a policy research and analysis program sponsored jointly by the American Enterprise Institute and the Brookings Institution. They will develop a research and publishing program designed to analyze the costs and benefits of proposed federal regulations, examine the effectiveness of existing regulations, and prepare an annual report on trends in federal regulation.

Government Program and Policy Evaluations \$ 270,248

Marvin Kusters will lead an effort to examine the effectiveness of programs and policies of the federal government. He will commission reports that will provide historical background on the program being analyzed, review and synthesize what is known from existing research, commission new research, and convene a conference to review the assessments before publication.

American Public Human Services Association

Washington, DC

Flexible Federal Funding for State Child Protection Programs \$ 9,173

William Waldman will convene a conference on proposals to increase state flexibility in funding child protection programs and develop proposals to revise federal funding regulations.

Boston College

Chestnut Hill, MA

Moral and Normative Aspects of School Choice \$ 122,678

Alan Wolfe will lead an effort to explore the normative aspects of the debate over school choice. He will commission research and convene a conference that will address the impact that school choice programs might have on pluralism, equality, and the law.

The Brookings Institution

Washington, DC

Gaining Ground?: Low-Income Families and the Implementation of TANF

\$ 88,900

Kent Weaver will lead an initiative to analyze the implementation of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996. He will synthesize the existing research on the implementation and impact of welfare reform, conduct quantitative research on the politics of welfare policy making in the states, prepare case studies of welfare reform in four states, and outline the critical policy questions that will be raised in the debate over the reauthorization of the welfare reform law.

Is Life Getting Better?

\$ 67,500

Gregg Easterbrook will research and write a book that will assess whether the quality of life in America is improving. He will analyze data on social and economic indicators, such as crime rates, living standards, health outcomes, and environmental quality, and consider some of the normative questions of how quality of life is defined.

Pension Policy for the 21st Century

\$ 35,093

William Gale will commission research and produce an edited volume on a wide range of issues related to private pensions and retirement savings. He will convene two conferences for policy analysts and members of the policy community.

Building an Agenda for Public Service Reform

\$ 131,600

Paul Light will produce a series of reports and monographs that will examine a set of challenges affecting the civil service. He will assess the state of the federal government's work force, analyze efforts by the private and nonprofit sectors to recruit and retain personnel, and develop a set of policy recommendations to guide civil service reform.

Carnegie Mellon University

Pittsburgh, PA

A History of the Federal Reserve

\$ 120,000

Allan Meltzer will research and write a history of the Federal Reserve. He will review and analyze data published by the Federal Reserve and interview some of the key policy makers who have shaped U.S. monetary policy.

The Center for Media and Public Affairs

Washington, DC

Popular Entertainment Study

\$ 125,000

Robert Lichter will lead an effort to analyze the content of entertainment television, major motion pictures, and music videos. The project's findings will be published in a monograph and appear on the center's Entertainment Watch web site.

Center for Policy Studies

St. Paul, MN

How Are Charter Schools Being Held Accountable for Results?

\$ 83,875

Bryan Hassel will assess how charter schools are held responsible for results. The project will examine the processes with which school boards and state authorities consider renewing the charters of charter schools and develop a database of charter school renewal decisions across the country.

Columbia University

New York, NY

Best Beginnings: A Randomized Trial of a Paraprofessional Home Visiting Program

\$ 100,004

Elizabeth Anisfeld will examine a home visiting program that serves immigrant families in New York City. She will assess the impact of having paraprofessionals visit with families on the health and development of mothers and infants.

The Consultation Center

New Haven, CT

The Collaborative Divorce Project

\$ 168,255

Marsha Kline Pruett and Kyle Pruett will conduct research on a program to minimize family conflict and improve child well-being during divorce.

The Cooper Union for the Advancement of Science & Art

New York, NY

The Future of the Urban Revival

\$ 72,000

Fred Siegel will research and write a book on the revival of major American cities during the past decade. He will review the state of some of America's largest cities and analyze their efforts to improve their finances and municipal service delivery, attract economic development, and reduce crime rates.

Cornell University

Ithaca, NY

Educational, Economic and Political Implications of

Classroom Labeling: Predictions Based on the Flynn Effect

\$ 93,089

Stephen Ceci will examine the effects of special education classification policies on children who have been labeled as mentally retarded or gifted. He will review archival data from educational agencies to determine how classification practices change when IQ tests are re-normed, and whether those changes affect student performance.

Corporation for the Advancement of Policy Evaluation

Princeton, NJ

Monitoring an Evaluation of Teach Baltimore

\$ 23,270

David Myers will provide technical assistance to a team of researchers evaluating a summer reading program in Baltimore.

Monitoring an Evaluation of Florida's School Voucher Program

\$ 34,735

David Myers will provide technical assistance to a team of researchers evaluating Florida's accountability and school voucher program.

Collect and Analyze Data on the Most Vulnerable Families that Left Welfare in Iowa

\$ 50,000

Thomas Fraker will prepare a case study of Iowa's welfare reform policies in order to examine what happens to former recipients after they no longer receive welfare.

Are Experiments the Only Option?

\$ 178,560

Mark Dynarski will assess the accuracy of different methods to evaluate the impact of education interventions. He will compare evaluations of a school dropout prevention program in order to determine whether a non-experimental evaluation can match the results of an experimental study.

Empirical Methods Group of the Campbell Collaboration

\$ 24,561

David Myers will convene a working group to develop a system to review evaluations of public policies, similar to those undertaken in the medical community through the Cochrane Collaboration.

Developing an Evaluation of the Teach for America Program

\$ 49,853

Paul Decker will examine the feasibility of conducting a rigorous evaluation of Teach for America and publish the findings in a report.

<i>Developing a Child Care Policy Demonstration</i>	\$ 44,099
Christine Ross will examine the feasibility of conducting rigorous evaluations of child care subsidy policies and publish the findings in a report.	
<i>Youth Risky Behavior and Youth Development Research Review</i>	\$ 4,725
Robinson Hollister will conduct a synthesis of what is known about the effectiveness of efforts to change risky behavior among youths and publish the findings in a paper and a policy brief.	
Duke University	
Durham, NC	
<i>Effects of Competition on Schools in New Zealand</i>	\$ 9,495
Helen Ladd will assess how school administrators and parents reacted to shifts in the socioeconomic composition of schools under New Zealand's nationwide system of school choice.	
<i>The Registry of Independent Scientific and Technical Advisors</i>	\$ 100,000
Paul Carrington and Corrine Houpt will direct an initiative to improve the quality of judicial decisions involving scientific and technical issues. They will establish and operate the Registry of Independent Scientific and Technical Advisors, a panel of experts who will be available to assist courts, agencies, arbitrators, mediators, and lawyers in evaluating scientific and technical issues.	
<i>The Economics of Public Affairs Coverage: How the Market Transforms Information into News</i>	\$ 29,779
James Hamilton will research and write a book on the economic forces that shape the coverage of public affairs programming. He will examine how economic incentives affect the actions of individuals and organizations involved in the production, distribution, and consumption of public affairs information.	
<i>Evaluating and Improving the Performance of the United States Environmental Protection Agency</i>	\$ 93,775
Christopher Schroeder will lead an assessment of the performance of the United States Environmental Protection Agency. He will commission research and convene a conference to examine the institutional organization and policy making processes of the EPA and publish the findings in a special issue of the <i>Duke Environmental Law and Policy Forum</i> .	

Education Commission of the States

Denver, CO

Early Learning: Improving Results for Young Children Workshop \$ 15,000

Ted Sanders will organize a workshop to convene delegations of policy, legislative, business, and nonprofit leaders from eleven northeastern states to assess the strengths and weaknesses of existing policies and learn about promising practices.

Environmental Research Institute of the States

Washington, DC

Creative Leadership and Innovation in Managing the Environment \$ 85,153

Robert Roberts and Steve Brown will organize an effort to increase the quality and quantity of policy research and analysis available to state-level environmental policy makers. They will identify state initiatives to improve environmental policy making, assess their effectiveness, and disseminate to state policy makers information regarding successful and unsuccessful policy innovations.

Ethics and Public Policy Center, Inc.

Washington, DC

Reason or Folly? Public Opinion and Direct Democracy Today \$ 48,000

Elliot Abrams will direct an initiative to examine the role of public opinion in contemporary American politics and policy making. He will commission research and convene a conference of historians, political scientists, public opinion experts, and journalists to discuss the role that public opinion has played in American politics and determine whether changes in society and technology have made a greater role for public opinion in policy making possible or desirable.

George Mason University

Fairfax, VA

Trade Unionism in North America \$ 35,000

Seymour Martin Lipset will research and write a book on the social, economic, and political forces that affect the formation and development of labor unions in the United States. He will analyze survey data on attitudes toward unions in the U.S. and Canada, examine data on unionization in other industrialized democracies, and review the existing literature on the factors affecting the development of labor unions.

Competition and Efficiency Effects from Charter Schools \$ 25,000

David Armour will examine how public schools respond to competitive pressures from charter schools within their districts. He will assess whether the financial and academic performance of schools changes in school districts that have established charter schools.

George Washington University

Washington, DC

The Campaign Finance Institute

\$ 200,000

Michael Malbin will direct the Campaign Finance Institute. The Institute will sponsor task forces to develop policy recommendations on critical issues in campaign finance, assess the impact and effectiveness of existing regulations, and convene seminars to examine critical issues in campaign finance.

Georgetown University

Washington, DC

The Effects of Neighborhood Poverty on Low-Income Families

\$ 35,090

Jens Ludwig will examine the effectiveness of an initiative to provide low-income families with housing vouchers to enable them to move out of high-poverty neighborhoods. He will analyze data from an experimental evaluation to learn if the program improved outcomes for children and their families.

Children's Learning from Educational and Informational Television Programs

\$ 157,653

Sandra Calvert will conduct research to examine the impact of educational television on children. She will use an Internet-based program to measure children's responses to various types of educational television programs and publish the findings in professional journals.

Girls Incorporated

Indianapolis, IN

A Rigorous Evaluation of an Abstinence-Plus Program

\$ 100,000

Heather Nicholson will lead an effort to evaluate a program designed to reduce early pregnancy among adolescent girls. The evaluation will randomly assign girls to treatment and control groups in order to assess the program's effectiveness.

Harvard University

Cambridge, MA

Understanding "The Boston Miracle"

\$ 106,728

Christopher Winship will assess whether collaboration between community religious leaders and police resulted in decreased crime and racial tensions in Boston. He will study the roles of ministers, police, and the media in changing attitudes toward the police and crime in Boston during the 1990s.

Freedom in the Modern World \$ 262,053

Orlando Patterson will research and write a book on how different conceptions of freedom affect a wide range of public policy debates. He will commission and analyze survey data on conceptions of freedom and review how freedom has been defined in the modern era.

Hoover Institution

Stanford, CA

Center for Educational Policy Evaluation and Research \$ 199,613

Eric Hanushek will direct a center that will seek to improve evaluation practice in educational policy. The center will produce papers on education evaluation practices and encourage strong independent evaluations of education policies.

Johns Hopkins University

Baltimore, MD

Evaluating Teach Baltimore \$ 139,012

Matthew Boulay will lead a project to assess the impact of a summer enrichment program on children's reading skills. The project will compare the reading skills of children who participated in the summer program with a group of children in a control group.

Joint Center for Political and Economic Studies

Washington, DC

Divergent Generations \$ 120,000

Margaret Simms and David Bositis will lead an effort to examine public opinion in the African-American community. They will conduct and analyze two public opinion polls of African-Americans and two surveys of African-American elected officials in order to understand better their views on a range of public policy issues.

The Manhattan Institute for Policy Research, Inc.

New York, NY

Gaining Ground? Measuring the Impact of America's Welfare Revolution \$ 183,449

June O'Neill will research and write a report assessing the impact of welfare policies enacted after 1996. She will analyze national data sets in order to examine whether changes in welfare policy affected employment, earnings, and decisions regarding family formation.

Mediascope

Studio City, CA

Ethical Principles for the Entertainment Industry \$ 175,589

Hubert Jessup will lead a working group of entertainment industry professionals, media advocates, and media scholars to develop a set of ethical principles for the entertainment media industry.

Michigan State University

East Lansing, MI

Parenting Styles and the Mass Media Orientation of Adolescents \$ 149,867

Bradley Greenberg will examine strategies that parents use to oversee the kind of media that their children see and hear. He will survey 600 parents to learn how they monitor and control the media that their adolescent children use, in order to help assess the effectiveness of public policy interventions, such as parental warning labels and ratings that rely on parental oversight.

National Bureau of Economic Research, Inc.

Cambridge, MA

Is Making Divorce Easier Bad for Children? \$ 152,209

Jonathan Gruber will examine if laws making divorces easier to obtain have affected family and child functioning. He will examine changes in family living patterns and the well-being of both adults and children in states that have changed their laws governing divorce.

Means Tested Welfare Programs in the United States \$ 131,000

Robert Moffitt will commission research and convene a meeting to analyze how the means testing of welfare programs affects the incentives of program recipients to work, save, and consume. The commissioned research will review and synthesize the existing evidence on the impact of means-tested welfare programs on recipients and offer policy prescriptions for how some of the negative incentives created by these programs could be reduced.

The National Fatherhood Initiative

Lancaster, PA

Fatherhood and TV Evaluation Project

\$ 49,830

Wade Horn will direct an effort to examine how fathers are depicted in prime time television programs. The project will analyze the content of prime time television programming to measure how often fathers appear and analyze how they are depicted.

New River Education Fund

Washington, DC

Think Tank with Ben Wattenberg

\$ 200,000

Ben Wattenberg will produce and moderate *Think Tank*, a weekly television program that focuses on public policy research and ideas.

New York University

New York, NY

Statecraft: Welfare Reform in Wisconsin

\$ 50,579

Lawrence Mead will research and write a book on the role of state bureaucracies in implementing and managing welfare reform policies. He will examine whether Wisconsin's tradition of good government and social welfare reform contributed to the successful reform of the state's welfare system and assess the prospects for similar changes in other states.

Pepperdine University

Malibu, CA

Welfare-To-Work: Mapping the Terrain

\$ 70,480

Stephen Monsma will examine the role that nongovernmental organizations play in welfare-to-work programs. He will examine welfare-to-work programs in four cities and assess whether those cities have a sufficient base of nongovernmental organizations to implement such programs.

Public Agenda

New York, NY

Testing the Reaction to Standards

\$ 10,000

Deborah Wadsworth will lead an effort to examine the attitudes of parents toward new school testing policies. The project will include focus group discussions and field a national opinion survey of parents of public school students.

Rutgers University

New Brunswick, NJ

Benefit-Cost Analysis of the Abecedarian Study \$ 41,613

Steven Barnett will conduct an analysis of the costs and benefits of the Abecedarian project, a demonstration project that has shown the potential benefits of high-quality child care.

Social Policy Action Network

Washington, DC

Policy Responses to Statutory Rape \$ 44,900

Kate Sylvester will prepare a report to document how state and local governments have responded to the problem of statutory rape and its role in teenage pregnancy. The project will review and synthesize the literature on teen pregnancy and its relationship to the prevalence of sexual intercourse between teenage girls and adult men. The project will also conduct interviews with a sample of state and local officials to report on policy approaches that they have implemented to address these issues.

Stanford University

Stanford, CA

Planning and Development of Education Matters \$ 50,000

John Raisian will lead an effort to plan and launch *Education Matters*, a new independent publication presenting ideas and research on school reform policy issues.

Swarthmore College

Swarthmore, PA

Teachers, Students and Educational Achievement: New Lessons from a Randomized Experiment \$ 29,004

Thomas Dee will examine how teacher characteristics and peer interactions affect students' educational outcomes. He will utilize data developed as part of a random assignment study of students in Tennessee to study of the effects of student-teacher race matching, teacher quality, and peer interactions on student achievement.

Syracuse University

Syracuse, NY

Do Whole-School Reform Programs Boost Student Performance? The Case of New York City \$ 59,420

John Yinger will conduct research and write a report on the effectiveness of whole-school reform efforts. He will analyze how whole-school reform initiatives in New York City affected student academic achievement.

University of California, Berkeley

Berkeley, CA

From Adversarialism to Partnership: Business, Regulation, and the Environment

\$ 67,850

Robert Kagan and Neil Gunningham will research and write a book on how regulatory policies can be designed to create incentives for firms to improve their environmental performance. They will examine how firms in the United States, Canada, and Australia react to market conditions and regulatory policies when setting their environmental policies.

University of California, Irvine

Irvine, CA

When Prisoners Return to Communities: Political, Economic, and Social Consequences

\$ 100,844

Joan Petersilia will research and write a book about a set of issues surrounding the challenges posed by the release of offenders from prison. She will review existing research, analyze data, and conduct interviews in order to learn more about the impact that former prisoners have on their families and communities after they are released and make recommendations for how policy makers should think about prisoner reentry.

Where Have All the Voters Gone?

\$ 103,251

Martin Wattenberg will research and write a book that will examine why the rate of voter participation in U.S. elections has declined and assess the effectiveness of strategies to reverse that trend. He will use a series of data sets, including voting records and ballot histories, to examine the causes of the decline in voter participation.

University of Florida

Gainesville, FL

An Evaluation of Florida's "Opportunity Scholarship" Program

\$ 445,184

David Figlio will lead an effort to examine the effects of Florida's standards-based education reform policy. The research team will examine how low-performing schools respond when the possibility of allowing students to use vouchers to enroll in a different school is offered.

University of Missouri

Columbia, MO

Development of Systematic Review Methods in the Campbell Collaboration

\$ 46,035

Harris Cooper will lead an effort to develop scientific standards for conducting reviews of intervention research. He will convene a methods working group for the Campbell Collaboration's system of research reviews.

University of North Carolina, Chapel Hill

Chapel Hill, NC

Continuity of Caregiver: An Experiment Part II \$ 247,437

Debby Cryer will research how the continuity of the caregiver in child care programs affects the development of infants and toddlers. She will conduct an experimental evaluation of the effects of having the same caregiver across the first three years of care in center-based care as opposed to multiple caregivers.

University of Pennsylvania

Philadelphia, PA

Exploring the Impact of Public Policy Initiatives on

Children's Use of Television \$ 161,121

Amy Jordan will direct a project at Annenberg Public Policy Center to examine the impact of the television rating system and the v-chip. She will conduct survey work and focus groups to determine how parents use the rating system and conduct an experimental evaluation of how parents use the v-chip to guide their children's use of television.

Planning Grant on the Campbell Collaboration \$ 46,200

Robert Boruch will lead an effort to create an international review system that will assess research on social policy interventions modeled on a similar system for medical research.

An Examination of the Benefits of Extended-day

Programming for Middle School Youth \$ 72,604

Rebecca Maynard will research and write a report on the effectiveness of a program designed to provide middle school youth with an extended day of school. She will compare the academic achievement of students who attend the extended day of classes with the achievement of students in a control group.

Restoring Justice: Preventing Crimes, Helping Victims \$ 156,696

Lawrence Sherman will research and write a book on criminal justice policy initiatives commonly referred to as restorative justice. The project will examine the evidence produced by a series of experimental evaluations of restorative justice programs, analyze longitudinal data from jurisdictions that have implemented restorative justice policies, and conduct survey work to determine how many jurisdictions in the United States are incorporating restorative justice policies into their criminal justice systems.

University of Rochester

Rochester, NY

Center for Educational Policy Evaluation and Research \$ 50,387

Eric Hanushek will direct a center that will seek to improve evaluation practice in educational policy. The center will produce papers on education evaluation practices and encourage strong independent evaluations of education policies.

University of Texas at Dallas

Dallas, TX

Finding Better Schools: Publics, Charters, and Parental Choice \$ 308,867

John F. Kain will assess the effects of alternative school choices on student performance. He will examine the factors that influence parental school choices and student achievement differences between charter schools and regular district schools.

University of Virginia

Charlottesville, VA

Implementation of Covenant Marriage in Louisiana \$ 84,921

Steven Nock will conduct research and write a report on Louisiana's covenant marriage law. He will examine how the law has been implemented and how the local population has responded to the law.

University of Washington

Seattle, WA

In Short Supply: Ensuring Enough Quality Teachers for America's Schools \$ 116,500

Paul Hill will lead an effort to help schools improve their strategies for recruiting teachers. He will examine how American schools are hiring teachers in the context of teacher shortages and demands for higher teacher qualifications.

The Urban Institute

Washington, DC

Social Policy and the Tax System: Tax Subsidies for Low-Income Families and Children \$ 161,610

Eric Toder will assess whether the trend toward making social policy through the tax code leads to effective public policies. He will examine whether tax policies designed to assist low-income families and children, such as child tax credits and deductions for childcare, are an effective means of achieving public policy goals.

Budgeting in an Era of Surpluses \$ 132,237

Rudolph Penner will prepare a monograph on how policy makers at the federal level should respond to a fiscal environment in which budget surpluses are forecast for the foreseeable future. He will assess the accuracy of surplus projections, evaluate proposals for spending the surplus, and consider whether the budget process should be reformed in light of the federal government's fiscal situation.

Crime's Decline: Why Did It Happen? Will It Continue? \$ 49,232

Jeremy Travis will convene a one-day conference that will review and synthesize the findings of existing research on the decline in crime rates and offer a set of prescriptions for further combating crime for state and local policy makers.

WGBH Educational Fund

Boston, MA

The Commanding Heights \$ 300,000

Daniel Yergin will produce a documentary based on his book, *The Commanding Heights: The Battle Between Government and the Marketplace that is Remaking the Modern World*.

The Woodrow Wilson Center

Washington, DC

Influences on the Congressional Policy Process \$ 50,000

Donald Wolfensberger will organize an initiative to examine the policy making process in the U.S. Congress. He will commission research and convene a series of seminars to address the following influences on the congressional policy making process: presidential campaigns; freshman members of Congress; the needs of congressional districts; and Washington lobbyists.

Yale University

New Haven, CT

Evaluating Bright Beginnings \$ 100,000

Victoria Seitz will examine the effectiveness of a program designed to improve teen parenting behavior and infant development. She will evaluate whether one-on-one mentoring by community volunteers helps young mothers improve their parenting skills.

Bush Center in Child Development and Social Policy \$ 234,185

The Bush Center in Child Development and Social Policy and the Bush Fellows Training Program will conduct research on child development and facilitate interchanges between academic researchers and policy makers through briefings, lectures, and workshops in order to enhance the policy community's understanding of critical child development issues.

**2000 GRANTS
DIRECT SERVICE
(\$25,000 and above)**

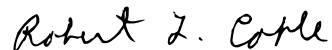
Bridgeport Hospital Foundation, Inc. Bridgeport, CT <i>Neonatal Follow-Up Program for High-Risk Infants</i>	\$ 25,000
Conservation Trust for North Carolina Raleigh, NC <i>General support</i>	\$ 50,000
Cystic Fibrosis Foundation Bethesda, MD <i>Cystic Fibrosis Drug Discovery</i>	\$ 250,000
Dartmouth-Hitchcock Medical Center Lebanon, NH <i>H. Robert Marschalk, DC '37 Scholarship Endowment Fund</i>	\$ 25,000
Davidson College Davidson, NC <i>Undergraduate Initiative in International Security Studies</i>	\$ 35,000
Family Services Woodfield, Inc. Bridgeport, CT <i>Workshop in Business Opportunities</i>	\$ 156,300
Girl Scouts, Connecticut Trails Council, Inc. North Haven, CT <i>Girl Scouts Beyond Bars</i>	\$ 35,000
Greens Farms Academy Greens Farms, CT <i>To provide initial funding for the position of Director of Diversity</i>	\$ 50,000
The Maritime Aquarium Norwalk, CT <i>Sound Science for Boys</i>	\$ 24,160
Midtown Pregnancy Support Center New York, NY <i>General support</i>	\$ 25,000
New Hanover Friends of the Public Library, Inc. Wilmington, NC <i>Northeast Regional Library Plaza</i>	\$ 75,000
North Carolina Institute of Political Leadership Wilmington, NC <i>Fellowships Program</i>	\$ 50,000
North Carolina Poverty Project, Inc. Greensboro, NC <i>Program on Understanding Poverty</i>	\$ 50,000
The ReadNet Foundation New York, NY <i>General support</i>	\$ 50,000
St. Vincent's Medical Center Foundation Bridgeport, CT <i>Teenage Suicide Screening Program</i>	\$ 25,000
GRANTS	<u>\$ 19,382,757</u>
GRANTS (Not Listed Individually)	<u>\$ 3,904,232</u>
TOTAL GRANTS PAID 2000	<u><u>\$ 23,286,989</u></u>

MANAGEMENT'S FINANCIAL REPORT

During 2000, the Foundation's unrestricted net assets decreased by \$65,507,522. As of December 31, 2000, the Foundation had total assets of \$549,374,118.

The Foundation awarded grants totaling \$28,036,452 during 2000 and made cash payments on grants awarded during 2000 and unpaid grants from previous years of \$23,286,989.

The Foundation's financial statements have been audited by McGladrey & Pullen, LLP, independent certified public accountants. The financial statements, which follow on pages 42 through 45, have been derived from the Foundation's audited Financial Report as of and for the year ended December 31, 2000, which included an unqualified opinion dated March 30, 2001.



Robert L. Coble
Vice President, CFO

Consolidated Statements of Financial Position

December 31, 2000 and 1999

Assets	<u>2000</u>	<u>1999</u>
Cash and cash equivalents	\$ 40,792,226	\$ 20,380,220
Securities and investments, at fair value:		
Government, agency and national mortgage association obligations	-	22,691,119
Corporate and other asset-backed obligations	-	24,710,821
Mutual funds	121,495,616	53,461,141
Marketable equity securities	340,688,257	447,291,973
Investment in limited partnerships	22,093,018	29,948,295
Property and equipment, net of accumulated depreciation	11,155,681	11,617,899
Interest and dividends receivable	995,517	978,470
Investments sale proceed receivables	11,412,041	-
Other assets	741,762	717,602
Total assets	<u>\$549,374,118</u>	<u>\$611,797,540</u>

Liabilities and Net Assets

Liabilities:

Accounts payable and other liabilities	\$ 583,699	\$ 393,368
Deferred federal excise tax credit	116,023	1,738,556
Unpaid grants-in-aid	26,501,502	21,985,200
Total liabilities	<u>27,201,224</u>	<u>24,117,124</u>
Unrestricted net assets	522,172,894	587,680,416
Total liabilities and net assets	<u>\$549,374,118</u>	<u>\$611,797,540</u>

See Note to Consolidated Financial Statements.

Consolidated Statements of Activities

Years Ended December 31, 2000 and 1999

	2000	1999
Revenues:		
Interest	\$ 4,869,061	\$ 3,854,122
Earnings on mutual funds	2,955,288	2,444,783
Dividends	5,251,586	4,235,864
Equity (loss) in limited partnership income	(572,986)	2,451,209
Donated use and occupancy of real estate	1,102,524	1,102,524
Grants-in-aid canceled	792,810	269,455
Other	29,423	4,044
	14,427,706	14,362,001
Distribution from life interest trust	-	8,025,671
	14,427,706	22,387,672
Expenses:		
Grants-in-aid	29,105,815	26,747,714
Investment advisory and custodian fees	2,433,155	2,042,613
Management and general	5,460,431	4,157,698
	36,999,401	32,948,025
Federal excise taxes (credits):		
Current	465,330	1,066,183
Deferred	(1,622,533)	(85,826)
	(1,157,203)	980,357
Decrease in unrestricted net assets before net gains (losses) on securities and investments and net gains (losses) on foreign currency transactions and foreign currency forward contracts	(21,414,492)	(11,540,710)
Net gains (losses) on securities and investments	(43,685,375)	91,629,972
Net gains (losses) on foreign currency transactions and foreign currency forward contracts	(407,655)	291,914
	(44,093,030)	91,921,886
Increase (decrease) in unrestricted net assets	(65,507,522)	80,381,176
Unrestricted net assets:		
Beginning	587,680,416	507,299,240
Ending	\$522,172,894	\$587,680,416

See Note to Consolidated Financial Statements.

Consolidated Statements of Cash Flows

Years Ended December 31, 2000 and 1999

	2000	1999
Cash flows from operating activities		
Change in unrestricted net assets	\$ (65,507,522)	\$ 80,381,176
Adjustments to reconcile change in unrestricted net assets to net cash used in operating activities:		
Revenue recognized for donated use and occupancy of real estate	(1,102,524)	(1,102,524)
Grants-in-aid recognized for donated use and occupancy of real estate	1,069,363	1,073,095
Noncash distribution of life interest trust	-	(7,643,589)
Depreciation	567,259	554,045
Amortization of (premiums) discounts	(239,089)	141,979
(Gain) Loss on sale of property and equipment	(15,060)	27,708
Net (gains) losses on securities and investments	43,685,375	(91,629,972)
Net (gains) losses on foreign currency transactions and foreign currency forward contracts	407,655	(291,914)
Excess (deficiency) of distributions over interest in limited partnership income on loss	7,855,277	(1,275,209)
Deferred federal excise credits	(1,622,533)	(85,826)
Changes in assets and liabilities:		
(Increase) decrease in:		
Interest and dividends receivable	(17,047)	(160,643)
Other assets	(24,163)	288,890
Increase in:		
Accounts payable and other liabilities	190,331	247,520
Unpaid grants-in-aid	4,549,463	3,356,530
Net cash used in operating activities	(10,203,215)	(16,118,734)

	<u>2000</u>	<u>1999</u>
Cash flows from investing activities		
Proceeds from sales and maturities of securities and investments	\$ 643,477,598	\$ 539,248,612
Payments on settlement of foreign currency transactions and foreign currency forward contracts, net	(407,655)	(591,317)
Proceeds from sale of property and equipment	24,900	225
Purchase of securities and investments	(612,364,744)	(514,735,887)
Purchase of property and equipment	<u>(114,878)</u>	<u>(221,363)</u>
Net cash provided by investing activities	<u>30,615,221</u>	<u>23,700,270</u>
Net increase in cash and cash equivalents	20,412,006	7,581,536
Cash and cash equivalents:		
Beginning	<u>20,380,220</u>	<u>12,798,684</u>
Ending	<u>\$ 40,792,226</u>	<u>\$ 20,380,220</u>
Supplemental disclosures of cash flow information		
Cash payments for:		
Federal excise taxes	<u>\$ 645,092</u>	<u>\$ 1,135,000</u>
Grants-in-aid	<u>\$ 23,286,989</u>	<u>\$ 22,106,163</u>
Supplemental schedule of noncash investing activities		
Decrease in unrealized appreciation of securities and investments	<u>\$ (79,260,032)</u>	<u>\$ (6,652,479)</u>
Securities distributed from life interest trust	<u>\$ -</u>	<u>\$ 7,643,589</u>

See Note to Consolidated Financial Statements.

NOTE TO CONSOLIDATED FINANCIAL STATEMENTS

Distribution of Income

The minimum amount of 2000 income required to be distributed during the year ending December 31, 2001, computed in accordance with the minimum distribution requirements of the Internal Revenue Code, is approximately \$21,400,000.

The Foundation expects to make distributions in 2001 in amounts authorized and approved by the Trustees.

PROCEDURES

For initial grant inquiries, the Foundation has no specific format requirements. A concept paper or letter of application is sufficient. An initial submission should not exceed five pages. The submission should include a statement of the purpose of the project; an explanation of how the project relates to the Foundation's mission; a description of the applicant organization and the credentials of key project personnel; an outline of the project activities, timetable, and products; and a summary budget. If the staff determines that a proposed project merits further consideration under the Foundation's guidelines, an applicant will be asked to submit a full proposal that conforms to a template provided by the Foundation.

Decisions on requests for grants greater than \$50,000 and for multi-year grant support are made quarterly. Proposals for grants of \$50,000 or less are reviewed on an ongoing basis and are handled as promptly as possible.

Although the mission of the Foundation is to support public policy research, it makes small grants to organizations in North Carolina and Connecticut that provide innovative services for children and families at risk. However, such grants are customarily solicited by Foundation Governors and are not renewable. Direct service organizations located outside these two states, as well as national direct service charities, will not be considered for support by the local grants program.

It is a regrettable but inescapable fact that the vast majority of unsolicited requests for funding must be rejected. Because the Foundation's funds are limited, it does not provide support for the following:

- Deficit funding of previously established operations;
- Building or construction projects;
- Arts and humanities projects;
- Historic restoration projects;
- Research projects in the physical sciences;
- Renewals of local grant awards;
- Evaluations of direct service organizations conducted internally;
- Educational or other support to individuals.

All grant proposals should be addressed to:

Smith Richardson Foundation, Inc.
60 Jesup Road
Westport, CT 06880
(203) 222-6222
www.srf.org

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