

**SMITH RICHARDSON  
FOUNDATION, INC.**

**ANNUAL REPORT 2007**



## CONTENTS

- 1 President's Letter
- 5 2007 Grant Awards:  
International Security and  
Foreign Policy Program
- 27 2007 Grant Awards:  
Domestic Public Policy Program
- 40 2007 Grant Awards:  
Direct Service Program
- 41 Management's Financial Report
- 42 Financial Statements
- 51 Procedures
- 52 Trustees, Governors, and Officers
- 53 Staff and Office Locations
- 55 History



## PRESIDENT'S LETTER

The mission of the Smith Richardson Foundation is to contribute to important public debates and to 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.

The Foundation advances its mission through its two principal grant making programs: the International Security and Foreign Policy Program and the Domestic Public Policy Program. The Foundation believes that conflict and change in the international environment have created new needs in the U.S. policy community for analysis and guidance on critical foreign and defense policy issues. In the domestic arena, the Foundation believes that policy makers are seeking innovative and pragmatic solutions to the long-term challenges affecting the well being of all Americans.

### *International Security and Foreign Policy*

The objective of the International Security and Foreign Policy Program is to assist the U.S. policy community in developing effective national security strategies and foreign policies. The Foundation is committed to supporting projects that help the policy community face the fundamental challenge of ensuring the security of the United States, protecting and promoting American interests and values abroad, and enhancing international order.

The International Security and Foreign Policy Program has a number of priority areas of interest. The ongoing instability in key regions and states highlights the need to improve U.S. capabilities in the areas of intelligence gathering and analysis, public diplomacy, counterinsurgency, and post-conflict stabilization and reconstruction. The international program has long sought to support projects designed to improve the effectiveness of U.S. military forces through defense transformation. Geopolitical competition, the uncertain future of economic and political developments in key states such as Russia, and the increasingly important roles that China and India play in international politics require renewed assessments of how best to deploy U.S. resources in order to achieve strategic objectives around the globe. The Foundation also seeks to support projects on key transnational issues such as proliferation, terrorism, democratization, and global political change. Within the academic community, the international program supports policy-relevant strategic studies and underwrites historical research with implications or lessons for current policy.

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

- **America Abroad Media:** The institution will work with foreign broadcasters to produce monthly programs that report on key foreign policy issues and provide a venue for U.S. policy makers to discuss U.S. foreign policy views.
- **The Center for New American Security:** The center will work with policy officials and experts in the United States and South Korea to assess challenges posed to the alliance between the two countries and to develop a blueprint for policies to improve bilateral relations.
- **Center for Strategic and International Studies:** The center will create a committee composed of experts from the United States and Ukraine that will develop policy recommendations for Ukrainian officials in key areas, such as energy and political reform.
- **The Hudson Institute:** A scholar at the institute will work with local leaders in predominantly Muslim countries to develop arguments and approaches that could be used to counter radical Islamist ideologies.
- **The Institute for State Effectiveness:** The institute will identify the strategies that have been effectively employed to increase the governing capacity of states in the less-developed world.
- **The Nonproliferation Policy Education Center:** The center will assess whether increased use of civilian nuclear power around the world will increase the risk of nuclear weapon proliferation.

### *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. 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. The Foundation has supported work designed to strengthen the foundations of U.S. economic growth by examining critical issues in monetary, fiscal, and tax policy. The Foundation has sought to identify strategies to lift the performance of U.S. schools through its support of work on incentive programs for students and performance pay for teachers. The Foundation has also embarked on an effort to develop strategies to improve the performance of public agencies through the effective use of government-led networks and the strengthening of the capacity of the public-sector workforce. The Foundation continues to provide support for projects that examine the effectiveness of our regulatory policies, explore the interaction between the policy making and the political processes, and evaluate the effectiveness of policies designed to assist disadvantaged families.

The following grants illustrate the types of projects supported by the Domestic Public Policy Program:

- **The American Enterprise Institute:** The institute will create a center focused on improving the effectiveness of regulatory policy through cost-benefit analyses and assessments of key issues in regulation.
- **The National Bureau of Economic Research:** A scholar affiliated with the bureau will conduct an experimental evaluation of a program designed to promote reading comprehension among elementary school-aged children by providing them with modest financial incentives to read books.
- **Ohio State University:** Two of the university's scholars will develop a set of recommendations for the policies and procedures that states should have in place in order to resolve election disputes in a fair and timely manner.
- **Pepperdine University:** A scholar affiliated with the university will conduct an experimental evaluation of a probation reform model that consistently and swiftly sanctions probation violators but employs sentences that are shorter than those that are typically used by probation programs.
- **Princeton University:** A scholar at the university will analyze the history of how countries have used public policies to encourage cultures of thrift among their people.
- **University of Maryland:** One of the university's scholars will lead an effort to examine how other countries have addressed key policy issues, such as the design of social welfare programs and the containment of health care costs, through the development of information exchanges with scholars in other countries.

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.



Peter L. Richardson  
*President*



**INTERNATIONAL SECURITY AND  
FOREIGN POLICY PROGRAM  
2007 GRANTS**

**The Abdorrahman Boroumand Foundation**

Washington, DC

*The Iran Human Rights Memorial Website* \$150,000

Roya Boroumand and Ladan Boroumand will lead an effort to document the human rights record of the Iranian government. They will create a searchable website that documents Iranian human rights abuses, translates key documents on human rights and democracy into Farsi, and disseminates information on Iran's democracy movement by translating indigenous material from Farsi into English.

**America Abroad Media**

Washington, DC

*America and the Muslim World: A Public Diplomacy Initiative* \$350,000

Aaron Lobel will co-produce a series of television programs in partnership with local broadcasters in a number of predominantly Muslim countries, including Turkey, Afghanistan, and Pakistan. These programs will address critical foreign affairs issues facing those countries and the United States.

*Journalism Fellowship Program* \$262,680

Aaron Lobel will develop a program that will bring leading journalists from Pakistan, Indonesia, Afghanistan, Egypt, Turkey, and Saudi Arabia to Washington, DC. The visiting journalists will produce reports for their home countries on key foreign policy issues and participate in roundtable events with members of the U.S. policy community.

**American Enterprise Institute for Public Policy Research**

Washington, DC

*Development without Aid: Promoting Entrepreneurship and Political Accountability in an Era without Conditionality* \$100,000

Mauro De Lorenzo will conduct field work, commission papers, and convene working groups to explore how support for entrepreneurship could foster economic development, increased internal state revenues, and the development of accountable governmental institutions. The project's findings will appear in a single-author book.

<i>Bridging the Gap: An Economic and Security Strategy for U.S.-China Relations</i>	\$ 75,000
<p>Dan Blumenthal will lead an effort to examine China's emergence as a great power and develop potential U.S. strategies in response to China's rise. He will conduct field work and organize a series of workshops including experts from competing schools of thought on China's economic and political development. The project's findings will appear in a book.</p>	
<i>Building Partnership Capacity: The Case of Indonesia</i>	\$ 25,000
<p>Thomas Donnelly, Christopher Griffin, and Gary Schmitt will convene a two-day simulation exercise using a hypothetical crisis in Indonesia as a case study to develop and evaluate an integrated country team approach to improving crisis management. The project will result in a report and briefings.</p>	
<i>Talking to the Enemy: The Promise and Peril of Engagement</i>	\$ 90,000
<p>Michael Rubin will research and write a book that will assess the strengths and weaknesses of engagement as a policy approach toward adversarial regimes. He will prepare case studies of engagement with the Soviet Union, Egypt, the Palestinians, Iran, North Korea, Libya, and Pakistan in order to understand the potential and limitations of engagement strategies and lessons for contemporary policy challenges with adversarial states.</p>	
<i>Lonely Voices: Democrats of the Middle East</i>	\$ 25,000
<p>Joshua Muravchik will write a book profiling the lives and political struggles of democratic activists in Egypt, Kuwait, Saudi Arabia, Syria, Iraq, the Palestinian territories, and Iran.</p>	
<p><b>Aspen Institute Berlin</b> Berlin, Germany</p>	
<i>The Ugly Americans: How Not to Lose the Global Culture War</i>	\$ 75,000
<p>Martha Bayles will research and write a book exploring the effect of U.S. popular culture on perceptions of the United States among foreign publics. She will analyze survey and marketing data and interview political and cultural elites in various foreign countries in order to assess whether American popular culture is an asset or liability in shaping perceptions of American society around the world.</p>	

**The Atlantic Council of the United States**

Washington, DC

*Ukraine's Orange Revolution: The Emergence of Europe's Newest Democracy and Its Policy Implications*

\$ 91,502

Adrian Karatnycky will research and write a book that will document the history of Ukraine's Orange Revolution.

**Atlas Economic Research Foundation**

Arlington, VA

*Global Property Systems*

\$250,000

Peter Schaefer will research, analyze, design, and test a new approach to creating effective formal property rights in developing countries. He will create a private-sector consortium capable of carrying out the program on a self-sustaining basis and oversee the design and launching of a pilot project.

**Barnard College**

New York, NY

*Dealing with Warlords: Lessons from History*

\$127,347

Kimberly Marten will research and write a book that will explore the challenge posed by warlordism in fragile and failing states. She will prepare case studies illustrating competing strategies for dealing with warlords in Somalia, Afghanistan, China, Pakistan, Georgia, and Sierra Leone.

**Boston University**

Boston, MA

*Sharia Politics and U.S. Policy: A Comparative Study of the Policy Implications of Movements for and against Islamic Law*

\$191,772

Robert Hefner will lead an effort to explore how various political and ideological currents in the Muslim world view sharia law. He will organize a conference to analyze the rival understandings, political uses, and policy impact of sharia law in Egypt, Turkey, Saudi Arabia, Iran, Pakistan, Indonesia, Nigeria, and Afghanistan. The project's findings will appear in an edited volume and a monograph.

**The Brookings Institution**

Washington, DC

*Cracks in the Bastion: Inside the WTO and the Conflict that Threatens the Global Trading System*

\$ 62,500

Paul Blustein will research and write a book that will provide insights into the operation of the World Trade Organization and discuss how the world trade system might enhance growth in developing countries.

- China-Japan-United States Relations: The Institutional Dimension* \$ 62,500  
 Richard Bush and Ken Jimbo will research and write a book that will explore how potential rivalry between Japan and China might affect U.S. interests. They will investigate the decision making institutions and processes of China, Japan, and the U.S.-Japanese alliance in order to understand how these three countries might manage their relations in a crisis.
- The Political Economy of the Islamic Republic of Iran* \$ 69,605  
 Suzanne Maloney will research and write a book that will explore the nature of Iran's political economy and assess the strengths and weaknesses of its economic system. She will conduct field work and analyze data from international financial institutions, publications and information provided by the Iranian government, and materials from the Iranian media.
- Getting Turkey Right* \$150,000  
 Omer Taspinar and Mark Parris will convene meetings of analysts, journalists, and scholars from Turkey and the United States to help the U.S. policy community understand Turkish perspectives on the Kurdish question, Islam in Turkey, Turkish-American relations, and Turkey-E.U. relations. The project's papers will appear in a series of policy papers, articles, and briefings.
- U.S. Policy Toward a Cuba in Transition* \$100,000  
 Vicki Huddleston and Carlos Pascual will lead an effort to explore scenarios and options to deal with potential change in post-Castro Cuba. They will commission research and conduct a series of simulation exercises involving academic and policy experts, opinion leaders, and government officials. The project's findings will appear in a monograph and a series of policy briefs.
- Five Presidents: A Primer on National Security Policy Making* \$ 85,000  
 Peter Rodman researched and wrote a book examining how various presidential administrations have developed and implemented national security policy. He analyzed the lessons from his first-hand observations of the functioning of the national security policy process under five modern presidents.
- Simulation of a Taiwan Crisis* \$150,000  
 Richard Bush and Michael O'Hanlon will lead an effort to explore potential U.S. responses to a crisis over Taiwan. They will conduct a series of simulation exercises involving participants from the United States, China, and Taiwan. The project's findings will appear in a co-authored monograph and a series of articles.

**The Carnegie Council Fund, Inc.**

New York, NY

*Foreign Policy Roundtable*

\$ 40,000

Nicholas Rizopoulos will organize a forum at which foreign policy analysts and scholars will discuss their research with a group of leading journalists and editors.

**Carnegie Endowment for International Peace**

Washington, DC

*China Goes Global: China's Diplomacy in the Developing World and Implications for the United States*

\$100,000

Joshua Kurlantzick will research and write a book that will examine China's emerging global strategy based on its newly acquired wealth and diplomatic influence.

*The Hong Kong Journal*

\$129,371

Robert Keatley will edit *The Hong Kong Journal*, a quarterly publication that analyzes key political, economic, and social developments affecting Hong Kong's evolution within China.

**The Center for a New American Security**

Washington, DC

*ROK Solid: Building the U.S.-ROK Alliance for the 21st Century*

\$200,000

Kurt Campbell will lead an effort to explore the future of the U.S.-South Korean relationship. He will convene meetings among a group of experts from the United States and South Korea, commission research papers on key issues affecting the U.S.-South Korean relationship, and develop a blueprint for policy measures designed to improve and manage the relationship. The project's findings will appear in a series of monographs and a final report.

**Center for Islamic Pluralism**

Washington, DC

*Sharia Law and the Islamist Radicalization in Western Europe*

\$148,500

Stephen Schwartz will research and write a monograph that will assess whether Islamist groups in Western Europe are succeeding in establishing sharia-based laws to govern their communities. He will focus on the efforts of Islamist groups in the United Kingdom, France, Germany, the Netherlands, and Spain, as well as the responses of European governments to these efforts.

## **Center for Strategic and Budgetary Assessments**

Washington, DC

*Creating a Defense Posture for the Long Haul* \$522,300

Andrew Krepinevich will lead an effort to develop a defense strategy and program to address contemporary and future threats and opportunities. He will conduct an integrated analysis of key planning scenarios, new military concepts of operations, required military capabilities and force structure, needed support systems, and budgetary issues. The project's findings will appear in a series of monographs and a detailed blueprint for a reformed defense program.

## **Center for Strategic and International Studies, Inc.**

Washington, DC

*U.S.-E.U. Partnership Committee for Ukraine* \$150,000

Janusz Bugajski will establish a U.S.-E.U.-Ukraine Partnership Committee. He will convene four task forces focused on key challenges facing Ukraine: political and economic transformation, energy security policy, relations with Russia, and prospects for Euro-Atlantic integration. The project's findings will appear in a series of papers and a report.

*The Eagle and the Elephant: Whither the U.S.-India Partnership?* \$100,000

Teresta Schaffer will research and write a book that will explore the future of the U.S.-Indian relationship. She will interview U.S. and Indian officials, convene a series of working group meetings with experts from both countries, and host meetings with U.S. officials to examine a range of scenarios for the future of the U.S.-Indian relationship.

*Turkey 2020: A New Strategic Framework for U.S.-Turkish Relations* \$150,000

Stephen Flanagan will research and write a monograph that will develop a new strategic framework for U.S.-Turkish relations. He will commission papers, conduct field work, and convene meetings to examine Turkey's internal political and social trends and analyze its relations with Europe, Russia/Eurasia, and the Middle East.

*Expanding Eurasia: Russia's European Ambitions* \$ 49,105

Janusz Bugajski will research and write a monograph that will analyze Russian foreign policy objectives in Europe. He will conduct research and interviews to identify Russian goals vis-à-vis the European Union and NATO, analyze how Russian authorities intend to realize their ambitions, and recommend U.S. and European responses.

*Transnational Threats and Open Source Information* \$250,000  
Arnaud de Borchgrave and Thomas Sanderson will explore the viability of using open source-information to improve U.S. intelligence. They will create a trusted information network to examine transnational threats in Southeast Asia and analyze how they might affect the region. They will also convene a task force to help the intelligence community build mechanisms utilizing such techniques to allow for structured interactions with non-governmental experts. The project's findings will appear in a report.

**The Dui Hua Foundation**

San Francisco, CA

*A Dialogue with the Chinese Government on Political Crime and Popular Protest*

\$195,000

John Kamm will conduct an informal human rights dialogue with the Chinese government in order to elicit information about individuals detained because of their political and religious views. He will also engage in policy outreach to the United States and other governments, international organizations, and non-governmental organizations engaged in human rights advocacy vis-à-vis China. The project's findings will appear in a series of papers, reports, policy memoranda, and other publications.

**East Asia Research Institute**

Potomac, MD

*China's Renewed Foreign Aid Diplomacy: A Challenge to America*

\$108,000

John Copper will research and write a book that will analyze Chinese foreign assistance policies and explore how they might affect U.S. interests in the developing world.

**Faberge Arts Foundation**

Washington, DC

*St. Petersburg, 1993-2003: Firsthand Accounts of a Dynamic Decade*

\$ 25,000

Joyce Lasky Reed will convene a conference and commission papers describing the period of democratic and cultural activism that occurred in St. Petersburg during the 1990s and the subsequent democratic retrenchment in Russia. The project's findings will appear in an edited volume.

**Freedom House**

Washington, DC

*Freedom in the World: The Annual Survey of Political Rights and Civil Liberties*

\$150,000

Arch Puddington will research and edit *Freedom in the World*, Freedom House's annual survey of political freedom and democracy around the globe.

<p><i>The American Committee for Peace in the Caucasus</i></p> <p>Iva Savic and Thomas Melia will lead an effort to explore the geopolitical implications of instability in the Caucasus region. They will collect information about developments in the North Caucasus and analyze their implications for regional stability and Russia's political trajectory. This project's findings will appear on a website and in a series of briefings.</p>	<p>\$128,848</p>
<p><b>Harvard University</b> Cambridge, MA</p>	
<p><i>Cold War Studies Project</i></p> <p>Mark Kramer will edit and publish the <i>Journal of Cold War Studies</i> and support the publication of books on cold war history through the Harvard Cold War Studies series.</p>	<p>\$193,880</p>
<p><i>The Making and Proliferation of the Pakistani Bomb</i></p> <p>Hassan Abbas will research and write a book on the nuclear proliferation network created and operated by A.Q. Khan. He will analyze an array of Pakistani and Western open source materials and conduct interviews with Pakistanis and Western officials and experts on the Khan network.</p>	<p>\$ 50,000</p>
<p><b>Hoover Institution</b> Stanford, CA</p>	
<p><i>Why Do Terrorists Stop?</i></p> <p>Timothy Naftali will examine the internal and external pressures that contribute to the weakening, dissolution, or destruction of terrorist groups and cells. He will commission 19 case studies of modern terrorist groups and analyze the factors that contributed to the demise of each group. The project's findings will appear in a series of case studies, an oral history database, and a single-author monograph.</p>	<p>\$150,000</p>
<p><i>China Leadership Monitor</i></p> <p>Alice Lyman Miller will edit and publish <i>The China Leadership Monitor</i>, a quarterly electronic journal on China's leadership politics.</p>	<p>\$183,137</p>
<p><i>Prospects and Strategies for Democratic Transition in Iran</i></p> <p>Abbas Milani, Larry Diamond, and Michael McFaul will lead an effort to develop a U.S. approach to fostering democratic development in Iran. They will commission papers, convene workshops, and develop strategies that the United States and the West can employ to create an international environment conducive to political change in Iran. The project's findings will appear in an edited volume and a co-authored monograph.</p>	<p>\$132,770</p>

## **Hudson Institute**

Indianapolis, IN

*Current Trends in Islamist Ideology* \$125,000

Hillel Fradkin will edit and publish *Current Trends in Islamist Ideology*, a semi-annual journal on the evolving ideological and political debates within and among transnational Islamist movements.

*Moderation, Radicalization, and Re-radicalization of Universalistic Movements and Regimes* \$125,000

Charles Fairbanks will research and write a book that will identify strategies and policies to respond to the rise of universalistic movements and regimes. He will identify patterns of moderation and re-radicalization in the life cycle of such movements and regimes through case studies of communism from the 1890s to 1991, radical shiite movements from the late 600s to the mid-1200s, and Iranian shiism from the mid-1700s to the present.

*Ground Game in the War of Ideas: Strategies for Competing with Radical Islam* \$ 48,950

S. Enders Wimbush will lead an effort to explore potential instruments and strategies to compete ideologically with Islamist extremism. He will conduct workshops in key countries involving leading indigenous intellectuals and leaders in order to explore how these states might develop new approaches to counter extremist Islamist ideologies.

*Conspiracy of Silence: The Insurgency in Southern Thailand and its Implications for Regional Security* \$ 21,800

Zachary Abuza will research and write a book that will explore the conflict between radical Islamist insurgents and Thai security forces in southern Thailand.

## **The Institute for Foreign Policy Analysis**

Cambridge, MA

*A Nuclear North Korea: Catalyst for a Nuclear Japan?* \$121,700

James Schoff will lead an effort to examine Japan's strategic debate and thinking on the question of whether it should develop a nuclear weapons capability. The project's findings will appear in a series of articles in policy journals, briefings, and a monograph.

*Iran with Nuclear Weapons: Anticipating the Consequences for U.S. Security* \$150,000

Charles Perry and Jacquelyn Davis will explore U.S. policy options in the event that Iran becomes a nuclear weapons state. The project's findings will appear in a monograph.

## **Institute for Global Engagement**

Washington, DC

### *Addressing the Islamist Politics of Pakistan's Frontier*

\$ 69,300

Joshua White and Christopher Seiple will research and write a monograph on political and ideological trends in the Northwest Frontier Province of Pakistan. They will conduct field work and analyze the political and social terrain of the region and develop proposals for short- and long-term U.S. policy.

## **International Institute of Applied Systems Analysis**

Laxenburg, Austria

### *Processes of International Negotiation Program*

\$ 25,000

William Zartman will lead an effort to undertake systematic studies of negotiating techniques and practices. The project's findings will be presented in workshops and published in a series of books.

## **The Jamestown Foundation**

Washington, DC

### *Clarifying the Threat and Designing a U.S. Curriculum for Teaching about Jihadist Ideology*

\$118,565

Stephen Ulph will lead an effort to improve the U.S. policy community's understanding of Islamist ideology and politics. He will analyze and categorize jihadist literature and devise a curriculum that can be taught at U.S. governmental and private educational institutions.

### *China Brief*

\$ 65,594

Arthur Waldron will edit and publish *China Brief*, a bi-weekly report on key political, military, economic, and geopolitical developments in China.

### *North Caucasus Weekly*

\$ 67,824

Jonas Bernstein will edit and publish *North Caucasus Weekly*, a report that will track and analyze developments in the North Caucasus.

### *Eurasia Daily Monitor*

\$216,515

Vladimir Socor will edit and publish *Eurasia Daily Monitor*, a daily report that will analyze key political, economic, military, and geopolitical events and trends in Eurasia.

**Johns Hopkins University/School of Advanced and International Studies**

Washington, DC

*The Other Government* \$ 50,000

Melissa Thomas will research and write a book that will assess the factors underlying the deficiencies in the capacities of governments in less-developed countries and outline strategies that could be used to strengthen governance and economic development in those countries.

*Coping with the Russo-Chinese Competition in Central Asia:*

*Local Perspectives and Strategies* \$111,240

Sébastien Peyrouse and Marlène Laruell will research and write a book on how the countries of Central Asia view the geopolitical competition in their region between Russia and China. They will conduct field work and interviews, commission papers, and research and analyze the views of Central Asian, Chinese, and Russian elites on the competitive dynamics of regional great power relations.

*Contradictions of the Faith: Women, Shiism, and Iran*

\$103,000

Sanam Vakil will research and write a book that will assess the diverse political currents among women in Iran by examining the role of women's seminaries in upholding or challenging the orthodoxy of the Iranian regime.

*Central Asia-Caucasus Institute 2006-2008*

\$402,274

S. Frederick Starr will direct the research and publications program of the Central Asia-Caucasus Institute. The institute will sponsor research and analysis on key developments in the Central Asia and Caucasus region, organize conferences, produce a bi-weekly report, publish a monograph series, and host visiting fellows and young scholars from the region.

*Afghanistan-U.S. Security Consultative Board*

\$151,000

S. Frederick Starr will lead a public-private partnership to develop collaborative research and analyses of key security issues facing the United States and Afghanistan.

*The Colonels' Road*

\$ 49,500

Lawrence Kaplan will research and write a book that will identify the internal challenges that the U.S. Army must overcome to prepare its leaders and organization for the irregular warfare threats that are likely to dominate future contingencies.

*The Financing Gap in Emerging Markets: The Promise of Private Equity* \$150,000  
Roger Leeds will research and write a book that will develop new approaches toward facilitating economic development in less-developed countries through the formation of private equity funds that would invest in small- and medium-sized businesses.

**Lexington Institute**

Arlington, VA

*U.S. Naval Options for Influencing Iran* \$ 49,750

Daniel Gouré and Loren Thompson will convene a series of seminars in order to develop and refine policy options related to the use of naval forces in the Persian Gulf. The project's findings will appear in a report.

**LibForAll Foundation**

Winston-Salem, NC

*Grassroots Pluralist Network TV/Video Project* \$200,000

Holland Taylor will lead an effort to engage moderate Muslim leaders and groups in a collaborative effort to promote common values such as freedom and tolerance. He will work with Indonesian scholars and leaders to develop a curriculum on issues such as sharia law, diversity, religious freedom, and the rights of women. The project will result in a written curriculum and a series of video programs.

**LSE Foundation**

New York, NY

*Europe, My Europe: The Letters of Publia Augusta* \$ 48,000

Gwyn Prins will edit a book that will develop alternatives to the European Union's approach to key policy issues regarding law, regulation, finance, ideas of nationhood and citizenship, foreign policy, security, and the E.U. constitution. The project will produce a volume modeled on the Federalist Papers.

**The Maureen and Mike Mansfield Foundation**

Washington, DC

*Forging New U.S.-ROK Political Relationships* \$151,610

Gordon Flake will lead an effort to build ties between the U.S. and South Korean security and foreign policy communities. He will convene a series of meetings bringing together policy experts from the two countries, commission papers on issues affecting the U.S.-South Korean relationship, and generate a blueprint for how to manage the bilateral relationship. The project's findings will appear in a series of papers and a report.

**Migration Policy Institute**

Washington, DC

*Securing Global Mobility*

\$125,000

Susan Ginsburg will research and write a monograph that will develop strategies to impede the ability of terrorists to move around the world. She will analyze patterns in how terrorists travel, identify key actors and networks involved in such movements, and assess the effectiveness of U.S. efforts to impede terrorist mobility.

**Mississippi State University**

Mississippi State, MS

*Regional Cooperation in the Malacca Strait*

\$ 45,000

Dr. János Radványi will commission papers and organize a conference involving experts from the United States, Southeast and Northeast Asia, and Australia to produce a framework for an international security arrangement to safeguard the areas around the Malacca Strait.

**The National Bureau of Asian Research**

Seattle, WA

*The Next Generation of East Asian Leadership*

\$144,311

Cheng Li, Richard Samuels, L. Gordon Flake, and Shelley Rigger will research and write a monograph that will explore the possible impact on regional politics of generational change in the leadership of China, Japan, South Korea, and Taiwan.

**National Committee on American Foreign Policy, Inc.**

New York, NY

*Laying the Foundation for a Modus Vivendi Between China and Taiwan*

\$125,000

Donald Zagoria and George Schwab will undertake a trilateral policy dialogue on cross-strait issues involving participants from the United States, China, and Taiwan. They will explore the possibility of an interim agreement between authorities in China and Taiwan to accept the cross-strait status quo for an extended period of time. The project's findings will appear in a series of reports and policy papers.

**The National Institute for Public Policy**

Fairfax, VA

*The Long-Term Iranian Challenge*

\$ 24,631

Willis Stanley will research and write a monograph analyzing the strategic behavior of contemporary Iran.

<p><i>Goals and Methods of the Russian Arms Control Policy: Implications for U.S. Security</i></p> <p>Andrei Shoumikhin will research and write a monograph that will provide a comparative analysis of Soviet and Russian approaches toward arms control and explore how Moscow might approach arms control strategy in the future.</p>	<p>\$ 49,875</p>
<p><b>Naval War College Foundation, Inc.</b></p>	
<p>Newport, RI</p> <p><i>Proconsuls: Delegated Political-Military Leadership from Rome to America Today</i></p> <p>Carnes Lord will research and write a book about civil-military leadership in occupations. He will analyze fifteen cases from U.S., British, and Roman history in order to draw lessons for contemporary policy makers about the role of civil-military leadership in U.S. expeditionary operations.</p>	<p>\$ 73,500</p>
<p><b>New River Education Fund</b></p>	
<p>Washington, DC</p> <p><i>The Legacy of the Cold War</i></p> <p>Andrew Walworth will lead an effort to explore how to improve teaching of the history of the cold war. He will conduct research on how the cold war is currently taught, assess the quantity and quality of the resource materials on the cold war available to teachers, and examine what combination of media could be utilized to improve teaching on this period. The project's findings will appear in a report.</p>	<p>\$ 69,740</p>
<p><b>The Nixon Center</b></p>	
<p>Washington, DC</p> <p><i>The Radicalization Process and Homegrown Terrorism</i></p> <p>Robert Leiken will write a book that will examine how segments of Muslim communities in Europe are converted and recruited to extremist views and organizations and develop approaches to prevent such radicalization of these groups.</p>	<p>\$100,000</p>
<p><i>U.S. Middle East Policy and the Challenges from Iran, India, and China</i></p> <p>Geoffrey Kemp will direct an effort to rethink the U.S. role in the Middle East in the aftermath of the Iraq war. He will conduct field research and organize a series of workshops to analyze the likely evolution of Gulf politics. He will consider the probability and implications of scenarios including the increased influence of Iran, a closer relationship between the United States and India, and a more assertive China. The project's findings will appear in a monograph, an article, and a series of briefings.</p>	<p>\$ 48,039</p>

## **The Nonproliferation Policy Education Center**

Washington, DC

*Commercial Nuclear Energy in an Unstable, Carbon-Constrained World* \$204,838

Henry Sokolski will lead an effort to examine the proliferation risks associated with the growth of civilian nuclear power around the world. He will commission research studies that will assess the range of environmental, proliferation, and terrorism-related risks and costs inherent in civilian nuclear power and explore how the nuclear power industry could be made to internalize those costs. The project's findings will appear in a series of reports and briefings.

## **Pacific Forum CSIS**

Honolulu, HI

*Japan-ROK Relations and the United States: Reconciling National Identity, National Security, and U.S. Interests in East Asia* \$ 77,561

Brad Glosserman and Scott Snyder will research and write a book that will explore rising tension between Japan and South Korea and assess the implications for U.S. interests in the region.

*Comparative Connections: A Quarterly E-Journal on East Asian Bilateral Relations* \$130,647

Ralph Cossa and Brad Glosserman will edit and publish *Comparative Connections*, a quarterly journal that traces more than a dozen key bilateral relationships in East Asia.

## **Peterson Institute for International Economics**

Washington, DC

*Exploiting Refugee Insights into North Korea* \$ 85,000

Marcus Noland and Stephan Haggard will analyze the political, social, and economic situation in North Korea by examining data from a survey of 1,300 North Korean refugees in China. The project's findings will appear in a monograph and a series of articles.

## **The Policy Sciences Center, Inc.**

Iowa City, IA

*American Foreign Policy and Afghanistan: A Case for Engagement* \$ 25,000

Charles Norchi will write a book and various articles assessing U.S. policy choices in Afghanistan. He will conduct field work in Afghanistan, analyze archival and government documents, and interview U.S. officials and experts.

**The Potomac Foundation**

Vienna, VA

*China Vitae*

\$126,500

David Gries will maintain and enhance an on-line searchable biographical database of the top 2,000 officials in the Chinese government.

**The RAND Corporation**

Santa Monica, CA

*An American Policymakers' Guide to Understanding the Islamic Republic of Iran*

\$250,000

Charles Wolf and Jerrold Green will research and write a monograph that will explore the operational code of Iranian foreign policy. They will commission papers and convene a workshop involving non-American experts who live or spend substantial time in Iran.

*Integrating the Instruments of Power and Influence:*

*The Bottom-up Perspective*

\$151,216

Robert Hunter will lead an effort to improve the ability of civil and military actors to operate in concert during counterinsurgency and stabilization and reconstruction operations. He will commission papers and convene a series of conferences in order to examine past field-level experiences in civil-military coordination, to create models for how to organize U.S. civil-military activities in theater, and to develop proposals to reform the U.S. interagency process. The project's findings will appear in a report.

*Reconstruction under Fire: How to Conduct Civil Counterinsurgency in Hostile Conditions*

\$150,000

Terrence Kelly will develop a new approach to deliver governance and economic development in the midst of armed hostilities. He will conduct research, analysis, interviews, and field work to examine the challenges faced by civilians trying to conduct reconstruction amidst violence. The project's findings will appear in a monograph and a series of briefings.

**Rocky Mountain Institute**

Snowmass, CO

*Feebates as a Key Policy for Reducing U.S. Dependence on Oil*

\$172,744

Amory Lovins will develop a political and business strategy to create incentives for new car purchasers to buy more fuel-efficient vehicles. This project's findings will appear in a monograph.

**Southern Illinois University**

Carbondale, IL

*Arab Satellite Entertainment Television: Opportunities for Public Diplomacy*

\$ 72,663

Joseph Khalil will examine the development of Arab satellite television and consider how these networks can be used to shape attitudes and opinion among Arab youth. The project's findings will appear in a monograph.

**Texas A&M University**

College Station, TX

*What Drives Chinese Foreign Policy?*

\$150,000

Andrew Nathan and Andrew Scobell will research and write a book that will identify the factors that drive Chinese foreign policy. They will develop a conceptual framework that analyzes the relationship between and interplay of external and internal factors that empower and constrain China.

**Tides Center**

San Francisco, CA

*The State Effectiveness Program*

\$300,000

Ashraf Ghani and Clare Lockhart will lead an effort to improve the international community's capability to help countries build effective state institutions. They will commission research on effective state-building practices, develop an index of state effectiveness, conduct outreach to key government agencies and international organizations, and work directly with governments in developing countries to strengthen key institutions in those states.

**Tufts University**

Medford, MA

*Cultural Change Institute*

\$250,000

Lawrence Harrison will lead an effort to improve policies to promote economic and political development by exploring the role that cultural change should play in such efforts. He will commission case studies to illuminate the effect of cultural factors on development, analyze the instruments and institutions of cultural transmission and change, and engage policy makers and officials in the development community on the importance of cultural change. The project's findings will be published in a series of books.

**United States Military Academy**

West Point, NY

*Fifty Years after Samuel Huntington's The Soldier and the State:  
American Civil-Military Relations Reconsidered*

\$ 25,000

Suzanne Nielson and Don Snider will commission research and convene a conference to explore the status of civil-military relations in the United States today. The project's findings will appear in an edited volume.

**The United States-Indonesia Society**

Washington, DC

*Indonesian Islam: A Guide to History, Issues, and Actors*

\$ 62,500

Robert Pringle will research and write a book that will examine the nature of Islam in Indonesia. He will analyze existing research on the subject and conduct interviews with experts and leaders in Indonesia, Singapore, Australia, and the United States.

**University of California, San Diego**

La Jolla, CA

*The Grand Strategy of China's Military-Technological Ascendancy:  
The Forging of an Assertive Techno-Nationalist Ideology in an Era of  
Globalization*

\$ 62,500

Tai Ming-Cheung will research and write a book exploring China's innovation in military technology and its implications for Chinese military power and foreign policy.

*The Economic Relationship Between China and North Korea: Contours  
and Strategic Implications*

\$127,684

Stephan Haggard will explore the feasibility of using sanctions as an economic instrument of power vis-à-vis North Korea. He will analyze the scope and nature of the Sino-North Korean economic relationship. The project's findings will appear in a series of papers, briefings, and a single-author book.

**University of Colorado at Boulder**

Boulder, CO

*Islamic Radicalism: A Threat to Indonesian Democracy?*

\$110,669

R. William Liddle and Thomas Pepinsky will research and write a book assessing the causes and extent of radicalization within Indonesia's traditionally moderate Islamic community. They will commission a survey, conduct interviews with elites, and analyze primary source materials in Indonesia in order to assess political and religious trends.

**University of Georgia**

Athens, GA

*Flights of Fancy or Infancy? How India's Young Political Leaders View Cooperation with the United States*

\$146,280

Anupam Srivastava and Seema Gahlaut will research and write a book that will examine the potential evolution of U.S.-Indian relations by analyzing the policy thinking of India's future political elite.

**University of Wisconsin-Madison**

Madison, WI

*Does Transitional Justice Work? Engaging the Past to Safeguard the Future* \$ 50,000

Leigh Payne will research and write a book analyzing how best to devise and implement effective systems of justice in societies emerging from internal conflicts.

**The Wisconsin Project on Nuclear Arms Control**

Washington, DC

*IranWatch.org*

\$165,000

Gary Milhollin and Valerie Lincy will track and analyze Iran's efforts to acquire weapons of mass destruction and develop its ballistic missile delivery systems.

**Yale University**

New Haven, CT

*The China Law Center at Yale Law School* \$250,000

Paul Gewirtz will direct a project that will explore the possibilities for positive political change in China through the promotion of legal reform. He will conduct collaborative research activities and legal workshops designed to advance judicial reform, administrative law and regulatory reform, and constitutional law and civil rights. In addition to legal exchanges with China, the project will produce a series of research publications on issues related to the development of the Chinese legal system.

**Yale University Press**

New Haven, CT

*Stalin's Personal Archive Research and Publication Initiative* \$ 75,000

Jonathan Brent will direct an effort to explore key issues in cold war history through newly available material from Joseph Stalin's personal archive. He will commission archivists and historians to examine Stalin's policies on a range of issues related to foreign, domestic, and Communist party policy. The project will result in a series of books.

## **SECURITY STUDIES INITIATIVE**

### **Columbia University**

New York, NY

*Summer Workshop on Analysis of Military Operations and Strategy* \$221,500

Richard Betts will organize an annual summer study to train young scholars to analyze military strategy, combat operations, and defense budgets and programs.

### **Johns Hopkins University/School of Advanced and International Studies**

Washington, DC

*The Merrill Center for Strategic Studies Outreach* \$105,600

Thomas Keaney will convene an annual one-week workshop for university-based scholars on teaching strategic studies.

### **United States Military Academy**

West Point, NY

*West Point Summer Seminar in Military History* \$213,933

Lance Betros will organize an annual summer study to enhance the analytical and pedagogical skills of university-based scholars who teach military history.

### **University of Virginia**

Charlottesville, VA

*National Security Law Institute* \$ 86,600

John Norton Moore and Robert Turner will organize an annual two-week summer study to teach national security law to participants from academia and the policy community.

### **Yale University**

New Haven, CT

*International Security Studies* \$274,360

Paul Kennedy will direct a series of lectures and seminars on topics related to security studies and organize a program to provide support for graduate student research and field work.

## **JUNIOR FACULTY RESEARCH GRANT PROGRAM**

### **Georgetown University**

Washington, DC

*Techno-Blinders: How the Cult of Technology is Endangering U.S.*

*National Security and What to Do about It*

\$ 60,000

Elizabeth Stanley will research and write a book that will examine whether an over reliance on technological solutions to U.S. security challenges undermines the effectiveness of U.S. national security policies.

### **Harvard University**

Cambridge, MA

*The Eradication of Smallpox: An International History*

\$ 60,000

Ezra Manela will research and write a book that will draw on archival research and interviews to explore how nations and international organizations collaborated to eradicate the small pox virus.

### **Massachusetts Institute of Technology**

Cambridge, MA

*The Sources of China's Military Doctrine, 1975-2005*

\$ 60,000

M. Taylor Fravel will research and write a book that explores Chinese strategic thinking through a series of case studies that examine how and why China revised its military doctrine at key points during the last three decades.

### **Montclair State University**

Upper Montclair, NJ

*China as a Risk Society*

\$ 60,000

Elizabeth Wishnick will research and write a book that will explore how the domestic policy decisions of China's leaders in areas such as health, safety, and the environment have created risks that are experienced globally, such as disease epidemics and environmental degradation.

### **Princeton University**

Princeton, NJ

*Resurrecting Empires: Understanding Ottoman-Russian Rivalry*

*and Its Legacy in the Middle East and Eurasia*

\$ 60,000

Michael Reynolds will research and write a book that will examine how the development of the Caucasus, Central Asia, and the Middle East have been shaped by the geopolitical competition between the Russian and Ottoman Empires during the early twentieth century.

**Towson University**

Towson, MD

*The Revolution in Intelligence Affairs* \$ 60,000

William Lahneman will research and write a book that will assess whether the U.S. intelligence community has the structure, human capital, and resources needed to meet the challenges of the current and future security environment.

**University of Georgia**

Athens, GA

*At What Price Victory? Using Military Force as a Policy Instrument* \$ 60,000

Patricia Sullivan will research and write a book that will examine why states with significant war-fighting capacities often struggle to defeat far weaker states and assess whether a state's war aims affect the extent to which its military potential can be translated into success in fighting small wars.

**University of Mary Washington**

Fredericksburg, VA

*Understanding Populism* \$ 60,000

Robert Barr will research and write a book that will explore the evolution of populism in Latin America through case studies of political movements in Ecuador, Venezuela, and Bolivia.

**DOMESTIC PUBLIC POLICY PROGRAM  
2007 GRANTS**

**American Enterprise Institute for Public Policy Research**

Washington, DC

*The AEI Center for Regulatory and Market Studies*

\$425,000

Robert Hahn will direct the research and publications program of the AEI Center for Regulatory and Market Studies. The center will publish assessments of proposed regulations, analyze the impacts of existing regulations, examine the effectiveness of regulatory policy-making procedures and instruments, and explore new issues in regulation.

*The Future of Red, Blue, and Purple America*

\$118,250

Karlynn Bowman and Ruy Teixeira will commission research and convene a conference that will map how changes in the American electorate are shaping U.S. politics and assess how those changes are affecting the policy-making landscape. The project's findings will appear in an edited volume.

**Bridgewater State College**

Bridgewater, MA

*The Effects of Juvenile Court Processing: A Systematic Review of the Randomized Experimental Evidence*

\$ 50,000

Carolyn Turpin-Petrosino and Anthony Petrosino will conduct a systematic review of evidence on competing approaches toward juvenile justice. They will compare the impacts on crime and juvenile delinquency of programs that process low-level juvenile offenders through the established juvenile justice system to those of programs that divert juveniles to other forms of punishment or treatment. The project's findings will appear in a report and an article.

**The Brookings Institution**

Washington, DC

*Last Exit: Privatization and Deregulation of the U.S. Transportation System*

\$ 75,000

Clifford Winston will research and write a book that will examine whether privatization and deregulation strategies could improve the efficiency of the U.S. transportation system. He will review and synthesize existing literature on past efforts to deregulate and privatize transportation networks and design a series of experiments that federal, state, or local policy makers could implement to test the value of deregulation and privatization initiatives.

<p><i>Behavioral Economics and Federal Government Policy</i></p> <p>Jeffrey Kling will commission research and convene a conference that will explore how the insights of behavioral economics can inform the thinking of policy makers in key areas, such as Social Security, health care, and anti-poverty programs. The project's findings will appear in an edited volume and a policy brief.</p>	<p>\$ 61,405</p>
<p><i>Building a Long-Term Legal Architecture for the War on Terror</i></p> <p>Benjamin Wittes will lead an effort to develop a new legal architecture to combat terrorism. He will examine how the executive and judicial branches have shaped the U.S. legal approach toward key issues pertaining to terrorism, including laws governing detainees, prosecutions, and intelligence gathering, and commission papers from leading experts to develop recommendations for how those approaches could be improved. The project's findings will appear in a single-author book and a series of papers.</p>	<p>\$100,000</p>
<p><i>Declining Savings: A Threat to America's Prosperity?</i></p> <p>Barry Bosworth will research and write a book that will explore whether the decline in the U.S. savings rate is a threat to the prosperity of the U.S. economy. He will examine changes in U.S. national accounts to understand how lower rates of domestic savings are affecting the U.S. current accounts deficit, analyze household data to understand patterns of savings among households with different levels of income, and compare savings behavior in the United States to those in other countries.</p>	<p>\$102,670</p>
<p><b>Brown University</b>  Providence, RI</p>	
<p><i>The Effects of Class Size on Cognitive and Non-Cognitive Student Outcomes</i></p> <p>Martin West and Thomas Dee will examine whether changes in class size can lead to improvements in cognitive and non-cognitive student outcomes. They will analyze data from the National Education Longitudinal Study of 1988 and the experimental study of Tennessee's Project STAR class-size reduction initiative to measure whether differences in class size can explain student academic achievement and the development of non-cognitive skills. The project's findings will appear in a report and a series of papers.</p>	<p>\$ 90,495</p>

**The Campaign Finance Institute**

Washington, DC

*Small Donor Project: Using Campaign Finance Policy to Foster Participation*

\$150,000

Michael Malbin will direct an effort to examine whether campaign finance regulation can be used to increase engagement in the political process. The project will analyze state-level data on campaign finance contributions and conduct surveys in three matched pairs of states in order to assess whether campaign finance laws can be used to encourage individuals to become donors and more active politically. The project's findings will appear in a series of reports, policy briefs, and articles.

**Center on Education Policy**

Washington, DC

*Has Student Achievement Increased Since No Child Left Behind Act Was Enacted?*

\$125,000

Jack Jennings will direct an effort to assess the impact of the No Child Left Behind Act (NCLB) on student achievement. The project will use state-level data on student achievement to examine whether NCLB has contributed to increases in academic performance and a narrowing of the achievement gap between minority and non-minority students. The project's findings will appear in a report.

**Committee for a Responsible Federal Budget**

Washington, DC

*The Nonpartisan Social Security Dinner Series*

\$ 45,000

Maya MacGuineas will organize and host a series of meetings that will bring staff members from the U.S. Congress together with think tank and university-based scholars to discuss a variety of approaches toward Social Security reform.

**Connecticut Architecture Foundation**

New Haven, CT

*Next Stop: A Symposium on Transit-Oriented Development in Connecticut*

\$ 35,000

John Franzen will convene a symposium of experts on development, transportation, urban planning, and architecture to examine the feasibility of new approaches toward land-use regulation and the development of public transit.

**Corporation for the Advancement of Policy Evaluation**

Washington, DC

*Evaluating the Earning by Learning Program* \$ 20,239

John Deke will serve as a consultant to the project, *Closing the Achievement Gap Through Incentives*, on matters related to the implementation of a random assignment study of a Dallas-based program that rewards young people for reading books.

**Duke University**

Durham, NC

*Does Extending the School Year or School Day Improve Academic Achievement?* \$100,000

Harris Cooper will systematically review the evidence on whether extending the length of the school year and the school day leads to higher levels of student achievement. The project's findings will appear in a series of papers and policy briefs.

**Fund for Public Schools**

New York, NY

*Value-Added Data for Teachers: Informing Personnel Decisions in Schools* \$174,357

Thomas Kane, Jonah Rockoff, and Douglas Staiger will examine whether the quality of the teacher workforce can be improved by providing principals with information on how well teachers can increase student performance on standardized tests. The project's findings will appear in a report and a series of articles.

**Harvard University**

Cambridge, MA

*Can Partnerships among Organizations Promote Policy Success? Lessons from Crime Reduction Partnerships in the United Kingdom* \$175,000

Steven Kelman will lead an effort to examine whether systematic collaborations among government agencies and private and non-profit sector organizations can improve the performance of the public sector. He will assess the effectiveness of a program in the United Kingdom that requires local government agencies to create partnerships that integrate their efforts to reduce incidents of crime and disorder. The project's findings will appear in a co-authored book and a series of articles.

**The Manhattan Institute**

New York, NY

*Assessing Immigrant Assimilation in the United States* \$163,304

Jacob Vigdor will research and write a book that will explore rates of immigrant assimilation at different periods in American history. Using Census data, he will measure rates of economic, social, and civic assimilation among contemporary immigrants and compare their rates of progress to those of earlier generations of immigrants.

**MDRC**

New York, NY

*Evaluation of National Guard ChalleNGe* \$125,000

Dan Bloom will lead an evaluation of an intensive education and mentoring program sponsored by the National Guard and designed to help at-risk youth make the transition to productive adulthood. The project will randomly assign a group of young people to either a treatment or control group in order to assess whether the ChalleNGe program enhances educational and employment outcomes for its participants. The project's findings will appear in a report.

**National Academy of Public Administration**

Washington, DC

*The Other Invisible Hand: Why Government Fails and How to Fix It* \$154,320

John O'Leary and William Eggers will research and write a book that will develop new strategies to improve government performance. They will identify the differences in private and public sector operating environments, conduct case-study research of public sector successes and failures, and commission a survey of public sector officials to explore their views on barriers to improving government performance.

**The National Bureau of Economic Research, Inc.**

Cambridge, MA

*Tax Expenditures and Federal Income Tax Reform* \$121,000

James Poterba will commission research and convene a conference to examine whether the U.S. government's income tax system could be made more efficient and fair by broadening the tax base by limiting tax deductions and credits. The project's findings will appear in a series of working papers and in an edited volume.

*International Dimensions of Monetary Policy* \$200,000

Mark Gerlter and Jordi Gali will commission research and convene a conference to explore how changes in the global economy have affected the ability of monetary policy officials to manage the U.S. economy. The papers will address topics such as the U.S. current accounts deficit and the emergence of the Euro as rival to the U.S. dollar as a reserve currency for central banks around the world. The project's findings will appear as a series of working papers and in an edited volume.

*Closing the Achievement Gap through Incentives* \$325,049  
Roland Fryer will evaluate the impact of the Earning by Learning Program on student achievement. He will randomly assign students in Dallas elementary schools into treatment and control groups and offer children in the treatment group modest financial incentives to read more books. The project's findings will appear in a report and a series of papers.

*The Great Inflation* \$234,190  
Michael Bordo and Athanasios Orphanides will commission research and convene a conference that will examine the causes and consequences of the "Great Inflation," a period in the 1970s during which most of the advanced industrialized countries experienced high inflation. The papers will assess competing arguments for what caused inflation to rise significantly in the 1970s and evaluate the effectiveness of various policies that countries employed to get inflation under control. The project's findings will appear in a series of papers and an edited volume.

**The New America Foundation**

Washington, DC

*Transforming Medicare into a Sustainable and Equitable Health Program for America's Elderly*

\$261,500  
Len Nichols and Robert Berenson will lead an effort to develop a reform proposal for the Medicare program. They will commission research, convene meetings, and conduct policy analysis on a set of critical issues, such as whether Medicare administrators can more actively employ evidence-based care to improve health outcomes and lower costs. The project will result in a series of papers and a final blueprint for Medicare reform.

**New Leaders for New Schools**

New York, NY

*Evaluation of New Leaders for New Schools*

\$150,000  
Kerri Kerr, Laura Hamilton, and Susan Gates will examine whether the quality of school leadership can be improved through a program that recruits, trains, and enrolls prospective principals in a year-long apprenticeship. They will measure levels of student achievement in schools that are led by principals who have completed their apprenticeship to those that are led by principals who are recruited and trained through traditional channels. The project's findings will appear in a report and a monograph.

**New River Education Fund**

Washington, DC

*Think Tank with Ben Wattenberg*

Ben Wattenberg will produce and moderate *Think Tank*, a weekly public affairs program airing on the Public Broadcasting System.

\$200,000

**Northwestern University**

Evanston, IL

*Can Youth Outcomes Be Improved by Integrating Schools and Neighborhoods by Economic Background?*

Gregory Duncan will lead an effort to assess whether the social and economic integration of schools can improve longer-term life outcomes for disadvantaged young people. He will examine whether students from low-income families who attended schools with students from predominantly middle-income families scored higher on achievement tests than students from low-income families who attended schools with students predominantly from similar economic backgrounds. The project's findings will appear in a series of reports and articles.

\$110,007

**Ohio State University**

Columbus, OH

*The Resolution of Disputed Election Results: Recounts, Contests, and Other Remedies*

Edward Foley and Steven Huefner will develop recommendations for how states can resolve election disputes in a fair and timely manner. They will analyze state statutes and case law in order to develop a typology of the standards and procedures that states use in determining when and how to correct an election outcome. The project's findings will appear in a co-authored book and an interactive website that will provide state-by-state analysis of election laws.

\$175,000

**Pepperdine University**

Malibu, CA

*Swiftness and Certainty in Enforcing Probation Conditions: Hawaii's HOPE Program*

Angela Hawken and Mark Kleiman will lead an effort to measure the effectiveness of a new model of probation enforcement. They will evaluate the Hawaii Opportunity Probation with Enforcement program, which is based on the principle that swifter and more certain enforcement of probation violations with modest sanctions could be more effective and efficient than standard probation practices. The project's findings will appear in a report and a series of articles.

\$240,968

**Princeton University**

Princeton, NJ

*Keep on Saving: How Other Nations Forged Cultures of Thrift  
When We Didn't*

\$ 79,230

Sheldon Garon will research and write a book that will analyze historically how and why various countries, including Japan, Germany, and France, chose to promote personal savings and explore why the United States opted against taking a similar approach toward thrift.

**The RAND Corporation**

Santa Monica, CA

*Shaping More Effective Performance-Based Accountability*

\$495,388

Brian Stecher will lead an effort to develop guidelines for using performance-based accountability programs to improve government effectiveness. He will commission research that will explore how accountability measures have been used in various policy areas and develop a set of principles for how best to use such measures. The project's findings will appear in a report and a series of policy briefs.

*Transparency in the Civil Justice System*

\$264,189

Robert Reville and Joseph Doherty will convene a conference and commission research papers that will examine whether the civil justice system can be made more just and effective through greater transparency. The project's findings will appear in an edited volume.

**Resources for the Future**

Washington, DC

*Alternative Approaches to Regulatory Impact Analysis:*

*A Dialogue Between Advocates and Skeptics of Cost-Benefit Analysis*

\$150,000

Richard Morgenstern, Winston Harrington, and Lisa Heinzerling will convene a conference and commission research to examine the utility of competing approaches to conducting regulatory analysis. They will analyze a sample of regulations using both cost-benefit analysis and an approach known as progressive regulation. The project's findings will appear in an edited volume and a policy brief.

*Adapting to Climate Change: The Public Policy Response* \$473,224  
Raymond Kopp, Molly Macauley, and Richard Morgenstern will lead an effort to explore whether the most harmful effects of climate change can be addressed through adaptation strategies. They will assess how climate change might affect public health, agriculture, and public infrastructure and consider a number of public- and private-sector approaches to ameliorating its negative effects. The project's findings will appear in a book and a series of briefings.

**Social Science Research Council**

New York, NY

*Improving Learning Environments in Schools: Lessons from Abroad* \$157,795  
Richard Arum will commission research and convene a conference that will explore the role that school discipline can play in creating classroom environments conducive to student learning and socialization. He will commission papers from education experts in seven countries with varying educational policies, socio-economic profiles, and cultural attitudes about school discipline and the value of education. The project's findings will appear in an edited volume.

**Syracuse University**

Syracuse, NY

*States, Courts, and Nature: The Impact of State Litigation on National Environmental Policy* \$ 44,916  
Sarah Pralle will examine the role of state-based litigation in American environmental policy. She will create a database of all environmental lawsuits initiated by states in federal courts since 1970. She will then analyze the data in order to determine the goals and impacts of those actions and explore the political and policy implications of using state-initiated litigation to shape U.S. environmental policies. The project's findings will appear in a series of articles.

**University of Alaska, Fairbanks**

Fairbanks, AK

*The State of American Boyhood* \$ 25,000  
Judith Kleinfeld will research and write a monograph assessing how well boys are faring on a wide range of educational and mental health indicators. She will compare trends on the well being of boys and girls and disaggregate data by race, ethnicity, and family income in order to develop a comprehensive status report on boys in America.

**University of Maryland**

College Park, MD

*Learning from Abroad: A Center for the International Exchange of Policy Information*

\$250,000

Doug Besharov will lead an effort to develop an international information exchange that will help members of the U.S. policy community learn from policy experiments, research, and analysis conducted in foreign countries. He will organize meetings with U.S. and foreign policy analysts and conduct information exchanges on two to three issues, such as child poverty, energy, immigration, job-training, and public pension reform. The project's findings will appear in a report and an edited volume.

**University of Maryland, Baltimore County**

Baltimore, MD

*You Can't School Mother-Nature: Using Weather-Related Closings to Identify the Impact of Schooling on Performance*

\$ 30,844

David Marcotte will examine the impact of the length of the school year on student achievement. He will use variations in the number of days that children in Maryland attend school as a result of weather-related closings to examine whether there are correlations between the amount of schooling and performance on state reading and math assessments. The project's findings will appear in a report and a research paper.

**University of Massachusetts, Lowell**

Lowell, MA

*Making Public Places Safer: Surveillance and Crime Prevention*

\$ 25,000

Brandon Welsh and David Farrington will research and write a book that will review and synthesize existing research on whether surveillance strategies, such as the use of street lighting and closed-circuit cameras, help prevent crime.

**University of Tennessee**

Knoxville, TN

*Mobility and Tax Policy: Do Yesterday's Taxes Fit Tomorrow's Economy?*

\$ 50,000

William Fox will commission research and convene a conference to explore how increases in the mobility of workers and capital are calling into question the viability of current forms of personal income, corporate income, and sales taxation. The project will result in a special issue of the *National Tax Journal*.

**University of Texas at Dallas**

Richardson, TX

*Understanding Policies for Improving Teacher Quality*

\$119,654

Eric Hanushek, Steven Rivkin, and Daniel O'Brien will examine the effectiveness of strategies to improve the quality of teachers in America's public schools. They will use a large dataset of Texas schools to study characteristics, such as education, training, and curricula, that correlate with high-quality teaching and explore the feasibility of strategies designed to identify and reward high-quality teachers more effectively. The project's findings will appear in a series of papers in peer-reviewed journals and articles.

**University of Wisconsin-Madison**

Madison, WI

*Pathways to Self-Sufficiency: Getting Ahead in an Era Beyond Welfare Reform*

\$ 10,000

Karl Scholz, Carolyn Heinrich, and Tom Kaplan will commission research and convene a conference to develop new policy approaches toward increasing self-sufficiency among low-income families. The project's findings will appear in a report.

**Vanderbilt University**

Nashville, TN

*Achievement Trade-Offs and No Child Left Behind*

\$ 96,691

Dale Ballou and Matthew Springer will examine whether the No Child Left Behind Act of 2002 (NCLB) leads to unintended consequences that could diminish educational achievement among some groups of students. They will use school- and student-level data to examine whether schools have become more efficient since the passage of NCLB, allowing them to raise achievement among low-performing students while not neglecting high-achieving students. The project's findings will appear in a report and a series of papers.

*Performance Incentives: Their Growing Impact on American K-12 Education*

\$180,022

Matthew Springer will commission research and convene a conference to assess the strengths and weaknesses of incentive pay programs for teachers. He will commission research on topics such as how incentive pay systems can be "gamed," what can be learned from research in other professions that have used incentive-pay systems, and the experiences of foreign countries that have implemented incentive-pay programs. The project's findings will appear in an edited volume.

**Yale University**

New Haven, CT

*The Hidden History of Head Start*

\$130,842

Edward Zigler will research and write a book that will examine the history of the Head Start program, including the child development and public policy research that informed its creation, implementation, and evolution over time.

*Fellowship Program at the Edward Zigler Center in Child Development and Social Policy at Yale University*

\$122,760

Walter Gilliam will direct the Yale Center in Child Development and Social Policy's fellowship program. The program will train researchers in evaluation techniques that can be used to assess the effectiveness of social policies. It will also introduce fellows to the policy-formulation process and identify avenues to inject research into the policy-making process.

# DOMESTIC PUBLIC POLICY FELLOWSHIP PROGRAM

## Columbia University

New York, NY

*Identifying and Improving the Effectiveness of New Teachers* \$ 60,000

Jonah Rockoff will examine the effectiveness of competing approaches to improving teacher quality. He will test whether subjective and objective measures of teacher quality correlate with teacher on-the-job performance and explore whether a teacher mentoring program can improve the performance of first-year teachers. The project's findings will appear in a series of papers.

## University of California, Santa Cruz

Santa Cruz, CA

*The Global Migration of Teachers: Implications of Overseas-Trained Teachers as an American Labor Market Supply Solution* \$ 60,000

Lora Bartlett will assess the strengths and weaknesses of relying on overseas-trained teachers to increase the size of the teacher labor force. She will estimate how often such teachers are employed, identify the types of schools in which they tend to teach, and explore how they affect the quality of a school's teacher workforce. The project's findings will appear in a series of papers.

## University of Chicago

Chicago, IL

*Imperfect Union: Representation and Taxation* \$ 60,000

Christopher Berry will research and write a book that will examine the proliferation of special-purpose jurisdictions such as school and water districts, assess how they have altered the relationship between representation and taxation, and explore how such districts might affect democratic accountability.

## University of Washington

Seattle, WA

*(Dis)incentives for Getting Ahead?* \$ 60,000

Jennifer Romich will assess how the interaction of progressive tax rates and means-tested benefits affect the marginal tax rates paid by low-income Americans as they move out of poverty. She will combine data on tax rates and benefit rules to analyze the incentives shaping upward mobility.

## DIRECT SERVICE PROGRAM

### 2007 GRANTS (\$25,000 and above)

**Associated Solo Artists, Inc.**

Chester, NY

*General support* \$ 25,000

**Boston University**

Boston, MA

*First Lieutenant Andrew John Bacevich Memorial Fund* \$ 25,000

**Bridgeport Hospital Foundation, Inc.**

Bridgeport, CT

*Neonatal Follow-Up Program for High-Risk Infants* \$ 25,000

**Children's Hospital Association**

Denver, CO

*Support for clinical and research programs addressing cystic fibrosis* \$ 100,000

**FSW, Inc. CT**

Bridgeport, CT

*Workshop in Business Opportunities and Community  
Small Business Individual Development Accounts* \$ 100,000

**Greensboro Historical Museum**

Greensboro, NC

*Welcome to the Gate City* \$ 50,000

**North Carolina Coastal Federation, Inc.**

Newport, NC

*Turning the Tide: Citizens Campaign for the Coast* \$ 100,000

**Rocky Mountain Institute**

Snowmass, CO

*General support* \$ 25,000

**St. Vincent's Medical Center Foundation**

Bridgeport, CT

*General support* \$ 25,000

**Waterside School**

Stamford, CT

*General support* \$ 25,000

GRANTS \$21,431,639

GRANTS (Not Listed Individually) \$ 765,776

TOTAL GRANTS PAID 2007 \$22,197,415

## MANAGEMENT'S FINANCIAL REPORT

During 2007, the Foundation's unrestricted net assets increased by \$35,460,254. As of December 31, 2007, the Foundation had total assets of \$827,299,927.

The Foundation awarded grants totaling \$23,527,872 during 2007 and made cash payments on grants awarded during 2007 and unpaid grants from previous years of \$22,197,415.

The Foundation's consolidated financial statements have been audited by McGladrey & Pullen, LLP, independent certified public accountants. The consolidated financial statements, which follow on pages 42 through 50, have been derived from the Foundation's audited Consolidated Financial Report as of and for the year ended December 31, 2007, which included an unqualified opinion dated June 3, 2008.

  
Ross Hemphill  
Vice President, CFO

# Consolidated Statement of Financial Position

December 31, 2007

## Assets

Cash and cash equivalents	\$ 24,533,129
Securities and investments, at fair value:	
Global equities:	
Domestic large cap equities	226,863,384
Domestic small/mid cap equities	35,498,756
International equities	148,294,633
Nonmarketable alternative equities	26,956,060
Global equities total	<u>437,612,833</u>
Diversifying equities:	
Long/short strategy equities	94,456,527
Absolute return strategy equities	43,774,246
Real estate equities	14,527,161
Natural resources equities	97,282,676
Diversifying equities total	<u>250,040,610</u>
Fixed income funds	105,023,586
Property and equipment, net of accumulated depreciation	8,225,454
Interest and dividends receivable	259,220
Other assets	<u>1,605,095</u>
Total assets	<u>\$ 827,299,927</u>

## Liabilities and Net Assets

Liabilities:	
Accounts payable and accrued expenses	\$ 679,373
Line of credit	7,200,000
Deferred compensation and postretirement liabilities	3,616,330
Unpaid monetary grants-in-aid	10,005,642
Unpaid nonmonetary grants-in-aid for use and occupancy of real estate	7,313,842
Deferred federal excise tax liability	2,375,113
Total liabilities	<u>31,190,300</u>
Commitments	
Noncontrolling interests in consolidated affiliates	<u>242,405,461</u>
Unrestricted net assets	<u>553,704,166</u>
Total liabilities and net assets	<u>\$ 827,299,927</u>

See Note to Consolidated Financial Statements.

## Consolidated Condensed Schedules of Investments

December 31, 2007

	Percentage of Net Assets	Value
Common stocks	42.65%	
Domestic	42.26%	
Aerospace	1.57%	\$ 8,719,906
Automobiles	0.66%	3,640,762
Auto parts	0.12%	676,287
Banking and financial	2.21%	12,260,834
Beverages	0.57%	3,170,067
Biotech companies	0.79%	4,356,322
Broadcast media	0.86%	4,761,008
Business services	0.70%	3,848,798
Chemicals	1.03%	5,680,702
Commercial services	0.48%	2,663,995
Communication equipment	0.45%	2,489,315
Communications and technology	3.26%	18,048,677
Computer software and services	1.61%	8,900,419
Consumer goods	1.10%	6,074,202
Containers – metal and glass	0.34%	1,864,575
Cosmetics	0.37%	2,027,043
Drugs	0.97%	5,347,939
Electric companies	0.45%	2,508,964
Electrical equipment	0.18%	1,024,059
Electronics	1.63%	9,024,959
Energy	0.83%	4,593,143
Entertainment	0.40%	2,226,212
Financial services	1.82%	10,134,287
Foods	0.88%	4,921,662
Hardware and tools	0.11%	639,039
Healthcare	2.71%	14,988,638
Hotel/Motel	0.35%	1,948,055
Household furnishings and appliances	0.75%	4,176,305
Industrials	1.57%	8,672,497
Insurance	2.77%	15,316,770
Machinery and materials	1.40%	7,758,907
Medical products and supplies	0.99%	5,476,877
Office equipment and supplies	0.45%	2,484,997
Oil and gas companies	1.28%	7,105,688
Pollution control	0.00%	-
Railroads	0.51%	2,822,460

(Continued)

	Percentage of Net Assets	Value
Real estate	0.05%	\$ 267,995
Restaurants	0.47%	2,590,155
Retail stores	0.92%	5,111,728
Services	0.03%	146,796
Tobacco	0.46%	2,539,488
Telecommunications	2.26%	12,492,317
Textiles	0.54%	2,964,737
Transportation and trucking	0.68%	3,783,075
Utilities	0.68%	3,769,404
Other	0.00%	-
		<hr/>
Total domestic common stocks		\$234,020,065

(Continued)

	Percentage of Net Assets	Value
Foreign	0.39%	
Switzerland	0.39%	
Foods	0.39%	<u>\$ 2,181,690</u>
Total Switzerland		<u>2,181,690</u>
Total common stocks		<u>236,201,755</u>
Mutual Funds	52.77%	
Domestic	34.73%	
PIMCO Total Return Fund	15.79%	87,435,825
Other	18.94%	<u>104,859,547</u>
Total domestic mutual funds		<u>192,295,372</u>
Foreign	18.04%	
Delaware Pooled Trusts Emerging Markets	7.14%	39,525,787
Other	10.90%	<u>60,376,978</u>
Total foreign mutual funds		<u>99,902,765</u>
Total mutual funds		<u>292,198,137</u>
Investments in Partnerships and Trusts	47.73%	
Domestic partnerships and trusts	32.23%	
Silver Hill Partners, L.P.	3.12%	17,302,593
Wellington Diversified Inflation Hedge Fund	14.14%	78,274,465
Other	14.97%	<u>82,890,557</u>
Total domestic partnerships and trusts		<u>178,467,615</u>

(Continued)

	Percentage of Net Assets	Value
Foreign partnerships and trusts	15.50%	
Capital Guardian International Equity Fund	11.47%	\$ 63,505,899
Other	4.03%	<u>22,303,623</u>
Total foreign partnerships and trusts		<u>85,809,522</u>
 Total investments in partnerships and trusts		 <u>264,277,137</u>
Total investments		<u><u>\$792,677,029</u></u>

See Note to Consolidated Financial Statements.

## Consolidated Statement of Activities

Year Ended December 31, 2007

Revenues:	
Dividends	\$ 8,593,084
Interest	566,753
Equity in limited partnership and trust income	37,704,112
Donated use and occupancy of real estate	1,318,933
Grants-in-aid canceled	111,633
Other	4
	<u>48,294,519</u>
Expenses:	
Monetary grants-in-aid	23,527,872
Nonmonetary grants-in aid for use and occupancy of real estate	905,052
Investment advisory fees	3,983,969
Custodian fees	97,274
Interest	15,076
Management and general	6,129,388
	<u>34,658,631</u>
Federal excise taxes (credits):	
Current	1,235,000
Deferred	472,816
	<u>1,707,816</u>
Increase in unrestricted net assets before net gains on investments, noncontrolling interest and effect of adoption of FASB Statement No. 158	<u>11,928,072</u>
Net realized gains on investments	49,913,245
Net (decrease) in unrealized appreciation on investments	(997,018)
	<u>48,916,227</u>
Noncontrolling interest in net income of consolidated affiliates	<u>25,066,428</u>
Increase in unrestricted net assets before effect of adoption of FASB Statement No. 158	35,777,871
Effect of adoption of FASB Statement No. 158	317,617
Increase in unrestricted net assets	<u>35,460,254</u>
Unrestricted net assets:	
Beginning	518,243,912
Ending	<u>\$ 553,704,166</u>

See Note to Consolidated Financial Statements.

# Consolidated Statement of Cash Flows

Year Ended December 31, 2007

## Cash Flows From Operating Activities

Increase in unrestricted net assets	\$ 35,460,254
Adjustments to reconcile increase in unrestricted net assets to net cash provided by (used in) operating activities:	
Revenue recognized for donated use and occupancy of real estate	(1,318,933)
Grants-in-aid recognized for use and occupancy of real estate	905,052
Depreciation	424,712
Loss on disposed of property and equipment	1,795
Purchase of securities and investments	(377,329,585)
Proceeds from disposition of securities and investments	383,397,921
Contributions to partnerships	(54,351,662)
Distributions from partnerships	54,474,663
Net decrease in unrealized appreciation on investments	997,018
Net realized gains on investments	(49,913,245)
Undistributed income from investee limited partnerships	(37,704,112)
Noncontrolling interest in net income of consolidated affiliates	25,066,428
Noncash increase in cost of investments	(249,341)
Deferred federal excise taxes	472,816
Changes in assets and liabilities:	
(Increase) decrease in:	
Interest and dividends receivable	88,088
Other assets	(527,662)
Increase (decrease) in:	
Accounts payable and accrued expenses	(211,093)
Deferred compensation and postretirement liabilities	658,496
Unpaid grants-in-aid	<u>3,074,811</u>
Net cash provided by (used in) operating activities	<u>(16,583,579)</u>

**Cash Flows From Investing Activities**

Proceeds from sales and maturities of securities and investments	\$ 357,347
Purchase of securities and investments	(321,012)
Purchase of property and equipment	<u>(20,197)</u>
Net cash provided by investing activities	<u>16,138</u>

**Cash Flows From Financing Activities**

Noncontrolling members' contributions to Moorings Capital LLC	14,659,180
Withdrawals of noncontrolling members of Moorings Capital LLC	(2,379,488)
Distributions to noncontrolling members of Moorings Capital LLC	(19,983,644)
Net borrowings on line of credit	<u>7,200,000</u>
Net cash used in financing activities	<u>(503,952)</u>
Net increase (decrease) in cash and cash equivalents	(17,071,393)

## Cash and cash equivalents:

Beginning	<u>41,604,522</u>
Ending	<u>\$ 24,533,129</u>

**Supplemental Disclosures of Cash Flow Information**

Cash payments for:	
Grants-in-aid	<u>\$ 20,341,428</u>
Federal excise taxes	<u>\$ 1,360,000</u>

See Note to Consolidated Financial Statements.

## NOTE TO CONSOLIDATED FINANCIAL STATEMENTS

### **Distribution of Income**

The minimum amount required to be distributed during the year ending December 31, 2008, computed in accordance with the minimum distribution requirements of the Internal Revenue Code, is approximately \$26,000,000.

The Foundation expects to make distributions in 2008 in amounts authorized and approved by the Trustees.

## PROCEDURES

Initial grant inquiries to the Foundation should be made in the form of a concept paper. Such papers should not exceed five pages. The paper should include a description of the issue that the project will address; an explanation of how the project is relevant to public policy; and an assessment of how the project would add to the existing knowledge base. The paper should also include a discussion of the credentials of the project's principal investigator; an outline of the research strategy; and a description of the products that the project will produce. An estimate of the project's costs should also be included. A template for concept papers is available on the Foundation's web site.

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 proposal template that is available on the Foundation's web site. Decisions on requests for grants greater than \$50,000 and for multi-year grant support are made at one of the three board meetings that the Foundation holds each year. 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 a handful of grants to direct service organizations in North Carolina and Connecticut. Direct service organizations located outside of these two states, as well as national direct service charities, will not be considered for support. It is a regrettable but inescapable fact that the vast majority of unsolicited requests for funding must be rejected. The Foundation 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
- Evaluations of direct service organizations conducted internally
- Educational or other support to individuals

All grant proposals should be addressed to:

**Smith Richardson Foundation**  
60 Jesup Road  
Westport, CT 06880  
(203) 222-6222  
[www.srf.org](http://www.srf.org)

## TRUSTEES

Peter L. Richardson  
*Chairman of the Board*

W. Winburne King III	Lunsford Richardson, Jr.
Dr. Arvid R. Nelson	Stuart S. Richardson
Adele Richardson Ray	E. William Stetson III

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Christopher DeMuth	Lunsford Richardson, Jr.
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Dr. Fred C. Iklé	E. William Stetson III
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General Edward C. Meyer (Ret.)	Dr. Edward F. Zigler
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## OFFICERS

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Senior Vice President, Director of Programs . . . . .	Dr. Marin Strmecki
General Counsel . . . . .	W. Winburne King III
Senior Vice President, CFO . . . . .	Ross F. Hemphill
Secretary . . . . .	Dr. Arvid R. Nelson
Assistant Secretary . . . . .	Karla W. Frank

Trustees, Governors and Officers are reported as of July 1, 2008

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*Senior Vice President,  
Director of Programs*

Dr. Nadia Schadlow  
*Senior Program Officer  
International Security and Foreign Policy*

Mark Steinmeyer  
*Senior Program Officer  
Domestic Public Policy*

Allan Song  
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International Security and Foreign Policy*

Scott Boston  
*Program Associate  
International Security and Foreign Policy*

Lori Rainville  
*Executive Assistant  
International Security and Foreign Policy*

Fran Boulds  
*Administrative Associate  
Systems Coordinator  
Domestic Public Policy*

Paula Landesberg  
*Administrative Associate  
International Security and Foreign Policy*

Jennifer Hollings  
*Administrative Assistant*

Olga Ramous  
*Grants Coordinator*

Dale Stewart  
*Records Coordinator*

Donna Walsh  
*Executive Assistant and Administrative Services Manager*

Staff members are reported as of July 1, 2008

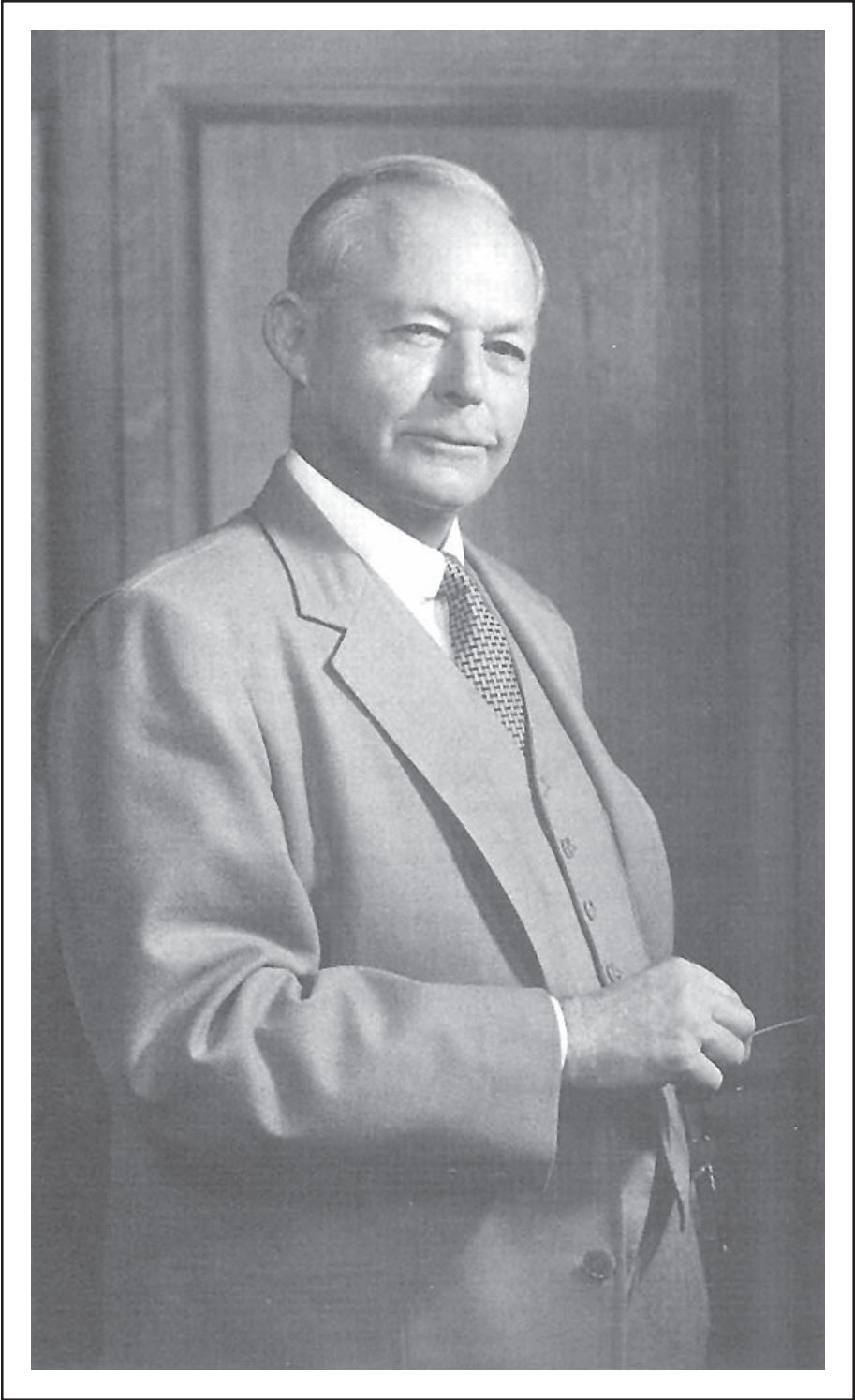
## OFFICES

### Program Office

*(Mailing Address For All Grant Proposals)*  
Smith Richardson Foundation, Inc.  
60 Jesup Road  
Westport, CT 06880  
(203) 222-6222  
www.srf.org

### Administrative Office

Smith Richardson Foundation, Inc.  
701 Green Valley Road, Suite 300  
P.O. Box 29467  
Greensboro, NC 27429  
(336) 379-8600



## HISTORY

The Smith Richardson Foundation was established in 1935 by H. Smith Richardson and his wife Grace Jones Richardson. Mr. Richardson was a remarkable man with a business career successful beyond what anyone could have predicted from the simple beginnings of his firm in a North Carolina town. This firm, the Vick Chemical Company, which had been founded by his father, Lunsford Richardson, grew under his leadership to become one of the leading over-the-counter drug companies in the world. Richardson-Vicks, Inc., as it became known, was sold in 1985 to Procter & Gamble, Inc.

Mr. Richardson lived by principles that are often termed old-fashioned, and he gave generously of this wealth. Few people have combined Mr. Richardson's respect for traditional values with his willingness to innovate. He believed in giving bright young people responsibility commensurate with their abilities. Throughout his life, he maintained a direct interest in people and in the institutions conceived to improve the lives of others.

In setting forth his reasons for creating the Foundation in 1935, Mr. Richardson wrote:

From the beginning, America, the new world . . . has offered to humble families, native born or immigrant, the Opportunity to gain a fortune . . . if they were diligent and lucky. With this fortune went the Right to remain secure in its possession and enjoyment for themselves and their heirs after them . . .

Unquestionably, for two hundred years this Opportunity has played a large part in the building of the nation.

Mr. Richardson pointed out the incentive that this "Right" and "Opportunity" had given to those who pushed the American frontier westward, as well as the impetus to "invention, discovery, trade and manufacture and all the varied development of our natural resources." It was characteristic of him to capitalize the words "Opportunity" and "Right": these were key words in his personal creed. He believed that "Opportunity" was something to be seized with zeal and pursued with the utmost diligence. His belief in a personal bill of rights was equally strong: a person rightfully owned what his industry brought him, and the free enterprise system permitted the maximum scope for that industry. It was these beliefs that enabled him to transform his father's small mortar-and-pestle drug manufacturing business into an industrial concern of international stature.

By 1935, a strong social consciousness had begun to flourish in this soil of stout individualism. To this end Mr. Richardson wrote of the responsibilities required of a mature and reflective citizenship:

I believe the need for the time and thought of able men is that they be applied to the increasingly weighty problems of government and the serious social questions which now confront us and will continue to press for solution in the future . . . the greater the material wealth of the citizen the greater are his obligations to the State and Nation . . . the obligations to give his time and thought to these public and social problems.

The Foundation continues to support programs that are consistent with the vision of its Founder.

