

**SMITH RICHARDSON
FOUNDATION, INC.**

ANNUAL REPORT 2009

CONTENTS

- 1 President's Letter
- 5 2009 Grant Awards:
International Security and
Foreign Policy Program
- 30 2009 Grant Awards:
Domestic Public Policy Program
- 43 2009 Grant Awards:
Direct Service Program
- 44 Management's Financial Report
- 45 Financial Statements
- 53 Procedures
- 54 Trustees, Governors, and Officers
- 55 Staff and Office Locations
- 57 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.

During the first decade of the new century, developments imposed new and enduring challenges to U.S. strategy. The world has seen the emergence of regions beset by persistent, low-intensity conflict and instability, as well as the emergence of potential great power or regional power rivalries. The development and proliferation of new technologies have created new areas of competition among nation-states and enhanced the power of non-state actors. At the same time, the global economic crisis portends the rise of instability in weak or impoverished countries and has the potential to produce shifts in the global balance of power.

In this context, the Foundation continues to support strategic thinking on great power politics, not only to support the management of regional rivalries among key states but also to respond to economic, political, and policy developments within key states in Europe, East Asia, Central Asia, South Asia, and the Middle East. In this respect, the Foundation has been developing portfolios of projects on the internal dynamics, strategic cultures, and competitive strategies of great powers such as China, Russia, and India and key regional powers such as Iran, Pakistan, Saudi Arabia, and North Korea. At the same time, the Foundation seeks to support projects on key transnational issues, such as proliferation, terrorism, cyber conflict, and

global political change. To address these challenges, the United States needs to improve its national security and foreign policy capabilities. The Foundation continues to support portfolios of projects on defense transformation to cope with near-peer competitors and irregular warfare challenges. In addition, the Foundation is supporting work on improving intelligence collection and analysis, public diplomacy and strategic communications, post-conflict stabilization and reconstruction, and alliance management.

Within the academic community, the Foundation supports policy-relevant strategic studies to foster the next generation of scholars and analysts and underwrites historical research with implications or lessons for current policy. For more than a decade, the Foundation has provided research grants to junior faculty. In 2008, the Foundation began a program to support doctoral graduate students. The World Politics and Statecraft Fellowship Program offers grants to graduate students pursuing policy-relevant research projects in their dissertations.

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

- **The American Enterprise Institute and Brookings Institution:** Both organizations were awarded grants to assess the on-going U.S. military and political campaign to stabilize Afghanistan, create durable political institutions, and assist in the development of its economy.
- **Cyber Conflict Studies Association:** The association will launch a research program that will seek to elevate the policy community's understanding of the threats posed by cyber conflict.
- **Institute for the Analysis of Global Security:** The institute will develop strategies to help the United States reduce its dependency on oil as the key fuel for the transportation sector in order to lessen petroleum's strategic importance.
- **Johns Hopkins University:** A team of scholars affiliated with the School for Advanced International Studies will explore how U.S. policy makers could promote regional economic development in Afghanistan and South Asia in order to help stabilize the region politically.
- **New America Foundation:** Scholars at the foundation will create a network of local journalists and analysts in Pakistan and Afghanistan to provide front-line research on military and political developments in areas of conflict.

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 has a number of core areas of interest. In recent years, these have included school reform and public finance. In the area of school reform, the Foundation has supported efforts to identify how best to recruit and compensate high-quality teachers and improve the effectiveness of school leadership. It has also expanded its focus to higher education through a series of projects exploring how to boost enrollment in and graduation from college. In terms of public finance, the Foundation has supported work addressing the need for state and local governments to confront the costs of providing pension and health care benefits to their retired employees. The Foundation maintains an interest in finding ways to increase opportunity and social mobility among disadvantaged communities. This has led it to support projects evaluating the effectiveness of various interventions, including programs on youth development. In recent years, this interest has expanded to include projects on criminal justice policies, such as experimental evaluations of programs designed to improve the probation and parole systems.

In addition to its core programs, the Foundation has remained open to support new lines of work as opportunities arise to meet the needs of the policy community. In response to the financial crisis, the Foundation has supported work to understand better the causes and consequences of the crisis as well as to rethink the regulation of financial markets.

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

- **The American Enterprise Institute and Brookings Institution:** Both organizations were given grants to produce analyses of the causes of the financial crisis and develop blueprints for financial market regulatory reform.
- **National Bureau of Economic Research:** A team of scholars affiliated with the bureau will analyze the costs of pension and health benefits for retired public employees and assess whether those costs are leading state and local governments to reduce spending on other priorities or increase taxes.
- **Stanford University:** Scholars affiliated with the university will evaluate whether providing high-achieving students from low-income

families with information on college admissions and financial aid packages could lead them to enroll in selective institutions.

- **University of Maryland:** Two scholars will create an on-line historical database of financial crises and commission researchers to use those data to understand better the causes and consequences of such crises.
- **University of Pennsylvania:** A team of scholars affiliated with the university will evaluate whether parole and probation systems could be made more effective if public officials were given better risk management tools in order to direct resources to individuals at higher risk to commit subsequent crimes.

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. We 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
2009 GRANTS**

America Abroad Media

Washington, DC

Engaging the Muslim World through Media \$300,000

Aaron Lobel will lead an effort to enhance political and ideological engagement with audiences in the Muslim world through a private-sector media initiative. He will develop public affairs programming jointly with television stations in Afghanistan, Pakistan, Indonesia, and Turkey and with Arab satellite stations such as Al Arabiya and Al Jazeera. The project will result in more than 50 programs aired over a two-year period.

Journalism Fellowship Program \$175,000

Aaron Lobel will lead an effort to help publics in Muslim-majority countries better understand the United States. The program will bring journalists from the Middle East and Asia to Washington for a series of meetings with members of the U.S. policy community. The fellows will produce articles or video pieces for readers or audiences in their home countries.

The American Committees on Foreign Relations

Washington, DC

National Speakers Program on Security Policy \$ 50,000

Kenneth Jensen will organize seminars on regional security and defense policy issues around the country.

American Enterprise Institute for Public Policy Research

Washington, DC

*Russia's Demographic and Human Resource Crisis:
Exploring the Potential for International Collaboration* \$200,000

Nicholas Eberstadt and Judith Twigg will lead an effort to explore opportunities for the United States to collaborate with Russia on public health issues in order to promote a positive U.S.-Russian political agenda. They will work with representatives of Russian public and private agencies to develop approaches that address public health issues that are having detrimental impacts on Russian citizens. The project's findings will appear in a report.

Afghanistan in 2010: The Necessary Way Forward \$150,000

Frederick Kagan will lead an effort to analyze the effectiveness of U.S. military strategy in Afghanistan. He will undertake research and field work in Afghanistan, develop briefings for the Obama administration and congressional officials, and hold public panel events. The project's findings will appear in a series of reports and articles.

Geoengineering: A Revolutionary Approach to Climate Policy \$200,000

Samuel Thernstrom and Lee Lane will lead an effort to explore the political, economic, and practical barriers to addressing the harmful impacts of global climate change through geoengineering. They will commission research and host a series of workshops to examine the feasibility of a variety of approaches to geoengineering, such as solar radiation management. They also plan to assess the potential costs of geoengineering and the international implications of any efforts to intervene to alter the global climate. The project's findings will appear in a series of papers and in an edited volume.

Bridging the Gap: An Economic and Security Strategy for U.S.-China Relations \$ 20,000

Dan Blumenthal and Phillip Swagel will research and write a monograph that sets forth two competing analytical perspectives on U.S. policy toward China — one grounded in a military-strategic perspective and the other in an economic perspective — in order to identify the strengths and weaknesses of each approach.

Understanding the Iranian Revolutionary Guards \$150,000

Ali Alfoneh will research and write a book examining the growing role of the Iranian Revolutionary Guards Corps in Iranian politics as well as the Iranian economy and media.

The Asia Foundation

San Francisco, CA

Expanding the Foundations for Effective U.S.-ROK Relations \$250,000

Scott Snyder will direct the research and publications program of a new initiative devoted to understanding Korean affairs and developing new thinking on U.S.-Korean relations. It will focus on several areas: the U.S.-South Korean alliance relationship; the bilateral relationship in the context of global and regional issues; collaboration on non-traditional security issues; and South Korean domestic politics. The project's findings will appear in a series of monthly analyses of particular policy issues, occasional policy reports, single- or multi-author commissioned policy products, and a website.

The Atlantic Council of the United States

Washington, DC

Impact of the Global Economic Crisis on China's Economic Evolution \$ 75,000

Albert Keidel will research and write a book that will examine the impact of the global financial crisis on the economic foundation of China's rise as a global power. He will collect and analyze statistical and policy data and conduct field work in China in order to assess the efficacy of China's policies to cope with the fallout from the financial crisis.

Boston University

Boston, MA

Sharia Politics and U.S. Policy: A Comparative Study of the Policy Implications of Movements for and against Islamic Law \$191,773

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.

Brookings Institution

Washington, DC

Pakistan's Uncertain Futures \$100,000

Stephen Cohen will lead an effort to explore the political future of Pakistan. He will commission research from a group of American, Pakistani, European, and Indian analysts to develop an alternative futures analysis of Pakistan and then synthesize those diverse assessments into an analysis of his own. The project's findings will appear in a series of papers.

Winning our Longest War: Our Prospects in Afghanistan \$100,000

Michael O'Hanlon and Hassina Sherjan will research and write a book that will assess the progress of U.S. military and political efforts in Afghanistan. They will discuss the history and culture of Afghanistan, track the U.S. political-military strategy to stabilize the country, develop metrics to gauge progress, and craft recommendations on key issues such as the building of Afghan security forces, the establishment of the rule of law, and economic development.

Carnegie Endowment for International Peace

Washington, DC

Net Assessment of Japan-China Defense Forces \$150,000

Douglas Paal and Michael Swaine will research and write a monograph that will assess the impact of China’s military buildup for the balance of power in East Asia. They will conduct a net assessment of political-military competition between China and Japan based on an analysis of open data and supplemented by interviews with officials and analysts in China, Japan, and the United States.

The Hong Kong Journal \$130,645

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

Mapping the Saudi Clerical Establishment \$ 75,000

Christopher Boucek will research and write a book exploring the role of the clerical establishment in Saudi Arabia’s society and politics. He will analyze existing Saudi and western research on the Saudi clerical establishment and carry out field work in Saudi Arabia involving interviews with a wide array of Saudi clerics.

Hegemon: U.S. Foreign Policy from 1900 into the Early 21st Century \$ 50,000

Robert Kagan will research and write a book that will examine how tensions between America’s principles and its ambition for influence have shaped its foreign policy decisions and actions. He will identify and explain how policy makers have misinterpreted history and analyze how these have shaped U.S. foreign policies, particularly regarding political and military interventions abroad.

Center for Education Studies

New York, NY

Islam and the Publishers \$ 20,000

Gilbert Sewall will disseminate the American Textbook Council’s findings on the treatment of Islam and history of the Muslim world in the social studies textbooks used in U.S. secondary schools.

Center for Media and Security, Ltd.

Millwood, NY

Center for Media and Security \$100,000

Harry Disch will organize a series of meetings that bring defense officials together with reporters from print and electronic media to discuss key national security and defense policy issues.

Center for Strategic and Budgetary Assessments

Washington, DC

Implementing CSBA's Strategy for the Long Haul

\$300,000

Andrew Krepinevich will lead an effort to inform the policy debate over how to revise the U.S. defense program to address the principal security challenges facing the United States more effectively. He will engage in policy outreach and public education regarding the findings and recommendations of the center's study, *Strategy for the Long Haul*.

Center for Strategic and International Studies, Inc.

Washington, DC

Anchor and Drift: The Future of U.S.-Israeli Strategic Ties

\$100,000

Jonathan Alterman and Haim Malka will lead an effort to assess the future of the U.S. relationship with Israel. They will conduct a survey of open source material in English and Hebrew on the strategic and political components of the partnership; conduct interviews with a wide range of current and former government officials, academics, businessmen, and journalists in the United States and Israel; and form core groups of American and Israeli experts to assess the dynamics affecting the future of U.S.-Israeli relations. The project's findings will appear in a monograph.

Georgian Lessons for the NATO Alliance

\$114,675

Janusz Bugajski will research and write a monograph that will analyze Russia's strategies and tactics toward its Central and East European neighbors, examine European reactions to Russia's policies, and develop policy recommendations to develop a common U.S.-European approach to Russian policy.

U.S.-China Dialogue on Instability in North Korea and Potential Responses

\$149,816

Bonnie Glaser will convene meetings with the Chinese Institute for Contemporary International Relations that bring U.S. and Chinese policy thinkers together to discuss prospects for discontinuous political change in North Korea and potential responses to it. The project's findings will appear in a report.

Supporting European Energy Security

\$143,517

Keith Smith will examine approaches that the United States and key European Union countries could employ to counter Russia's use of energy policies to further its geopolitical influence in Europe. He will develop strategies to reduce vulnerability to politically motivated energy disruptions and to build a coalition of European political and security leaders to work toward a common energy security strategy. The project's findings will appear in a series of papers and a monograph.

The Center for the Study of the Presidency and Congress

Washington, DC

NATO in Afghanistan: Saving the Alliance's Future

\$200,000

David Abshire will lead an effort to catalyze improvements in NATO's strategies and policies in Afghanistan. He will lead a net assessment of the terrorist threat emanating from Afghanistan and Pakistan and develop a set of strategies and implementation plans to improve NATO's performance in Afghanistan. The project's findings will appear in policy briefings and a monograph.

The CNA Corporation

Alexandria, VA

History of the War in Al Anbar

\$100,097

Carter Malkasian will research and write a book exploring the history of the U.S. military's efforts to combat insurgents in Iraq's Al Anbar province. He will examine the political, military, and intelligence actions that were taken in order to quell the Sunni Arab insurgency and to enlist tribal groups in efforts to defeat al Qaeda in Iraq.

Columbia University

New York, NY

U.S. Policy toward Georgia After the War

\$125,000

Lincoln Mitchell and Alexander Cooley will research and write a monograph assessing U.S. policies toward Georgia in the run up to its war with Russia and consider how the United States should define and pursue its interests in the Caucasus region in the future.

Council for a Community of Democracies

Washington, DC

Training Diplomats to Support Democracy Development

\$100,000

Jeremy Kinsman, Kurt Bassuener, and Robert LaGamma will research and write a handbook to improve the ability of diplomats to develop and implement policies to support indigenous democratic political movements and transitions. They will update an existing edition of the handbook with new material drawn from case studies of Poland, Egypt, Cuba, Nepal, Haiti, Vietnam, Cambodia, Zimbabwe, and Burma.

Council on Foreign Relations, Inc.

New York, NY

The Future of Saudi Arabia

\$ 85,675

Thomas Lippman will research and write a book exploring the evolution of Saudi Arabia. He will interview members of the Saudi elite as well as citizens from diverse sectors of Saudi society to identify and analyze internal Saudi debates on the economy, women's rights, education, and Saudi relations with neighboring nations.

Partners in Peril: Understanding the U.S.-Pakistan Relationship

\$ 75,000

Daniel Markey will research and write a book that will examine why the United States and Pakistan have consistently failed to develop a constructive and stable bilateral partnership even though they have professed to share important geopolitical interests. He will analyze existing literature and conduct interviews with officials and experts in Afghanistan, India, Saudi Arabia, the United Arab Emirates, and China.

Invisible Armies: A History of Guerrilla Warfare and Terrorism

\$ 40,000

Max Boot will research and write a book that will identify patterns in how guerrilla wars have unfolded, the conditions under which guerrilla forces have tended to succeed, and the most effective counterinsurgency strategies and practices over time.

Cyber Conflict Studies Association

Arlington, VA

Preventing a Cyber Pearl Harbor: A Comprehensive Research Program for Cyber Conflict Studies

\$234,845

James Mulvenon will develop a research and publications program designed to build up a foundation of strategic thinking about conflict in the cyber domain. The project will develop monographs on the application to cyber conflicts of strategic concepts such as deterrence, escalation, and war termination; legal issues such as the definition of acts of war; military and intelligence issues; and challenges posed by the use of cyber conflict by non-state actors.

The Dui Hua Foundation

San Francisco, CA

Human Rights Dialogues with China

\$200,000

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 U.S. 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.

Foreign Policy Research Institute

Philadelphia, PA

Managing the Second Nuclear Age

\$125,000

Paul Bracken will research and write a book analyzing how key features of the second nuclear age will challenge traditional approaches to deterrence and affect geostrategic competition among states.

Border Nation: A Regional Security Strategy for Northern Mexico and the U.S. Southwest

\$109,800

David Danelo will research and write a monograph that will analyze security, economic, and political trends in the border regions of the United States and Mexico. He will assess the degree of cooperation among local levels of government in both countries and develop recommendations for strategies and capabilities needed to reduce violence and criminality in the area.

Freedom House

Washington, DC

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

\$165,000

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

The American Committee for Peace in the Caucasus

\$166,465

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 effects on regional stability and Russia's political trajectory. This project's findings will appear on a website and in a series of briefings.

Georgetown University

Washington, DC

Global Authoritarianism and the Challenge of International Order \$200,000

Daniel Brumberg and Steven Heydemann will research and write a book that will explore whether an informal coalition of authoritarian states is taking shape to challenge the current international order. They will commission research papers and organize workshops that will examine empirical evidence of policy coordination among key authoritarian states.

Staying Power and the Future of the American Era \$ 50,000

Robert Lieber will research and write a book that will examine the degree to which America's power is eroding across a range of key variables, including economic performance, demography, military capacity, and societal and political cohesion.

Hamilton Foundation, Inc.

Sun Valley, ID

SME-Focused Development Project \$150,000

Christian Whiton and Kristofer Harrison will explore whether financing mechanisms to support start ups of small- and medium-sized enterprises could help accelerate economic development in less-developed countries. They will prepare a blueprint for actions based on lessons learned from past or existing programs and through discussions with political, business, and educational leaders in Indonesia, the United Arab Emirates, and Morocco. The project's findings will appear in a monograph and a series of articles.

Harvard University

Cambridge, MA

Changing Chinese Attitudes toward Inequality and Distributive Injustice: A 5-Year Follow-up Survey \$100,739

Martin Whyte will assemble a team of Chinese social science researchers to design and carry out an opinion and attitude survey in eight urban and rural areas in China regarding the issues of social equality and justice. The project's findings will appear in a book and a series of articles.

The Henry L. Stimson Center

Washington, DC

Building and Reforming Armies in the Middle East and South Asia:

Western Military Assistance in Comparative Perspective

\$ 58,365

Stephanie Cronin will research and write a book examining strategies to build or strengthen foreign military forces. She will conduct archival research and conduct interviews to study the history of Western and Soviet attempts to build or train modern militaries in the Middle East and South Asia.

The Hoover Institution

Stanford, CA

China Leadership Monitor

\$183,951

Alice Lyman Miller will edit and publish *The China Leadership Monitor*, a quarterly electronic journal on China's leadership politics.

The Hudson Institute

Washington, DC

Current Trends in Islamist Ideology

\$135,000

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.

Implementing a Ground Game in the War of Ideas

\$300,000

S. Enders Wimbush will lead an effort to develop a better approach for U.S. policy makers to work with moderate and democratic elements in the Muslim world in order to combat extremism and terrorism. He will collaborate with indigenous moderate and democratic leaders and groups and engage in cooperative efforts to develop country strategies and cross-national approaches to strengthen moderate forces in the competition of ideas. The project's findings will appear in a series of reports.

Organizing a Strategic Ideas Campaign

\$ 39,820

Douglas Feith will convene a working group, undertake interviews, and explore historical parallels in order to develop concrete recommendations for how the U.S. government should organize itself to implement a soft power strategic ideas campaign. The project's findings will appear in a report.

The Institute for Foreign Policy Analysis, Inc.

Cambridge, MA

New Strategic Dynamics in the Arctic Region: Implications for National Security and International Collaboration

\$178,164

Charles Perry and Jacquelyn Davis will research and write a monograph that will explore the potential for strategic competition in the Arctic. They will assess security challenges likely to arise in the Arctic, examine the implications of these challenges for U.S. military force structure, and identify opportunities for constructive private sector and multilateral involvement in the region.

The Institute for State Effectiveness

Washington, DC

The State Effectiveness Program

\$300,000

Claire Lockhart will lead an effort to advance approaches to help developing countries build effective state institutions. She will prepare handbooks on the creation of institutions that carry out key government functions, document successful cases of state and institution building, and work with political and civil society leaders in select countries to develop state-building plans. The project's findings will appear in a series of reports, handbooks, and articles.

Institute for the Analysis of Global Security

Potomac, MD

Stripping Oil of its Strategic Value

\$200,000

Gal Luft and Anne Korin will lead an effort to develop strategies to reduce the strategic importance of oil. They will identify the obstacles to reducing oil's monopoly as the fuel for the global transportation sector, develop an educational program for policy makers and opinion leaders on how to reduce dependency on oil, and initiate a strategic dialogue with officials and experts of other major oil-consuming countries, such as China and India, on approaches to achieve diversity in transportation fuels. The project's findings will appear in a co-authored monograph.

Instituto Libertad Y Democracia

Lima, Peru

Bringing the Market Economy and the Rule of Law to the Peruvian Amazon \$ 25,000

Hernando de Soto will explore new ways to use economic empowerment to defuse internal conflicts in developing countries stemming from the marginalization of indigenous or native groups. He will convene a conference that will bring together leaders of indigenous peoples from the Peruvian Amazon with those of similar communities from the United States and Canada to explore how programs to formalize property could contribute to economic development. The project's findings will appear in a report and a series of papers.

International Center for Religion & Diplomacy

Washington, DC

Best Practices in Islamic Education Research and Madrasa Curriculum Development

\$100,000

Douglas Johnston and Azhar Hussain will lead an effort to catalyze and facilitate reform within Pakistan's system of religious educational institutions. They will work with a team of Pakistani social and political leaders to produce a reformed madrasa curriculum. They will also organize a series of meetings in the United States to provide opportunities for Pakistani participants to exchange ideas with their American counterparts about designing and implementing pedagogy based on critical thinking and values such as religious tolerance and respect for human rights. The project's findings will be presented in a report and disseminated through a series of workshops in Pakistan.

The Jamestown Foundation

Washington, DC

The Reform and Modernization of Russia's Conventional Armed Forces: Problems, Challenges, and Policy Implications

\$ 75,000

Roger McDermott will research and write a book examining the nature, progress, and implications of Russia's military reform and modernization programs. He will identify the drivers and the design of reforms across key military sectors; examine and evaluate doctrine, training, and equipment modernization initiatives; and analyze the political-military objectives behind the reform process.

China Brief

\$ 85,691

Russell Hsiao and Glen Howard will edit and publish *China Brief*, a bi-weekly report on key political, military, economic, and geopolitical developments in China.

North Caucasus Weekly \$ 89,285
Jonas Bernstein will edit and publish *North Caucasus Weekly*, a report that will track and analyze developments in the North Caucasus.

Eurasia Daily Monitor \$246,599
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

Washington, DC

Chechnya's Secret Wartime Diplomacy: Efforts to Win Western Support for Independence \$ 96,000

Ilyas Akhmadov and Nicholas Daniloff will research and write a book on the war in Chechnya based on the confidential communications between Akhmadov and the former Chechen president, Aslan Maskhadov. They will publish transcripts of these audio letters, accompanied by editorial material to provide historical context.

A Regional Strategy for Afghanistan and Steps Necessary for its Implementation \$170,220

S. Frederick Starr will lead an effort to develop a regional development strategy for stabilizing Afghanistan to complement the new U.S. military strategy. The project organizers will engage U.S. and regional policy makers to develop an actionable agenda for using trade and transit as an engine for economic growth in Afghanistan and the wider region. The project's findings will be presented in a report.

Central Asia-Caucasus Institute \$400,000

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.

National Endowment for Democracy

Washington, DC

Assessing Democracy Assistance

\$ 50,000

Larry Diamond, Joel Barkan, and Richard Young will lead an effort to evaluate the efficacy of democratic assistance programs. They will assess the strengths and weaknesses of international democracy assistance in Afghanistan, Ukraine, and Russia. They will commission a survey, analyze available program evaluations, and map the assistance programs that have been undertaken. The project's findings will appear in a report.

National Institute for Public Policy

Fairfax, VA

CTBT 2010

\$ 49,553

Thomas Scheber will convene a task force of experts to examine the security implications of the Comprehensive Test Ban Treaty. The project's findings will appear in a report.

National Strategy Information Center, Inc.

Washington, DC

War Among the People: Adapting America's Security Paradigm to a New Era

\$125,000

Roy Godson and Richard Shultz will lead an effort to develop a strategic approach and policy instruments for the United States to use when intervening in internal or irregular conflicts. They will undertake research and convene a working group of senior policy practitioners with on-the-ground experience in recent conflicts in the Balkans, the Middle East, southwest Asia, and other regions in order to identify the key characteristics of the new paradigm of conflict. This group will also develop proposals for needed new U.S. political, intelligence, economic, and military capabilities. The project's findings will appear in a monograph and a series of articles and briefings.

Naval War College Foundation, Inc.

Newport, RI

Teaching about Irregular Warfare and Armed Groups

\$ 42,357

Marc Genest and Andrea Dew will convene a symposium to disseminate new curricula and reading materials for instructors teaching about irregular warfare.

New America Foundation

Washington, DC

Private Military Companies and Foreign Policy \$ 50,000

Sean McFate will research and write a book that examines the drivers behind the rise of the private military industry and analyze the costs and benefits of using non-governmental personnel to train foreign militaries and conduct operations that potentially involve the use of force.

Understanding Extremism in Pakistan and Afghanistan and its Strategic Implications \$200,000

Steven Coll, Peter Bergen, and Patrick Doherty will lead an effort to improve the policy community's knowledge of insurgent groups in western Pakistan and the wider social and political dynamics underlying the conflict in the region. They will develop a network of local journalists and analysts who will produce a bottom-up picture of the human terrain of the war and analyze key cross-cutting questions. The project's findings will appear in a series of interim reports, a capstone report, and an edited volume of policy essays.

The Nixon Center

Washington, DC

Maritime Security East of Suez: Sustaining the U.S. Role as the Key Policeman \$125,000

Geoffrey Kemp will examine strategies to protect sea lanes in and around the Persian Gulf in light of the fiscal constraints the United States will face in the coming years. He will conduct interviews with military and civilian experts in the United States, Japan, China, India, and the Persian Gulf nations to identify and analyze their outlooks concerning how to preserve commercial and energy access to the gulf. The project's findings will appear in a monograph and a series of journal articles.

China on the Edge: China's Border Provinces and Chinese Security Policy \$ 50,000

Drew Thompson and Carla Freeman will research and write a book that will analyze China's political strategy for its relations with and influence on the countries on its borders.

The Nonproliferation Policy Education Center

Washington, DC

The Next Arms Race

\$200,000

Henry Sokoloski will commission research and organize workshops to explore the potential scenarios stemming from a significant reduction in nuclear arsenals of the major nuclear powers and accelerating proliferation of nuclear weapons and weapons-grade materials around the world. The project's findings will be published in a single-author volume, an edited volume, and a series of shorter articles.

Pacific Forum CSIS

Honolulu, HI

Comparative Connections: A Quarterly E-Journal on East Asian Bilateral Relations

\$140,415

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

Peterson Institute for International Economics

Washington, DC

America and the World after the Global Financial Crisis

\$300,000

Simon Johnson, Morris Goldstein, and Arvind Subramanian will lead an effort to develop policy prescriptions to preserve U.S. leadership in the global financial and trading system. They seek support to examine how the major powers are restructuring themselves economically in response to the current crisis and how this will affect their power and influence in the world. The project's findings will appear in a series of co-authored monographs and articles.

The Potomac Foundation

Vienna, VA

China Vitae

\$152,275

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

Princeton University

Princeton, NJ

Escaping Development Traps: Generating Turnarounds in Fragile States \$300,000

Jennifer Widner will lead an effort to develop strategies to help leaders of fragile and developing states implement successful reform breakthroughs. She will commission case studies of major reform attempts in fragile states, distill lessons learned from successful and unsuccessful cases, and help develop effective strategies for change that reformers can draw upon. The findings of the project will appear in a single-author book, a series of case studies, and a web-based resource center for officials and political leaders of developing states.

A Political History of Saudi Arabia

\$125,000

Bernard Haykel will research and write a book examining the internal politics and drivers of potential change in Saudi Arabia. He will analyze primary and secondary literature and conduct interviews with the members of the royal family, the clerical establishment, and technocrats. He will then use this material in order to present an analytical history of Saudi politics based on the dynamic interrelationships among those three social and political groups.

Small Wars Foundation

Bethesda, MD

Small Wars Journal

\$ 75,250

William Nagle and David Dilegge will edit the *Small Wars Journal*, a web-based publication designed to increase the policy community's understanding of irregular warfare.

Transnational Crisis Project

Washington, DC

Frontier Digital Gazette

\$250,000

David Kilcullen and Imran Ahmad Khan will lead an effort to improve the ability of civilian and military operators in the field to understand the social and political contexts of the localities in which they are working. They will launch a pilot project in Pakistan's Malakand Division to test the possibility of creating an online collaborative platform in which international and Pakistani stakeholders can accumulate detailed local social knowledge.

Truman National Security Project Educational Institute

Washington, DC

The Promise of Distributed Energy for Developing and Post-Conflict Countries

\$ 50,000

Rachel Kleinfeld and Drew Sloan will lead an effort to catalyze new thinking in the policy community on employing distributed renewable energy systems to support economic growth in developing and post-conflict countries. They will examine how distributed renewable energy systems could be financed and deployed in the developing world and think through how such systems could be fielded to support economic growth and stabilization of Afghanistan. The project's findings will be published in two monographs.

U.S. Committee for Human Rights in North Korea

Washington, DC

North Korea: Crafting a Comprehensive Understanding and Approach

\$165,833

Chuck Downs will lead an effort to encourage the U.S. policy community to devote greater attention to human rights issues in U.S. policy toward North Korea.

United States Cyber Consequences Unit

Norwich, VT

Cyber-Attacks: A Handbook for Understanding the Economic and Strategic Risks

\$ 75,000

Scott Borg will research and write a book that will develop a risk management paradigm that will allow policy makers to quantify the costs and challenges of defending against cyber threats.

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.

University of Maryland

College Park, MD

The Historical Obstacle to Global Zero in Nuclear Weapons \$ 81,400

George Quester will research and write a book that will analyze whether worldwide nuclear disarmament would make the world more or less stable and secure. He will conduct historical research into the debates and calculations concerning nuclear abolition among political leaders and the top scientists on the eve of the atomic age. He will use this historical record to reflect on the dynamics of a world in which competitive states have access to nuclear technologies amid uncertainties about the intentions and capabilities of rivals.

The Washington Institute for Near East Policy

Washington, DC

The Regent of God: A Political Biography of Iran's Supreme Leader \$ 75,000

Mehdi Khalaji will research and write a biography of Ayatollah Ali Khamenei, the most important religious and political figure in Iran. He will examine Khamenei's rise to political prominence, religious and political worldviews, political strategies for managing contending factions over the course of almost two decades, and influence over key structures of power.

The Wisconsin Project on Nuclear Arms Control

Washington, DC

Iran Watch \$110,000

Gary Milhollin and Valerie Lincy will lead an effort to research and analyze Iran's ongoing efforts to develop weapons of mass destruction and ballistic missile delivery capabilities. The project's findings will appear on the Iran Watch website and a series of articles and electronic bulletins.

The Woodrow Wilson International Center for Scholars

Washington, DC

Developing a Comprehensive Binational Strategy to Address Mexican Drug Trafficking Organizations \$150,000

Andrew Selee and David Shirk will lead an effort to develop a U.S.-Mexico strategy to reduce the power of drug trafficking organizations. They will address issues such as increased law enforcement and intelligence cooperation, the disruption of southbound supply chains of money and assault weapons, the strengthening of law enforcement and judicial institutions in Mexico, the reduction of demand for narcotics, and building hemispheric cooperation against organized crime. The project's findings will appear in a report and a handbook for policy officials.

World Organization for Resource Development and Education
Washington, DC

Understanding the Socio-Political Groups of Pakistan

\$ 50,000

Hedieh Mirahmadi will invite a group of Pakistani social, political, and religious leaders to the United States to provide opportunities for the U.S. policy community to gain a more sophisticated knowledge of the political and religious terrain of Pakistan.

Yale Law School

New Haven, CT

The China Law Center at Yale Law School

\$200,000

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.

SECURITY STUDIES INITIATIVE

Columbia University

New York, NY

Summer Workshop on Analysis of Military Operations and Strategy (SWAMOS)

\$235,650

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

International Security Studies: Listserv Project

\$ 40,000

Robert Jervis will create a listserv-driven web forum that will provide a venue for scholars and graduate students in the field of Political Science to discuss the field's latest research and its policy implications. The project will result in a website that will feature book and journal article reviews, simulations, roundtables, chat rooms, and other web-based activities.

Johns Hopkins University

Washington, DC

The Merrill Center for Strategic Studies Outreach

\$112,030

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

\$230,007

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

\$296,747

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

Hobart and William Smith Colleges

Geneva, NY

Banking with Allah: Sharia-Compliant Banking and the Quest to Make Pakistan More Islamic

\$ 60,000

Feisal Khan will research and write a book that will explore efforts to make the Pakistani financial sector comply with Islamic law. He will analyze primary documents and interview leading figures in the Pakistani government and financial sector in order to develop a better understanding of their motivations and thinking regarding Islamic banking.

University of Pennsylvania

Philadelphia, PA

Religious Dynamics and International Conflict

\$ 60,000

Michael Horowitz will research and write a book that will use case studies to assess whether religiously motivated combatants behave differently from their secular counterparts in armed conflicts.

Vanderbilt University

Nashville, TN

Political Influence of Foreign Graduates of U.S. Military Staff and War Colleges

\$ 60,000

Carol Atkinson will research and write a book that will examine the political implications of sponsoring foreign military officials at U.S. military staff and war colleges. She will analyze data and conduct interviews to assess whether education of officers at these institutions correlates with the development of democratic political institutions in authoritarian countries.

Wright State University

Dayton, OH

Wiring the World: Information Technology, Strategy and U.S. Foreign Policy Across the Twentieth Century

\$ 60,000

Jonathan Reed Winkler will research and write a book that will explore how U.S. policy makers and communications industry leaders view the role of information technology in advancing U.S. economic and national security objectives.

WORLD POLITICS AND STATECRAFT FELLOWSHIP PROGRAM

Boston University

Boston, MA

Aparna Pande

Pakistan's Ideological Foreign Policy and Implications for the War on Terror \$ 7,500

Brown University

Providence, RI

Feryaz Ocakli

Electing the Pious: Islamist Politics and Party Strategies \$ 7,500

The City University of New York

New York, NY

Aleksandra Majstorac-Kobiljski

Colleges, Not Gunboats: American Protestant Universities in Lebanon and Japan, 1850-1960 \$ 7,500

Cornell University

Ithaca, NY

Tsveta Petrova

From Recipients to Donors: Eastern Europeans Promote Democracy Abroad \$ 7,500

Georgetown University

Washington, DC

Matthew Schmidt

Creating COIN: Determination of Metrics and the Role of Military Innovation in American Counterinsurgent Wars, 1898-2008 \$ 7,500

Harvard University

Cambridge, MA

Vipin Narang

Posturing for Peace? The Sources and Consequences of Regional Power Nuclear Postures \$ 7,500

Siddharth Mohandas

After War: Intervention, State-Building, and Democratization in Post-Conflict Environments \$ 7,500

Janet Lewis

Ending Conflict Early: Incipient Stages of Insurgency and Counterinsurgency in Africa \$ 7,500

Indiana University

Bloomington, IN

Barbara Junisbai

Economic Reform Regimes, Elite Defections, and Political Opposition in the Post-Soviet States

\$ 7,500

King's College London

Andrew Exum

Hizballah as a Learning Organization: Explaining Innovation

\$ 7,500

Massachusetts Institute of Technology

Cambridge, MA

Andrew Radin

Politics as War by Other Means: The Limits of Third-party State-building after Civil Wars

\$ 7,500

Caitlin Talmadge

Battlefield Effectiveness of Non-Democratic States

\$ 7,500

Reo Matsuzaki

Modernizing through Tradition: Military Occupation, State-Building, and Institutional Design

\$ 7,500

Sarah Zukerman

Explaining Post-War Peace: Colombia's Demilitarizing of Paramilitary Groups

\$ 7,500

Austin Long

First War Syndrome: Military Culture, Professionalization, and Counterinsurgency Doctrine

\$ 7,500

Princeton University

Princeton, NJ

Joshua Walker

Shadows of Empire

\$ 7,500

State University of New York

Binghamton, NY

Paolo Fajardo

Easy Money: How Unearned Revenues Reduce Respect for Human Rights

\$ 7,500

Texas A&M University

College Station, TX

Sudina Paungpetch

Domino by Design: Thai-U.S. Relations during the Vietnam War

\$ 7,500

James Pruitt <i>Leonard Wood and the American Empire: Major General Leonard Wood and U.S. Army Occupations in Cuba and the Philippines</i>	\$ 7,500
University of California, San Diego La Jolla, CA Jennifer Keister <i>Social Contracts between Civilians and Rebel Groups</i>	\$ 7,500
University of Chicago Chicago, IL Bonnie Weir <i>From Bullets to Ballots: The Political Transformation of Violent Opposition Movements</i>	\$ 7,500
University of Maryland College Park, MD Robert Lamb <i>Microdynamics of Legitimacy and Patterns of Violence in Medellin, Colombia, 2000-2008</i>	\$ 7,500
University of New South Wales Canberra, Australia Matthew Wheeler <i>Accommodation and Control: Administration and Political Violence in Southernmost Thailand, 1978-2004</i>	\$ 7,500
University of Pennsylvania Philadelphia, PA Ryan Grauer <i>Commanding Power: The Organizational Sources of Military Might</i>	\$ 7,500
Nori Katagiri <i>Evolving to Win: Sequencing Theory of Extra-Systemic Warfare</i>	\$ 7,500

DOMESTIC PUBLIC POLICY PROGRAM
2009 GRANTS

American Enterprise Institute for Public Policy Research

Washington, DC

Continuity of Government Project

\$150,000

Norman Ornstein, John Fortier, and Thomas Mann will develop policy recommendations to ensure that the executive branch, the Congress, the Supreme Court, and the election system are able to function and provide for continuity of democratic governance in the aftermath of a major terrorist attack against senior leadership. The project's findings will appear in a series of reports.

The Financial Markets Crisis: Policy Challenges, Policy Solutions

\$300,000

A team of researchers at the institute led by Kevin Hassett will investigate the causes of the financial crisis, assess the impacts of actions taken by the government to date, and develop policy prescriptions on issues including the securitization of mortgages, the development and dissemination of risk metrics to strengthen market discipline, and the reform of credit rating agencies. The project's findings will appear in a series of reports, papers, and articles.

Accountability in American Higher Education

\$150,000

Frederick Hess and Mark Schneider will lead an effort to identify approaches to make U.S. universities and colleges more accountable to their students. They will use data on undergraduate degree attainment to assess the patterns of productivity among institutions of higher education. The project's findings will appear in a series of reports, papers, and briefings.

American University

Washington, DC

Health Care Reform – A Sustainable Path to Universal Coverage

\$ 49,644

Robert Carroll and Philip Swagel will assess whether changes in tax policies enacted alongside insurance market reforms could make the tax system more efficient, provide a stable source of funding for health care coverage, and help reduce the growth in health care costs. The project's findings will appear in a report.

Brookings Institution

Washington, DC

Mosaic: A Disruptive Look at the History and Future of Surveillance and Privacy

\$125,000

Benjamin Wittes will research and write a book that will explore how privacy can best be protected as technology makes it easier to collect and share personal information. He will examine how laws and regulations regarding the protection of personal information evolved and consider what principles could best protect personal information in light of advances in technology.

Creating an Opportunity Society

\$ 25,000

Isabel Sawhill and Ron Haskins will assess a range of policy approaches toward enhancing economic opportunity and social mobility among disadvantaged families. They will prepare a series of short policy briefs and content for a web site dedicated to the findings and recommendations in their book, *Creating an Opportunity Society*.

Uncle Sam in Pinstripes

\$125,000

Doug Elliott will research and write a book that will examine the range of U.S. government programs, such as subsidies for mortgages and student loans, that are designed to promote lending by financial institutions. He will explain the purpose of the programs, assess how well they are accomplishing their objectives, and estimate their cost to the U.S. government.

Will Technology Make the Constitution Obsolete? Preserving Constitutional Values in a World of 21st Century Technologies

\$ 75,000

Jeffrey Rosen will lead an effort to explore how new technologies are challenging key constitutional principles and identify ways that such principles may be preserved. He will commission papers from legal scholars on issues such as the use of DNA databases in the criminal justice system and the implications for freedom of speech when internet-based content providers are subjected to actions by foreign governments seeking to regulate speech. The project's findings will appear in a series of papers and an edited volume.

Fixing Finance

\$299,105

A team of researchers at the institution led by Martin Baily will identify the causes of the financial crisis, explore options to restore stability to the financial system, and evaluate how financial sector regulation should be reformed in order to address three key issues: managing systemic risk, minimizing moral hazard, and regulating hedge funds.

Rethinking the Federal Role in Education \$200,000
Grover Whitehurst will lead an effort to identify how federal financial support for primary and secondary education can best be used to improve the American education system. He will convene a series of task forces to review and synthesize research findings on key issues, including teacher compensation, charter schools, and standards and assessments. The project's findings will appear in a series of reports.

Brown University

Providence, RI

Politics and Governance: Sustaining Effects of Mayoral Control in Urban Systems

\$ 52,466

Kenneth Wong will research and write a book that will assess whether large urban school systems can be more effectively managed by placing them under the control of mayors rather than school boards. He will collect student achievement data on more than 100 urban school districts and analyze those data to assess whether there are any correlations between school governance structures and student outcomes. He will also identify any policy or managerial changes that occurred in mayoral-controlled school systems, such as revised financing formulas or greater use of school-choice mechanisms.

The Campaign Finance Institute

Washington, DC

Program of Research and Public Education

\$200,000

Michael Malbin will lead the institute's efforts to produce regular reports analyzing federal campaign finance data, to assess whether campaign finance policy can be used to encourage small-donor giving and to analyze policy approaches that would strengthen disclosure rules. 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?

\$145,000

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 racial and ethnic groups. The project's findings will appear in a report.

Columbia University

New York, NY

Accountability and the Allocation of School Resources: Evidence from New York City Public Schools

\$ 24,420

Jonah Rockoff will examine whether educational accountability systems built around high-stakes tests improve student learning. He will use data from New York City schools to assess whether the district’s accountability system is leading school officials to engage in “gaming” by, for instance, removing low-performing students from the test-taking pool. The project’s findings will appear in a series of papers.

Duke University

Durham, NC

Beyond Test Scores: Schooling and Life-Course Outcomes in Early Adulthood

\$344,835

Charles Clotfelter will lead an effort to examine how student performance correlates with social and economic outcomes later in life. A team of researchers will link student-level longitudinal data from North Carolina with data from other public agencies to explore issues such as the relationship between school performance and employment, earnings, crime, and health status. The project’s findings will appear in a series of papers.

An Experimental Evaluation of the Milwaukee Prisoner Re-entry Program

\$123,607

Philip Cook will direct an experimental evaluation of a prisoner reentry program in Milwaukee, Wisconsin. The evaluation will test the effectiveness of a program that matches offenders to employers while they are still in prison in an effort to smooth the transition from incarceration to employment. The project’s findings will appear in a report and a series of articles.

The Foundation for Research on Economics and Education

Santa Monica, CA

Crime: Public Policies for Crime Control

\$ 50,000

Joan Petersilia and James Q. Wilson will commission research to review and synthesize evidence on criminal justice policies. They will solicit contributions from leading criminologists on approximately 20 topics, including gun control, policing, gang activity, and sentencing strategies. The project’s findings will appear in an edited volume.

George Mason University

Fairfax, VA

The Impact of Immigrant High-Technology Entrepreneurship in the United States

\$ 24,200

David Hart and Zoltan Acs will explore whether immigration policy can be used to increase entrepreneurship and innovation in the U.S. economy. They will examine how firms led by immigrants differ from those led by native-born Americans and explore the backgrounds and motivations of immigrant entrepreneurs. The project's findings will appear in a series of papers, articles, and policy briefs.

Navigating in a System of Shared Governance: New Management Strategies for 21st Century Federal Managers

\$118,677

Paul Posner and Alan Abramson will lead an effort to develop management strategies to help federal officials collaborate across public agencies and with non-governmental organizations. They will assess how well federal agencies are able to meet the challenge of creating new programs and delivering the additional resources that have been made available to them through the American Reinvestment and Recovery Act. The project's findings will appear in a series of case studies and papers.

Harvard University

Cambridge, MA

Hispanic Integration in the United States

\$100,000

George Borjas and Stephen Trejo will research and write a book that will measure how well Hispanic immigrants are integrating into the mainstream of American life. They will analyze Census data to determine the skill composition of Hispanic immigrants, assess how immigration is affecting the socio-economic outcomes of Hispanics already in the United States, and explore how the children of Hispanic immigrants are faring as adults.

Kennedy School of Government Forum on Achieving Results and Protecting Public Values in a System of Networked Governance

\$200,000

Mark Moore and Jack Donohue will lead an effort to examine how the growing use of government-led networks — collaborations among public, private, and non-profit institutions — is affecting how well federal, state, and local governments are able to achieve public objectives. They will draw lessons from a variety of networks in order to develop a common framework on how they can best be structured and implemented. The project's findings will appear in a report, a series of case studies, and curricular materials that can be used to teach public officials about networked governance.

The Hoover Institution

Stanford, CA

Exit Strategies for Monetary Policy

\$120,000

John Taylor will develop a monetary policy strategy that policy officials can use to tighten the money supply and ward off the threat of inflation after the worst of the economic downturn has passed. He will identify the indicators that officials could use when deciding to shift from an expansionary monetary policy and set forth the steps they should take to do so. The project's findings will appear in a series of papers and articles.

Institute for Educational Leadership, Inc.

Washington, DC

The Kids-First Agenda: Five Smart Investments in Children's Lives and America's Future

\$ 25,000

David Kirp will research and write a book that will develop a policy approach to improving the well being of children from disadvantaged backgrounds. He will review the social science evidence on effective interventions, such as home-visiting, preschool, and mentoring programs, and then assess which approaches are most amenable to implementation on a national scale.

Manhattan Institute for Policy Research, Inc.

New York, NY

Moving Men into the Mainstream: Phase II

\$200,000

Howard Husock and Richard Greenwald will lead an effort to develop and implement a prisoner reentry program that could improve public safety and help ex-offenders reenter the social and economic mainstream. They will work with public officials in Newark, New Jersey, to implement a city-wide approach toward prisoner reentry based on the principles of performance measurement and management developed by New York City's Compstat program for policing. The project's findings will appear in a report, a policy brief, and a series of briefings for public officials in other jurisdictions.

MDRC

New York, NY

Opportunity New York City-Family Rewards: An Embedded Child and Family Study of Conditional Cash Transfers

\$200,000

Pamela Morris will lead an effort to assess the effectiveness of social policy interventions designed around a system of cash incentives for parents and their children to engage in behaviors conducive to favorable social and economic outcomes. The research team will survey parents and children in families who were randomly assigned to either a treatment or control group. Those in the treatment group were eligible for incentive payments if they held a job, took their children to regular medical check-ups, and if their children performed well in school. The project's findings will appear in a report and a number of policy briefs.

Michigan Technological University

Houghton, MI

Tolls: Past Experience, Present Policy, and Future Prospects

\$ 17,379

Louise Nelson Dyble will examine the history of using tolls or user fees to build and maintain transportation networks in the United States. She will explore key decisions made by policy makers in the 1920s when they embraced private toll roads as a means to develop infrastructure and compare them to those of the 1950s when toll roads fell out of favor. The project's findings will appear in a series of papers.

National Bureau of Economic Research, Inc.

Cambridge, MA

Retirement Benefits for State and Local Employees: Impact on Budgets, Public Debt, and the Delivery of Services

\$195,542

Jeffrey Brown and Robert Clark will lead an effort to assess how the costs of retirement benefits for public employees is creating a fiscal crisis for many state and local governments. They will commission papers on issues related to retiree benefits, including estimating the costs of those benefits and assessing whether those costs crowd out spending on other priorities. The project's findings will appear in a series of papers.

Regulation and Litigation

\$100,000

Andrei Shleifer and Daniel Kessler will lead an effort to understand whether regulation or litigation is the more appropriate strategy to achieve public objectives. They will commission research from scholars who will be asked to assess how these two strategies compare in areas such as gun control, medical malpractice, and consumer product safety. The project's findings will appear in a series of papers and an edited volume.

<p><i>Housing Markets and Financial Crisis: Exploring the Linkages</i> A team of researchers affiliated with the bureau will examine the role that the housing market, the mortgage market, and the intersection of the two played in contributing to the financial crisis. The project will focus on issues, such as how the housing market has been shaped by changes in income and the availability of mortgage credit and how the market for housing finance evolved as the roles of loan originators, securitizers, and investors changed over time. The project's findings will appear in a series of papers.</p>	\$150,000
<p><i>The Design and Implementation of U.S. Climate Policy</i> Donald Fullerton and Catherine Wolfram will lead an effort to explore issues related to the design, implementation, and administration of climate change policies. They will commission research on topics such as the impact of climate policy on employment and innovation, how carbon markets can be administered and regulated, and how climate mitigation efforts might interact with international trade rules. The project's findings will appear in a series of papers.</p>	\$100,000
<p><i>Closing the Achievement Gap through Incentives</i> Roland Fryer will evaluate the impact of the Earning by Learning Program on student achievement. He will randomly assign students in Dallas, Texas, 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.</p>	\$ 34,951
<p>New Leaders for New Schools</p>	
<p>New York, NY</p>	
<p><i>Evaluation of New Leaders for New Schools</i> Laura Hamilton and Susan Gates will examine whether the quality of school leadership can be improved through a program that recruits, trains, and enrolls individuals in a year-long apprenticeship to become principals. They will examine whether and how such principals can affect the learning environment in schools and the extent to which these changes correlate with higher levels of student achievement. The project's findings will appear in a report and a monograph.</p>	\$147,900

New York University

New York, NY

State Regulatory Review Project

\$108,700

Richard Revesz and Michael Livermore will examine how state governments employ review procedures when developing and implementing regulations. They will collect information on state laws and regulations concerning regulatory review requirements and survey key actors in the rule-making process in order to identify which states have developed the most rigorous policies and procedures to review proposed regulations. The project’s findings will appear in a report and a series of briefings for state policy makers.

Northwestern University

Evanston, IL

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

\$132,583

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 that included students from a diverse set of social and economic backgrounds scored higher on achievement tests and were more successful in the labor market than students who attended schools that were predominantly composed of students from low-income backgrounds. The project’s findings will appear in a series of reports and articles.

Partnership for Public Service

Washington, DC

State of Public Service: Measure Capacity, Drive Change, Improve Performance

\$ 20,095

Robert Lavigna and Judy England Joseph will lead an effort to develop metrics that can be used to measure the performance of the federal civilian workforce. They will convene a panel of experts on public administration and survey research methods to identify data that could be used to measure the performance of federal workers. The project’s findings will appear in a report.

Stanford University

Stanford, CA

Expanding College Opportunities

\$289,837

Caroline Hoxby and Sarah Turner will conduct a randomized experiment to evaluate whether high-achieving students from low-income families can be induced to apply to and enroll in more selective colleges. Students in the treatment group will receive a variety of information-based interventions, such as explanations of the level of financial aid available at selective schools, and the researchers will measure whether these interventions will have an impact on college application and enrollment decisions. The project’s findings will appear in a report and a series of papers.

Technology Policy Institute

Washington, DC

Maintaining U.S. Leadership in Information and Communications

Technology: Antitrust and the Dynamics of Competition in

“New Economy” Industries

\$ 50,000

Thomas Lenard and Scott Wallsten will lead an effort to examine how the United States can best maintain its leadership in information and communications technologies. They will commission papers on the regulation of the technology industry, with a particular emphasis on the role of antitrust laws in promoting and hindering innovation. The project’s findings will appear in a series of four papers and a report making policy recommendations.

University of Arkansas

Fayetteville, AR

The Fiscal and Educational Impacts of Teacher Retirement Benefit Systems

\$100,000

Michael Podgursky and Robert Costrell will lead an effort to examine how retirement benefit systems for teachers are affecting the fiscal stability of state governments and how they shape efforts to improve the quality of the teacher work force. The researchers will analyze teacher pension systems in three states in order to assess how benefit systems affect the entry and exit of teachers into the work force and commission papers to explore the larger issues associated with teacher benefit systems. The project’s findings will appear in a series of reports, papers, and policy briefs.

University of California, Los Angeles

Los Angeles, CA

A Randomized, Controlled Trial of the Second Chance Program for Ex-Inmates

\$151,869

David Farabee will direct an experimental evaluation of a prisoner reentry program in San Diego. The evaluation will test the effectiveness of an intervention that combines a job readiness program with a residential component, which allows ex-offenders to live in a supervised group home. The project's findings will appear in a report and a series of articles.

University of Chicago

Chicago, IL

Economic Well-Being, Inequality, and the Middle Class

\$138,466

Bruce Meyer and James Sullivan will examine the evolution of living standards of American families over the past three decades in order to assess social mobility. They will examine patterns of income and consumption among families in order to develop a more complete picture of the economic well being of American families. The project's findings will appear in a series of articles and policy briefs.

University of Maryland

College Park, MD

The History of International Financial Crises: A Living Data Base

\$ 75,000

Carmen Reinhart and Kenneth Rogoff will lead an effort to examine the history of financial crises around the world to inform contemporary debates over how best to avoid and recover from future crises. They will create an on-line, database on the history of financial crises, commission research to address key issues surrounding them, and develop a set of standards that could be used to identify and date them. The project's findings will appear in a series of papers.

University of Pennsylvania

Philadelphia, PA

Preventing Homicide with Probation and Parole:

A Randomized, Controlled Trial

\$242,775

Geoffrey Brown will lead an effort to evaluate whether a statistical model can be used to reduce violent crime by predicting which criminal offenders being released on parole or probation are most likely to commit subsequent crimes and then deploying criminal justice resources strategically to monitor them after they are released from prison. The researchers will randomly assign high-risk parolees or probationers into either a treatment group, which will be under increased supervision and enrolled in an intense form of treatment, or a control group, which will receive the standard levels of supervision and services. The project's findings will appear in a report and a series of papers.

Conference on Experimental Methods: Research Design, Implementation, and Analysis

\$ 11,175

The Jerry Lee Center of Criminology will convene a conference for researchers who are undertaking experimental evaluations. The researchers will share their protocols, identify challenges to the successful implementation of experimental studies, and discuss issues pertaining to data analysis.

University of Texas at Austin

Austin, TX

Residential Relocation as a Solution to Recidivism: A Natural Experiment

\$ 99,994

David Kirk will examine whether relocating ex-prisoners to low-crime neighborhoods could serve as a promising approach to reduce recidivism. He will track a sample of ex-offenders who were originally from New Orleans but could not return to their neighborhoods of origin after Hurricane Katrina in order to assess whether they had lower rates of recidivism. The project's findings will appear in a series of papers.

University of Wisconsin-Madison

Madison, WI

The Impact of Need-Based Aid on College Graduation:

A Randomized Trial of the Wisconsin Scholars Grant

\$349,980

Sara Goldrick-Rab and Douglas Harris will evaluate the impact of student financial aid on college graduation among students from low-income families. They will direct a randomized experimental evaluation of a privately funded student aid program that will award scholarships to students from low-income families to attend a public university in Wisconsin. The project's findings will appear in a series of reports and papers.

Urban Institute

Washington, DC

One-Day Forum: Recent Research Findings on No Child Left Behind \$ 49,928

Jane Hannaway and Dale Ballou will invite leading education scholars to Washington to present findings from their research on the effectiveness of the No Child Left Behind Act. The project's findings will be synthesized into a co-authored report.

Encouraging Work among Low-Income Fathers: An Analysis of New York's Employment and Tax Credit Programs \$100,000

Elaine Sorenson and Austin Nichols will examine whether the child support system can be used as a lever to lift employment and earnings rates among low-income fathers. They will assess the impact on employment and earnings of a New York state program that combines job training and referral services with a program modeled on the Earned Income Tax Credit. The project's findings will appear in a report and a series of papers.

Yale University

New Haven, CT

Can We Make Better Use of Medical Evidence? Political Incentives and the Prospects for Sustainable Reform \$149,861

Alan Gerber and Eric Patashnik will research and write a book that will explore whether research on the effectiveness of medical treatments can play a larger role in improving the quality and efficiency of the U.S. health care system. They will examine how other countries have used medical evidence to inform treatment decisions, assess how medical evidence is currently used in the health care system, and interview key private- and public-sector actors in the health care field.

DIRECT SERVICE PROGRAM

2009 GRANTS (\$25,000 and above)

Alliance for Children & Families

Milwaukee, WI

Replicating the Workshop in Business Opportunities \$ 100,000

Bridgeport Hospital Foundation, Inc.

Bridgeport, CT

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

Center for Creative Leadership

Greensboro, NC

Advancement Project \$ 700,000

FSW, Inc. CT

Bridgeport, CT

Workshop In Business Opportunities \$ 100,000

Greens Farms Academy

Greens Farms, CT

Horizons Scholarship Fund \$ 25,000

North Carolina Coastal Federation, Inc.

Newport, NC

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

St. Vincent's Medical Center Foundation

Bridgeport, CT

Mobile Mammography Project \$ 25,000

Waterside School

Stamford, CT

General support \$ 25,000

GRANTS \$20,232,248

GRANTS (Not Listed Individually) \$ 679,400

TOTAL GRANTS PAID 2009 \$20,911,648

MANAGEMENT'S FINANCIAL REPORT

During 2009, the Foundation's unrestricted net assets increased by \$56,744,384. As of December 31, 2009, the Foundation had total assets of \$632,334,014.

The Foundation awarded grants totaling \$15,775,146 during 2009 and made cash payments on grants awarded during 2009 and unpaid grants from previous years of \$20,911,648.

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 45 through 52, have been derived from the Foundation's audited Consolidated Financial Report as of and for the year ended December 31, 2009, which included an unqualified opinion dated June 1, 2010.


Ross Hemphill
Vice President, CFO

Consolidated Statement of Financial Position

December 31, 2009

Assets

Cash and cash equivalents	\$ 9,346,047
Securities and investments, at fair value:	
Global equities:	
Domestic large cap equities	142,238,642
Domestic small/mid cap equities	23,285,235
International equities	142,768,210
Nonmarketable alternative equities	40,746,799
Global equities total	<u>349,038,886</u>
Diversifying equities:	
Long/short strategy equities	56,849,891
Absolute return strategy equities	58,237,997
Real estate equities	11,390,460
Natural resources equities	41,635,145
Diversifying equities total	<u>168,113,493</u>
Fixed income funds	<u>97,471,692</u>
Total investments	<u>614,624,071</u>
Property and equipment, net of accumulated depreciation	7,515,309
Interest and dividends receivable	358,081
Other assets	<u>490,506</u>
Total assets	<u>\$ 632,334,014</u>

Liabilities and Net Assets

Liabilities:	
Accounts payable and accrued expenses	\$ 248,218
Deferred compensation and post retirement liabilities	4,661,334
Unpaid monetary grants-in-aid	6,012,787
Unpaid nonmonetary grants-in-aid for use and occupancy of real estate	6,321,943
Deferred federal excise tax liability	1,149,324
Total liabilities	<u>18,393,606</u>
Commitments	
Noncontrolling interests in consolidated affiliates	184,690,344
Unrestricted net assets	<u>429,250,064</u>
Total liabilities and net assets	<u>\$ 632,334,014</u>

See Note to Consolidated Financial Statements.

Consolidated Condensed Schedule of Investments

December 31, 2009

	Percentage of Net Assets	Value
Common stocks	34.23%	
Domestic	34.10%	
Aerospace	0.27%	\$ 1,158,926
Automobiles	0.16%	699,635
Auto parts	0.32%	1,383,756
Banking and financial	2.26%	9,708,122
Basic industries	0.04%	158,472
Biotech companies	0.47%	2,002,640
Broadcast media	0.32%	1,358,652
Business services	1.27%	5,464,771
Capital goods	0.36%	1,547,169
Chemicals	0.62%	2,646,817
Commercial services	0.23%	971,852
Communications and technology	4.15%	17,823,711
Computer software and services	1.11%	4,760,837
Consumer goods	1.93%	8,301,378
Containers – metal and glass	0.27%	1,153,978
Cosmetics	0.08%	327,600
Drugs	1.04%	4,472,456
Electrical equipment	0.52%	2,218,269
Electronics	0.55%	2,361,577
Energy	0.34%	1,463,797
Entertainment	0.39%	1,694,823
Financial services	0.99%	4,236,821
Foods	0.74%	3,167,897
Gold	0.34%	1,449,105
Hardware and tools	0.10%	429,499
Healthcare	1.82%	7,832,563
Hotel/Motel	0.11%	463,250
Household furnishings and appliances	0.41%	1,745,300
Industrials	0.36%	1,537,859
Insurance	1.04%	4,471,866
Investment companies	0.06%	254,070
Machinery and materials	2.72%	11,657,694
Medical products and supplies	1.03%	4,408,651
Office equipment and supplies	0.60%	2,571,799
Oil and gas companies	1.46%	6,254,893
Publishing	0.29%	1,225,485

(Continued)

	Percentage of Net Assets	Value
Restaurants	0.46%	\$ 1,988,415
Retail stores	1.54%	6,615,366
Services	0.13%	559,845
Shoes	0.58%	2,482,910
Tobacco	0.46%	1,963,983
Telecommunications	0.82%	3,506,897
Textiles	0.05%	226,484
Transportation and trucking	0.76%	3,264,332
Utilities	0.55%	<u>2,457,164</u>
Total domestic common stocks		<u>146,451,386</u>
Foreign	0.11%	
Mexico	0.11%	
Telecommunications	0.11%	<u>493,290</u>
Total foreign common stocks		<u>493,290</u>
Total common stocks		<u>146,944,676</u>
Mutual Funds	63.42%	
Domestic	43.39%	
PIMCO Total Return Fund	15.44%	66,290,624
Other	27.95%	<u>119,974,481</u>
Total domestic mutual funds		<u>186,265,105</u>
Foreign	20.02%	
Delaware Pooled Trusts Emerging Markets	5.76%	24,742,375
Longleaf Partners International Fund	5.71%	24,488,302
Other	8.55%	<u>36,686,931</u>
Total foreign mutual funds		<u>85,917,608</u>
Total mutual funds		<u>272,182,713</u>

(Continued)

	Percentage of Net Assets	Value
Investments in Partnerships and Trusts	45.54%	
Domestic partnerships and trusts	27.91%	
Other	27.91%	<u>\$ 119,787,575</u>
Total domestic partnerships and trusts		<u>119,787,575</u>
Foreign partnerships and trusts	17.63%	
Capital Guardian International Equity Fund	13.00%	55,852,520
Other	4.63%	<u>19,856,587</u>
Total foreign partnerships and trusts		<u>75,709,107</u>
Total investments in partnerships and trusts		<u>195,496,682</u>
Total investments		<u><u>\$614,624,071</u></u>

See Note to Consolidated Financial Statements.

Consolidated Statement of Activities

Year Ended December 31, 2009

Revenues:	
Dividends	\$ 6,124,115
Interest	11,495
Donated use and occupancy of real estate	1,318,935
Grants-in-aid canceled	<u>443,784</u>
	<u>7,898,329</u>
Expenses:	
Monetary grants-in-aid	15,775,146
Nonmonetary grants-in aid for use and occupancy of real estate	793,412
Investment advisory fees	2,545,267
Custodian fees	70,907
Interest	196
Management and general	<u>6,700,904</u>
	<u>25,885,832</u>
Federal excise taxes:	
Current	2,370
Deferred	<u>1,149,324</u>
	<u>1,151,694</u>
Decrease in unrestricted net assets before net gains (losses) on investments and noncontrolling interest	<u>(19,139,197)</u>
Net realized losses on investments	<u>(58,906,829)</u>
Net increase in unrealized appreciation on investments	<u>170,207,961</u>
	<u>111,301,132</u>
Noncontrolling interest in net (income) of consolidated affiliates	<u>(35,417,551)</u>
Increase in unrestricted net assets	<u>56,744,384</u>
Unrestricted net assets:	
Beginning	<u>372,505,680</u>
Ending	<u>\$ 429,250,064</u>

See Note to Consolidated Financial Statements.

Consolidated Statement of Cash Flows

Year Ended December 31, 2009

Cash Flows From Operating Activities

Increase in unrestricted net assets	\$ 56,744,384
Adjustments to reconcile increase in unrestricted net assets to net cash provided by operating activities:	
Revenue recognized for donated use and occupancy of real estate	(1,318,935)
Grants-in-aid recognized for use and occupancy of real estate	793,412
Depreciation	421,520
Gains on disposal of property and equipment	(8,806)
Purchase of securities and investments	(183,574,105)
Proceeds from disposition of securities and investments	215,735,282
Contributions to partnerships	(41,357,916)
Distributions from partnerships	44,216,345
Net increase in unrealized appreciation on investments	(170,207,961)
Net realized losses on investments	58,906,829
Noncontrolling interest in net income of consolidated affiliates	35,417,551
Noncash increase in cost of investments	(4,064)
Deferred federal excise taxes	1,149,324
Changes in assets and liabilities:	
(Increase) decrease in:	
Interest and dividends receivable	(162,555)
Other assets	338,778
Increase (decrease) in:	
Accounts payable and accrued expenses	(60,001)
Deferred compensation and postretirement liabilities	554,791
Unpaid grants-in-aid	<u>(4,276,502)</u>
Net cash provided by operating activities	<u>13,307,371</u>

(Continued)

Cash Flows From Investing Activities

Proceeds from sales and maturities of securities and investments	\$ 190,842
Proceeds from sales of property and equipment	9,500
Purchase of securities and investments	(128,118)
Purchase of property and equipment	<u>(103,820)</u>
Net cash used in investing activities	<u>(31,596)</u>

Cash Flows From Financing Activities

Noncontrolling members' contributions to Moorings Capital LLC	14,567,062
Withdrawals of noncontrolling members of Moorings Capital LLC	(2,156,821)
Distributions to noncontrolling members of Moorings Capital LLC	(18,453,434)
Net borrowings on line of credit	<u>(4,100,808)</u>
Net cash used in financing activities	<u>(10,144,001)</u>
Net increase in cash and cash equivalents	3,131,774

Cash and cash equivalents:

Beginning	<u>6,214,273</u>
Ending	<u>\$ 9,346,047</u>

Supplemental Disclosures of Cash Flow Information

Cash payments for:

Grants-in-aid	<u>\$ 19,607,864</u>
Federal excise taxes	<u>\$ 22,630</u>

See Note to Consolidated Financial Statements.

NOTE TO CONSOLIDATED FINANCIAL STATEMENTS

Distribution of Income

The minimum amount required to be distributed by the Foundation during the year ending December 31, 2010, computed in accordance with the minimum distribution requirements of the Internal Revenue Code, is approximately \$20,000,000.

The Foundation expects to make distributions in 2010 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 discuss 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 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

TRUSTEES

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Chairman of the Board

Michael Blair

W. Winburne King III

Dr. Arvid R. Nelson

Adele Richardson Ray

Lunsford Richardson, Jr.

Stuart S. Richardson

E. William Stetson III

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Christopher DeMuth

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Adele Richardson Ray

Lunsford Richardson, Jr.

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Dr. Lawrence Sherman

E. William Stetson III

Dr. Ashley J. Tellis

Dr. Grover J. Whitehurst

R. James Woolsey

Dr. Edward F. Zigler

OFFICERS

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Vice-Chairman of the Board Stuart S. Richardson

Senior Vice President, Director of Programs Dr. Marin Strmecki

General Counsel W. Winburne King III

Vice President, CFO Ross F. Hemphill

Secretary Dr. Arvid R. Nelson

Assistant Secretary Karla W. Frank

Trustees, Governors, and Officers are reported as of June 1, 2010

STAFF

Dr. Marin Strmecki
*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
*Senior Program Officer
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
Domestic Public Policy
Systems Coordinator*

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 June 1, 2010

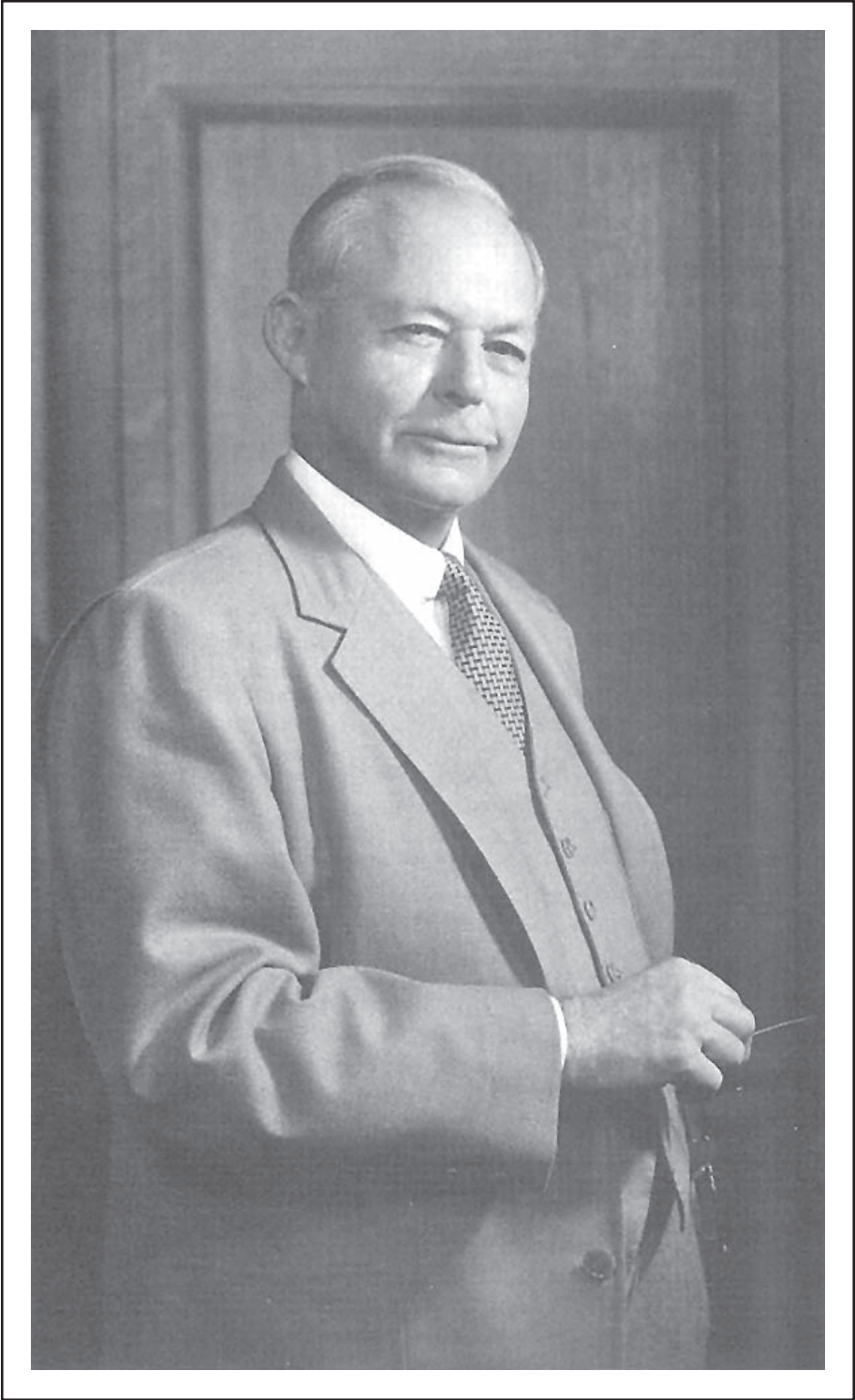
OFFICES

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.