

**ANNUAL  
REPORT  
2017**

*Carnegie*  
CORPORATION  
OF NEW YORK

**Promoting the advancement  
and diffusion of knowledge  
and understanding.**

# CONTENTS

## REPORT ON **PROGRAM**

International Program	4
National Program	29
Special Opportunities Fund	59
Leadership Initiative	66
Andrew Carnegie Fellows Program	67

## REPORT ON **FINANCES** 71

## REPORT ON **ADMINISTRATION** 88

## REPORT ON **INVESTMENTS** 92

## **TRUSTEES** 98

## **STAFF** 100



REPORT ON  
**PROGRAM**



# International Program

## HIGHER EDUCATION AND RESEARCH IN AFRICA

---

### African Academy Of Sciences, Nairobi, Kenya

---

For a postdoctoral program in support of rising research leaders in science and engineering. 36 Months, \$1,999,000

---

The period immediately following completion of the doctoral degree is a critical time for an African academic. Little postdoctoral research support is available, while the pressures of teaching and university administration often distract the scholar from conducting and publishing additional research. The result, for some, is professional stagnation, while others depart for more conducive research environments. Since its inception in 2008, 83 doctoral students have received support through the networks comprising the Regional Initiative in Science and Education (RISE). RISE doctoral graduates will form the pool of eligible applicants for postdoctoral support, which will be offered by the African Academy of Sciences' Alliance for Accelerating Excellence in Science in Africa (AESA). Through a competitive process, AESA will select up to 10 RISE postdoctoral fellows, who will receive research funding and a small stipend to replace foregone income from consultancies and administrative posts. Fellows will be assigned a senior African mentor and will be able to spend up to three months conducting research at a partner institution, such as Cambridge and Oxford Universities.

---

### African Population and Health Research Center, Inc., Nairobi, Kenya

---

For competitive postdoctoral fellowships open to graduates of the Consortium for Advanced Research Training in Africa doctoral program. 36 Months, \$2,000,000

---

The Consortium for Advanced Research Training in Africa (CARTA), begun in 2008 and hosted by the African Population and Health Research Center (APHRC), aims to improve the quantity and quality of research leaders in fields relevant to population and public health. To date, 165 early-career researchers, selected from among faculty and research staff of the consortium's nine universities and four research centers, have entered the four-year doctoral program, and more than 30 fellows have graduated. With this grant, CARTA will intensify its postdoctoral program — referred to as “Securing the Future” — designed to help ease the transition of the graduates back into their university departments and allow them to continue to hone their research skills, even as they resume their teaching and administrative responsibilities.

---

### Institute of International Education, Inc., New York, NY

---

For the Carnegie African Diaspora Fellowship Program. 24 Months, \$3,200,000

---

As higher education enrollment in sub-Saharan Africa grows at eight percent annually, new and expanding institutions require resources to train academic staff and seek fresh means to catalyze systemic change. In this

context, the academic diaspora represents a large intellectual resource. Since 2013, the Carnegie African Diaspora Fellowship Program (CADFP), a partnership of the Institute of International Education and United States International University-Africa has supported 274 diaspora fellowships at 102 institutions in participating African countries. With continued support from the Corporation, CADFP will offer approximately 123 new fellowships and provide opportunities to additional academics to participate in conferences, workshops, and field work.

---

### **Makerere University, Kampala, Uganda**

---

For a competitive postdoctoral research support program. 30 Months, \$1,000,000

---

The period immediately following completion of the doctoral degree is a critical time for an African academic. Little postdoctoral research support is available, while the pressures of teaching and university administration often distract the scholar from conducting and publishing additional research. The result, for some, is professional stagnation, while others depart for more conducive research environments. At Makerere University, 81 doctoral students — who have benefited from the university's Next Generation of African Academics postgraduate program since its inception in 2010 — will comprise the pool of eligible applicants for postdoctoral support. Through a competitive process, the university will select up to 15 postdoctoral fellows, who will form teams to carry out a research project. These teams will include an additional early-career researcher, a master's degree student, and a senior mentor. The teams will receive funds for research and dissemination of results and will benefit from training in a variety of research skills as well as in writing for public and policy audiences.

---

### **Makerere University, Kampala, Uganda**

---

For the doctoral program in social studies at the Makerere Institute for Social Research. 36 Months, \$1,000,000

---

The doctoral program in social studies at the Makerere Institute for Social Research (MISR), launched in 2012, uses a rigorous coursework-based, interdisciplinary, five-year curriculum to provide contextually relevant training to students from across the continent. Each year, up to 10 students enter the program, where they spend their first two years taking seminars — categorized into political, historical, and cultural studies and political economy — and their third year participating in a research colloquium, taking a comprehensive exam, beginning their proposal, and, acting as a tutorial assistant in Makerere's College of Humanities and Social Sciences. Students spend the last two years on dissertation research and writing. Students also join one of three research groups active at MISR. Corporation support will provide 60 one-year fellowships over the three-year period to a mix of MPhil and PhD students. Support will also contribute to the costs of the Beyond Criminal Justice and Land research groups.

---

### **University of Cape Town, Rondebosch, South Africa**

---

For developing emerging academic leaders through postdoctoral support. 36 Months, \$2,300,000

---

It takes approximately 10 years for a recent doctoral graduate to become a principle investigator capable of leading a research initiative supported by external funding. Postdoctoral positions help to acclimate and retain doctoral graduates in an academic research setting. Earlier investments in the University of Cape Town (UCT) have produced a cohort of 117 academics, including women and people of color in the fields of infectious diseases, civil engineering, and economics. These academics form a pool for competitively selected postdoctoral fellowships. With Corporation support, UCT will offer 22 postdoctoral and four early-career research fellowships to the best alumni of previous support. The fellowships will aim to further strengthen their academic capacity and research outputs, and increase their ability to secure appointments at African universities.

---

**University of the Witwatersrand, Johannesburg, Gauteng, South Africa**

---

For an Alumni Diaspora Program. 36 Months, \$300,000

---

In order to address the burden of supervision, teaching, and training in the growing higher education sector in Africa, the Corporation initiated a diaspora linkages initiative in 2013. Early results have shown progress in postgraduate supervision, use of laboratories and equipment, and access to research funding and collaboration. The University of Witwatersrand (Wits) alumni-diaspora program, supported by the Corporation since 2013, has grown into a collaborative research network between Wits Faculty of Health Sciences alumni worldwide and their peers at Wits, including 25 visits and nine return visits between 2014 and 2016. Partnerships have led to coauthoring of publications, submission of joint grant proposals, and provision of cosupervisors, lecturers, and laboratories. Continued support will provide 30 alumni diaspora visits, new research collaborations, and exchanges of postgraduate students.

---

**University of the Witwatersrand, Johannesburg, Gauteng, South Africa**

---

For building capacity of institutional data gathering, monitoring, and analysis at African Research University Alliance universities. 36 Months, \$800,000

---

The African Research Universities Alliance (ARUA), established in 2015, is a network of 16 leading universities from nine African countries. Its mission is to develop strong and viable African research-intensive universities. One of the biggest hurdles to measuring ARUA's impact is the quality, accuracy, and completeness of the data that member universities can provide on research activities. Support from the Corporation will enable ARUA to do a baseline assessment of institutional data collection processes and user analysis; institutional capacity-building to address identified gaps; develop a set of performance indicators; and deliver a performance report on ARUA universities. The university performance indicators will be used to inform decision making at institutional, national, and continental policy levels.

## INTERNATIONAL PEACE AND SECURITY

---

**Alexandria Trust, London, United Kingdom**

---

For support of the online publication, Al-Fanar Media. 24 Months, \$350,000

---

With Corporation support, the Alexandria Trust founded Al-Fanar Media in 2013. An online, bilingual publication, Al-Fanar Media remains the only independent news organization dedicated to covering Arab higher education and academic freedom issues in the region. Funding from the Corporation will support continued investment in high-quality, independent journalism and the training of Arab journalists, strengthening their capacity to leverage their work to influence policymaking, support research, and drive the improvement of educational quality and access in the region.

---

**American Political Science Association, Washington, DC**

---

For professional development of political scientists from the Arab region. 24 Months, \$640,000

---

This renewal is recommended in light of the American Political Science Association's MENA Workshop's (APSA MENA) commitment to capacity building and enhancing scholarly networks of early-career political science faculty in the region. APSA MENA will expand its work to generate institutional-level impact through departmental collaborations with Arab universities. Supporting cohorts of young political scientists has been essential to the professionalization of political and social science in the region. In the next phase, services to program alumni will expand. And to complement action at individual levels, APSA MENA will begin to provide additional resources and support to political science departments at selected public universities in the region in order to create longer-term institutional impact.

---

## American University in Cairo, New York, NY

---

For developing a Public Policy Hub connecting social scientists with policymakers. 24 Months, \$200,000

---

In response to a Request for Proposals on problem-solving applications of social sciences, American University in Cairo will engage in three projects housed respectively at the School of Global Affairs and Public Policy (GAPP), the School of Humanities and Social Science (HUSS), and the Law and Society Research Unit (LSRU). At GAPP, a Public Policy Hub will develop a cadre of seasoned policy specialists while fostering creative solutions to challenges facing Egypt. At HUSS, a team of social scientists will collect and analyze data on the emergence of social movements in the aftermath of the Arab uprisings with a specific focus on Egypt and Jordan. At the LSRU, a project team led by an economist will examine current trends among religious and social actors.

---

## American University in Cairo, New York, NY

---

For examining current trends among religious and social actors in the Arab region. 24 Months, \$200,000

---

In response to a Request for Proposals on problem-solving applications of social sciences, American University in Cairo will engage in three projects housed respectively at the School of Global Affairs and Public Policy (GAPP), the School of Humanities and Social Science (HUSS), and the Law and Society Research Unit (LSRU). At GAPP, a Public Policy Hub will develop a cadre of seasoned policy specialists while fostering creative solutions to challenges facing Egypt. At HUSS, a team of social scientists will collect and analyze data on the emergence of social movements in the aftermath of the Arab uprisings with a specific focus on Egypt and Jordan. At the LSRU, a project team led by an economist will examine current trends among religious and social actors.

---

## American University in Cairo, New York, NY

---

For assessing social movements in Egypt and Jordan. 24 Months, \$200,000

---

In response to a Request for Proposals on problem-solving applications of social sciences, American University in Cairo will engage in three projects housed respectively at the School of Global Affairs and Public Policy (GAPP), the School of Humanities and Social Science (HUSS), and the Law and Society Research Unit (LSRU). At GAPP, a Public Policy Hub will develop a cadre of seasoned policy specialists while fostering creative solutions to challenges facing Egypt. At HUSS, a team of social scientists will collect and analyze data on the emergence of social movements in the aftermath of the Arab uprisings with a specific focus on Egypt and Jordan. At the LSRU, a project team led by an economist will examine current trends among religious and social actors.

---

## American University of Beirut, Beirut, Lebanon

---

For assessing the impact of social movements in the Arab region. 24 Months, \$400,000

---

Asfari Institute for Civil Society and Citizenship at the American University of Beirut (AUB) will bring together policy experts and practitioners who are working to build civil society solutions where governance and social services are lacking. Researchers will document social movements that are playing vital roles in five countries, share successful practices, and develop education materials. Secondly, a project led by an AUB sociologist will work with religious studies departments, which are part of the structure of numerous universities in the region, and connect these departments with their peers in the social sciences. The project will conduct workshops, research and publish publications jointly between religious scholars and social scientists on issues of shared interest.

---

### **American University of Beirut, Beirut, Lebanon**

---

For connecting the social sciences with religious knowledge in the Arab region. 24 Months, \$250,000

---

Asfari Institute for Civil Society and Citizenship at the American University of Beirut (AUB) will bring together policy experts and practitioners who are working to build civil society solutions where governance and social services are lacking. Researchers will document social movements that are playing vital roles in five countries, share successful practices, and develop education materials. Secondly, a project led by an AUB sociologist will work with religious studies departments, which are part of the structure of numerous universities in the region, and connect these departments with their peers in the social sciences. The project will conduct workshops, research and publications jointly between religious scholars and social scientists on issues of shared interest.

---

### **Arms Control Association, Washington, DC**

---

For confronting the challenges to nuclear nonproliferation and reduction. 24 Months, \$600,000

---

Nuclear security and nonproliferation challenges will test the leadership of the United States, its allies, and the broader global community. For three decades, the Arms Control Association (ACA) has played a key role as analyst, publisher, communicator, and convener on nuclear developments. With continued support from the Corporation, ACA will focus on building bipartisan understanding of critical nuclear weapons-relevant issues, including the future of current nuclear treaties, missile defense plans, options for avoiding U.S.-Russia nuclear competition, and policies on nuclear testing and modernization. ACA will continue to produce publications and hold events to bring its research to the attention of policymakers, the media, and the public.

---

### **Asia Society, New York, NY**

---

For support of a task force on U.S.-China policy. 24 Months, \$300,000

---

The Asia Society's U.S.-China Task Force (the Task Force), a bipartisan group of leading American experts on China, was launched in 2015 to assess how America's strategy toward China has demonstrated both strengths and weaknesses, how China has changed over the last four decades, and how American policy can adapt to current circumstances. The Task Force's report was widely covered in leading global media outlets, and shared with relevant government officials. Given China's increasing global importance and reach, the Task Force will stay intact to provide insights on U.S.-China policy for the U.S. administration and Congress, and to foster public discussion about the U.S.-China relationship through events and media engagement.

---

### **Aspen Institute, Inc., Washington, DC**

---

For Congressional Education Seminars. 12 Months, \$600,000

---

The Aspen Institute Congressional Program (Congressional Program) provides lawmakers a deeper understanding and background on a range of international topics. It instills trust by engaging members of both parties and houses of Congress, allowing them to explore issues in neutral settings. Through open participation, they become better acquainted with their congressional colleagues. As a follow-up to a spring 2016 meeting that involved Russian, German, and U.S. legislators, the Congressional Program will foster an exchange of ideas on mutual policy challenges between members of Congress and the Russian Duma.



---

**Atlantic Council of the United States, Inc.,**  
Washington, DC

---

For a project on cyber, space, missile defense developments, and strategic stability. 18 Months, \$250,000

---

Prevailing wisdom is that new technologies create nuclear risk when they create first-strike incentives; this project explores an alternative view that new technologies may be destabilizing when they narrow the gap between incumbent and revisionist powers. The project will convene workshops and construct an index of the international balance of power on several key technologies (cyber, missile defense, and space), then use strategic foresight methods to understand how these trends may affect the future distribution of power. The project seeks concrete recommendations to policymakers about tools they could employ (from arms control and export control regimes to foreign military assistance and targeted technology transfers) to enhance nuclear stability.

---

**Australian National University, Canberra,**  
Australia

---

For a project on new technologies, new risks, and sea-launched nuclear weapons. 24 Months, \$450,000

---

Prevailing wisdom holds that of all nuclear weapons platforms, submarines provide the greatest stability as a stealthy, survivable deterrent. Today, advances in networked sensors, data processing, machine learning, and undersea autonomous vehicles may start to call this assumption into question. Through this project, Australia National University (ANU) will assess technological developments to better understand whether increased ocean transparency might affect crisis stability or trigger a new arms race. ANU will focus on the Asia Pacific region and the implications of these changes for the United States, China, Russia, India, Pakistan, and North Korea.

---

**Bulletin of the Atomic Scientists, Chicago, IL**

---

For general support. 24 Months, \$540,000

---

Concerns about nuclear weapons grow with the risks of nuclear proliferation and other challenges to international peace and security. These issues call for greater public attention and the need for expert analysis and factual information produced by trusted sources. Since its establishment in 1945, and using its iconic Doomsday Clock to draw attention to its mission, the Bulletin of the Atomic Scientists (the Bulletin) has continued to provide assessments to inform the public and policymakers about the dangers posed by nuclear weapons, climate change, and emerging technologies and diseases. In the coming years and with support from the Corporation, the Bulletin will develop new platforms and vehicles for engaging and motivating new audiences.

---

**Carnegie Endowment for International Peace,**  
Washington, DC

---

For a project on political Islam and changing forms of sociopolitical activism in Arab countries. 24 Months, \$750,000

---

This renewal is recommended after staff evaluation of the extensive activities successfully implemented in the previous grant. In addition, staff examined the new leadership and affiliated experts in place at Carnegie Middle East Center (CMEC), which remains the top-rated think tank in the Arab region. Carnegie Endowment for International Peace and CMEC will study how Islamist and other political movements in North Africa and the Levant are changing — in terms of ideology, practices, and degree of popular support — following the political openings of 2011. This project will identify trends that indicate the political and economic trajectories of the region and facilitate stakeholder dialogue and policy development on particular issue areas.

---

## **Carnegie Endowment for International Peace,** Washington, DC

---

For a project on cyber threats to nuclear command and control systems. 24 Months, \$450,000

---

Concerns grow that the threat of cyber attacks on nuclear command and control systems could be extremely destabilizing and increase the risk that nuclear weapons would be unleashed inadvertently or precipitously in an escalating conflict. Cyber threats could also lead to changes in nuclear force postures and operational practices that would exacerbate arms racing and crisis instability. This project will focus on the U.S.-China relationship, which has suffered from the absence of regular military and civilian official dialogues. Through this project, the Carnegie Endowment for International Peace will enlist relevant officials and experts from the United States, China, the United Kingdom, and Israel in a joint effort to share perspectives on these risks, augment mutual understanding, and explore possible technical and policy innovations to reduce risks.

---

## **Center for Arms Control and Non-Proliferation,** Washington, DC

---

For a project on enhancing civil society collaboration post-Nuclear Security Summit. 24 Months, \$247,000

---

Although the Nuclear Security Summit process has come to a close, civil society engagement remains important to closing gaps in the international nuclear security system. The Fissile Materials Working Group (FMWG) is a global network of civil society groups dedicated to minimizing the threat from weapons-usable nuclear materials. FMWG prioritizes policy goals, brings together experts across disciplines, and taps into the outreach potential of its international network. Through this grant, FMWG will continue to leverage its coalition of 80 member organizations to influence policy in the United States and globally. Priority areas include improving cybersecurity of nuclear facilities, minimizing highly enriched uranium, and preventing further accumulation of plutonium. FMWG will increase its focus on Congressional leaders and staff, and continuously engage executive branch officials, media, and the public.

---

---

## **Center for Policy Studies in Russia,** Monterey, CA

---

For strengthening U.S.-Russian nuclear security. 24 Months, \$450,000

---

Despite strained strategic interaction between Russia and the United States, there is an urgent need to establish a new U.S.-Russian dialogue on nuclear issues, reflect on the successes and failures of previous instances of cooperation in the field, address emerging nuclear threats, and prevent nuclear escalation. The Center for Policy Studies in Russia will implement a U.S.-Russia Track 1.5 working group to study the erosion of strategic stability, consequences of nuclear modernization, and lack of bilateral cooperation. It will publish the group's recommendations and involve young professionals in the meetings and research work.

---

---

## **Center for Public Integrity,** Washington, DC

---

For deepening public understanding of nuclear issues. 24 Months, \$400,000

---

This grant allows the Center for Public Integrity (the Center), a Pulitzer prize-winning investigative newsroom, to conduct a two-year probe of advanced military technologies and activities with the aim of publishing a series of attention-getting, revelatory articles in conjunction with major media partners. The U.S. and other militaries are developing advanced technologies that could undermine nuclear stability and create underappreciated risks. The Center's articles will shine a bright light on what governments are doing, why they are doing it, and how they are doing it. It will provide authoritative new information of high value to analysts and policy advocates, and encourage wider debate and discussion of government programs.

---

---

### **Center for Strategic and Budgetary Assessments, Washington, DC**

---

For a project on hypersonic missiles and strategic stability. 24 Months, \$250,000

---

The Center for Strategic and Budgetary Analysis (CSBA) has done extensive work on how evolving technologies have led to and resolved periods of nuclear instability. This project will focus on advances in hypersonic weapons in Russia, China, and the United States, and how they may affect nuclear stability. Due to their short time of flight, maneuverability, and target ambiguity, hypersonic missiles may create new challenges to strategic stability. CSBA will use scenario-based workshops and wargaming methodology to understand how these capabilities could challenge existing assumptions about nuclear operations.

---

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

---

For the China Power project. 24 Months, \$450,000

---

The Center for Strategic and International Studies seeks renewal support for two China-related projects. The first aggregates and elucidates data on Chinese power across five broad categories: economic, military, “soft power,” technological advancement, and social stability. Launched with Corporation support, this award-winning project deciphers the complexity of these issues via the interactive website, ChinaPower, drawing on information from multiple sources to better inform the public discourse over the consequences of China’s rise. The second is a Track II/1.5 project bringing together American and Chinese experts and officials for frank, constructive, dialogue on issues related to the global economic order. It seeks to build mutual trust, enhance communication, identify emerging issues, and find opportunities for enhancing U.S.-China cooperation on a range of economic issues relevant to both countries and the world.

---

---

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

---

For U.S.-China dialogue on the global economic order. 24 Months, \$350,000

---

The Center for Strategic and International Studies seeks renewal support for two China-related projects. The first aggregates and elucidates data on Chinese power across five broad categories: economic, military, “soft power,” technological advancement, and social stability. Launched with Corporation support, this award-winning project deciphers the complexity of these issues via the interactive website, ChinaPower, drawing on information from multiple sources to better inform the public discourse over the consequences of China’s rise. The second is a Track II/1.5 project bringing together American and Chinese experts and officials for frank, constructive, dialogue on issues related to the global economic order. It seeks to build mutual trust, enhance communication, identify emerging issues, and find opportunities for enhancing U.S.-China cooperation on a range of economic issues relevant to both countries and the world.

---

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

---

For a project on security challenges in Russia and Eurasia and U.S.-Russia relations. 24 Months, \$500,000

---

The importance of U.S. relations with Russia has come into sharp focus with the 2016 U.S. presidential elections. The Russia-Eurasia Program of the Center for Strategic and International Studies has long been engaged in providing analytical assessments on Russia and U.S. policy toward Russia, and in promoting interactions between the U.S. and Russian expert communities. With a focus on mitigating risks and exploring shared objectives, the program will continue a set of policy-relevant research, outreach, publications, visiting appointments, and working group meetings. The program’s ultimate goal is to help improve the U.S. understanding of Russia, as well as the Russian understanding of the United States.

---

---

**Center for Strategic and International Studies, Inc., Washington, DC**

---

For a project with Henry L. Stimson Center on South Asian Nuclear Transparency. 24 Months, \$500,000

---

While the 2010 Nuclear Security Summit called for states to “secure, account for, and consolidate” civilian plutonium and highly enriched uranium stockpiles, there has been limited progress in South Asia. Through this project, the Center for Strategic and International Studies, in partnership with the Henry L. Stimson Center, will address India’s and Pakistan’s lack of reporting on their rapidly growing fissile material stockpiles. India and Pakistan face bilateral tensions and significant challenges from terrorist organizations. This project will leverage an existing mechanism, INFCIRC/549, to improve transparency on civilian plutonium and highly enriched uranium.

---

---

**Center for Strategic and International Studies, Inc., Washington, DC**

---

For a project on the impact of emerging technologies on nuclear crises. 24 Months, \$402,000

---

Situational awareness — especially the ability to discern attacks from false alarms — is fundamental to crises management. Unmanned vehicles, cyber surveillance, networked sensors, and machine learning are transforming the battlespace and can enhance situational awareness. However, each of these systems has its own inherent vulnerabilities. This project will bring together senior and next-generation experts through the Project on Nuclear Issues (PONI) to examine how advances in platforms, sensing, and networks will affect strategic situational awareness during crises. The study will first assess how these technologies are likely to shape nuclear decision making and then recommend steps for managing risks.

---

---

**CNA Corporation, Arlington, VA**

---

For a project to promote new research and build a community of experts on the Russian military. 24 Months, \$500,000

---

The U.S. understanding of Russian military strategy, capabilities, and intentions has declined following the end of the Cold War. The need for such knowledge has become acutely apparent as the United States and Russia have reentered a period of adversarial relations. The growing risks of U.S.-Russian military tensions and confrontations calls for in-depth understanding, assessments, and interpretations of the Russia military. It also calls for developing contacts between the U.S. and Russian military analytical communities within the realm of possibilities in the political climate of the two countries. The Center for Naval Analyses intends to strengthen the field of Russian military studies in the United States through policy-relevant research, outreach, publications, and working group meetings.

---

---

**Council on Foreign Relations, Inc., New York, NY**

---

For a project on managing global disorder. 24 Months, \$600,000

---

Building on previously Corporation-funded work, the Council on Foreign Relations’ Center for Preventive Action (CPA) will launch a new Project on Managing Global Disorder. The project will focus on two areas: First, the project will explore how the major powers — with an initial focus on the United States, Russia, China, and the European Union — perceive current threats to world order, where they agree and disagree on matters of policy prescription, and what they can do individually and cooperatively to address these challenges. Second, the project will strengthen the CPA’s complementary public outreach work through its highly regarded Preventive Priorities Survey, Global Conflict Tracker, and “Flashpoints” roundtable series on potential or ongoing crises.

---

---

**EastWest Institute, New York, NY**

---

For a U.S.-Russia Joint Working Group on Counterterrorism in Afghanistan. 24 Months, \$500,000

---

Two of the most problematic casualties of tense relations between Russia and the United States are engagement on terrorism, including in Afghanistan, and on Afghanistan more broadly. A project of the EastWest Institute (EWI) seeks to help address the situation by establishing a U.S.-Russia Joint Working Group on Counterterrorism in Afghanistan. The project will create a conduit for sustained engagement between the two countries, aiming at identifying critical challenges and possible approaches to them. The project will build on EWI's earlier U.S.-Russia Joint Working Group on Afghan Narco-Trafficking, which brought together well-credentialed U.S. and Russian experts to assess threats and propose solutions. EWI will use the previous template as a model to produce a high-quality threat assessment, with analysis and recommendations aimed at policy officials in both countries.

---

**European Leadership Network, London, United Kingdom**

---

For a project on Russia and the West. 24 Months, \$600,000

---

Relations between Russia and the West are important, but difficult. A project of the European Leadership Network (ELN) has been working to help mitigate the challenges to the relationship by bringing a European perspective to foreign and security policy issues. Building on a previous Corporation-supported project, ELN will continue to develop practical and sustainable recommendations for reducing nuclear risks and work with partners in Europe, Russia, and the United States to advocate policy steps to help manage the Russia-Europe-U.S. security triangle. With its high-level leadership, ELN has the capacity to formulate inclusive ideas for Euro-Atlantic stability and prosperity, and a powerful voice with which to promote those ideas. ELN's products are widely disseminated in print and online.

---

**George Mason University, Fairfax, VA**

---

For enhancing and promoting scholarship on and in the Arab region. 24 Months, \$600,000

---

George Mason University (GMU) is devoted to raising the profile and increasing the capacity of academics in the Arab region. Working with regional and international partners, the project will expand its work increasing the quality, quantity, and accessibility of locally produced knowledge, and build networks and capacity. Shifting toward an increased emphasis on short-format policy documents, GMU aims to enhance the relationship between social science scholarship, legal scholarship, and the policy community, boosting citizen empowerment in the Arab world by creating connections between them. The project will convene workshops and conferences in the Arab region, allow scholars to present their research to the public, and place research in reputable academic journals and innovative online publishing platforms. They will increase efforts to raise the visibility of individual social scientists and their work.

---

**George Washington University, Washington, DC**

---

For a project on building bipartisan consensus on managing nuclear operations in the 21st century. 24 Months, \$450,000

---

As part of its mission, the Elliot School of The George Washington University sponsors scholarship that advances an understanding of international problems and educates the next generation of national and international leaders. Over the next two years, support to the Elliot School will help it continue to solidify its reputation as the foremost place to develop knowledge needed for the study and conduct of policy. Three specific projects of the Elliot School are recommended: the Program on New Approaches to Research and Security in Eurasia, an international network of scholars; a research project to analyze current and future challenges of deterrence and escalation control between the United States and major powers; and support to continue efforts to encourage bipartisan consensus on a challenging nuclear security agenda.

---

## George Washington University, Washington, DC

---

For research on deterring and controlling escalation of major power conflicts. 24 Months, \$400,000

---

As part of its mission, the Elliot School of The George Washington University sponsors scholarship, training, and international linkages that advance an understanding of international problems and strengthens the capacity of the next generation of national and international leaders. Over the next two years and with support from the Corporation, the Elliot School will continue three interrelated projects: the Program on New Approaches to Research and Security in Eurasia, an international network of scholars from the United States, Russia, and other countries in Eurasia; a research project at the Institute for Security and Conflict Studies to analyze current and future challenges of deterrence and escalation control between the United States and major powers; and a policy-oriented working group that encourages bipartisan consensus on a challenging nuclear security agenda.

---

## George Washington University, Washington, DC

---

For the Program on New Approaches to Research and Security in Eurasia. 24 Months, \$800,000

---

As part of its mission, the Elliot School of The George Washington University sponsors scholarship, training, and international linkages that advance an understanding of international problems and strengthens the capacity of the next generation of national and international leaders. Over the next two years and with support from the Corporation, the Elliot School will continue three interrelated projects: the Program on New Approaches to Research and Security in Eurasia, an international network of scholars from the United States, Russia, and other countries in Eurasia; a research project at the Institute for Security and Conflict Studies to analyze current and future challenges of deterrence and escalation control between the United States and major powers; and a policy-oriented working group that encourages bipartisan consensus on a challenging nuclear security agenda.

---

## George Washington University, Washington, DC

---

For the Project on Middle East Political Science. 24 Months, \$750,000

---

The Project on Middle East Political Science (POMEPS) is increasing the public impact and policy relevance of political science specialists on the Middle East. POMEPS responds to intellectual and policy challenges of the Middle East, which have grown more urgent with the proliferation of failed states, struggling popular movements, and unresolved governance issues. Having grown significantly since its launch in 2010 with Corporation support, POMEPS has developed a distinctive model combining a network of junior and senior scholars, events and workshops, career development activities, and successful publication platforms. With renewed support, it will expand work with early-career political scientists inside the region.

---

## Georgetown University, Washington, DC

---

For strengthening graduate training and research in Russian and Eurasian Studies. 24 Months, \$830,000

---

The field of Eurasian and East European studies has seen a steady decline in federal funding and scholarly interest since the early 1990s. As a result, the ranks of Russian analysts and speakers have fallen to levels that could take years to rebuild. Training at U.S. universities is needed to build up the national expertise on the region. The Center for Eurasian, Russian and East European Studies (CERES) in Georgetown University's Walsh School of Foreign Service houses one of the nation's preeminent training and research programs on Russia and Eurasia. With renewed Corporation support, CERES will engage in a host of activities, including policy-relevant research, training, and public outreach to improve the U.S. understanding of the region.

---

## Georgia Tech Research Corporation, Atlanta, GA

---

For a project to broaden understanding of Russia's foreign policy. 24 Months, \$399,300

---

Understanding what drives Russia's foreign policy and how it is pursued through the use of diplomacy, coercion, and force is critical to developing sound and effective U.S. policies toward Russia. The proposed project will attempt to analyze general trends in motivation, rhetoric, and behavior (principles, strategy, action) associated with Russia's approach to exercising international power and influence across time, domains (military, information, energy, international institutions/governance), and regions (the United States, European Union, Ukraine, and the Middle East).

---

## Henry L. Stimson Center, Washington, DC

---

For analysis and dissemination on critical global threats. 24 Months, \$800,000

---

Established in 1989 with funding from the Corporation, the Henry L. Stimson Center (Stimson) is a nonpartisan policy research center working to help solve some of the world's most significant threats to security and prosperity by taking pragmatic steps. Moving forward, Stimson envisions the development of a new approach to problem solving, and one that deliberately will seek to create a safe space for conversation, forge uncommon alliances across atypical partners, build upon shared interests, and help solve grand global challenges. With Corporation funding, it will begin piloting this new approach in the field of nuclear security, both globally and specifically on the Asian subcontinent, and in better understanding China's role in these and other interconnected spaces.

---

## Institute for State Effectiveness, Washington, DC

---

For U.S-China dialogues on regional connectivity and infrastructure. 24 Months, \$340,200

---

The Silk Road — the ancient network of trade routes through Eurasia and the Middle East connecting east and west — has a rich history of facilitating prosperity and cultural exchange. More than a commercial network, it was made possible by a complex web of rules, agreements, institutions, and relationships. Some 40 countries lie along this land and maritime route, accounting for nearly seventy percent of the world's population, fifty-five percent of the world's GDP, and seventy-five percent of known energy reserves. Yet in many ways, the potential of the regional connectivity has remained largely untapped. The United States and China each has a vision for the development of this increased regional connectivity. The Institute for State Effectiveness will facilitate U.S.-China dialogues aimed at developing consensus on a set of common objectives, including increased connectivity and economic exchange.

---

## Johns Hopkins University, Washington, DC

---

For the Carnegie International Policy Scholars Consortium and Network. 24 Months, \$947,400

---

The failure of American higher education to prepare current and prospective policymakers to perform at a high-level, and the irrelevance of much academic research to real-world problems remain core challenges in the International Peace and Security Program's Bridging the Gap initiative. The proposed project will continue efforts to train better-prepared policymakers who can understand high-quality research and apply it in practice; and better academics who can prepare practitioners and conduct research they can use. During the next phase of this project, its institutional base — which manages a collaboration among five universities, about to expand to eight — will transition from Syracuse University to Johns Hopkins University's School of Advanced International Studies (SAIS) and its new Henry A. Kissinger Center for Global Affairs at Johns Hopkins-SAIS whose mission is closely aligned with this project.

---

### **Lebanese American University, New York, NY**

---

For a project on inclusive governance and gender policies. 24 Months, \$598,000

---

This collaborative project by teams of social scientists in the Arab region fosters regional research networks advancing gender equity in family laws and the inclusion of communities within the context of a pluralistic state. Lebanese American University's Institute for Social Justice and Conflict Resolution and Institute for Women's Studies in the Arab World will build on current research and establish networks of experts in Egypt, Iraq, Morocco, and Lebanon to examine diverse national practices and instigate policy reforms in partnership with key stakeholders. The project will bring together policymakers, legal experts, and scholars from across the region to address these long-term challenges.

---

### **Library of Congress, Washington, DC**

---

For the Congressional Foreign Policy Research Program on Russia and China. 24 Months, \$400,000

---

At a time of changes and new challenges in the relationships between the United States and Russia and the United States and China, it is important that U.S. Congress members and staffers have an understanding of these countries that is grounded in culture and history, and draws on the most up-to-date information about their political, economic, and security developments. The Congressional Foreign Policy Research Program, a new project of the John W. Kluge Center of the Library of Congress, will bring senior scholars of Russia and China to Washington, D.C., as chairs for research and a series of targeted events. Beyond the events held at the library, the chairs will have opportunities to engage with policymakers and experts on these and other international issues.

---

---

### **Middlebury College, Middlebury, VT**

---

For the work of the Vienna Center for Disarmament and Non-Proliferation. 24 Months, \$1,000,000

---

The Vienna Center for Disarmament and Non-Proliferation (the Vienna Center) conducts research, education, outreach, public education, and networking activities to promote the development of independent expertise on disarmament and nonproliferation. Despite limited staff and budget, the Vienna Center has established itself as a unique platform for academic and research institutes to engage the International Atomic Energy Agency (IAEA) and other Vienna-based international organizations. The Vienna Center works closely with numerous Corporation grantees to host events and tailor outreach to Vienna audiences. By all accounts, it has become a venue to discuss innovative ideas in support of the IAEA mission.

---

---

### **National Committee on American Foreign Policy, New York, NY**

---

For international dialogues on the challenges posed by North Korea. 24 Months, \$400,000

---

The National Committee on American Foreign Policy (the National Committee) is one of the core grantees in the International Peace and Security program's North Korea Track II cluster, with a proven ability to convene high-level dialogue with American experts, officials and former officials; and scholars in the U.S., South Korea, China and Japan, as well as with their North Korean counterparts. While never a substitute for official diplomacy, Track II and Track 1.5 (involving officials) dialogues have played an important role in helping the U.S. coordinate its strategy in Northeast Asia with key allies and partners in the region, and keeping channels of communication open with North Korea, which currently has no diplomatic relations with the United States. With Corporation support, the National Committee's authoritative network has made an important contribution to the policy process, as current and former officials attest.

---



---

## **New America Foundation, Washington, DC**

---

For support of a United States-Iran Track II dialogue. 24 Months, \$250,000

---

A year on from the signing of the Joint Comprehensive Plan of Action (JCPOA or Iran deal), U.S.-Iran relations remain uneasy. In the absence of normalized diplomatic relations between the two countries, Track II negotiations remain one of few avenues for continued dialogue. New America Foundation's U.S.-Iran Track II Dialogue project has an established network of influential and knowledgeable American and Iranian participants who have developed relationships and trust that allow for nuanced and in-depth discussion about issues of mutual interest. During this project, in addition to continuing to convene dialogues and strengthen its network, New America aims to utilize the dialogues to continue to engage policymakers and experts on the implementation of the JCPOA, propose viable paths for the reestablishment of consistent, official U.S.-Iranian diplomatic relations, and engage participants on regional security issues.

---

## **New York University, New York, NY**

---

For a U.S-China dialogue on Afghanistan. 24 Months, \$381,700

---

The United States continues to face a daunting challenge in Afghanistan. Beyond political and military complications, the surrounding region is undergoing a dynamic transformation associated with China's ambitious and far-ranging Belt and Road Initiative. The Afghanistan Regional Project at New York University's Center on International Cooperation seeks renewal support for a series of unofficial, high-level U.S.-China dialogues on Afghanistan involving experts and policy officials from the United States and the Chinese Academy of Social Sciences. Continued funding from the Corporation will help generate concrete policy recommendations for consideration by the United States, China, and other stakeholders involved in Afghanistan.

---

## **Nonproliferation Policy Education Center, Arlington, VA**

---

For training and research on the role of intelligence in responding to proliferation. 24 Months, \$285,000

---

This grant supports two streams of work of the Nonproliferation Education Center (NPEC). First is NPEC's Nuclear Policy Education and Outreach Program, a forum where policymakers, military planners, academics, and analysts can engage with top experts on nuclear issues. NPEC will conduct a series of annual workshops to continue its development of a model curriculum on nuclear topics. Second, this grant allows NPEC to take its first steps on a project focused on tracking emerging Asian nuclear weapons doctrines. This project will assess potential changes within the nuclear weapons doctrines of India and China.

---

## **Nudge Lebanon, Beirut, Lebanon**

---

For a behavioral science consumer-citizen lab. 24 Months, \$500,000

---

Behavioral science is a critical element in advancing practical problem solving by Arab region social scientists. In dozens of countries, behavioral science applications have demonstrated success in identifying and addressing gaps in governance and service provision. The Arab region's first non-governmental behavioral science entity has just been chartered in Lebanon, by a leading economist. This new entity, Nudge Lebanon, has a "mandate to improve governance through the participation of the governed." With Corporation support, it will create the first Arab Consumer-Citizen Lab, where public policy issues will be identified and solutions will be tested. In fields ranging from municipal services to education, Consumer-Citizen Lab will facilitate both practical civic engagement and the adoption of behavioral designs.

---

**Partnership for a Secure America, Inc.,**  
Washington, DC

---

For the Congressional Partnership Program to educate congressional staffers. 24 Months, \$500,000

---

The Partnership for a Secure America (PSA) was founded by Lee Hamilton and Warren Rudman in an effort to help diminish the partisan gridlock that prevents Congress from doing its job. PSA's Congressional Partnership Program helps senior congressional staffers build the skills, knowledge, and relationships needed for productive bipartisan action. The program creates opportunities for staffers from across the political spectrum to discuss important foreign policy and national security questions, develop consensus building skills, and participate in an alumni network that remains dedicated to cooperative action across party lines. PSA will organize events for staffers with policymakers, former officials, policy analysts, journalists, and experts. It will also provide travel opportunities to expand the staffers' perspectives.

---

---

**Partnership for Global Security, Washington, DC**

---

For support of the Nuclear Governance Group. 18 Months, \$250,000

---

The Partnership for Global Security (PGS) is a recognized international leader and innovator in the nuclear and transnational security policy area. It has also been a player in the Nuclear Security Summit (NSS) process over the past eight years. With continued support from the Corporation, PGS will engage with both governments and industry to sustain the NSS momentum and focus attention on the risks of nuclear security. Leveraging its existing relationship with the Nuclear Energy Institute, PGS will convene an international and interdisciplinary Nuclear Governance Group to identify opportunities for more effective partnerships between nuclear industry, governments, and international organizations, which are essential to reducing the risks of global nuclear proliferation.

---

---

**Princeton University, Princeton, NJ**

---

For support of the China and the World program. 36 Months, \$687,900

---

There is growing demand in universities, government, and the business sector for reliable analysis of China's role in global and regional economic, social, and security affairs. Without a sound understanding of China, it is impossible to adequately analyze the challenges a rising China presents or to assess what opportunities for cooperation and collaboration may be possible. How China manages its great transformation and grapples with international and domestic issues is of both scholarly and policy importance. The major goal of China and the World program at Princeton University's Woodrow Wilson School of Public and International Affairs is to train and mentor the upcoming generation of scholars who straddle the fields of international relations and China studies, and who will go on to teach the next generation of experts in the United States and other countries about China's relations with the rest of the world — a need not being met by existing Ph.D. programs.

---

---

**RAND Corporation, Santa Monica, CA**

---

For workshops and seminars on technological change and nuclear risk. 24 Months, \$227,000

---

New weapons systems, driven by technological advances, have the potential to undermine strategic stability and increase nuclear risk. This project of the RAND Corporation (RAND) will seek to strengthen the nascent community of nongovernmental experts focused on these challenges. Through workshops and speaker events, RAND will help distribute relevant research and tools and facilitate new channels for engaging policymakers. In addition to meetings to connect researchers with one another and with defense and diplomatic practitioners in Washington, D.C., RAND will also conduct a two-day intensive "boot camp" for graduate students and junior scholars to teach analytical tools and strengthen the field. Finally, RAND will hold panel discussions targeted at a defense policy audience. The overarching goal is to foster discussion of new technologies and stability among scholars, analysts, and policy practitioners.

---

---

**Royal Institute of International Affairs,**  
London, United Kingdom

---

For analysis and dissemination on the rise and impact of non-state armed groups in the Arab region. 24 Months, \$650,000

---

A renewal is recommended to build upon Chatham House's previous work on the regional implications of the Syrian crisis. To complement this work, Chatham House will focus its activity on developments within Syria in partnership with local researchers. The project will create a consortium of region-based researchers and Europe-based counterparts to present analysis of the evolving relationships between armed groups, civilian communities, and state and non-state institutions in Syria. This international project will bring cutting-edge policy analysis from Arab region scholars to high-level policymakers, and international nongovernmental stakeholders. Research will also investigate the aspirations of armed groups to become governance providers.

---

---

**Royal United Services Institute for Defence and Security Studies,** London, United Kingdom

---

For a project on the strategic implications of advanced conventional weapons in non-nuclear-weapons states. 24 Months, \$430,000

---

Emerging technologies are creating new "strategic" capabilities among non-nuclear states, including among American allies or partners who feel threatened by nuclear forces in Russia, China, or North Korea. These states, long reliant upon U.S. extended nuclear deterrence and ballistic missile defenses, are now integrating advances in automation, surveillance, data integration, and material sciences into precision strike capabilities, such as South Korea's integrated "Kill Chain" system designed to counter North Korea's nuclear missiles and command and control. This project represents one of the first efforts to understand these developments and their implications for nuclear stability and alliance management.

---

---

**Social Science Research Council,** Brooklyn, NY

---

For a project to help develop cooperative solutions to problems involving security on the Korean peninsula and in northeast Asia. 24 Months, \$400,000

---

North Korea's nuclear and other weapons programs pose grave challenges to the global nonproliferation regime and the peace and security of Northeast Asia. Negotiation and engagement are essential to addressing these challenges. In the absence of government-to-government talks, the Northeast Asia Cooperative Security Project engages in Track II talks; unofficial contacts with nonofficials, former officials, and officials acting in their unofficial capacity from North Korea and the United States, as well as from South Korea, Japan, China, and Russia. The meetings aim to explore ways to resume and sustain formal negotiations and to resolve nuclear, missile, and other security issues likely to arise in those negotiations.

---

---

**Stevens Institute of Technology,** Hoboken, NJ

---

For a project on Reinventing Civil Defense: Returning Nuclear Security to Civil Society. 24 Months, \$500,000

---

While any use of nuclear weapons would have dramatic global consequences, American attitudes toward nuclear risk reveal little urgency or understanding. Through this grant, Stevens Institute of Technology (Stevens) will seek to identify new ways to communicate about nuclear risk that have greater potential to resonate with target audiences. While building on the prior history of civil defense, Stevens will investigate alternative forms of engagement: art, new media, and interactive digital technologies. The ultimate goal is to identify a new approach to effective, nonpartisan, level-headed nuclear risk communication for the 21st century.

---

---

## **Stockholm International Peace Research Institute, Solna, Sweden**

---

For a project on the impact of the Ukraine conflict on cooperation in the Black Sea region to combat nuclear smuggling of fissile materials. 15 Months, \$308,000

---

Russian and European cooperation on securing nuclear materials has been critical to preventing nuclear terrorism, but is under great strain because of the situation in Ukraine. The conflict there has greatly complicated regional efforts to prevent the spread of nuclear materials. With Corporation support, the Stockholm International Peace Research Institute (SIPRI) will study the impact of the conflict in Eastern Ukraine on illicit trafficking of nuclear materials in the region. Working with local partners, SIPRI will assess how developments have affected existing regional nuclear security mechanisms and what can be done to minimize risks. This work will help regional actors adapt their efforts to combat illicit trafficking and help outside partners, including funders, determine whether additional resources are needed to combat the threat.

---

## **Stockholm International Peace Research Institute (SIPRI), Solna, Sweden**

---

For a project on machine learning, autonomy, and strategic stability. 24 Months, \$400,000

---

Machine learning and autonomy will lead to improvements in almost all dimensions of warfare, including missile defense, electronic warfare, and cyber warfare. Yet, there has been little analysis of how the continued integration of these capabilities into nuclear operations will affect strategic stability. The Stockholm International Peace Research Institute will examine the extent to which machine learning and autonomy will be incorporated into future military modernization in the nuclear-armed states, and how this might affect nuclear risk. The project will leverage its extensive network of international and cross-disciplinary experts and will seek to develop recommendations for proactive crisis management.

---

---

## **Truman Center for National Policy (formerly Center for National Policy), Washington, DC**

---

For strengthening expertise on national security and U.S. foreign policy. 24 Months, \$500,000

---

Truman Center for National Policy (Truman Center) is a leadership development organization that provides training and networking opportunities for emerging national security experts. With previous Corporation support, Truman Center has built its connections with congressional and administration staff, and helped its fellows find positions at research institutions and in government. Through this renewal, Truman Center will continue recruiting and training new members, connecting its members and alumni to policy officials, and increasing its research and outreach programs.

---

---

## **United Nations Economic and Social Commission for Western Asia, Beirut, Lebanon**

---

For Phase II of the National Agenda for the Future of Syria Program. 12 Months, \$350,000

---

The escalation of the Syrian crisis over the past five years has disintegrated national unity and the Syrian state. The United Nations Economic and Social Commission for Western Asia's (UNESCWA) National Agenda for the Future of Syria Program is a multiyear technical dialogue on the transition from local wartime governing councils to wider governance structures in Syria. Working with over one hundred Syrian social scientists and experts, mostly in diaspora, UNESCWA is working to build post-conflict governance and economic structures, moving from local to wider levels within Syrian political structures. The process entails substantive discussions of a negotiated 500-page agenda document on the future course of the country, and its implementation toward a sustainable, decentralized political solution.

---

---

**United Nations Institute for Disarmament Research, Geneva, Switzerland**

---

For a project on new approaches to transparency in nuclear security and disarmament. 24 Months, \$245,000

---

This project will draw upon recent advances in verification technologies to improve nuclear material security. New verification techniques have allowed for “transparency without intrusiveness,” but these approaches have not yet been applied to fissile material security and the prevention of nuclear terrorism. The United Nations Institute for Disarmament Research will demonstrate practical ways to apply these new methods to improve security of materials and facilities, particularly in the military domain. Non-intrusive tools could allow for some sharing of information without compromising security or state secrets, allowing nuclear weapon states to be more open about their fissile material stocks. The project could demonstrate it is possible to achieve a considerable degree of openness and cooperation even when dealing with information related to military fissile materials or nuclear weapons.

---

---

**University of California, Berkeley, Berkeley, CA**

---

For a project on the implications of nuclear weapons with alternate effects regimes or low yields on global nuclear stability. 24 Months, \$500,000

---

In the future, it may be possible for states to construct nuclear weapons with alternative effects regimes that are optimized for specific military purposes. Such weapons could lower the nuclear threshold by providing new military applications or by reducing negative repercussions of nuclear use. This project, a collaboration between the University of California, Berkeley and Sandia National Laboratory, will assess these potential developments through simulations and analysis. The project will engage young and experienced scholars as well as decision makers, and will create a data set to test existing and new theories.

---

---

**University of California, San Diego, La Jolla, CA**

---

For U.S.-China collaborative research on the domestic roots of Chinese foreign policy. 36 Months, \$600,000

---

China’s domestic, regional, and global conduct will be among the key determinants of international peace and security in this century. Deepening U.S. understanding of the sources of China’s behavior, including its evolving political system, is critical to managing China’s potential impact. The University of California, San Diego’s 21st Century China Program is among the leading research, training, and outreach programs focusing on China in the United States. It plans to continue and expand its activities, including by deepening its network of Chinese and American social scientists who study internal Chinese politics. The network and other program activities will emphasize data collection and data-driven collaborative, U.S.-China research projects, aimed at providing evidence-based and policy-relevant assessments of trends within China.

---

---

**University of Denver, Denver, CO**

---

For bridging the gap between the academy and policy world with a focus on inclusive peacebuilding. 24 Months, \$999,500

---

As a follow-on to a grant made under the Corporation’s “Rigor and Relevance” initiative aimed at the 22 U.S.-based members of the Association of Professional Schools of International Affairs, the University of Denver’s Josef Korbel School of International Studies seeks renewal grant support for research, education, policy, and public outreach that 1) explores the impacts of the inclusion of previously underrepresented groups — such as women, historically marginalized communities, indigenous groups, or youth — on violent and nonviolent processes and governance; and 2) connects with and makes actionable recommendations to a broad array of policy practitioners, in government, the private sector, and non-governmental communities. Although it is a core concept in the 2015 Sustainable Development Goals, as well as the 2016 revised United Nations peacebuilding architecture, inclusion remains both controversial and understudied.

---

---

**University of Maryland Foundation, Inc.,  
Adelphi, MD**

---

For training and research on nuclear and international security. 24 Months, \$500,000

---

As the central piece of U.S.-Russian relations, nuclear arms control has been largely dormant recently due to mistrust and antagonism. As the two countries hold the bulk of the global nuclear arsenal and continue their weapons modernization programs, better understanding of security objectives is critical. A project at the Center for Security Studies at the University of Maryland, College Park, has been working in a partnership with the Russian Academy of Sciences' Institute for the USA and Canada Studies to improve U.S.-Russian security understanding and relations. The project will continue analytical, training, and outreach efforts to manage shared risks associated with a wide range of dual-use technologies, including space and cybersecurity, and develop strategies to reduce political tensions among the United States, Europe, and Russia. An element of the grant will support U.S.-Russian student exchanges.

---

**University of Pennsylvania, Philadelphia, PA**

---

For a project on strategies for policy-relevant responses to emerging policy issues. 24 Months, \$498,000

---

The University of Pennsylvania's Perry World House — a new global policy research center advancing interdisciplinary research on the world's most urgent challenges — is designed to provide policymakers, academics, and others with rigorous, policy-relevant insights, packaged in accessible formats. By bringing together relevant academics with leaders from the policy world, nongovernmental community, industry, and the media, the proposed project will help academics increase the policy relevance of their work, frame their research outputs in a way that is accessible or actionable for policymakers, and encourage policymakers to elicit academic knowledge to aid their decision-making processes.

---

**University of Sydney, Sydney, NWS, Australia**

---

For the Project Q symposium on peace and security in a quantum age. 24 Months, \$400,000

---

This proposed renewal grant builds on an initial investment that can best be categorized as “over the horizon,” philanthropic venture capital. It involves continued support for a bold, interdisciplinary effort at the University of Sydney's Centre for International Security Studies to tease out the implications for international peace and security of new and poorly comprehended developments in the highly complex field of quantum mechanics. Harkening back to Albert Einstein's admonition at the beginning of the atomic age that everything has changed “except our way of thinking,” this project will continue to bring together an eclectic mix of scientists, philosophers, diplomats, soldiers, scholars, writers, artists, and futurists to “explore the origins, elements, and outcomes of a quantum age.”

---

**Woodrow Wilson International Center for  
Scholars, Washington, DC**

---

For building and sustaining a foundation for productive U.S.-Russia engagement. 24 Months, \$1,150,000

---

The relationship between the United States and Russia is important, but broken. The Kennan Institute (Kennan) sees a window of opportunity to normalize bilateral relations. Kennan has leveraged its experience in Ukraine and Russia to bring its top experts from the region to Washington to inform policymakers and the public. It has trained academics to reach students, officials, and media; and briefed policymakers and journalists through programs that feature resident academics and experts. Kennan also brings its talent to engaged citizens across the country. This new work will help academics convey data and analysis to those in government, and sustain understanding, cooperation, and exchange among intellectual and opinion leaders in the United States, Russia, and the region.

---

## Woodrow Wilson International Center for Scholars, Washington, DC

---

For the Woodrow Wilson Foreign Policy Fellowship Program for congressional staff education. 24 Months, \$600,000

---

As the United States Congress has the power to declare war, allocate funding for diplomatic missions and military actions, and advise the Executive Branch on foreign policies, Congressional understanding of complex international issues is essential. The Foreign Policy Fellowship Program of the Woodrow Wilson International Center for Scholars (the Center) helps to improve congressional staffers' knowledge of foreign policy. The Center also strives to build bipartisanship by bringing together Republican and Democratic legislative staffers. The Center's core activity is a six-week seminar that encourages fellows to debate key issues with some of the nation's leading foreign policy thinkers and practitioners, including from among the 150 resident scholars housed at the Center. With continued support from the Corporation, the Center will sustain and expand the program.

## PEACEBUILDING IN AFRICA

---

### Alliance for Peacebuilding, Washington, DC

---

For a consortium on evaluation and adaptive learning for peacebuilding. 24 Months, \$650,000

---

The Peacebuilding Evaluation Consortium (PEC) — composed of the Alliance for Peacebuilding, Mercy Corps, Search for Common Ground, and CDA Collaborative — proposes to build on six years of work aimed at increasing the ability of the peacebuilding field to demonstrate impact and effectiveness. During this follow-on phase, PEC will shift its focus from the development of rigorous monitoring and evaluation (M&E) resources to a strategy to ensure that these tools are embraced, tested, and endorsed by a wide range of peacebuilding program leaders — and not siloed with technical M&E experts. PEC will also analyze the emerging substantive results of evaluations to inform better

peacebuilding practices by working with NGOs, private foundations, intergovernmental organizations, bilateral donors, academics, and professional consulting firms to strengthen the uptake of peacebuilding M&E.

---

### George Mason University, Fairfax, VA

---

For developing alternative indicators to measure local perceptions of progress towards peacebuilding and statebuilding in Africa. 24 Months, \$300,000

---

Most peacebuilding indicators are based on aggregate data that bear little relation to the everyday life experiences of individuals and households in societies emerging from violent conflict. Building on its initial Corporation-supported work, the George Mason University's School for Conflict Analysis and Resolution's Everyday Peace Indicators (EPI) project aims to continue gathering better quality information, based on indicators chosen by communities themselves, and to feed this into policy processes. In partnership with the University of Manchester, the project will also work closely with on-site partners in South Africa, Uganda, and Colombia. In addition, the second phase of the project will identify the most effective channels for disseminating and distributing the data it collects, as well as investigate more closely how the EPI system can complement existing peacebuilding indices.

---

### King's College London, London, United Kingdom

---

For building a new generation of African peacebuilding scholars. 24 Months, \$1,996,300

---

The Corporation began supporting King's College London (King's) in July 2009 to offer master's degree fellowships to young African scholars of peace, security, and development. The vehicle through which fellows are identified and nurtured is the African Leadership Centre (ALC). ALC celebrated its tenth anniversary in 2016, and, through its various programs, has supported 103 students. More recently, a related doctoral program at King's produced its first graduate last year with additional doctoral students in the pipeline. The ALC is also the locus of a research agenda, which examines the nexus of peacebuilding and leadership, focusing in both practice and theme on next generation leaders. ALC's

alumni network connects African universities and policy bodies, opening organic linkages where high-quality field research can reach an interested policymaking audience.

---

### **RAND Corporation, Santa Monica, CA**

---

For a project examining the role of African-led peacebuilding missions. 18 Months, \$500,000

---

After the end of the Cold War, the United Nations (UN), the United States, and European countries conducted multiple peacebuilding missions in Africa. With partial support from the Corporation, these missions were chronicled in three RAND Corporation-authored volumes that provided a comprehensive review of these missions with one important exception — the increasing role of African countries and institutions in this field. Based heavily on the experiences of the 1990s, these volumes tended to be rather skeptical of early African-led efforts. However, in light of the developments during the last decade, a new volume to this important series is needed to allow for a fresh look at more recent African-led efforts, which have become more prevalent, more professional, and sometimes more successful, despite often operating in areas and under conditions that have discouraged intervention by the United States, Europe, and even the UN.

---

### **Social Science Research Council, Brooklyn, NY**

---

For the African Peacebuilding Network. 24 Months, \$2,460,000

---

Building on its previous Corporation-supported work, the African Peacebuilding Network (APN), based at the Social Science Research Council, will continue its support and dissemination of theoretically informed and empirically grounded African research on conflict-affected countries and neighboring regions on the continent. The APN responds to the critical need for policy-relevant research

on peacebuilding that is generated by, and reflects the knowledge of, locally based scholars working in Africa by supporting new research and analytical capacities; inserting evidence-based knowledge from Africa into regional and global debates and policies on peacebuilding, especially at the United Nations, African Union, and in Washington, D.C.; and facilitating the building of new networks among researchers, and between researchers and practitioners.

---

### **Social Science Research Council, Brooklyn, NY**

---

For a fellowship program to promote doctoral research and writing on peacebuilding by African social scientists. 24 Months, \$2,200,000

---

The Social Science Research Council's "Next Generation Social Sciences in Africa Fellowship Program" aims to increase the number of promising African university-based academics focusing on topics related to peacebuilding in Africa. The program provides competitively awarded fellowships for dissertation proposal development, dissertation research, and dissertation writing. Fellows must be based in universities in Ghana, Kenya, Nigeria, Tanzania, South Africa, or Uganda. The program also offers skill-building workshops and conference travel support, which contribute to expanding the fellows' regional and international scholarly networks. Since the program's inception in 2011, 150 early-career scholars have benefited from 187 fellowships, and 51 fellows have completed their doctoral degrees. This grant will support up to 88 additional fellowships.



# TRANSNATIONAL MOVEMENTS INITIATIVES

---

## Academic Research Institute in Iraq, Washington, DC

---

For social science education at Iraqi universities.  
24 Months, \$407,000

---

The Academic Research Institute in Iraq is a long-standing partner of Iraqi scholars and universities. Its new project addresses social science methods and training at major Iraqi universities. In cooperation with the Arab Council for the Social Sciences, the proposed project will develop undergraduate instruction in liberal arts, as well as interdisciplinary methods at university departments within Iraq. The project will include junior faculty seminars, video lecture modules, and meetings of university leaders and administrators.

---

## Friends of the British Council, USA, Washington, DC

---

For building the policymaking capacity of state and society in the Arab region. 24 Months, \$500,000

---

A team of experts from the Arab region are partnering with the British Council to improve social service design in the region. The project will entail new research on social policies in six countries, and collaboration with regional and multi-lateral bodies. The research and other activities will aim to advance academic research in areas relevant to social policy, while also mobilizing and connecting communities of experts and policymakers to advance markers of success in social policy design and implementation in the Arab region. Poverty alleviation is a priority action area.

---

## University of Minnesota, Minneapolis, MN

---

For establishing a research working group on economic vulnerability in the Arab region. 24 Months, \$498,000

---

The Arab region continues to face enormous political, economic, and social challenges. Countries such as Egypt and Tunisia have adopted policy responses that primarily benefit high-income elites, often at the expense of low-income sectors. The University of Minnesota (UMN) is a center of research on economic insecurity in the region, with a focus on improving policy responses. To simultaneously understand and address the Arab region's challenges, UMN will build economics research capacity, support collaborative research grounded in labor economics, and develop researchers' capacities to translate their work into effectively communicated, policy-relevant recommendations.

---

## University of North Carolina at Chapel Hill, Chapel Hill, NC

---

For the Arab Public Data Initiative. 24 Months, \$400,000

---

A leading obstacle identified in Arab social sciences is lack of data and data analysis capacity within the region. The University of North Carolina at Chapel Hill will launch the Arab Public Data Initiative, building partnerships among Arab and North American social scientists and library and information science professionals to train junior researchers and scholars in quantitative methods. The Initiative will address the problem of accessing data and applying quantitative methods in data analysis in the region. The project would also offer coordination support to some activities of libraries in the region.

## DISCRETIONARY GRANTS

---

### **American Council of Learned Societies,** New York, NY

---

24-month grant of \$50,000 for support of two conventions of the International Association for the Humanities

---

### **Association for Slavic, East European, and Eurasian Studies,** Pittsburgh, PA

---

24-month grant of \$50,000 for support of the annual convention of the Association for Slavic, East European, and Eurasian Studies

---

### **Association of African Universities,** Accra North, Ghana

---

9-month grant of \$50,000 for a conference of rectors, vice-chancellors, and presidents of African universities

---

### **Atlantic Council of the United States, Inc.,** Washington, DC

---

24-month grant of \$200,000 for the generation of policy-relevant and multipolar solutions to global challenges

---

### **Carnegie Endowment for International Peace,** Washington, DC

---

12-month grant of \$200,000 for a project to help shape U.S.-Russia long-term policy options

---

### **Carnegie Endowment for International Peace,** Washington, DC

---

6-month grant of \$70,000 for analysis of nuclear weapons policy options

---

### **Center for International Policy,** Washington, DC

---

24-month grant of \$200,000 for a project on U.S. security assistance to the Middle East and North Africa

---

### **Chicago Council on Global Affairs,** Chicago, IL

---

24-month grant of \$200,000 for a survey on U.S.-Russia attitudes toward each other

---

### **Duke University,** Durham, NC

---

24-month grant of \$200,000 for research and writing on Russia

---

### **Eurasia Group Foundation,** New York, NY

---

18-month grant of \$100,000 for a media series on U.S.-Russia relations

---

### **Fordham University,** Bronx, NY

---

18-month grant of \$200,000 for expert and policymaker meetings on state proxy strategies

---

### **Foreign Policy Research Institute,** Philadelphia, PA

---

18-month grant of \$190,000 as a one-time only grant for research on Russia's political economy

---

---

**George Mason University Foundation, Fairfax, VA**

---

9-month grant of \$50,700 for a convening of Track II practitioners

---

**George Washington University, Washington, DC**

---

24-month grant of \$100,000 for Johnson's Russia List

---

**George Washington University, Washington, DC**

---

12-month grant of \$200,000 for the Media and National Security Project

---

**Global Impact, Alexandria, VA**

---

9-month grant of \$50,000 for assessing, planning and helping to create an innovating International Atomic Energy Agency/Program of Action for Cancer Therapy fundraising initiative in the United States

---

**Hangricat, Glen Ridge, NJ**

---

4-month grant of \$198,500 for an interactive series on U.S.-Russia relations

---

**International Institute for Sustained Dialogue, Washington, DC**

---

24-month grant of \$200,000 for a project on U.S. perspectives toward Russia

---

---

**International School on Disarmament and Research on Conflicts, Rome, Italy**

---

24-month grant of \$120,000 for two advanced courses on the impact of new and emerging technologies on the nuclear risk

---

**Makerere University, Kampala, Uganda**

---

6-month grant of \$40,000 as a final grant for postgraduate training and research programs to advance scholarship and improve the retention of African academics

---

**Manhattanville College, Purchase, NY**

---

1-month grant of \$25,000 for a Global Student Leadership program alumni reunion conference

---

**Massachusetts Institute of Technology, Cambridge, MA**

---

24-month grant of \$200,000 for technical innovation in nonproliferation verification

---

**Maureen and Mike Mansfield Foundation, Washington, DC**

---

24-month grant of \$200,000 for a project to host forums on key issues in Northeast Asia region

---

**National Academy of Sciences, Washington, DC**

---

8-month grant of \$50,000 for a joint U.S.-Russian workshop on understanding violent extremism

---

---

**Ontario Confederation of University Faculty Associations, Toronto, Canada**

---

24-month grant of \$30,000 for Worldviews 2019 conference on the democratization of higher education and the media

---

---

**Peace Direct, Washington, DC**

---

12-month grant of \$50,000 as a one-time grant for a project on peace, conflict, and the media

---

---

**Regional Universities Forum for Capacity Building in Agriculture, Kampala, Uganda**

---

12-month grant of \$100,000 for organizing a series of convenings for African higher education leaders and policymakers on implementing plans for strengthening higher education in Africa

---

---

**ReThink Media, Berkeley, CA**

---

12-month grant of \$200,000 for mapping public and elite opinion on nuclear weapons issues

---

---

**The Graduate Center Foundation, New York, NY**

---

12-month grant of \$100,000 for core support to the Global Centre for the Responsibility to Protect

---

---

**Transparency International, London, United Kingdom**

---

18-month grant of \$174,000 for a project on the defense industry and U.S. foreign policy

---

---

**University of Pretoria, Hatfield, South Africa**

---

24-month grant of \$200,000 for research and a convening on educational delivery during campus crises

---

---

**University of Southern California, Los Angeles, CA**

---

24-month grant of \$152,000 for a project to connect scholars and practitioners of international relations

---

---

**Women in International Security, Washington, DC**

---

24-month grant of \$105,000 for a one-time grant to commemorate the 30th anniversary of Women in International Security

---

---

**Women Make Movies Inc., New York, NY**

---

11-month grant of \$50,000 for the making of the movie *the bomb*

---

---

**Woodrow Wilson International Center for Scholars, Washington, DC**

---

6-month grant of \$30,000 for the Kennan-ISKRAN Conference, "210th Anniversary of U.S.-Russian Diplomatic Relations"

---

---

**Yale University, New Haven, CT**

---

12-month grant of \$200,000 for a project on new directions in Russian studies

---

# National Program

## EDUCATION

---

### **2Revolutions, New Rochelle, NY**

---

For a project to build the capacity of district-, community-, and school-level stakeholders in one place to work in an integrated way to design and launch new learning models to solve local education challenges (as one of the five projects in the Corporation's Integration Design Consortium). 27 Months, \$1,000,000

---

While many stakeholders increasingly recognize the need to develop more innovative learning models and systems that prepare students with the full breadth of knowledge, skills and dispositions they will need to be successful, educators and communities often lack the capacity and readiness to engage in the complex work of transforming schools and systems. Fragmentation — in the form of the lack of a common vision or language, misaligned incentives, and the challenges of complex systems in flux — makes this work even more difficult. Founded in 2008, 2Revolutions is a national education design lab that supports schools, districts, and states in envisioning the “future of learning” that they want for their students, and then helping them rapidly design and test approaches to high-priority problems that catalyze the transformation of policy and practice towards that vision. With the support of this grant, 2Revolutions will support one community through this process, with a focus on working within an “integrative frame” that incentivizes integrative behaviors, reduces transaction costs, and democratizes the problem.

---

### **Achievement Network, Boston, MA**

---

For a project to improve instructional support tools and resources for coaches, teachers, and school leaders. 15 Months, \$1,000,000

---

Far too few teachers and school leaders have access to the professional learning they need to provide instruction that reflects the expectations of new, more rigorous standards. Without more and higher-quality professional learning opportunities for educators, the United States could lose out on the promise offered by rigorous expectations for all students. Through this project, the Achievement Network (ANet) seeks to improve the professional learning opportunities and coaching strategy available to teachers and school leaders in its 700 partner schools. ANet plans to develop and analyze the effectiveness of multi-session professional learning sequences (rather than one-off sessions) as well as develop and pilot online learning modules used in a “blended” approach to improve its in-person coaching with teachers and school leaders.

---

### **Alliance for Excellent Education, Washington, DC**

---

For general support. 36 Months, \$2,000,000

---

The Alliance for Excellent Education (Alliance) is a national, nonpartisan policy and advocacy organization that promotes high school transformation such that all secondary students, particularly those who are most at risk, graduate high school prepared for college and career. While the Alliance has historically operated in the national policy realm, it also provides state, local, and district-level policy and

implementation support. With current Corporation support, it has contributed to the adoption of federal policies that incorporate a broader definition of student success; assisted states in revising accountability systems and implementing high standards; and supported state and district leaders to introduce policies and practices that support deeper learning. Through this work, the Alliance has established itself as a hub for the sharing of best practices and for networking among practitioners. Building on the current grant, the Alliance proposes to simultaneously continue its policy work at the state and federal levels, while deepening its support to district leaders.

---

### **Asia Society, New York, NY**

---

As a final grant to support the creation and launch of a digital platform that will integrate support and knowledge sharing across Asia Society's school networks. 24 Months, \$500,000

---

Asia Society's Center for Global Education works to ensure that all youth, regardless of their background, have the competencies to prosper within a global economy, thrive amid diversity, and take on the world's intractable problems. This renewal grant will support the creation of a digital platform that will enable knowledge sharing across Asia Society's existing school networks, including two which the Corporation has previously supported: 1) the Global Cities Education Network, a learning community of school systems across Asia and North America; and 2) the International Studies Schools Network, a network of schools working to develop global competencies among their students. By combining digital learning opportunities with its face-to-face work with educators, Asia Society will expand its reach and connect learning within, across, and beyond its networks.

---

### **Aspen Institute, Inc., Washington, DC**

---

For core support of the Aspen Institute Education and Society Program. 15 Months, \$550,000

---

A confluence of factors make this a crucial inflection point in U.S. education: the significant shift toward more state autonomy and responsibility under the Every Student Succeeds Act; persistent and substantial achievement and opportunity gaps; and an increasingly politically divisive context. As education reform aims to improve student outcomes in this environment, there is a need for a clear focus on systems, integration, coherence, and whole-scale human capital improvement in order to avoid exacerbating the existing lack of coordination among programs, organizations, and systems. The Aspen Institute Education and Society Program aims to address this in part by creating systemic approaches to professional learning by (1) increasing the number of systems (districts, CMOs, and states) that have a clear vision, theory of action, and effective practices for building expertise among educators; (2) articulating a role for policy that advances high-quality, applied professional learning in schools; (3) forging an understanding of roles and responsibilities at all levels of education governance; and (4) establishing a clear relationship between high-quality, applied professional learning and curriculum and instructional materials. This grant is for general support for Aspen's 2017–2020 strategic plan.

---

### **Aspen Institute, Inc., Washington, DC**

---

For core support of the National Commission on Social, Emotional, and Academic Development. 12 Months, \$400,000

---

An extensive body of research shows that socio-emotional skills are essential for students to thrive in school, career, and life. While momentum for socio-emotional learning has been increasing, efforts to innovate and build knowledge in response have played out in isolation. Over the past year, in response to this challenge, the New Designs team has made a targeted set of programmatic investments to spur instructional innovation around socio-emotional development across a range of contexts and practices. The work of the National Commission on Social, Emotional, and Academic

Development (the Commission) complements those investments by providing a national framework for policy, practice, and research. With Corporation support, the Commission will establish a shared understanding of what integrated social, emotional, and academic development in K–12 education means, and lay the foundation for a community-driven movement among educators, families, out-of-school providers, and other stakeholders.

---

### **Aspen Institute, Inc., Washington, DC**

---

For the development, in partnership with Education First, of an Integration and Innovation Fellowship for State and District Leaders and the launch of a pilot with participants from three states (as one of the five projects in the Corporation’s Integration Design Consortium). 24 Months, \$1,775,000

Disconnected and sometimes dueling education reform initiatives cause inefficiency, confusion, alienation and lackluster results. This lack of integration occurs at the federal, state, district, and school level and within partner organizations, in part because (1) state education agencies (SEAs) and local education agencies (LEAs) lack the organizational capabilities, structures, and incentives for effective cross-agency integration and collaboration; (2) SEA and LEA leaders design and roll out multiple policies and programs without the early and often engagement of educators; and (3) SEA and LEA leaders fail to understand how adults learn and how to tap the right professional and social networks to reach all teachers and principals. The Aspen Education and Society Program at the Aspen Institute is partnering with Education First to design and launch a State and Local Integration and Innovation Fellowship to address this challenge. Fellows will learn how to remove systemic barriers to collaboration and integration and create new structures to replace them, and to design policies that engage and motivate educators and foster the adult learning necessary for integration to occur in the classroom. This grant supports fellowship design and the launch of a pilot cohort of teams from three states, with SEAs and LEAs participating.

---

### **Bellwether Education Partners, Washington, DC**

---

For the development of a project to eliminate silos at a state education agency to better serve students with disrupted education, and the creation of resources related to the use of human-centered design in policy development (as one of the five projects in the Corporation’s Integration Design Consortium). 12 Months, \$525,000

More than five million youth in the U.S. today experience education disruption related to traumatic life events such as incarceration, homelessness, frequent mobility, pregnancy, or severe mental health crises, and have some of the lowest educational outcomes of any student group. While they are served by multiple, overlapping systems, their needs are still not fully met, due in part to the deep silos that exist between systems of care in this country. Bellwether Education Partners aims to address this fragmentation in service provision by leveraging their capacity in policy analysis and strategic advising — and using human-centered design to inform policy recommendations — to lead a wholesale rethinking of the ways in which social service agencies interact with one another and with the children in their care. Their model includes the creation of a statewide agency for education transitions, streamlined data sharing, collection of appropriate data, and support for the culture shifts that embed coordination and communication across agencies. With the support of this grant, they will identify a pilot state in which to conduct needs assessment and implementation planning for this model, in addition to creating a human-centered design policy resource kit that can be shared with the field.

---

### **Biological Sciences Curriculum Study, Colorado Springs, CO**

---

For the development of tools and processes to select or adapt instructional materials to support the implementation of the Next Generation Science Standards and general support. 15 Months, \$1,000,000

The Next Generation Science Standards (NGSS) require an approach to science teaching and learning that is substantially more demanding than what is required by former science standards. Building on prior Corporation support, Biological Sciences Curriculum Study (BSCS) proposes to

carry out two areas of related work: 1) an iterative process of developing, testing, and disseminating models for increasing awareness and use of the Five Tools and Processes for Translating the NGSS into Classroom Instruction and Assessment (Five Tools) and 2) an iterative process to design, develop, and disseminate the Analyzing Instructional Materials Tools and Process for Next Generation Science Standards. Additionally, BSCS will design processes to help professional development leaders construct learning activities and engage teachers in using these tools.

---

### **Business Innovation Factory, Providence, RI**

---

For support of the implementation, learning agenda, creation of resources and storytelling and dissemination related to the Corporation's Integration Design Consortium. 27 Months, \$1,000,000

---

To effectively leverage the immense passion, wisdom, and resources invested in education reform efforts, the field must develop strategies that acknowledge and address that each of the important strands of work being undertaken are parts of the same systems and as such have significant interdependencies. Raising awareness of the need for this integration in the field, and catalyzing new ways of working that take these mindsets and practices into account, starts with helping the field develop greater sophistication around the questions related to this challenge. The Corporation's Integration Design Consortium, launched in 2016, aims to explore these questions through five place-based approaches to integrating different parts of the system. The Business Innovation Factory aims to amplify the impact of these five projects by ensuring the capture, analysis, and sharing of learnings related to the key questions that these projects are investigating. Through this support, they hope to catalyze and equip others in the field to take action around the challenge of integration.

---

### **Cambiar Education, New York, NY**

---

For the School Systems Leadership Fellowship program. 18 Months, \$500,000

---

The link between effective leadership and student success is clear: students achieve more in districts with better superintendents. The School Systems Leaders Fellowship (SSLF), previously a program of Teach for America and now an inaugural project at Cambiar Education (Cambiar), is poised to play a significant role leading the charge to strengthen system level leadership. SSLF's mission is to attract, develop, and support aspiring school systems leaders from diverse backgrounds to be the catalysts for transforming public education systems to ensure all students have access to excellent educational opportunities. The Fellowship helps participants develop the core skills — instructional, managerial, political, and strategic — necessary to be transformational systems leaders through a highly selective and rigorous leadership development program. Corporation funds will support Cambiar to implement and grow the SSLF, enabling the development of 40 additional aspiring system leaders in the 2017 and 2018 cohorts as well as ongoing career support to alumni serving students in school systems across the country.

---

### **Carnegie Foundation for the Advancement of Teaching, Stanford, CA**

---

As a final grant for core support for the national expansion of the community college pathways programs. 24 Months, \$1,000,000

---

Nearly 45 percent of the nation's undergraduate population is served by community colleges. Unfortunately, transfer and completion rates at these vital institutions are almost uniformly low, in part because so many students fail to earn required mathematics credit. In 2009, with significant support from the Corporation, the Carnegie Foundation for the Advancement of Teaching launched two programs entitled, Statway and Quantway. These programs have been designed to transform developmental mathematics in community colleges and enable significantly more students to achieve college completion and success by enabling students to fulfill their developmental math requirement and earn a college-level math credit in a single year.



---

## WestEd, Stanford, CA

---

For field-building to increase the use of improvement science at institutions of higher education, and a planning project to explore using improvement science in program evaluation. 12 Months, \$1,400,000

---

There remains a paucity of rich, deep, and meaningful opportunities for interaction and engagement between the postsecondary and K–12 sectors to prepare teachers and administrators to nimbly navigate and productively contribute to success in K–12 systems. Rather than developing the skills and capabilities for improvement that could be used to strengthen the systems they will work in, future educators get doses of theory and methods that are related to, but often decontextualized and decoupled from, practice. Now, led in large part by the Carnegie Foundation for the Advancement of Teaching (CFAT), there is increasing interest in the promise of improvement science principles, enacted through Networked Improvement Communities, to meet the need for a more productive relationship between research and practice. This grant supports CFAT in two strategies to accomplish this: (1) field-building to increase the use of improvement science in educator preparation, through engagement with practical challenges in local education agencies; and (2) to explore with philanthropic and evaluation partners the use of improvement science in program evaluation.

---

## Center for Better Schools, Newport, RI

---

For field module execution, evaluation, strategic planning, and general support. 15 Months, \$800,000

---

The National Academy for Advanced Teacher Education (NAATE) is dedicated to the development and delivery of advanced programs of professional learning for experienced educators to develop, retain, and deploy them in classrooms and school buildings in our nation’s high poverty schools. Through three programmatic areas, the Teacher Fellows, School Leaders Fellows, and Field Modules initiative, NAATE aims to improve outcomes for students in high-needs schools through a whole school approach to change that aims at deepening teacher instructional practice and leveraging teachers to support and lead their peers. Support

for NAATE will focus on four areas: 1) Conducting an external evaluation to determine the impact of its programs on teacher and school leaders’ practices; 2) Conducting a strategic planning exercise to refine NAATE’s business model, value proposition, and ensure that it is positioned for long-term sustainability; 3) Testing of three Field Modules and identification of two additional modules to develop; and 4) General operating support.

---

## Chalkbeat, New York, NY

---

For building public understanding around educational equity while giving a voice to families and educators. 12 Months, \$350,000

---

Chalkbeat is a nonprofit news organization established in 2013 covering educational change efforts and changing the education landscape in the communities where they work. Their mission is to provide deep, local coverage of education policy and practice to inform the decisions and actions that lead to better outcomes for all children, especially those in the low-income communities where improvement can have the largest impact. Unique among news sources, some of Chalkbeat’s most engaged readers are classroom teachers and school leaders who describe Chalkbeat as an essential resource to help them navigate the education system, identify promising practices, and make sense of challenges. They also reach the low-income parents who are the ultimate constituents of school improvement efforts by partnering with community, church, and school groups as well as through Facebook. With Corporation support, Chalkbeat proposes to give a voice to families and educators in the formation of education policy and practice with a focus on new school design models and innovations in teaching and leadership.

---

## **Chiefs for Change, Washington, DC**

---

For support of the School and System Redesign working group and stakeholder engagement efforts. 24 Months, \$600,000

---

District and state leaders have increasingly come to recognize the need to redesign student learning experiences, but they face myriad challenges in acting upon this imperative, including deeply entrenched policies, systems, and structures that inhibit new approaches and protect the status quo. Founded in 2015, Chiefs for Change (CFC), is a bipartisan network of innovative education leaders that is well-positioned to tackle this challenge. CFC convenes its members to boldly design the future of education in America, positioning them for success by increasing their capacity to propose and implement innovative policy, building a unique community of practice, and cultivating a pipeline of the next generation of diverse education leaders. With Corporation support, CFC will facilitate, convene, and provide technical assistance to chiefs as part of a School and System Redesign workgroup, and prepare chiefs to change policies and lead innovative systems in a way that is deeply informed by stakeholder engagement.

---

## **CityBridge Education, Washington, DC**

---

For support of an integrated approach to innovative school design and redesign, and related knowledge sharing activities. 24 Months, \$1,000,000

---

For 15 years, CityBridge Foundation has focused on launching and supporting innovative, next generation schools in Washington, D.C. Now, CityBridge Education (CityBridge) is building on its strong track record and aims to launch 25 high-quality, new, or redesigned schools in the next five years through an integrated strategy that combines school design, network support, knowledge building, and talent development. With Corporation support, CityBridge will deepen its activities in the first three of those areas: designing and launching new schools and redesigning existing schools; providing support and networked improvement to existing CityBridge schools; and undertaking knowledge-sharing activities geared toward multiple audiences — educators, school leaders, and district managers.

---

## **Civic Nation, Washington, DC**

---

For core support of the College Promise Campaign. 24 Months, \$500,000

---

The College Promise Campaign (CPC), founded in 2015 with partial support from the Corporation, addresses an urgent national need to make postsecondary opportunities affordable and accessible to all. CPC works to build widespread public understanding that free community college is a vital investment in the social and economic well-being of students, families, and the nation. It also provides local and state leaders with the resources and support they need to initiate effective College Promise programs and research-based practices successfully. These programs continue to gain ground in states and localities across the country, earning bipartisan support and putting college within reach of many high-need students, particularly first-generation college goers.

---

## **Columbia University, New York, NY**

---

For a Center for Public Research and Leadership project to use improvement methodology to increase the success of school systems and nonprofits in designing and implementing high-quality instructional materials and professional learning systems to support teachers and school leaders on their use. 24 Months, \$500,000

---

Effective implementation of new and rigorous standards requires both high-quality instructional materials and effective professional learning systems and supports for teachers and school leaders. While many districts and nonprofits are implementing new instructional materials and associated professional learning, very few have adopted improvement methodology tools and practices into their work. This project of the Center for Public Research and Leadership at Columbia University is designed to bring its improvement methodology to nonprofit organizations and school systems that are working to implement rigorous standards in new ways. The grant also will support follow-up Re-envisioning Professional Education convenings to help better prepare graduates of university-based professional schools to solve public problems using improvement science methodology.

---

### **Common Sense Media, San Francisco, CA**

---

For the Learning at Home platform providing digital tools for educators to connect with parents. 18 Months, \$750,000

---

Research strongly suggests that parental involvement in education has positive effects on student achievement. As technology transforms teaching and learning, there is a pressing need among parents and educators to communicate about ways technology can support student learning. Today, flipped classrooms and blended learning models leverage technology to bring instruction to students anytime, anywhere. These shifts have created an unmet demand to form new kinds of homeschool connections to inform parents and educators about the resources that exist to create a more seamless learning experience for children. With Corporation support, Common Sense Media will continue to create media ratings and reviews to help parents select the best digital content to promote social, emotional, and cognitive development; continue to support educators in helping parents in reinforcing learning at home; and publish original research on kids' media use and the ways educational technologies are being adopted in the education landscape.

---

### **Council of Chief State School Officers, Inc., Washington, DC**

---

For general support. 15 Months, \$400,000

---

The passage of the Every Student Succeeds Act presents a new opportunity for states to rethink how state education agencies will meet the needs of all students with fewer constraints and greater opportunities to align initiatives to their state vision. This will require that chiefs and their agencies take on new roles or roles that agencies have struggled to take on in the past, and shift from a compliance orientation to one focused on fostering equity, accountability, innovation, data-driven decision-making, and a service mindset. The demands on chiefs are great, and in many cases, states do not provide them with the time or resources to seek professional development opportunities, guidance, and access to mentors. Chiefs need additional support to develop leadership skills. The Council of Chief State School Officers, the only membership organization responsible for

supporting public officials who oversee K–12 public education, is uniquely positioned to provide counsel and resources to these leaders, and launched a Leadership Academy in 2014 as one of their strategies for doing so. This grant is for general support.

---

### **Data Quality Campaign, Washington, DC**

---

For developing and promoting state policies that enable effective data use, and building public understanding and demand around the value of education data. 24 Months, \$1,000,000

---

States have made great strides in adopting the data systems and infrastructure necessary to educational transformation, but the full potential to use data in service of the student experience has yet to be realized. Founded in 2005, Data Quality Campaign (DQC) is nonpartisan and the only national organization focused entirely on changing the role of data to improve education outcomes. With current Corporation support, DQC has created and disseminated tools and resources to increase public understanding of the value of education data, conducted original research to gauge and better meet stakeholder needs, and created resources and provided policy guidance to help build stakeholder capacity to employ data in service of personalized learning. Building on these successes, DQC will advance state policies that enable effective data use in support of new models of education delivery and build public understanding and demand around the value of education data.

---

### **Denver Museum of Nature & Science, Denver, CO**

---

For a project to relaunch Urban Advantage Denver with a new program design and budget model. 24 Months, \$500,000

---

Urban Advantage Denver (UA Denver) is an innovative formal-informal partnership program in science education that builds on prior work, including an established Urban Advantage program in New York City, a five-year National Science Foundation-funded efficacy study of UA Denver, and a Corporation discretionary planning grant. The partnership

includes three of Denver's major informal science education institutions — Denver Museum of Nature & Science, Denver Zoo, and Denver Botanic Gardens — and Colorado's largest and most diverse public school district, Denver Public Schools. The collaborating institutions have a six-year track record of successfully implementing UA Denver. Now, informed by a growing body of research on learning science in informal settings, education challenges specific to Colorado and Denver, and results of the efficacy study of the UA program and subsequent co-visioning process with the school district, the program is poised to launch a revised model to achieve even greater impact. This grant will support relaunching UA Denver with a new program design and budget model. Specifically, participating middle school science teachers will implement science and engineering practices in the context of phenomenon-driven pedagogy in classrooms, through field trips, and with outreach events to engage families and school leaders.

---

### **Digital Promise, Washington, DC**

---

For support of the Research@Work and Education Innovation Clusters initiatives. 12 Months, \$700,000

---

While innovative programs have emerged to harness the power of technology in service of personalized, competency-based learning, they vary in quality and often operate in isolation. With Corporation support, Digital Promise has developed two initiatives to facilitate the realization of technology's promise to provide all students with the learning experiences required for success in the 21st century. Education Innovation Clusters (EdClusters) seeks to break down silos across key actors — educators, researchers, education technology entrepreneurs, funders, and other education stakeholders — and facilitate collaboration to promote the design, implementation, and dissemination of promising learning tools and practices. Research@Work builds educator capacity to apply research-based strategies by increasing practitioner access to usable education and learning science research. Corporation support will enable Digital Promise to deepen and expand its impact across these two initiatives.

---

### **DonorsChoose.org, New York, NY**

---

For parent engagement projects. 12 Months, \$500,000

---

Research shows that when parents are involved in their children's education, often by harnessing a network of educators, student academic achievement improves. In the current landscape of new standards, methods, and terminology, as well as possible shifts in national and local funding, families are often left uninformed and disconnected from their children's education. Through a set of 200 parent engagement events, DonorsChoose.org will meet this parental demand by directly joining families with educators in partnerships to support their children's learning. Over the past 17 years, more than 400,000 teachers at three-quarters of public schools (overwhelmingly within high poverty regions) created project requests on DonorsChoose.org, and more than 2 million citizen donors have contributed to projects. To incubate venues for parent engagement, DonorsChoose.org will invite public school teachers nationwide to create projects requesting materials for family engagement events. The Corporation will bolster their efforts in two ways: (1) by providing \$200,000 in matching gifts to double citizen donor impact and (2) by enabling at least 2,000 parents (identified by respective teachers) to contribute \$300,000 worth of gifts to their children's classrooms. The Corporation's support will both proliferate face-to-face engagement, and support parental ownership and decision-making power within schools.

---

### **DreamYard Project, Inc., Bronx, NY**

---

For support of the Here to Here initiative, a multisector partnership network committed to providing work-based experiential learning opportunities to high school students in the Bronx. 24 Months, \$750,000

---

Better alignment between what students are expected to know and be able to do in high school and what they need to be successful in college and career will require coordinated efforts across the secondary, postsecondary, and career sectors such that students have access to personalized, real-world learning experiences while in high school. DreamYard Project, Inc. (DreamYard) has over two decades of experience engaging a broad coalition of local stakeholders to build pathways to equity and opportunity for students in

the Bronx. Building on this experience, DreamYard is now launching a new program, Here to Here (H2H), a multisector partnership network committed to providing work-based experiential learning opportunities to high school students in the Bronx. With Corporation support, DreamYard will develop, refine, and implement the H2H program; build and steward a partnership network of multisector actors; and complete a formative study and prepare for a long-term program evaluation to inform H2H improvement and the field at large.

---

### **EdNavigator, New Orleans, LA**

---

For general support. 12 Months, \$500,000

---

Families are bombarded with information, choices, and obligations that begin with preschool and continue through college. With high demands on their time and limited support, many families find the school system confusing and frustrating, in particular in contexts where school choice is prominent. But in the absence of expert help, not all families can make the most of the choices available to them — or even understand what those choices are. EdNavigator is a nonprofit that partners with employers to provide personalized, hands-on educational support to their employees, pairing families with highly skilled Navigators who help them find the right schools, understand their children's progress in school, support learning at home, and advocate for their children's educational needs. After a successful initial pilot in New Orleans, EdNavigator is focusing on expanding their work on two fronts: (1) in New Orleans, by expanding to other industry employers, and (2) by launching in a second city.

---

### **Education Pioneers, Inc., Oakland, CA**

---

For the execution of the revitalization plan. 12 Months, \$1,000,000

---

Education Pioneers focuses on building a pipeline of highly skilled school systems leaders through the recruitment of professionals from a wide array of academic and professional backgrounds. After years of sustained growth, in 2016 Education Pioneers experienced a decline in the number of participants entering its fellowship program. To address

these issues, Education Pioneers has developed a year-long revitalization plan featuring three areas for targeted improvement: 1) Talent recruitment into its summer and career fellowship tracks; 2) Partnership development focusing on working with partners to identify projects and roles that Education Pioneers knows it can tap talent to fill; and 3) Improving talent-to-partner matching and placement. This grant will support Education Pioneers' execution of the revitalization plan.

---

### **Education Trust, Inc., Washington, DC**

---

For advancing educational equity and stakeholder engagement in New York state. 12 Months, \$250,000

---

Within New York, as across the country, massive systemic inequities in educational access, opportunity, and performance hold back low-income children and children of color by depriving them of the essential skills that are required for success in the 21st century. As the New York state affiliate of the national Education Trust, the recently launched Education Trust-New York aims to use advocacy — in collaboration with diverse partners — and the promotion of data-centered, student-focused solutions, to mobilize public will, engage key policymakers, advance innovation, and drive the lasting policy and programmatic changes that can raise achievement and opportunity for all of New York's students. Their strategies include building capacity for data/modeling in partner organizations, convening a statewide coalition, and developing messaging and narratives around key issues.

---

### **Educational Testing Service, Princeton, NJ**

---

For support to further develop and implement the Integrating Non-Cognitive Teaching and Learning into the Academic Core Project, Institute for Student Achievement's research-based solution for teaching non-cognitive skills as part of the academic core. 24 Months, \$750,000

---

An extensive body of research shows that students' socio-emotional skills are key to their lifelong success. Yet, there remains a dearth of program models that marry socio-emotional learning (SEL) with academic instruction, particularly at the high school level. The Institute for Student

Achievement (ISA) has built a national network of over 70 new and turnaround schools, developing personalized supports for high school students across the country. With Corporation support, ISA has completed a pilot project to develop a teacher toolkit for developing students' noncognitive strategies by embedding SEL within academic classes. This pilot has been successful in shifting teacher practice and has resulted in promising early indicators of student success. With Corporation support, ISA will expand this pilot to more classrooms within the pilot schools and to other ISA schools; adapt the core elements of the pilot to a more portable model for new school practices both within and beyond the ISA network; and develop tools and resources to support educators across all of these schools.

---

### **Educators for Excellence, New York, NY**

---

For general support. 9 Months, \$350,000

---

Teacher quality is the single most important in-school factor in student achievement. Yet while policymakers and education leaders acknowledge the importance of teachers, their actual voices are consistently left out of policies that directly impact them and their ability to improve student learning. Motivated by a widespread desire to be heard in policy debates, Bronx teachers Sydney Morris and Evan Stone founded Educators for Excellence (E4E) in March 2010, an entirely teacher-led organization initiating bottom-up reform. The Corporation supported E4E in its early stages to create a comprehensive theory of change and growth strategy. E4E currently operates in six major cities and includes over 26,000 educators united in their mission to influence key policies, such as teacher evaluation, layoff, and tenure systems. Critical to E4E's theory of change is the belief that union leadership inadequately represents the views of its members. With 86 percent of its members belonging to unions, E4E fills this representational void by training teacher-leaders and mobilizing their collective voice for change within unions and the broader public. The Corporation's grant will enable E4E to develop its organizational capacity at national and local levels, scale its model, and support its activities.

---

### **EL Education, Inc., New York, NY**

---

For a project to expand district partnerships and build capacity of a national model for job-embedded professional learning opportunities for K–8 teachers implementing high-quality English Language Arts instructional materials. 24 Months, \$1,000,000

---

There is a growing national focus, spurred by an emerging body of research, on the power of thoughtful alignment between high-quality instructional materials and job-embedded professional learning for teachers as a lever for raising student achievement. Yet this kind of impactful professional development is not yet the norm. Through this proposal, EL Education plans to tackle this challenge, accelerating its teacher development at scale, and aiming to provide a national model for other professional development providers. EL Education plans to build on its highly rated K–8 English Language Arts curriculum to partner with five to seven districts to both implement their curriculum and engage in a series of professional learning offerings to build the capacity for district-level coaches and teacher leaders to support teachers.

---

### **Flamboyant Foundation, Washington, DC**

---

For the National Family Engagement Fellowship and development of an educator preparation strategy. 18 Months, \$325,000

---

Currently in their eighth year of operation in Washington, D.C., Flamboyant Foundation, a private family foundation has been partnering with over 50 local public and charter schools, as well as several teacher and leader preparation programs, to equip them with the confidence, knowledge, skills, and resources to effectively partner with families for student success. They have taken a multipronged approach to ensure teachers, school leaders, teacher preparation programs, and districts have the capacity to plan, implement, and assess strategic family engagement efforts. Because of the results that their work in DC has achieved, the organizational learning they have done, and their commitment to ensuring that every educator in the United States practices effective family engagement, Flamboyant is strategically expanding their work nationally. With Corporation support,

Flamboyan will work to build the capacity of local districts, charter management organizations, and nonprofits to support effective family engagement through Flamboyan's inaugural national fellowship; and build evidence through practice as well as field and academic research to influence educator preparation and expectations such that effective family engagement is introduced and supported as a key educational practice across the country.

---

### **FSG Inc., San Francisco, CA**

---

For a pilot program in one community to build educational leader capacity in systems thinking, Collective Impact, and equity frameworks, in order to enhance school governance, implementation, and educational outcomes (as one of the five projects in the Corporation's Integration Design Consortium). 24 Months, \$1,000,000

Despite the efforts of thousands of dedicated professionals in school districts and supporting community-based organizations, the U.S. education system remains fragmented and dysfunctional in an entrenched way. For too long the field has focused on solving educational challenges through individual content reform initiatives, rather than examining the interplay of deeper sources of problems steeped in power, race, and equity. FSG, a mission-driven consulting firm supporting leaders in creating large-scale, lasting social change, aims to partner with PolicyLink and the Society for Organizational Learning to transform the relationships among people and organizations that shape education systems, by combining the discipline of systems thinking with the structure and process of Collective Impact and an equity frame of reference. They are planning to pilot this approach in one school community and build capacity through: (1) a leadership workshop; (2) community engagement and support; and (3) ongoing research, evaluation, and learning. They will also plan for how the tools and resources developed during the pilot could be shared in an open-source format. This grant supports a pilot in one community and planning for open-source resources that can be shared with the field.

---

### **Fund for the City of New York, Inc., New York, NY**

---

For core support of the Student Success Network.  
24 Months, \$500,000

College and career readiness requires more than academic knowledge — an extensive body of research indicates that students' socio-emotional and metacognitive skills are key to their lifelong well-being. Yet, there remains a dearth of program models that marry socio-emotional learning (SEL) with academic instruction, particularly at the high school level. Launched in 2013, the Student Success Network (SSN) is a practitioner-led network of 50 youth development and education organizations committed to empowering New York City's low-income middle- and high-school students with the SEL competencies they need to succeed in college and career. SSN plays a unique role in building its members' capacity for self-improvement through data collection and analysis, improvement science training, and self-selected learning communities centered on specific problems of practice. With Corporation support, SSN will deepen continuous improvement cycles, innovate SEL measurement and analysis, and grow locally and engage nationally.

---

### **GreatSchools, Oakland, CA**

---

For the College Success Award to drive demand within K-12 education for increased postsecondary success.  
12 Months, \$300,000

By 2020, 65 percent of all jobs will require a postsecondary education, but less than 25 percent of high school graduates today go on to receive a college degree, and rates are even lower for low-income and minority students. Efforts to improve the K-to-college pipeline must start with an understanding of what practices are most successful in driving postsecondary success. A new provision in the Every Student Succeeds Act takes the first step by requiring states to report postsecondary enrollment by high school and subgroup, but that is not sufficient. Stakeholders need data on remediation and persistence and the ability to track students through multiple pathways in order to generate meaningful insights. In addition, data alone will not change outcomes; the data must be used to identify and study areas of success, engage

communities in celebrating that success, and cultivate parental demand for improvement. GreatSchools, a national nonprofit organization that provides school information and parenting resources for families, aims to build demand for better data on postsecondary outcomes by launching, in partnership with the Data Quality Campaign, a national awards program that recognizes and celebrates high schools that beat the odds in preparing students for success in college.

---

### **iMentor, New York, NY**

---

For incorporating socio-emotional learning into the iMentor program model. 24 Months, \$620,000

---

College and career readiness requires more than academic knowledge — an extensive body of research indicates that students' socio-emotional and metacognitive skills are key to their lifelong well-being. Yet, there remains a dearth of program models that marry socio-emotional learning (SEL) with academic instruction, particularly at the high school level. The iMentor model, which matches every student in a partner school with a committed, college-educated mentor and incorporates direct instruction from iMentor staff, has demonstrated positive impact on its students, who enroll, persist, and graduate from college at higher rates than do low-income students nationwide. Despite these successes, iMentor recognizes that more needs to be done to improve postsecondary outcomes for the students it serves. With Corporation support, iMentor will redesign core elements of its program model to more purposefully target socio-emotional learning such that students are armed with the SEL skills necessary for college persistence and postsecondary success.

---

### **Innovate Public Schools, San Jose, CA**

---

For national organizing work, including the Community Organizer Training Program and the National Parent Leader Institute. 12 Months, \$250,000

---

The national education reform movement has begun to see the power of engaging the people closest to the issues — in particular, low-income families in failing schools — but organizations often lack the expertise and capacity to effectively

engage and organize the parents of these families. Over the past several years, Innovate Public Schools (Innovate) has emerged as a national leader in community organizing for education reform. This grant supports Innovate's national organizing work, including their Community Organizer Training Program and National Parent Leader Institute, which work in tandem to train and develop effective community organizers and parent leaders in order to build effective and sustainable school reform efforts in communities across the country.

---

### **KIPP Foundation, New York, NY**

---

For learning and sharing across and beyond the network as part of the KIPP: 2020 plan, with a focus on KIPP Through College and External Impact. 24 Months, \$1,000,000

---

In our country today, if current statistics go unchanged, only one in ten students from low-income families will graduate from college. KIPP is a nonprofit network of 200 college-preparatory, public charter schools in 20 states and the District of Columbia, educating nearly 80,000 elementary, middle, and high school students, that aims to change this picture. The network serves some of the nation's most vulnerable students and has a 20-year track record of preparing students in educationally underserved communities for success in college and life. KIPP is now embarking on an ambitious 2020 plan in which they will focus on how to scale a system of schools while remaining a learning organization; how to drive the adoption and integration of proven practices across diverse stakeholders; and how to maintain a culture of continuous improvement and create space for breakthrough innovation. This grant supports learning activities related to those areas of inquiry, with a particular focus on strengthening college success outcomes for underserved students.



---

## Learning Accelerator, Cupertino, CA

---

For general support. 24 Months, \$500,000

---

Personalized learning demonstrates increasing promise to create effective, student-centered learning experiences, but more work needs to be done at the schools, tools, and systems levels to enable personalized experiences for all students. The Learning Accelerator (TLA) works across all three of these levels to catalyze implementation of high-quality models at scale. They translate initial proof points developed by innovators into actionable knowledge and support for districts; build the capacity of other organizations to do innovative work; and inform policy conditions for this work to be successful. With general operating support from the Corporation, TLA will tackle three specific challenges in today's education landscape: inadequate knowledge capture; fragmented learning networks; and a lack of sharing and dissemination across organizations. TLA will aggregate best practices and share knowledge, network regional learning communities, and support the development of data infrastructure that makes it easier for educators to access personalized learning resources.

---

## Learning Forward, Dallas, TX

---

For a project to launch the What Matters Now Networked Improvement Community working together within and across states, districts, and schools to study, implement, and iterate on powerful systems of professional learning. 15 Months, \$600,000

---

States and districts do not systematically invest in teachers and their professional growth or adhere to the practices and standards that research has demonstrated to be effective to support professional learning for teachers. Many states and districts do not comprehensively design or adequately track and assess their professional learning investments and programs. The problem is compounded by misalignments between state-, district-, and school-level policies, investments, and systems that inhibit more equitable access to high quality professional learning experiences. Through this grant, Learning Forward will embark on a new initiative called the What Matters Now Networked Improvement Community. It will enable diverse constituencies in three

state coalitions to work together within and across states and school districts to use improvement science methodology to study, implement, and iterate interventions to ensure more powerful systems of professional learning in schools, school districts, and states.

---

## Museum of Science and Industry, Chicago, Chicago, IL

---

For developing a new course on the Next Generation Science Standards for teachers and aligning existing course materials to support the Institute for Quality Science Teaching. 24 Months, \$500,000

---

The Framework for K–12 Science Education and Next Generation Science Standards (NGSS) put forth a vision for science teaching and learning that necessitates a fundamental shift in teacher practice. The Museum of Science and Industry's (MSI) Institute for Quality Science Teaching (IQST) works to support teachers and administrators in Chicago-area schools to implement NGSS-aligned teaching practices through ongoing teacher professional development. During this grant, MSI will 1) revise existing IQST course materials to ensure explicit connections between the NGSS and lessons that demonstrate three-dimensional learning in science; 2) develop a new NGSS course for past and current teachers and administrators aimed at increasing confidence using tools and processes to design and adapt instructional materials to support NGSS implementation; and 3) conduct and share an evaluation study measuring the impact of NGSS-aligned courses on teachers' understanding of three-dimensional learning, their content knowledge, their attitudes toward the NGSS, and changes in their teaching behaviors.

---

## National Math and Science Initiative, Dallas, TX

---

For general support and project support to develop a three-year strategic plan to strengthen existing programs and begin the design work of the new plan. 15 Months, \$400,000

---

Since 2007, the National Math and Science Initiative (NMSI) has dramatically increased the number of students succeeding in rigorous math, science, and English coursework

— particularly those traditionally underrepresented in science, technology, engineering, and math (STEM). But while NMSI has experienced great success with its existing programs, they recognize that there are opportunities to have both larger impact and greater reach. In addition, access to STEM education goes well beyond enrollment practices at schools. National data show that students of color, low-income students, and rural students fare worst of all in terms of access to STEM education. As a result, NMSI is at an inflection point. This project — a strategic planning process to help the organization develop plans for greater reach and impact — is designed to help them take NMSI’s programs to the next level. Through this project, NMSI will embark on a consulting partnership that combines design-centered conceptual thinking with a rigorous, practical planning process in order to make a bold, innovative, and actionable plan. As a result of this effort, NMSI will develop a strategic plan and a three-year implementation plan as well as a budget model and fundraising plan.

---

### **New Teacher Center, Santa Cruz, CA**

---

For a project to field test and refine the School Leadership Program working with three districts to develop principals as instructional leaders coupled with support for other key district personnel to lead school change, improve student achievement, and impact broader systems change.  
24 Months, \$1,000,000

Research shows that school leaders are the key drivers of change in their schools, but they generally receive very little professional learning and ongoing support to truly build their instructional leadership skills and support for a distributed teacher leadership model. Through its work with over 500 districts since its founding in 1998, the New Teacher Center (NTC) knows firsthand what the research has shown — that school leader and teacher development systems are too often siloed, disconnected and not impactful. NTC’s new strategic plan recognizes both the need in the field and the powerful impact that can be realized by developing a more focused, integrated approach to school leader and teacher development. With this grant, NTC will field test their updated School Leadership Program to enable them to continue to refine and position the program for scale.

---

### **New Tech Network, Napa, CA**

---

For enhancing the quality of New Tech Network’s current approach to whole school transformation, piloting alternate approaches to school transformation, and building knowledge about the impact and efficacy of both strategies. 12 Months, \$500,000

Students require deep, challenging, and relevant learning experiences in order to prepare for productive futures, and transformation at the classroom, school, and system levels is needed to bring these experiences to every student. New Tech Network (NTN) has a 20-year history of enabling school transformation by partnering with school districts to support practitioners to implement personalized, project-based learning. This grant will enable NTN to enhance the instructional and pedagogical resources that exist on its online learning platform, Echo, and pilot a new partnership model in which teacher teams (NT Teams) will drive school-level change beginning in the classroom. This grant will also provide support for the research and evaluation of these efforts so that NTN can measure success and leverage key insights to drive continual improvement, including analysis of the mechanisms by which classroom-level innovation may spread to whole-school transformation.

---

### **New Venture Fund, Washington, DC**

---

For core support of Learning Heroes and project support for a listening tour and development and design of a Readiness Roadmap guide for parents. 12 Months, \$1,050,000

Too many students do not graduate high school prepared for success in life. Yet, according to a RAND report, individual and family characteristics may have four to eight times the impact on student achievement compared with teachers. And while we know parents and guardians are on the front lines of their children’s education, engaged and deeply committed to their children’s success, they are frequently underserved and overlooked as a key constituent and customer of their children’s education. Learning Heroes, a new organization seeded by the Corporation along with other national foundations, helps parents become effective advocates of their children’s learning, by driving awareness of and improving

the information parents can turn to for an accurate picture of their child's academic success and enabling actions they can take to best support their children's learning needs. This renewal grant to Learning Heroes is for continued general operating support and their core communications work to inform and equip parents with research-based information, resources, and simple actions they can take to support their child's academic and social-emotional success. They are also going to develop a new interactive diagnostic tool to provide parents individualized information about their child's academic progress and connect them to resources they can access and actions they can take.

---

### **New Visions for Public Schools, Inc.,** New York, NY

---

For a project to revise and field test high school biology and earth science full-course instructional materials that align with the Next Generation Science Standards and develop professional learning supports for teachers to use them with students. 24 Months, \$1,000,000

New York State recently adopted new science standards that were adapted from the Next Generation Science Standards (NGSS), and articulate a vision for science teaching and learning that radically shifts from prior state standards. Without instructional materials that are explicitly designed for these new science standards and comprehensive support for teachers to navigate the shifts in instruction, science teachers will not be able to effectively help students master the content. Through this grant, New Visions will launch a two-year project to increase access to open-source, NGSS-aligned high school science instructional materials, focused on biology (living environment) and earth science. The project includes instructional materials, professional learning opportunities, and aligned school-based support.

---

### **New York City Leadership Academy,** Long Island City, NY

---

For general and project support to develop and market a flexible learning model to prepare school and district leaders that also integrates equity and blended-learning experiences. 24 Months, \$1,300,000

Many of the 15,000 school and district leaders across the United States do not have adequate access to professional development due to financial and human resources constraints. Additionally, many smaller and rural districts lack the number of aspiring principals necessary to support in-house leadership development programs, and their geographic location makes in-person leadership development impractical or cost prohibitive. Online education and regionally based, multidistrict learning experiences can serve as an effective response to these challenges. This grant will support the New York City Leadership Academy (NYCLA) to develop and market its new flexible learning model (e.g., in-person, online, blended learning, access to tools/resources) to meet school and district market needs for personalized leadership development services. NYCLA's research indicates that the market demand for leadership development is high and supports the diversification of NYCLA's service portfolio to include leadership development experiences that are varied in terms of pricing, timing, degree of interaction, learning approaches, learning medium, and location.

---

### **New York Hall of Science, Queens, NY**

---

For parent and family engagement through museum programs and events to help strengthen school-community bonds, especially for immigrant families. 12 Months, \$325,000

The New York Hall of Science (NYSCI) has launched a new community engagement initiative called Queens 20/20 to offer first- and second-generation American families real pathways out of poverty through a pipeline of science, technology, engineering, and math (STEM) programs. They see empowering parents as leaders and advocates for their children and in their broader community as essential to their work. With renewed support from the Corporation,

NYSCI will continue to implement and test key programs that will lay a solid foundation for a new parent engagement program called Parent University. Utilizing a two-generation approach, where both children and parents are engaged, the goal of Parent University is to help parents increase their awareness of STEM career opportunities for their children and to offer tools and resources to help their children achieve academic and career success. They will also engage a group of experts to help inform the programs and research, and reach out to other organizations and institutions across the country that are focused on hyper-local STEM programming for first-generation parents and communities to engage in a national dialogue and community of practice.

---

### **North American Council for Online Learning, Vienna, VA**

---

For general support. 24 Months, \$1,200,000

---

Personalized, mastery-based learning experiences are necessary to ensure that students are successful in college and career. The North American Council for Online Learning (iNACOL) has been on the forefront of personalized learning since its inception in 2003, building the nascent field of K–12 personalized learning, developing policy, and networking practitioners. There is now high demand for personalized learning, in part due to iNACOL’s field-building efforts, but policymakers and practitioners need support so that the reality of personalized learning can fulfill the promise of improved student outcomes. With general support from the Corporation, iNACOL will grow organizational capacity and undertake the following activities: support policymakers to create personalized, competency-based learning environments; provide a knowledge-sharing hub and network for K–12 competency-based education; and create field-building and networking opportunities for policymakers and practitioners.

---

### **Northwestern University, Evanston, IL**

---

For the Next Generation Science Exemplar Learning System project to develop and field-test a new pathway for professional learning that integrates blended learning experiences for teachers with the enactment of educative instructional materials designed for the Next Generation Science Standards in classrooms. 20 Months, \$500,000

---

There is a significant and stubborn challenge before this country in improving science teaching and learning. While we have two visionary documents — the National Research Council’s Framework of K–12 Science Education and the Next Generation Science Standards (NGSS) — the changes called for in these documents have been slow to find their way into classrooms, and they raise new challenges for teachers, schools, and districts. Northwestern University’s Learning While Teaching project is a research-based designed response built on the success of the Next Generation Science Exemplar Learning System that addresses the challenges of scaling-up K–12 teachers’ capacity and confidence with three-dimensional learning and teaching. This grant will support the refinement of a new and much-needed model of professional learning for K–12 science teachers. Teachers will learn about and use educative instructional materials in science along with tools and resources that are designed for the NGSS. Through these experiences teachers will build capacity and confidence to make changes in their practice, and in their understanding of how students engage in progressive knowledge building about the natural world.

---

### **Peace First, Boston, MA**

---

For a project to set up a new digital platform and design a challenge for outreach to schools to empower students and elevate their voice as stakeholders in their communities. 9 Months, \$500,000

---

Peace First, a nonprofit organization, increases opportunities to elevate student voices in their communities and prepare them for leadership. With support from the Corporation, Peace First will launch its new Peace First Challenge — imagined as a “science fair” for social innovation — by engaging tens of thousands of young people across America in civic

engagement projects that would impact its student participants and their communities. In a pilot implemented in early 2017, student leaders tackled critical social issues such as school bullying, food poverty, and education disparities. The Peace First Challenge across America will equip young people to understand education issues in their communities, design and implement solutions, and share their insights through a digital community of young change-makers.

---

### **President and Fellows of Harvard College, Cambridge, MA**

---

For enhancing district capacity to gather and use evidence through participation in the Proving Ground project out of the Center for Education Policy Research. 12 Months, \$350,000

As states, districts, and schools increasingly move towards using evidence-based practices to drive continuous improvement at the school level, a number of limitations, including cost, timeframe, and capacity, prevent them from fully leveraging data and analysis. As a result, school districts are constantly cycling through new initiatives, with no valid way to know which are working and which are not. The Center for Education Policy Research at Harvard University was founded in 2006 to address this and related issues, with the goal of providing education leaders with better evidence to guide their decisions. In 2016, they launched Proving Ground, a collaborative network of state, district, and charter management organizations learning together about what is working and what is not in U.S. education, by making analytical results more readily available and widespread in order to improve implementation, assess impact, and inform decision-making. This grant supports the start-up costs for four districts to join Proving Ground, after which the districts will cover the annual operating costs.

---

### **President and Fellows of Harvard College, Cambridge, MA**

---

For support of Education Redesign Lab's "By All Means" initiative and related research, policy, and knowledge-building activities. 18 Months, \$500,000

Addressing the widening achievement and opportunity gaps between poor children and their more affluent counterparts will require solutions that extend beyond the school building and consider students' socio-emotional development alongside their academic growth. The Education Redesign Lab (ERL) at Harvard Graduate School of Education is working with multi-agency city teams to develop cross-functional solutions offering students high-quality schools options and the kinds of enrichment, tutoring, and extracurricular opportunities that middle and upper class families enjoy. With support from the Corporation, ERL will partner with city leaders to design integrated systems of support for high-poverty children in each of the six cities included in the By All Means initiative — Newton, Somerville, and Salem, MA; Providence, RI; Oakland, CA; and Louisville, KY — and undertake related research, policy, and dissemination activities to benefit a national audience.

---

### **Relay Graduate School of Education, New York, NY**

---

For a project to continue support for the Leverage Leadership Institute. 18 Months, \$800,000

The Relay Graduate School of Education supports leaders across the different stages of the leadership pipeline, including aspiring principals, sitting principals, and principal supervisors. Relay's Leverage Leadership Institute (LLI) is focused on leaders "at the top" — those who have already achieved strong results on student learning. With prior Corporation support, Relay has completed three and a half years of the LLI program. This renewal grant supports the next phase of LLI, including a fourth cohort of LLI fellows, and will enable Relay to design and implement strategic plans for alumni engagement and mobilization, codify alumni case studies to drive continuous improvement, show diversity and strategies for success in different contexts, and develop the long-term programmatic and economic model

for the LLI to sustain itself. This program is unique in its focus, and, as its name suggests, poised to leverage its work by scaling effective leadership to new contexts and geographies, by both improving leader practice and training those leaders to train others.

---

### **RePublic Schools, Nashville, TN**

---

For expanding and implementing a personalized learning program at the high school level. 24 Months, \$600,000

---

College and career readiness have not kept pace with rising high school graduation rates. This problem disproportionately impacts low-income students, hindering their opportunity to achieve economic mobility through quality education. RePublic Schools, a charter management organization currently operating five middle schools and one high school in Nashville, Tennessee, and Jackson, Mississippi, was founded in 2014 with a mission to reimagine public education in the South. Despite impressive results, RePublic leadership believe that more must be done to ensure college and career readiness, namely, personalized learning experiences will be key to students' long-term success. With seed funding from the Corporation, RePublic has refined a digital platform and developed instructional materials to transform the RePublic High School model into a more personalized, adaptive academic experience. Building on this work, RePublic will expand its personalized learning curriculum to include more content areas and grade levels, as well as develop necessary supports.

---

### **Riverdale Country School, Bronx, NY**

---

For a project of the nonprofit initiative The Teachers Guild (housed at Riverdale), supporting the launch of in-person Teachers Guild chapters in three districts and the design and launch of a teacher fellowship on innovation and integration (as one of the five projects in the Corporation's Integration Design Consortium). 24 Months, \$800,000

---

Amidst the plethora of current innovations in education, teachers lament that many such innovations are created outside of the classroom — that is, with teachers as recipients rather than authors. Teachers are designing creative

ways to engage and inspire their students on a daily basis, but with limited pathways to integrate beyond the classroom walls, their creative leadership often goes unseen, their expertise goes unrecognized, and the potential impact of teacher-driven innovations is reduced. The Teachers Guild, incubated in IDEO's Design for Learning studio and now operating as a nonprofit initiative under the aegis of Riverdale Country School and PLUSSED LLC, was formed in 2015 to overcome these barriers, launching a member-led community of teachers. The Guild provides an online platform and facilitated creative leadership experiences to support teachers in designing better solutions for students' evolving needs, creating systemic change for and from their classrooms. With the support of this grant, the Guild will pursue two strands of work: (1) partnering with local school districts to complement the Guild's online platform with in-person experiences through three local Guild chapters; and (2) designing and launching a teacher fellowship that links teachers, principals, and district leaders around the adoption of promising innovations and helps top-rated teacher-innovators expand the reach of their solutions.

---

### **Student Achievement Partners, Inc., New York, NY**

---

For the development and dissemination of instructional materials alignment resources and resources to support english language learners. 21 Months, \$700,000

---

Significant gaps exist in the quality and alignment of instructional materials to support the instructional shifts in English language arts (ELA) and mathematics. Founded in 2011, Student Achievement Partners (SAP) is dedicated to ensuring that teachers and students have access to instructional materials and assessments in mathematics and ELA that are high quality and aligned to college- and career- ready (CCR) standards. Through this grant, SAP will undertake three projects in pursuit of these goals: develop free, digital resources specific to two unaligned frequently used ELA/math textbook series that provide practical daily support to teachers as they work to adapt these materials to align with CCR standards; co-develop and promote practitioner stories that model the use of high quality, CCR standards-aligned materials; and enhance the suite of current resources on its website to reflect practical supports for teachers working with english language learners.

---

## Students for Education Reform, New York, NY

---

For general support. 12 Months, \$450,000

---

Young people who have been poorly served by the current public education system, while having the most at stake in the system's improvement, often have almost no voice in the conversation about its reform. Students for Education Reform (SFER), founded by Alexis Morin as a college student in 2009, aims to amplify student voice by identifying and training college students in grassroots organizing to be able to advocate for educational reform in their communities. The network has grown to 1,300 student members at 93 college campus chapters, about 50 percent of whom are students of color. Through organizing work, SFER builds public understanding of crucial education reform policies by training student organizers, who conduct mobilization campaigns in cities, influence media reporting, and canvass thousands of low-income residents to spread knowledge about reform policies that can serve their students. Their goals going forward are to support and expand the cities staffed by full-time organizers and strengthen and sustain their national office.

---

## Teach For All, New York, NY

---

For the Global Learning Lab. 15 Months, \$1,000,000

---

Insufficient progress in schools, classrooms, and systems has been made to ensure that all children can thrive, regardless of the circumstances of their birth — in part because the purposes, strategies, and outcomes of schools are not aligned to the children they serve and the future those children will face. The vision for the purpose of education and the systemic reform needed to achieve that is rarely informed directly by these students' and communities' assets, needs and futures, and the outcomes the system is currently designed to produce are exceedingly narrow. The research is weak around how to develop teachers to teach to broader student outcomes and solicit community input on vision, and the ability of the education sector to share learning is limited. The Global Learning Lab (GLL) of Teach for All, launched in October 2016 with Corporation support, aims to explore the multifaceted challenge described above, and to undertake research and sharing that addresses the

research limitations that exacerbate that challenge. GLL leverages insights from a network of 45 partner organizations to develop hypotheses about what systemic changes are needed; test these insights in a variety of contexts worldwide; learn quickly; and support network partners and other stakeholders to act on the latest insights.

---

## Teaching Channel, San Francisco, CA

---

For a project to design and field test a model for online, video-based professional learning that leverages the implementation of high-quality instructional materials aligned with the Next Generation Science Standards (NGSS) and further develop an engagement strategy with teacher's voice about NGSS implementation at the center.  
15 Months, \$600,000

---

With Next Generation Science Standards (NGSS) recently adopted or adapted by 33 states and the District of Columbia, more than half of American students will be in schools that are intended to teach science in ways that reflect the innovations and vision of NGSS. Teaching Channel's proposed project responds to a growing market need for high-quality instructional materials and examples of NGSS-aligned classrooms. This project will develop an innovative professional learning model, using video and online learning, and also empower teachers as leaders to help with NGSS implementation. The grant supports the development of an online course and proof of concept (using two chapters of a middle school ecology unit called "Disruptions in Ecosystems") that fuses instructional materials with video, online learning, and coaching. Teaching Channel also will pursue a dissemination strategy to engage more teachers in the NGSS and contribute to a robust "movement" with the teacher's voice at its center.

---

## **The 74, New York, NY**

---

For building public understanding around Next Generation High Schools for parents and communities. 12 Months, \$250,000

---

The 74 is a new news organization launched in July 2015 to address a significant public understanding gap about education reform. In just over a year, The 74 has established its brand and platform and now wants to focus on its mission of closing the understanding gap about education and increasing public awareness of key policy and parenting issues around ensuring all kids have access to a great school that meets their specific needs. This grant to The 74 is for: 1) general operating support to further the site's overall goals around communicating with parents; and 2) support for a beat focused on introducing parents to the most exciting and promising school models and designs for closing the achievement gap. Both areas include dedicated work to strengthen and expand the site's marquee efforts to reach parents via video and build their understanding of key educational concepts so they can participate effectively in their children's education.

---

## **Third Sector New England, Inc., Boston, MA**

---

For the Global Family Research Project strengthening family engagement through public libraries. 18 Months, \$525,000

---

Global Family Research Project (GFRP, formerly Harvard Family Research Project) promotes innovative, on-the-ground strategies in family and community engagement to achieve more equitable learning opportunities for children and youth. Despite five decades of research pointing to family, school, and community engagement as one of the most important predictors of student success, we find that how family, school, and community engagement is carried out in communities does not reflect what we know about its power. Over the past year, the GFRP has found enormous potential in public libraries in helping to build equitable, coherent, and strong pathways for family engagement and student learning. Based on this research, GFRP plans to work to increase libraries' capacity to innovate and implement effective family, school, and community engagement

practices. With support from the Corporation, GFRP will aim to spread and scale libraries' family engagement practices by engaging in a variety of activities, including the creation of a Library Learning and Innovation Hub — a virtual portal that spurs innovation and challenges the field to work more intentionally towards effective family, school, and community engagement practices. They will raise up the important and ongoing efforts happening every day in libraries around the country and work in partnership with these libraries to promote new ideas and strategies.

---

## **Transcend Inc., Hastings-on-Hudson, NY**

---

For support of research and development activities, including identifying high capacity practitioners for future partnership and developing a learning agenda that responds to critical challenges identified by practitioners. 24 Months, \$750,000

---

There is an emerging consensus that program designs that incorporate personalization, mastery, and positive youth development offer the kind of learning experiences that will prepare students for future success. However, most school operators don't have the time or capacity to simultaneously operate schools and undertake the important research and development (R&D) work necessary to innovate or redesign their program models. Founded in 2015, Transcend accelerates the design of next generation programs and schools by serving as an R&D engine for the field and as a design partner for schools and districts. In taking on this role, Transcend is addressing an important gap in school design, not only helping individual operators design and implement their models but also creating pathways for continuous improvement and building capacity for the field at large. With Corporation support, Transcend will build capacity and identify opportunities to collectively develop, codify, and spread innovative models, and build actionable knowledge to inform the innovation process with evidence-based insights.



---

## **Trellis Education, San Francisco, CA**

---

For a project to transform science, technology, engineering, and math (STEM) teacher mentoring. 18 Months, \$500,000

---

Trellis Education (Trellis) is pioneering a solution to the science, technology, engineering, and mathematics (STEM) teaching crisis. Launched in 2015, Trellis is enacting a research-based, six-year trajectory of learning and support for those entering the secondary STEM teaching profession, beginning with bolstering pre-service work in partner teacher preparation programs and culminating in mentoring of new teachers and National Board Certification. By focusing on improving rigor and cohesion in existing programs, Trellis is helping to build a pipeline of excellent, ambitious STEM teachers who stay committed to the teaching profession and raise science and math achievement for a new generation of students. Support from the Corporation will enable Trellis to build, study, and scale their work in five California school districts, in order to (1) determine the key components of building and implementing the first two years of a highly-effective STEM-specific, long-term teacher mentoring model; (2) build a community of mentors who provide targeted, STEM-specific mentoring support to early-career teachers; and (3) articulate and begin to implement action plans for partner districts and schools to financially sustain and expand long-term mentoring for early-career STEM teachers.

---

## **UnboundED, Brooklyn, NY**

---

For improving training and support for teachers and school leaders to implement Common Core State Standards. 12 Months, \$1,000,000

---

Founded in 2015, UnboundEd focuses on empowering teachers and ensuring the successful implementation of higher standards through three channels: 1) the provision of free, high-quality standards-aligned resources for the classroom; 2) the Standards Institute, which provides participants with an immersive professional development experience aimed at learning the standards; and 3) partnerships with organizations working with districts and charter networks nationwide to train teachers to update their instructional practice to

implement the standards. Through this grant, UnboundEd will build on the work of its current Corporation grant to strengthen and expand the Standards Institute. UnboundEd will create online open educational resources that give teachers lesson plans that they can adapt to meet the needs of students, and deepen and expand strategic alliances with partners positioned to provide district- and school-based support for the implementation of high quality materials.

---

## **University of Virginia, Charlottesville, VA**

---

For support of the Nudge4 Solutions Lab to develop targeted, technology-enabled solutions to reduce educational inequality, particularly around access to postsecondary opportunities, and to convene a community of practice to develop scalable solutions to high-quality college advising. 9 Months, \$400,000

---

Research suggests that there are specific practical obstacles — such as complicated processes and limited access to advisory resources — that deter college access and success for those students who need it most. Researchers have also demonstrated that low-cost, behaviorally informed interventions can substantially improve student outcomes. These low-touch interventions — “nudges” — are a specialty of the Nudge4 Solutions Lab (Nudge4), and have shown promising, large-scale results. High intensity interventions, such as college advising programs, have also been demonstrated to be effective for the students they reach, but have proven challenging to scale. With Corporation support, Nudge4 will combine the broad reach of low-touch interventions with the high impact of intensive college advising programs. Specifically, Nudge4 will: 1) design scalable solutions to improve postsecondary outcomes for low-income and non-traditional students; and 2) convene and facilitate a learning community among college advising and outreach organizations to design two to three projects for scalable, high-quality advising models.

---

## Urban Assembly, Inc., New York, NY

---

For codification and expansion of the Resilient Scholars Program, an evidence-based socio-emotional learning model for high school students. 24 Months, \$750,000

---

College and career readiness requires more than academic knowledge — an extensive body of research indicates that students' socio-emotional and metacognitive skills are key to their lifelong well-being. Yet, there remains a dearth of program models that marry socio-emotional learning (SEL) with academic instruction, particularly at the high school level. The Urban Assembly (UA), operating in New York City for over 15 years and currently serving over 9,000 students, has had consistent success in sending high numbers of low-income students to college. In recognition of that fact that college persistence requires more than academic preparation, UA created the Resilient Scholars (RS) program, an evidence-based model for implementing socio-emotional learning. With Corporation support, the RS program was adopted by nine high schools, with promising early indicators of success. Now, UA will complete expansion of the RS program across the UA network in New York City and pilot the program in Los Angeles, determining program efficacy in diverse contexts.

---

## Valor Collegiate Academies, Nashville, TN

---

For support to plan, launch, and implement a new high school model, and to codify and share Valor's model of socio-emotional support more broadly. 36 Months, \$1,500,000

---

An extensive body of research shows that students' socio-emotional skills are key to their lifelong success. Yet, there remains a dearth of program models that marry socio-emotional learning (SEL) with academic instruction, particularly at the high school level. Valor Collegiate Academies (Valor) is a charter management organization, founded in Nashville in 2014, currently operating two successful middle schools that incorporate SEL at the core of their school design through a standalone curriculum called Compass. In its inaugural year, Valor was the top rated academic school in Nashville, with achievement and growth scores consistent across diverse subgroups of students. Building upon the success of their two middle schools and

the high demand for their work, Valor will adapt their model to the high school context and codify their approach to SEL to share with operators outside of the Valor network for broader student impact.

---

## WestEd, San Francisco, CA

---

For a project to develop a Network of Educators across the United States for Next Generation Science Education Leadership to support state and district leaders implementing new science standards and to deepen their knowledge and leadership practices related to ensuring equitable science education for all students. 20 Months, \$1,000,000

---

WestEd is a national education research and development agency with over 50 years of experience supporting educational equity and excellence. Through this grant, WestEd will develop Network of Educators across the United States (NEXUS) for Next Generation Science Education Leadership. This project will create a networked group of state and district leaders in five states, and support them to access and use effective approaches to implementing the Next Generation Science Standards (NGSS) in their districts. NEXUS will be designed in response to the need for state and district science leaders to deepen their knowledge and leadership practices related to supporting teachers and schools in ensuring equitable standards-aligned science education for all students through the implementation of high-quality instructional materials designed for the NGSS.

---

## Zearn, New York, NY

---

For a project to create Zearn Mission Study, a digital professional learning offering for elementary teachers. 18 Months, \$500,000

---

Zearn was founded five years ago to take on the challenge of improving K–8 mathematics in the United States by leveraging the EngageNY open source math curriculum to develop a free digital version based on these instructional materials. Zearn Math is highly rated and has “gone viral” (1.4 million registered users representing approximately 7 percent of the elementary school students in the United States.) Even

though Zearn Math has already demonstrated an impact on student learning, in order to maximize impact, Zearn plans to develop online professional learning to support each of the units in the curriculum. Zearn Mission Study will be a digital professional learning offering for elementary teachers to deepen their content knowledge of mathematics and their pedagogical content knowledge of how to teach mathematics by using the Zearn Math curriculum to teach teachers.

## STRENGTHENING U.S. DEMOCRACY

---

### Catholic Legal Immigration Network, Inc., Silver Spring, MD

---

For general support. 24 Months, \$500,000

---

The Trump Administration has expanded the pool of immigrants eligible for expedited removal to include long-time residents with no criminal record, and has called for hiring more immigration judges in order to accelerate the pace of deportation proceedings. Using its deep knowledge of the country's complex immigration system, Catholic Legal Immigration Network, Inc. (CLINIC) provides legal trainings and technical assistance to nonprofits and pro bono attorneys who serve the country's most vulnerable immigrants, including people in deportation proceedings and people who cannot afford counsel. With Corporation support, CLINIC will continue to assist and strengthen the capacities of legal service providers who directly support immigrants nationwide.

---

### Cato Institute, Washington, DC

---

For core support of its immigration program. 24 Months, \$350,000

---

The Cato Institute (Cato) is a nonpartisan think tank that grounds itself in the principles of individual liberty, limited government, free markets, and peace. Cato's ideology and commitment to rigorous, evidence-based research has made the institute a trusted clearinghouse that unites conservatives, liberals, and libertarians on broad principles that have helped shape concrete policy initiatives. Launched in 2016, Cato's Project on Immigration Reform is a growing program that has already covered a broad range of immigration issues and original policies. Cato's immigration experts and research are frequently featured in the media, including in outlets like CNN and Fox News. With Corporation support, Cato will continue bringing valuable data and unique perspectives to the public debate on immigration. Cato's contributions will give a balanced assessment of the national landscape and help inform policymakers about the need for critical immigration reform.

---

### Center for Community Change, Washington, DC

---

For general support. 24 Months, \$850,000

---

In the coming years, given some of the rhetoric of the 2016 campaign, immigrant communities are anticipating a number of increased threats, including harsh enforcement, deportation, and the separation of families. It is urgent, now more than ever, that immigrant advocates continue to educate and activate voters and strengthen their ties with diverse non-immigrant communities — especially low-income African American and white communities. With renewed Corporation support, the Center for Community Change provides technical support, training, capacity building, and opportunities for collaboration among state and local groups throughout the country working to increase civic participation among low-income people, minorities, and citizen immigrants.

---

## **Equal Justice Works, Washington, DC**

---

For support of its Justice AmeriCorps Legal Fellowship Program. 18 Months, \$550,000

---

Although immigrants have a right to representation by counsel in immigration court, the government is not obligated to provide representation for those who are unable to afford an attorney. According to a national study on access to counsel, only two percent of immigrants were able to obtain pro bono or low-cost representation from 2007–2012. Data analyzed during this study also demonstrated that represented immigrants fared far better in these proceedings than unrepresented immigrants. Represented immigrants were 5 times more likely to receive some form of relief from deportation than unrepresented immigrants. Equal Justice Works was established in 1986 by law students with the goal of expanding legal services to underrepresented people and increasing opportunities for law students and graduates to work in the public interest field. With Corporation support, Equal Justice Works' Justice AmeriCorps Legal Fellowship program will provide legal representation to immigrant children throughout the country.

---

## **Immigrant Legal Resource Center, San Francisco, CA**

---

For a national citizenship initiative. 24 Months, \$3,470,000

---

Naturalization is a foundational component of immigrant civic integration. It brings significant social, economic, and civic benefits not only to newcomers and their families, but also to communities, states, and the country as a whole. Today, nearly 9 million legal permanent residents (LPR) across the United States qualify for citizenship, but less than 10 percent of eligible people apply each year, for reasons ranging from lack of information to misperceptions about requirements and concerns about costs. Since 2011, the New Americans Campaign (NAC) has been increasing the number of LPRs applying for citizenship through cutting-edge research, advocacy, outreach and communications, services, and innovative approaches and technologies. With Corporation support, the NAC will continue to engage legal permanent residents about the importance of naturalization

and strengthen the capacity of local and national organizations to provide naturalization and legal services to immigrant constituencies.

---

## **Migration Policy Institute, Washington, DC**

---

For general support. 24 Months, \$1,500,000

---

The terms of the American debate around immigration and refugee resettlement are being radically redefined. The Trump Administration has attempted twice to halt admissions from multiple Muslim-majority countries; ordered the construction of a wall along the U.S.-Mexico border; and rebuked hundreds of jurisdictions for noncompliance with Immigration and Customs Enforcement. The wide-ranging implications of the administration's policies demand high-quality, evidence-based information on their ongoing impact. Dedicated to the study of migration, Migration Policy Institute (MPI) is a leading think tank in the U.S. and the world. With Corporation support, MPI will monitor the rapidly changing American immigration landscape, play a leading role in research around immigrant integration challenges and opportunities, and facilitate global alliance building for sustainable solutions to the ongoing global refugee crisis.

---

## **National Immigration Forum, Inc., Washington, DC**

---

For general support. 24 Months, \$1,250,000

---

Advocates for comprehensive immigration reform have worked hard to establish deep alliances with a diverse group of partners inside the immigrant community and out. As the reform movement's leaders have learned, establishing a big tent that includes as many members of diverse communities as possible is crucial to the success of the movement. Partnerships with faith communities, business, and law enforcement — groups that have strong credibility with conservative constituencies — are particularly necessary. With Corporation support, the National Immigration Forum will continue to build these relationships and help leaders from the faith, business, and law enforcement communities educate their communities on the need for

immigrant-friendly policies. In addition, the forum will also expand its efforts to involve employers in the naturalization process, making it easier for lawful permanent residents to naturalize and integrate as Americans into their communities.

---

### **National Immigration Law Center,** Los Angeles, CA

---

For general support. 24 Months, \$650,000

---

Poverty levels for immigrant children and families remain alarmingly high. U.S. Census Bureau statistics released in September 2015 indicate that 24 percent of non-citizens in the country live in poverty, compared with 14 percent of those who are native born. January 2016 research from the Migration Policy Institute reveals that the family incomes of three quarters of children with undocumented parents fall below 185 percent of the federal poverty level; this compares to 40 percent of all children in the U.S. who live in families within this income threshold. The National Immigration Law Center (NILC) is the primary legal advocacy organization in the United States exclusively dedicated to defending and advancing the rights and opportunities of low-income immigrants and their families. With renewed Corporation support, NILC will work on a range of issues that affect immigrant communities, including access to health care and economic supports; access to education and training; workers' rights; and immigration policies that expand opportunities and minimize integration barriers.

---

### **Neo Philanthropy,** New York, NY

---

For support of the Four Freedoms Fund, a donor collaborative on immigrant civic integration at the state level. 12 Months, \$4,500,000

---

Immigration has been a dominant theme throughout the 2016 presidential election season. Regardless of who is elected, it is likely that most immigration policy work in the coming years will continue to be focused on the state level. Advocates will have to double down on local efforts to advance positive immigration policies and counter the anti-immigrant rhetoric that has emerged from this election

season. Established in 2003 with Corporation support and housed at Neo Philanthropy (formerly known as Public Interest Projects), the Four Freedoms Fund (FFF) is a donor collaborative that supports state-based and regional immigrant-serving coalitions across the country. FFF serves a hybrid role of convener, grantmaker, and strategist, connecting grassroots organizations with national immigrant integration groups. With renewed Corporation support, FFF will continue to support state and regional groups across the country through grants that build institutional capacity, strategic collaboration among grantees, effective communications, and alliances with other constituencies.

---

### **Neo Philanthropy,** New York, NY

---

For core support of the State Infrastructure Fund, a donor collaborative that focuses on nonpartisan voter engagement. 24 Months, \$3,500,000

---

Class and racial tensions, intensified by vitriolic campaign rhetoric, fomented “us-against-them” politics in the 2016 election season. Fourteen states enacted new voting restrictions, which have historically impacted racial minorities and low-income communities most heavily. The election results reflected a country divided by geography, gender, age, race, income, and education. Based at Neo Philanthropy, State Infrastructure Fund (SIF) is a nonpartisan donor collaborative that supports and enhances nonprofit organizations that protect voting rights and engage historically underrepresented voters nationwide. With Corporation support, SIF will continue building state networks that maximize civic and voter participation, protect voting rights, and strengthen long-term capacity for voter education and mobilization.

---

### **Welcoming America,** Decatur, GA

---

For general support. 24 Months, \$250,000

---

Over the past 20 years, immigrants have begun to settle in suburbs, rural towns, and cities that have no tradition of receiving immigrants. The sudden arrival of newcomers — often from cultures the native residents have no experience with and speaking languages they have never heard — can lead to a tense atmosphere that leaves both newcomers and

native residents isolated. While many immigrant advocates focus on building the infrastructure to help support immigrants in these new gateways, few focus on developing the relationship between immigrants and their U.S.-born neighbors. Established in 2009, Welcoming America is a national, grassroots-driven collaborative that builds mutual respect and cooperation between the foreign-born and U.S.-born, creating the conditions for long-term integration. With renewed Corporation support, Welcoming America will work with its countrywide network of member organizations and partners to promote a welcoming atmosphere — community by community — in which immigrants and native-born residents can find common ground and shared prosperity.

## DISCRETIONARY GRANTS

---

### **Alliance for Justice, Washington, DC**

---

24-month grant of \$100,000 for training and technical assistance for nonprofits involved in policy advocacy

---

### **America Achieves, New York, NY**

---

12-month grant of \$50,000 for the development and implementation of a community of practice as part of America Achieves' GripTape initiative on increasing youth agency

---

### **America Achieves, New York, NY**

---

6-month grant of \$200,000 for strategic planning around creating stronger linkages between education and career/economic opportunities

---

### **American University, Washington, DC**

---

12-month grant of \$50,000 for investigative reporting on the federal oversight of campaign financing

---

### **Asian Americans Advancing Justice – Los Angeles, Los Angeles, CA**

---

15-month grant of \$165,000 for support of civic engagement and naturalization work targeting Asian Americans/Pacific Islanders

---

### **Aspen Institute, Inc., Washington, DC**

---

12-month grant of \$75,000 for a series of public convenings to explore what it means to be American

---

### **Bipartisan Policy Center, Washington, DC**

---

18-month grant of \$200,000 for support of its immigration program

---

### **California State University, San Bernardino Foundation, San Bernardino, CA**

---

12-month grant of \$50,000 for an i3 matching grant to develop an innovative conceptual-based fourth-year high school math course

---

### **Carnegie Foundation for the Advancement of Teaching, Stanford, CA**

---

3-month grant of \$10,000 for the 2017 Carnegie Foundation Summit on Improvement in Education

---

**City Year, Inc., Boston, MA**

---

6-month grant of \$200,000 for a project to support the development of a next-generation Early Warning Indicator System and refinement of the Learner & Leader work at Compass Academy

---

**Civic Nation, Washington, DC**

---

12-month grant of \$100,000 for support of the Reach Higher campaign

---

**Collaborative Communications Group, Washington, DC**

---

5-month grant of \$25,000 for strategic communications and mobilization around science, technology, engineering, and math (STEM) in Every Student Succeeds Act plans

---

**Common Sense Media, San Francisco, CA**

---

10-month grant of \$200,000 as a final grant for the Next Generation Science Standards learnings ratings

---

**Digilearn: Digital Learning Institute, Raleigh, NC**

---

4-month grant of \$30,000 for a case study to establish a model for developing sustainable and bipartisan policy in individual states and nationwide

---

**Education Resource Strategies Inc., Watertown, MA**

---

8-month grant of \$200,000 for a project to make Education Resource Strategies' tools more accessible to a broader audience

---

**Education Writers Association, Washington, DC**

---

6-month grant of \$50,000 for parent engagement panels at the Education Writers Association National Seminar and a reception on high schools of the future

---

**Educational Testing Service, Princeton, NJ**

---

6-month grant of \$50,000 for a convening to develop a research agenda on microcredentials for organizing teacher learning in education

---

**Educators for Excellence, New York, NY**

---

10-month grant of \$200,000 for strategic planning for Educators for Excellence and activities designed to increase teacher voice

---

**Fund for the City of New York, Inc., New York, NY**

---

5-month grant of \$115,000 for Student Success Network's strategic plan development

---

**Georgetown University, Washington, DC**

---

6-month grant of \$150,000 for a case study for education leaders, policymakers, and practitioners on the District of Columbia Public Schools' instructional reforms

---

**Grantmakers for Education, Portland, OR**

---

4-month grant of \$100,000 for the 2017 Grantmakers for Education annual conference, entitled *Equity in Education: Empowering Community Voice*

---

**Grantmakers of Western Pennsylvania,**  
Pittsburgh, PA

---

10-month grant of \$150,000 for support of Remake Learning Days 2017 and planning for a nationwide, action-oriented month for family engagement in 2018, modeled on Remake Learning Days

---

**Growth Philanthropy Network,** New York, NY

---

12-month grant of \$50,000 for the Learning Community on Scaled Impact in Education and the planning phase of the Education Systems Transformation in Massachusetts

---

**Highlander Institute,** Providence, RI

---

4-month grant of \$10,000 for support of the 2017 Blended & Personalized Learning Conference

---

**Internationals Network for Public Schools, Inc.,** New York, NY

---

12-month grant of \$100,000 for support of a strategic planning process

---

**Jesse Lewis Choose Love Foundation,**  
Newtown, CT

---

12-month grant of \$50,000 for support of the Choose Love Enrichment Program

---

**Kids in Need of Defense,** Washington, DC

---

24-month grant of \$200,000 for general support

---

---

**Learning Forward,** Dallas, TX

---

9-month grant of \$200,000 for support of the National Commission on Teaching and America's Future state network to improve teaching and learning

---

**NALEO Educational Fund, Inc.,** Los Angeles, CA

---

24-month grant of \$200,000 for a project to increase Latino civic participation

---

**National Academy of Sciences,** Washington, DC

---

15-month grant of \$200,000 for a workshop on the design, selection and implementation of instructional materials for the Next Generation Science Standards (NGSS)

---

**National Conference of State Legislatures,**  
Denver, CO

---

24-month grant of \$200,000 for support of its state immigration policy work

---

**New Profit Inc.,** Boston, MA

---

8-month grant of \$200,000 for a practitioner network on learning and action for parent empowerment and leadership in education

---

**New Venture Fund,** Washington, DC

---

12-month grant of \$100,000 for core support of the Collaborative for Student Success

---



---

**New York City Leadership Academy,**  
Long Island City, NY

---

6-month grant of \$200,000 for development of flexible learning models and general support

---

---

**NewSchools Venture Fund,** Oakland, CA

---

6-month grant of \$200,000 for support of NewSchools Venture Fund Summit 2017

---

---

**North American Council for Online Learning,**  
Vienna, VA

---

6-month grant of \$50,000 for the “National Summit on Competency-Based Education 2017”

---

---

**OneGoal,** Chicago, IL

---

7-month grant of \$150,000 for core support of OneGoal New York

---

---

**Parent Revolution,** Los Angeles, CA

---

18-month grant of \$200,000 for a project to use school quality information to empower families

---

---

**Police Executive Research Forum,**  
Washington, DC

---

24-month grant of \$200,000 for core support of its immigration program

---

---

**Refugee Center Online,** Helena, MT

---

24-month grant of \$100,000 for general support

---

---

**RTA Leadership for Reform Institute, Inc.,**  
Rochester, NY

---

5-month grant of \$20,000 for a communications campaign to elevate teacher voice

---

---

**The 74,** New York, NY

---

12-month grant of \$150,000 for a parent almanac

---

---

**The Conference Board, Inc.,** New York, NY

---

15-month grant of \$200,000 for engaging business leaders and parents on workplace readiness

---

---

**Tides Foundation,** San Francisco, CA

---

12-month grant of \$200,000 for core support of the Campaign for Grade-Level Reading

---

---

**Tribeca Film Institute Inc.,** New York, NY

---

12-month grant of \$25,000 for initiating strategies to isolate and measure impact of Tribeca Film Institute’s educational programs, with a special focus on populations served through the New York City Administration of Children’s Services partnership

---

---

**Uncommon Knowledge and Achievement, Inc.,** New York, NY

---

8-month grant of \$200,000 for support of the nXu pilot project

---

**University of Virginia Curry School of Education Foundation,** Charlottesville, VA

---

3-month grant of \$10,000 for the 2017 EdTech Efficacy Research Academic Symposium

---

**University of Wisconsin, Madison,** Madison, WI

---

24-month grant of \$40,000 for research on the impact of social networks on the political participation of youth

---

**WGBH Educational Foundation,** Boston, MA

---

12-month grant of \$200,000 for an event to be hosted by WGBH Educational Foundation to educate public media professionals and stakeholders about the role of parents and communities in their children's education

---

**WNET,** New York, NY

---

12-month grant of \$75,000 for a series on parenting minutes focused on providing information to help parents foster the growth of their children

# Special Opportunities Fund

---

## **Columbia University, New York, NY**

---

For core support of the Knight First Amendment Institute.  
24 Months, \$1,000,000

---

News organizations have a long history of championing First Amendment rights, helping to shape and clarify laws on privacy, information access, libel, and press freedom. In the past decade, however, economic pressures on traditional news companies have put a strain on their capacity to fight for these rights. The Knight First Amendment Institute at Columbia, established in 2015 by the Knight Foundation and Columbia University, aims to fill this critical void. The institute is dedicated to preserving and protecting First Amendment rights in the digital age and to championing freedoms of speech and the press through strategic litigation, research, and public education. The institute aims, among other things, to be an advocate for these fundamental freedoms in public discourse and an effective defender of these freedoms in the courts.

---

## **Greater Washington Educational Telecommunications Association, Inc., Arlington, VA**

---

For general support. 12 Months, \$500,000

---

From news to arts to children's programming, public television and radio play a key role in educating and entertaining American audiences. For decades, viewers and listeners have looked to public television and radio programs ranging from *PBS NewsHour* to National Public Radio's Morning Edition as trusted, objective sources of in-depth journalism,

while television's most successful educational children's shows, such as the enormously popular *Sesame Street*, were born from public television and public support. The Greater Washington Educational Telecommunications Association (WETA) is among the best and best-known producers of public television and radio in the nation. Corporation support will help ensure that WETA has the resources to meet its challenges successfully, including the cost of increased reporting since the new administration came into office.

---

## **International Rescue Committee, Inc., New York, NY**

---

For general support. 12 Months, \$250,000

---

The International Rescue Committee (IRC) provides emergency relief and sustainable development assistance for vulnerable populations affected by humanitarian crises. These services are in unusually high demand. IRC is currently operating in over 40 countries and organizing refugee resettlement programs in 29 American cities. With renewed Corporation support, IRC will deploy resources quickly, wherever and whenever they are needed most, to respond to humanitarian emergencies. Funding will help those whose lives and livelihoods are shattered by conflict and disaster to survive, recover, and gain control of their future.

---

## **New Venture Fund, Washington, DC**

---

For support of the 2020 Census Project. 24 Months, \$500,000

---

The U.S. Constitution mandates a full and accurate enumeration of the total population in each state and the country as a whole every 10 years. A precise count of the population is vital to the basic functions of government. The census not only serves to apportion seats for the U.S. House of Representatives, it also provides a vital source of information to a wide range of other stakeholders. However, faced with significant budget constraints, the U.S. Census Bureau is likely to experience severe challenges in completing an accurate census in 2020. Recognizing the extent of these challenges, as well as the importance of the census, multiple foundations have come together to develop a plan to ensure a complete count. With Corporation support, New Venture Fund's 2020 Census Project will fund key organizations to educate decision-makers on census design and implementation, organize and coordinate key stakeholders, and respond to arising challenges that would impede an accurate count.

---

## **New York Public Radio, New York, NY**

---

For expanded local reporting in New Jersey and the development of a digital content delivery platform. 24 Months, \$400,000

---

With public discourse becoming increasingly polarized in a climate saturated with “fake news,” the need to invest in public media is greater than ever. Public media provides communities with objective, fact-based, public service journalism and educational programming that provides low propensity voters and families with the information they need to civically engage. New York Public Radio (NYPR) offers award-winning local programming that empowers more than 20 million monthly listeners to be well-informed civic participants. In response to an overall drop in New Jersey news coverage, NYPR has been working to ensure that residents have access to essential state and local news. NYPR is also developing ways to increase audience engagement and enable greater news diversification. With Corporation support, NYPR will promote quality, independent journalism in the state of New Jersey and advance an innovative

technology platform that will allow NYPR to continue educating and connecting with its diverse audience.

---

## **Tulane University, New Orleans, LA**

---

For conducting research and analysis for postsecondary pathways to success — including hosting a convening, leading a visioning process, and disseminating findings. 15 Months, \$500,000

---

Founded in 2007, the Cowen Institute at Tulane University will conduct intensive research to explore the trajectories of young people in New Orleans and develop possible solutions to improve college-going and persistence. The Cowen team will establish clear baseline data on the status of New Orleans youth in particular age bands; lead a convening of local and national thought leaders; develop recommendations for community-level responses; and prepare and disseminate a report on research methodology and best practices that can be used by other communities. The goal is to create a vision for meaningful, high-quality pathways to postsecondary opportunities and credentials for socioeconomically disadvantaged youth for use in New Orleans and communities nationwide.

---

## **University of Central Florida Research Foundation, Orlando, FL**

---

For support of the Lou Frey Institute's civic learning program in Florida. 12 Months, \$400,000

---

According to the most recent Current Population Survey, the state of Florida ranks 49th in voting in local elections, contacting public officials, and belonging to a civic group, and 50th in working with neighbors on community problems and attending public meetings. In 2010, the Florida State Legislature passed the Justice Sandra Day O'Connor Civic Education Act in light of the relative weakness of the state's civic culture. The O'Connor Act, arguably the strongest civic learning legislation in the country, resulted in a new state-wide emphasis on civics. In order to support the O'Connor Act's ambitious goal of producing widespread, better, and more equal civic learning, the Florida Legislature began providing the Lou Frey Institute (housed at University of

Central Florida) funding to support the act's implementation. The Lou Frey Institute works with state department personnel, district curriculum specialists, teachers, and school administrators to build an effective, multi-pronged support system that focuses on middle school civics and supports instructional learning. With Corporation support, the Lou Frey Institute will continue making civic learning gains for Florida's youth, despite an unexpected budget shortfall in fiscal year 2017.

## DISCRETIONARY GRANTS

---

### **American Agora Foundation Inc.,** *New York, NY*

---

12-month grant of \$50,000 for general support

---

### **American Hospital of Paris,** *Paris, France*

---

12-month grant of \$20,000 for support of the World War I Centennial Project

---

### **American Museum of Natural History,** *New York, NY*

---

18-month grant of \$10,000 in support of training workshops at the University of Kinshasa

---

### **American-Scottish Foundation,** *New York, NY*

---

12-month grant of \$15,000 for "The Scots Who Built New York"

---

### **Arias Foundation for Peace and Human Progress,** *San Francisco, CA*

---

5-month grant of \$100,800 as a one-time grant for commemorative concerts for the 30th anniversary of the 1987 Central American Peace Accords

---

### **Asia Foundation,** *San Francisco, CA*

---

13-month grant of \$200,000 for a final project to support consultations on the Asian Views on America's Role in Asia report and to support the distribution of educational resources to universities in Afghanistan

---

### **Association of Governing Boards of Universities and Colleges,** *Washington, DC*

---

12-month grant of \$50,000 for the Guardians Project

---

### **Carnegie Endowment for International Peace,** *Washington, DC*

---

12-month grant of \$100,000 for a project on 1979 and the impact of the Saudi-Iran rivalry on the culture of the region

---

### **Citizen Film, Inc.,** *San Francisco, CA*

---

12-month grant of \$100,000 for support of a public engagement campaign for a documentary exploring the continuum of principles and beliefs defining the American identity

---

**Columbia University, New York, NY**

---

12-month grant of \$150,000 for core support for Columbia Global Reports

---

**Constitution Project, Washington, DC**

---

12-month grant of \$25,000 for general support

---

**Council on Foundations, Inc., Arlington, VA**

---

12-month grant of \$172,500 for support of a public education campaign on the societal value of nonprofit organizations

---

**Eisenhower Fellowships, Philadelphia, PA**

---

15-month grant of \$50,000 for the Middle East and South Asia Fellowship Program

---

**FairTest, Jamaica Plain, MA**

---

12-month grant of \$50,000 for general support

---

**Foreign Policy Association, Inc., New York, NY**

---

36-month grant of \$150,000 for support of the John C. Whitehead Fellows Program

---

---

**Greater Washington Educational Telecommunications Association, Inc., Arlington, VA**

---

12-month grant of \$200,000 for support for Next Generation Journalism: PBS NewsHour News Assistant Program

---

**Heritage University, Toppenish, WA**

---

12-month grant of \$25,000 for a forum on the future of higher education

---

**iCivics Inc., Cambridge, MA**

---

11-month grant of \$200,000 for a national convening on civic education

---

**Immigrant Justice Corps, New York, NY**

---

24-month grant of \$200,000 for general support

---

**James Madison University, Harrisonburg, VA**

---

12-month grant of \$20,000 for a conference on Mountstuart Elphinstone and the legacy of colonialism in South Asia

---

**Jere Van Dyk, New York, NY**

---

6-month grant of \$20,000 for a book project titled *The Haqqani Network in the greater Middle East*

---

---

**Lower East Side Tenement Museum,**  
New York, NY

---

12-month grant of \$10,000 as a final grant for general support

---

**Malta Conferences Foundation,** Washington, DC  
12-month grant of \$100,000 as a final grant for the Malta VIII: "Frontiers of Science: Research and Education in the Middle East — A Bridge to Peace" conference

---

---

**Mayor's Fund to Advance New York City,**  
New York, NY

---

18-month grant of \$200,000 for a program to offer naturalization assistance through the New York City public library system

---

---

**Morgan Library & Museum,** New York, NY

---

12-month grant of \$200,000 for a project to digitize resources for teachers

---

---

**National Academy of Sciences,** Washington, DC

---

12-month grant of \$75,000 for support for the project titled, "The Role of Research Universities in Our Nation's Economic, Social, and Cultural Security"

---

---

**National Academy of Social Insurance,**  
Washington, DC

---

6-month grant of \$15,000 for general support

---

---

**New Venture Fund,** Washington, DC

---

24-month grant of \$200,000 as a one-time grant for core support to The Sentry project

---

---

**New Venture Fund,** Washington, DC

---

12-month grant of \$200,000 as a one-time only grant in support of the Markle Foundation, Skillful National Collective

---

---

**New York Academy of Sciences,** New York, NY

---

12-month grant of \$200,000 for the Junior Academy Program

---

---

**New York Botanical Garden,** Bronx, NY

---

12-month grant of \$100,000 for the digitization and transcription of the John Torrey Papers at the Mertz Library

---

---

**New York Public Library,** New York, NY

---

12-month grant of \$200,000 for general support of the New York Public Library commemorating the reopening of the Rose Main Reading Room

---

---

**New York Shakespeare Festival (Public Theater),** New York, NY

---

12-month grant of \$100,000 for support for a project titled, "Public Works New York"

---

---

**New York University, New York, NY**

---

12-month grant of \$200,000 for core support of Scholars at Risk Network

---

---

**New York University, New York, NY**

---

18-month grant of \$70,000 for a book project on *Rethinking Islam: A Modern Interpretation of the Classical Tradition*

---

---

**Nuclear Threat Initiative Inc., Washington, DC**

---

6-month grant of \$50,000 for a study on the decline of democracies resulting in the potential risk of mass violence

---

---

**PEN American Center, Inc., New York, NY**

---

12-month grant of \$20,000 for general support

---

---

**Project Pericles, Inc., New York, NY**

---

6-month grant of \$25,000 for a national conference to engage college students in civic life

---

---

**Providence Public Library, Providence, RI**

---

12-month grant of \$150,000 for general support

---

---

**Reach Out and Read Inc., Boston, MA**

---

12-month grant of \$50,000 as a final grant for general support

---

---

**Rhode Island College Foundation, Providence, RI**

---

12-month grant of \$200,000 as a one-time grant for the State of Rhode Island, Office of Innovation, Studio Rhode Initiative

---

---

**Salve Regina University, Newport, RI**

---

24-month grant of \$200,000 in support of the Rochambeau Dialogue

---

---

**September 11 Widows and Victims Families Association, New York, NY**

---

12-month grant of \$200,000 for one-time only core support to the 9/11 Tribute Museum

---

---

**Smithsonian Institution, Washington, DC**

---

12-month grant of \$50,000 for a one-time grant in support of education programming

---

---

**Social Science Research Council, Brooklyn, NY**

---

12-month grant of \$200,000 for the Anxieties of Democracy program

---



---

**Stanford University, Stanford, CA**

---

24-month grant of \$100,000 for a U.S.-Japan Security and Defense Dialogue Series

---

**Studio in a School Association, New York, NY**

---

12-month grant of \$100,000 as a one-time grant for general support

---

**Tanenbaum Center for Interreligious Understanding, New York, NY**

---

12-month grant of \$15,000 for general support

---

**The Citizens Campaign, Metuchen, NJ**

---

12-month grant of \$50,000 for general support

---

**The Graduate Center Foundation, New York, NY**

---

12-month grant of \$100,000 for support for the Shared Sacred Sites project

---

**The Jewish Theological Seminary, New York, NY**

---

12-month grant of \$50,000 for general support

---

**The New School, New York, NY**

---

12-month grant of \$10,000 for support for a panel discussion entitled, "Their America: The U.S. in the Eyes of the Rest of the World Post-Election"

---

---

**University of California, Berkeley, Berkeley, CA**

---

12-month grant of \$50,000 for the John Gardner Public Service Fellowship Program

---

**University of California, Berkeley, Berkeley, CA**

---

12-month grant of \$80,000 for a conference entitled, "The New Nationalism and Universities: Global Perspectives on Politics and Policy and the Future of Higher Education"

---

**University of Michigan, Ann Arbor, MI**

---

6-month grant of \$50,000 for support of an initiative integrating nonpartisan student voter registration into university life

---

**Video Veracity, Inc., New Orleans, LA**

---

12-month grant of \$50,000 for a documentary film about public libraries entitled, *Free For All*

---

**Women for Afghan Women, Fresh Meadows, NY**

---

12-month grant of \$100,000 for general support

---

**World Policy Institute, New York, NY**

---

12-month grant of \$20,000 for the book, *We Beg to Differ: The Unsung Gatekeepers of Media Credibility*

---

# Leadership Initiative

---

## **Case Western Reserve University, Cleveland, OH**

---

Academic Leadership Award in recognition of Case Western Reserve University President Barbara Snyder's outstanding academic and institutional leadership. 12 Months, \$500,000

---

## **Montgomery College, Rockville, MD**

---

Academic Leadership Award in recognition of Montgomery College President DeRionne Pollard's outstanding academic and institutional leadership. 12 Months, \$500,000

---

## **Georgetown University, Washington, DC**

---

Academic Leadership Award in recognition of Georgetown University President John DeGioia's outstanding academic and institutional leadership. 12 Months, \$500,000

---

## **Northeastern University, Boston, MA**

---

Academic Leadership Award in recognition of Northeastern University President Joseph Aoun's outstanding academic and institutional leadership. 12 Months, \$500,000

---

## **Georgia State University, Atlanta, GA**

---

Academic Leadership Award in recognition of Georgia State University President Mark Becker's outstanding academic and institutional leadership. 12 Months, \$500,000

---

## **Stevens Institute of Technology, Hoboken, NJ**

---

Academic Leadership Award in recognition of Stevens Institute of Technology President Nariman Farvardin's outstanding academic and institutional leadership. 12 Months, \$500,000

---

## **Harvey Mudd College, Claremont, CA**

---

Academic Leadership Award in recognition of Harvey Mudd College President Maria Klawe's outstanding academic and institutional leadership. 12 Months, \$500,000

# Andrew Carnegie Fellows Program

---

## Ahmed Mobarak

---

24-month grant of \$200,000 for the project, "The Science of Scaling Up Effective Interventions: An Application to Seasonal Poverty"

---

## Andrew Selee

---

12-month grant of \$200,000 for the project, "Intimate Strangers: How Mexico Shapes Everyday Life in the United States"

---

## Atalia Omer

---

24-month grant of \$199,000 for the project, "Religion, Gender, and the Practice of Peacebuilding and Development in Mindanao and Malindi"

---

## Cathleen Giustino

---

24-month grant of \$200,000 for the project, "Violence and Heritage: Museums, Racism and Erasure of the Past in Former Eastern Europe"

---

## Cecilia Menjivar

---

12-month grant of \$200,000 for the project, "The Temporariness of Immigrant Legality: Living in Legal Limbo"

---

## Charles Stewart III

---

12-month grant of \$200,000 for the project, "Assessing the Promise of Election Reform"

---

## Charlotte Gill

---

24-month grant of \$200,000 for the project, "The Meaning of Community Safety in Appalachian Kentucky"

---

## Christopher Bail

---

24-month grant of \$200,000 for the project, "Countering Extremist Narratives on Social Media via Computational Social Science"

---

**Daniel Immerwahr**

---

12-month grant of \$130,000 for the project, "How to Hide an Empire: Power and Territory in the Greater United States"

---

**David Bromwich**

---

24-month grant of \$200,000 for the project, "The Intellectual Life of Edmund Burke, Volume 2: From Imperial Reform to the French Revolution"

---

**David Campbell**

---

12-month grant of \$200,000 for the project, "Godless Politics: The Politics of Secularism in the United States"

---

**David Danks**

---

24-month grant of \$200,000 for the project, "Trust in an Age of Autonomous Technologies"

---

**Diana Mutz**

---

24-month grant of \$200,000 for the project, "Distance and Democracy: Discouraging Isolationism in an Interconnected World"

---

**Emiliana Versteeg**

---

24-month grant of \$200,000 for the project, "Do Constitutional Rights Make A Difference?"

---

**Emily Ryo**

---

24-month grant of \$200,000 for the project, "Detention Nation: Immigration Enforcement and the Future of American Democracy"

---

**Gregg Mitman**

---

12-month grant of \$200,000 for the project, "Forgotten Paths of Empire: Firestone and the Promise of Liberia"

---

**Gregory Nemet**

---

24-month grant of \$200,000 for the project, "How Did Solar Become Inexpensive? An Assessment of Six Global and Local Explanations"

---

**Jared Farmer**

---

24-month grant of \$200,000 for the project, "Latest Oldest Living Beings"

---

**Kamer Daron Acemoglu**

---

24-month grant of \$200,000 for the project, "Building State Capacity"

---

**Katerina Linos**

---

24-month grant of \$200,000 for the project, "Refugees Misdirected: Information Barriers in the Exercise of Legal Rights"

---

**Kristin Grace Michelitch**

---

24-month grant of \$200,000 for the project, "How Can Politicians Be Held Accountable to Perform Their Jobs?"

---

**Lauren MacLean**

---

24-month grant of \$200,000 for the project, "Climate Change and Energy Poverty in New Democracies: Learning from Ghana's Success in State-Building and Citizenship"

---

**Lauret Savoy**

---

24-month grant of \$200,000 for the project, "On the River's Back: Seeing Roots of an 'American Dilemma' in a History of Landscape and Mixed Heritage in the Chesapeake Tidewater and Piedmont"

---

**Melissa Dell**

---

24-month grant of \$200,000 for the project, "The Role of Primary Schooling in Promoting Tolerance, Civic Engagement, and National Unity: Evidence from Indonesia's Massive School Building Campaign"

---

**Mona Lena Krook**

---

24-month grant of \$200,000 for the project, "Violence against Women in Politics: A Rising Global Phenomenon"

---

---

**Monica Martinez**

---

24-month grant of \$200,000 for the project, "New Narratives for Reckoning with Histories of Violence"

---

**Nathan Kelly**

---

24-month grant of \$200,000 for the project, "America's Inequality Trap: How Economic Inequality Reinforces Itself Through Politics"

---

**Philip Napoli**

---

24-month grant of \$200,000 for the project, "Media Technocracy: The Rise of Algorithmic News and the Future of the Marketplace of Ideas"

---

**Polly Price**

---

24-month grant of \$200,000 for the project, "Governing Disease: Epidemics, Law, and the Challenge of Disease Control in a Democratic Society"

---

**Richard Nielsen**

---

24-month grant of \$200,000 for the project, "Islamic Authority in the Internet Age"

---

**Rucker Johnson**

---

24-month grant of \$200,000 for the project, "Long-run Impacts of Early-life Health and Education Investments"

---

---

**Sean Reardon**

---

24-month grant of \$200,000 for the project, "Opportunity and Education in America"

---

**Sikina Jinnah**

---

24-month grant of \$200,000 for the project, "Global Governance of Climate Engineering: Building an Institutional Framework"

---

**Stephen Gross**

---

24-month grant of \$198,000 for the project, "Germany's Energy Revolution: Past, Present, and Lessons for the Future"

---

**Tommie Shelby**

---

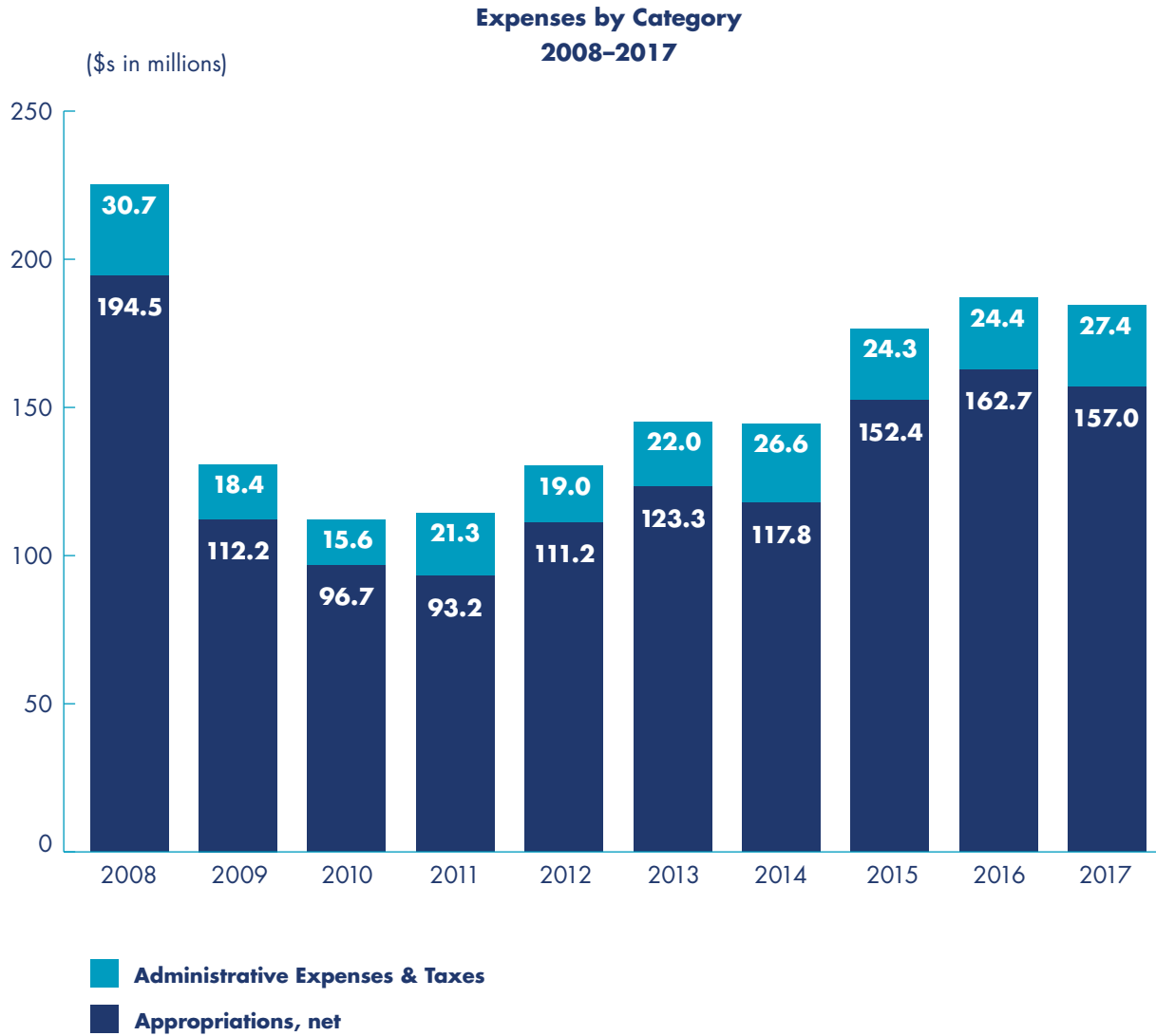
12-month grant of \$200,000 for the project, "Du Bois's Democratic Vision: Interpretation, Critique, Lessons"

# REPORT ON **FINANCES**

# APPROPRIATIONS AND EXPENSES

For the ten years ended September 30, 2017, the Corporation awarded 3,624 grants totaling \$1,321 million and incurred expenses of \$198 million for program management, direct charitable activities, and administrative expenses, excluding investment expenses, and \$31.6 million for taxes, for a total of \$1,550.6 million.

The graph below illustrates the change in expenses by category over the ten-year period ended September 30, 2017.



Each year the trustees appropriate funds to be used for grants and for projects administered by the officers. Many of the grants involve multiyear commitments. In the fiscal year ended September 30, 2017, 54 percent of the appropriated funds were paid within the fiscal year. Appropriations, net of refunds and cancellations, totaled \$157 million, compared to \$162.7 million in the preceding year.



Program management and direct charitable activities expenses were \$17.5 million in the fiscal year ended September 30, 2017, compared to \$16.7 million in the previous fiscal year. Included in these amounts, are direct charitable activities of \$4.1 million in 2017 and \$4.5 million in 2016. Direct charitable activities are services provided directly to other exempt organizations, governmental bodies, and the general public. Such services include providing technical assistance to grantees and potential grantees, conducting educational conferences and research, publishing and disseminating educational materials, and serving on boards of other charitable organizations or public commissions.

General administration expenses were \$6.3 million in 2017 and \$6.2 million in 2016.

The schedule below breaks down total expenses, excluding appropriations and taxes, into categories for the year ended September 30, 2017.

	Program Management and Direct Charitable Activities	Investment	General Administration	<b>TOTAL</b>
Salaries	\$ 6,515,756	\$ 3,327,052	\$ 2,708,563	\$ 12,551,371
Employee Benefits	3,400,991	587,756	1,473,824	5,462,571
Investment Advisory and Custody Fees	—	10,892,744	—	10,892,744
Rent	1,801,616	303,936	885,948	2,991,500
Legal and Accounting Services	—	460,566	248,949	709,515
Consultants	1,183,861	405,406	107,248	1,696,515
Publications	1,483,195	—	—	1,483,195
Conferences and Meetings	950,238	3,964	52,216	1,006,418
Travel	405,933	199,729	26,818	632,480
Computer Equipment and Services	381,074	73,622	169,751	624,447
Office Expenses	180,668	31,905	86,149	298,722
Amortization and Depreciation	730,960	—	359,451	1,090,411
Trustees' Honoraria and Expenses	173,745	3,675	76,512	253,932
Other	283,063	24,064	122,520	429,647
<b>TOTAL</b>	<b>\$ 17,491,100</b>	<b>\$ 16,314,419</b>	<b>\$ 6,317,949</b>	<b>\$ 40,123,468*</b>

\* In FY2016, total expenses, excluding appropriations and taxes, were \$37.7 million, which included \$14.8 million of investment expenses.

## TAXES

Under the provisions of the Tax Reform Act of 1969, the Corporation as a private foundation is subject to a federal excise tax of 2 percent on income and realized capital gains. However, under the Tax Reform Act of 1984, the rate is reduced to 1 percent if a foundation maintains its average expense rate of the previous five years and, in addition, spends the tax savings. The Corporation met the requirements for the reduced tax in 2017 and in 2016.

The Corporation had unrelated business income of \$2,613,000 in 2017 from certain investment partnership activities. After applying carryforward losses from prior years, federal and state taxes of \$886,000 were calculated on this income using applicable corporate tax rates.

Deferred tax liability represents the potential tax (at 2 percent) on unrealized gains as well as a book to tax timing difference.

## AUDIT BY INDEPENDENT ACCOUNTANTS

The bylaws provide that the Corporation's accounts are to be audited each year by an independent public accountant. Accordingly, the firm of RSM US LLP audited the Corporation's financial statements as of and for the year ended September 30, 2017. The Corporation's financial statements, together with the independent auditor's report, appear on the following pages.



## Independent Auditor's Report

RSM US LLP

To the Board of Trustees  
Carnegie Corporation of New York

### Report on the Financial Statements

We have audited the accompanying financial statements of Carnegie Corporation of New York (the Corporation), which comprise the balance sheets as of September 30, 2017 and 2016, the related statements of changes in net assets and cash flows for the years then ended, and the related notes to the financial statements.

### Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Corporation as of September 30, 2017 and 2016, and the changes in its net assets and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

*RSM US LLP*

New York, New York  
March 8, 2018

# BALANCE SHEETS

As of September 30, 2017 and 2016

	2017	2016
<b>ASSETS</b>		
Cash	\$ 46,390	\$ 89,847
Investments	3,507,472,215	3,327,544,145
Taxes Receivable	1,020,122	2,167,157
Prepaid Expenses and Other Assets	197,035	286,035
Fixed Assets	8,805,836	9,896,247
<b>TOTAL ASSETS</b>	<b>\$ 3,517,541,598</b>	<b>\$ 3,339,983,431</b>
<b>LIABILITIES AND NET ASSETS</b>		
<b>Liabilities</b>		
Grants Payable	\$ 110,831,848	\$ 112,887,830
Accounts Payable and Other Liabilities	7,977,665	7,785,124
Deferred Taxes Payable	21,906,452	18,296,489
<b>Total Liabilities</b>	<b>140,715,965</b>	<b>138,969,443</b>
<b>Net Assets</b>		
Temporarily Restricted	3,241,488,765	3,065,677,120
Permanently Restricted	135,336,868	135,336,868
<b>Total Net Assets</b>	<b>3,376,825,633</b>	<b>3,201,013,988</b>
<b>TOTAL LIABILITIES AND NET ASSETS</b>	<b>\$ 3,517,541,598</b>	<b>\$ 3,339,983,431</b>

See accompanying notes to financial statements.

# STATEMENTS OF CHANGES IN NET ASSETS

For the years ended September 30, 2017 and 2016

	2017	2016
<b>CHANGES IN TEMPORARILY RESTRICTED NET ASSETS</b>		
Investment Income		
Interest and Dividends	\$ 26,988,627	\$ 19,248,302
Net Realized Gains	192,395,656	116,054,219
Investment Income	219,384,283	135,302,521
Less Investment Expenses Paid Directly	(16,314,419)	(14,849,839)
Net Realized Investment Income	203,069,864	120,452,682
Change in unrealized appreciation of investments, net of related tax expenses of \$3,207,434 in 2017 and \$1,884,340 in 2016	157,164,257	92,332,640
Net Investment Income	360,234,121	212,785,322
Investment Income Released from Restriction – Appropriation for Expenditures	(184,422,476)	(187,153,366)
Changes in Temporarily Restricted Net Assets	175,811,645	25,631,956
<b>CHANGES IN UNRESTRICTED NET ASSETS</b>		
Investment Income Released from Restriction – Appropriation for Expenditures	184,422,476	187,153,366
Expenses		
Grant Appropriations	157,034,511	162,728,613
Program Management and Direct Charitable Activities	17,491,100	16,669,285
General Administration	6,317,849	6,225,227
Provision for Taxes	3,579,016	1,530,241
Total Expenses	184,422,476	187,153,366
Change In Unrestricted Net Assets	—	—
Change in Net Assets	175,811,645	25,631,956
Net Assets, Beginning of Year	3,201,013,988	3,175,382,032
Net Assets, End of Year	\$ 3,376,825,633	\$ 3,201,013,988

See accompanying notes to financial statements.

# STATEMENTS OF CASH FLOWS

For the years ended September 30, 2017 and 2016

	2017	2016
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Change in Net Assets	\$ 175,811,645	\$ 25,631,956
Adjustments to Reconcile Change in Net Assets to Net Cash Used in Operating Activities		
Change in Unrealized Appreciation of Investments	(160,371,691)	(94,216,980)
Net Realized Gains	(192,395,656)	(116,054,219)
Depreciation and Amortization	1,090,411	1,090,745
Amortization of Deferred Rent Obligation and Lease Incentive	162,061	160,146
Change in Deferred Taxes Payable	3,609,963	2,198,720
Total Adjustments	(347,904,912)	(206,821,588)
Change in Taxes Receivable and Prepaid Expenses and Other Assets	1,236,035	(1,484,762)
Change in Grants Payable and Accounts Payable and Other Liabilities	(2,025,502)	11,908,323
Net Cash Used in Operating Activities	(172,882,734)	(170,766,071)
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Proceeds from Sales or Redemptions of Investments	1,136,023,652	709,191,936
Purchases of Investments	(963,184,375)	(538,346,123)
Purchases of Fixed Assets	—	(20,542)
Net Cash Provided by Investing Activities	172,839,277	170,825,271
Change in Cash	(43,457)	59,200
Cash, Beginning of Year	89,847	30,647
Cash, End of Year	\$ 46,390	\$ 89,847
<b>SUPPLEMENTAL CASH FLOW INFORMATION</b>		
Interest Paid	\$ 162,200	\$ 166,700

See accompanying notes to financial statements.

# NOTES TO FINANCIAL STATEMENTS

## (1) ORGANIZATION

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

## (2) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The accompanying financial statements have been prepared on the accrual basis of accounting and conform to accounting principles generally accepted in the United States of America as applicable to not-for-profit entities.

The Corporation maintains an endowment fund consisting of the original sums received from Andrew Carnegie and accumulated income thereon. The terms of the conveying instrument stipulated that the principal may never be expended; however, the income is expendable. The Corporation is subject to the New York Uniform Prudent Management of Institutional Funds Act (NYPMIFA) and has interpreted NYPMIFA as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary. Accordingly, the Corporation reports the original sums received from Andrew Carnegie as permanently restricted net assets and the remaining portion of the endowment fund that is not classified as permanently restricted net assets is classified as temporarily restricted net assets until those amounts are appropriated for expenditure by the Corporation in a manner consistent with the standard of prudence prescribed by NYPMIFA.

Annual appropriations for expenditure are approved by the Board of Trustees. Consistent with NYPMIFA, the Board of Trustees, when determining the annual appropriations, considers the duration and preservation of the endowment, the purposes of the Corporation and the endowment, general economic conditions, the possible effect of inflation or deflation, the expected return from income and the appreciation of investments, other resources of the Corporation, alternatives to expenditure of the endowment giving due consideration to the effect that such alternatives may have on the Corporation, and the Corporation's investment policy.

The fair value of investments has been determined as indicated in note 3. The carrying amounts of the Corporation's other financial instruments approximate fair value because of their short maturity.

For purposes of the statements of cash flows, cash includes all cash held in bank accounts at September 30, 2017 and 2016. Cash equivalents, which consist of highly liquid instruments with original maturity of three months or less, are held and reported as investments in the financial statements.

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

Grant appropriations, including multiyear grants, are recorded as an expense and a payable when grants are approved and communicated to the grantees. Grants payable are expected to be paid as follows: approximately \$75 million within one year and the remaining balance within three years.

The Corporation is a not-for-profit organization exempt from income taxes under Section 501(c)(3) of the Internal Revenue Code and is subject to federal excise taxes and taxes on unrelated business income. The Corporation follows the accounting standard on accounting for uncertainty in income taxes. Accordingly, the Corporation recognizes the tax benefit from an uncertain tax position only if it is more likely than not that the tax position will be sustained on examination by taxing authorities, based on the technical merits of the position. The tax benefits recognized in the financial statements from such a position are measured based on the largest benefit that has a greater than 50% likelihood of being realized upon ultimate settlement. With few exceptions, the Corporation is no longer subject to income tax examinations by U.S. federal, state, or local tax authorities for years before 2014.

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

The Corporation evaluates events occurring after the date of the financial statements to consider whether or not the impact of such events needs to be reflected or disclosed in the financial statements. Such evaluation is performed through the date the financial statements are issued, which is March 8, 2018, for these financial statements.

In February 2016, the Financial Accounting Standards Board issued Accounting Standards Update (ASU) 2016-02, *Leases (Topic 842)*. The guidance in this ASU supersedes the leasing guidance in Topic 840, *Leases*. Under the new guidance, lessees are required to recognize lease assets and lease liabilities on the statement of financial position for all leases with terms longer than 12 months. Leases will be classified as either finance or operating, with classification affecting the pattern of expense recognition in the income statement. The new standard is effective for fiscal years beginning after December 15, 2019, including interim periods within those fiscal years. Management has not yet evaluated the impact of this ASU on the financial statements.

In August 2016, the FASB issued ASU 2016-14, *Not-for-Profit Entities (Topic 958): Presentation of Financial Statements of Not-for-Profit Entities*. The amendments in this ASU make improvements to the information provided in financial statements and accompanying notes of not-for-profit entities. The amendments set forth the FASB's improvements to net asset classification requirements and the information presented about a not-for-profit entity's liquidity, financial performance, and cash flows. The ASU will be effective for fiscal years beginning after December 15, 2017. Earlier application is permitted. The changes in this ASU should generally be applied on a retrospective basis in the year that the ASU is first applied. Management has not yet evaluated the impact of this ASU on the financial statements.

Certain comparative amounts in the 2016 statement of changes in net assets have been reclassified to conform to the 2017 financial statement presentation. Previously reported income from partnership, net, has been reclassified to interest and dividends and net realized gains. This also resulted in the reclassification of comparative amounts for net realized gains and proceeds from sales or redemption of investments in the 2016 statement of cash flows. These reclassifications had no effect on either the 2017 or 2016 reported assets, liabilities, net assets, and changes in net assets.



### (3) INVESTMENTS

All investments are reported at fair value. Fair value is defined as the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date. The fair value hierarchy gives the highest priority to quoted prices in active markets for identical assets or liabilities (Level 1) and the lowest priority to unobservable inputs (Level 3). Inputs are broadly defined under ASC 820 as assumptions market participants would use in pricing an asset or liability. The three levels of the fair value hierarchy under ASC 820 are described below.

**Level 1:** Unadjusted quoted prices in active markets for identical assets or liabilities that the reporting entity has the ability to access at the measurement date. The types of investments in Level 1 include listed equities.

**Level 2:** Inputs other than quoted prices within Level 1 that are observable for the asset or liability, either directly or indirectly. Investments which are generally included in this category are corporate debt and less liquid securities such as securities traded on certain foreign exchanges. A significant adjustment to a Level 2 input could result in the Level 2 measurement becoming a Level 3 measurement.

**Level 3:** Inputs are unobservable for the asset or liability and include situations where there is little, if any, market activity for the asset or liability. The inputs into the determination of fair value are based upon the best information in the circumstances and may require significant management judgment or estimation. Investments that are in this category generally include equity and debt positions in private companies.

All transfers between fair value hierarchy levels are recognized by the Corporation at the end of each year. There were no significant transfers among Levels 1, 2, and 3 during 2017 and 2016.

In certain cases, the inputs used to measure fair value may fall into different levels of the fair value hierarchy. In such cases, an investment's level within the fair value hierarchy is based on the lowest level of input that is significant to the fair value measurement. The Corporation's assessment of the significance of a particular input to the fair value measurement in its entirety requires judgment, and considers factors specific to the investment. The following section describes the valuation techniques used by the Corporation to measure different financial instruments at fair value and includes the level within the fair value hierarchy in which the financial instrument is categorized.

Investments in securities traded on a national securities exchange, or reported on the Nasdaq national market, are stated at the last reported sales price on the day of valuation. These financial instruments are classified as Level 1 in the fair value hierarchy.

Securities traded in the over-the-counter market and listed securities for which no sale was reported on that date are stated at the last quoted bid price. These financial instruments are classified as Level 2 in the fair value hierarchy.

Investments in other funds, which may include restricted securities and other securities for which quotations are not readily available, are reported at fair value based on the applicable percentage ownership of the funds' net assets as of the measurement date. In determining fair value, the Corporation utilizes, as a practical expedient, the net asset value (or equivalent) provided by the fund managers (NAV of Funds). The majority of funds value securities and other financial instruments on a fair value basis of accounting.

The estimated fair values of certain investments of the funds, which may include private placements and other securities for which prices are not readily available, are determined by the fund managers or sponsor of the respective funds and may not reflect amounts that could be realized upon immediate sale, nor amounts that ultimately may be realized. Accordingly, the estimated fair values may differ significantly from the values that would have been used had a ready market existed for these investments. The fair value of the Corporation's investments in other funds generally represents the amount the Corporation would expect to receive if it were to liquidate its investment in the other funds excluding any redemption charges that may apply. Certain funds, primarily those that hold private equity and real estate investments, do not permit redemptions.

The following tables present the Corporation's investments that are measured at fair value on a recurring basis as of September 30, 2017 and 2016:

	Total	2017 Fair Value Measurements Using		
		Quoted Market Prices (Level 1)	Significant Observable Inputs (Level 2)	Unobservable Inputs (Level 3)
Cash and Cash Equivalents	\$ 382,157,685	\$ 382,157,685	\$ —	\$ —
Investments in Securities:				
Common Stock	103,213,695	103,213,695	—	—
Investments in Other Funds:				
Private Equity – Venture Capital <sup>(1)</sup>	53,822,153	—	—	53,822,153
Investments in Other Funds at NAV: <sup>(2)</sup>				
Global Equity	1,109,323,068			
Fixed Income	18,931,506			
Private Equity – Venture Capital	358,534,892			
Private Equity – Leveraged Buyouts	264,476,066			
Real Estate	295,489,699			
Natural Resources	218,178,553			
Absolute Return	703,344,898			
<b>TOTAL</b>	<b>\$ 3,507,472,215</b>	<b>\$ 485,371,380</b>	<b>\$ —</b>	<b>\$ 53,822,153</b>

	2016 Fair Value Measurements Using			
	Total	Quoted Market Prices (Level 1)	Significant Observable Inputs (Level 2)	Unobservable Inputs (Level 3)
Cash and Cash Equivalents	\$ 383,858,298	\$ 383,858,298	\$ —	\$ —
Investments in Securities:				
Common Stock	78,920,083	78,920,083	—	—
Investments in Other Funds at NAV: <sup>(2)</sup>				
Global Equity	972,756,898			
Fixed Income	54,615,821			
Private Equity – Venture Capital	429,324,390			
Private Equity – Leveraged Buyouts	267,449,204			
Real Estate	348,539,452			
Natural Resources	155,940,006			
Absolute Return	636,139,993			
<b>TOTAL</b>	<b>\$ 3,327,544,145</b>	<b>\$ 462,778,381</b>	<b>\$ —</b>	<b>\$ —</b>

<sup>(1)</sup> Certain private equity – Venture capital investment funds were sold in the secondary market in October 2017. Transfer of the corresponding investments was completed in December 2017. The fair value of these funds at September 30, 2017, is measured and reported at the sales proceeds of \$53,822,153. These venture capital investment funds were previously measured at fair value using the NAV of Funds practical expedient and as a result of the change in valuation methodology, were transferred into Level 3 investments as of September 30, 2017, at \$53,822,153.

<sup>(2)</sup> In accordance with the guidance provided by FASB ASU 2015-07, Subtopic 820-10, certain investments that are measured at fair value using the NAV of Funds (or its equivalent) practical expedient are not classified in the fair value hierarchy. The fair value amounts presented in this table are intended to permit reconciliation of the fair value hierarchy to the amounts presented in the balance sheets.

The following table lists the redemption terms and unfunded commitments for the investments in other funds:

	2017 Fair Value	Unfunded Commitments (in millions) <sup>(5)</sup>	Redemption Frequency	Redemption Notice Period
<b>Investments in Other Funds:</b>				
Global Equity	\$ 1,109,323,068	\$ 30.0	Various <sup>(3)</sup>	6–120 days
Fixed Income	18,931,506	—	Quarterly	60 days
Private Equity – Venture Capital	358,534,892	59.7	Illiquid	n/a
Private Equity – Leveraged Buyouts	264,476,066	175.8	Illiquid	n/a
Real Estate	295,489,699	203.0	Illiquid	n/a
Natural Resources	218,178,553	143.1	Illiquid	n/a
Absolute Return	703,344,898	—	Various <sup>(4)</sup>	30–180 days
<b>TOTAL</b>	<b>\$ 2,968,278,682</b>	<b>\$ 611.6</b>		

<sup>(3)</sup> Redemptions are permitted as follows: \$0.75 million daily, \$401.59 million monthly, \$223.19 million quarterly, \$72.90 million annually, \$75.12 million biannually, \$328.00 million have rolling lock-up periods, and \$7.77 million are illiquid.

<sup>(4)</sup> Redemptions are permitted as follows: \$101.46 million monthly, \$209.58 million quarterly, \$253.83 million annually, \$115.37 million have rolling lock-up periods, and \$23.10 million are illiquid.

<sup>(5)</sup> Includes unfunded commitments through March 8, 2018

Investments in leveraged buyout, venture capital, real estate, and natural resource funds cannot be redeemed. Distributions are expected to be made as the underlying investments of the funds are liquidated, which is estimated to occur as follows: 74% within the next five years, 26% within six to ten years.

Several of the investments in the funds have “side pocket” investments in illiquid assets, the redemption of which is dependent on the eventual sale of the underlying investment. The aggregate fair value of these investments held in side pockets was \$83,080,623 and \$84,857,529 as of September 30, 2017 and 2016, respectively.

The Corporation’s assets are invested with the objective of maintaining in perpetuity the purchasing power of the portfolio net of the mandated 5% spending for private foundations. In order to achieve this ambitious goal, the portfolio is invested in a diversified, multi-asset portfolio with a strong equity bias.

## **Global Equity**

The global equity portfolio is comprised of investments in developed markets and emerging markets. The global developed markets equity portfolio is invested primarily in securities of developed countries in order to generate a total return net of fees in excess of the MSCI World Index over a market cycle. The portfolio is actively managed.

The emerging markets portfolio is invested primarily in securities of emerging markets companies to generate a total return net of fees in excess of the MSCI Emerging Markets Index. The emerging markets portfolio is primarily actively managed.

## **Fixed Income**

The bond portfolio is largely comprised of high-quality, low-risk investments, which may be held directly. Generally, the Corporation's bond holdings are designed to act as protection for the portfolio and a source of rebalancing.

## **Private Equity — Leveraged Buyouts and Venture Capital**

The Corporation invests with leveraged buyout and venture capital managers in order to generate annualized returns at the portfolio level in excess of Cambridge Associates' Private Equity Index Median and the Cambridge Associates' Venture Capital Index Median, respectively. Individual managers are selected based on their superior ability to add value in this highly inefficient market, and are expected to perform in the top quartile of managers within their vintage year. Further, they are expected to outperform public market alternatives over a market cycle.

## **Real Estate**

The Corporation invests in real estate via private REIT structures and partnerships that are managed by superior operators who have demonstrated the ability to acquire, lease, reposition, and sell assets. Most of the Corporation's operating partners are focused on a particular property type or geographic area. The Corporation's real estate managers are expected to generate annualized returns at the portfolio level in excess of the NCREIF property index.

## **Natural Resources**

The Corporation invests with managers that buy, improve, and operate natural resource-related assets, including producing oil and gas properties.

## **Absolute Return**

Absolute return managers have a broad investment mandate and in aggregate have a low correlation with, and lower volatility than, the public equity markets. The absolute return portfolio is expected to generate equity-like returns over a market cycle with volatility between that of fixed income and public equities. The Corporation's absolute return managers are expected to generate annualized returns at the portfolio level in excess of the Cambridge Associates Hedge Fund of Fund Median.

During the years ended September 30, 2017 and 2016, the Corporation received distributions of marketable securities with a total fair value of approximately \$24.6 million and \$17.2 million, respectively, from limited partnerships.

In order to plan and budget in an orderly manner and to meet its 5% spending requirement, the Corporation maintains an annual spending rate policy of 5.5% of a 12-quarter rolling average of the fair value of the investment portfolio with the last quarter being March 31. This spending policy is reviewed periodically and may be amended at any time by the board of trustees as circumstances warrant.

#### (4) FIXED ASSETS

Fixed assets are composed of the following at September 30, 2017 and 2016:

	2017	2016
Leasehold Improvements	\$ 9,170,580	\$ 9,170,580
Furniture and Equipment	3,435,593	3,435,593
	12,606,173	12,606,173
Less Accumulated Depreciation and Amortization	(3,800,337)	(2,709,926)
<b>TOTAL</b>	<b>\$ 8,805,836</b>	<b>\$ 9,896,247</b>

#### (5) TAXES

The Corporation is liable for federal excise taxes of two percent of its net investment income, as defined, which includes net realized capital gains, for the year. However, this tax is reduced to 1% if certain conditions are met. The Corporation met the requirements for the reduced tax in 2017 and 2016. Therefore, current taxes are estimated at 1% of net investment income, as defined.

Deferred taxes represent 2% of unrealized appreciation of investments at September 30, 2017 and 2016, as qualification for the 1% tax is not determinable until the fiscal year in which gains are realized. No deferred taxes are provided for unrelated business income on unrealized appreciation as such amount cannot be estimated.

The Corporation had unrelated business income of \$2,613,000 in 2017 from certain investment partnership activities. After applying carryforward losses from prior years, federal and state taxes of \$886,000 were calculated on this income using applicable corporate tax rates and are included in the provision for taxes. During 2016, the Corporation had unrelated business losses of \$3,243,300.

The Corporation paid federal excise taxes of \$2,603,800 in 2017 and \$2,575,700 in 2016. The Corporation also paid federal and state unrelated business income taxes of \$676,200 in 2017 and \$246,300 in 2016.

#### (6) BENEFIT PLANS

The Corporation purchases annuities for qualifying employees under the terms of a noncontributory, defined contribution retirement plan with Teachers Insurance and Annuity Association and College Retirement Equities Fund. Retirement plan expense for the years ended September 30, 2017 and 2016 was \$1,456,700 and \$1,386,800, respectively.

In addition, the Corporation has a noncontributory defined benefit annuity plan to supplement the basic plan described above. This plan is also administered by Teachers Insurance and Annuity Association and College Retirement Equities Fund. Contributions to this plan are based on actuarial calculations. No contribution was required in 2017 and 2016. At December 31, 2016, the assets of the plan exceeded the actuarial present value of accumulated plan benefits by approximately \$563,800. Accumulation of benefits under this plan has been frozen effective April 1, 2007.

In addition, the Corporation provides certain medical benefits to its retirees. The cost of providing these benefits was \$751,100 in 2017 and \$647,600 in 2016, on a pay-as-you-go basis.

## (7) LEASES

The Corporation occupies office space at 437 Madison Avenue under a lease agreement that expires on February 28, 2030. The lease is subject to customary escalation clauses for real estate taxes and certain building operating expenses. Rent expense is recognized on a straight-line method over the life of the lease. The value of certain rent-free periods and deferred lease incentives of approximately \$5,853,000 at September 30, 2017, and \$6,000,000 at September 30, 2016, is included in accounts payable and other liabilities in the accompanying balance sheets.

The following is a schedule of the future minimum lease payments:

<b>Fiscal years ending September 30</b>	<b>Amount</b>
2018	\$ 2,880,000
2019	2,880,000
2020	3,053,000
2021	3,146,000
2022	3,146,000
Thereafter	24,683,000
<b>TOTAL</b>	<b>\$ 39,788,000</b>

Rental expense for 2017 and 2016, including escalations, was \$2,974,200 and \$2,900,800, respectively.

## (8) LINE OF CREDIT FACILITY

The Corporation has an \$80 million committed line of credit facility with The Bank of New York Mellon for grant funding and administrative expenses. There were no borrowings on this facility as of September 30, 2017 and 2016. Interest expense on undrawn capital for the years ended September 30, 2017 and 2016 was \$162,200 and \$166,700, respectively. This line of credit facility will expire on August 17, 2018.



REPORT ON  
**ADMINISTRATION**





# Fiscal 2017: The Year in Review

## BOARD AND COMMITTEES

---

### Annual Election

---

- **Governor Thomas Kean** was reelected chairman of the board at the March 2, 2017, board meeting.
- **Janet Robinson** was elected as Vice-Chairman of the board at the March 2, 2017, board meeting for a five-year term
- **Jared Cohon** was elected at the March 2, 2017 board meeting to a second four-year term effective December 7, 2017, to December 2021.
- **Judy Woodruff** was elected at the March 2, 2017 board meeting to a second four-year term effective December 7, 2017, to December 2021.
- **Anne Tatlock** was elected at the March 2, 2017 board meeting to a second four-year term effective March 8, 2018, to March 2022.

---

### New Trustees

---

- **General Lloyd James Austin III, U.S. Army (Ret.)** was elected at the December 8, 2016, meeting to a four-year term effective December 8, 2016, through December 2020.
- **Dr. Marcia McNutt** was elected at the December 8, 2016 meeting to a four-year term effective December 8, 2016, through December 2020.

---

### Retired Trustees

---

- **Kurt Schmoke** retired after the March 2, 2017, board meeting. He was elected to his first four-year term at the June 14, 2007, board meeting and was elected Vice-Chairman of the board from March 1, 2012, to March 2, 2017.

---

## The Corporation's standing committees were constituted as of September 31, 2017

---

- Elected to serve on the **Investment Management Committee** were Geoffrey T. Boisi, Chairman; Pedro Aspe; Lionel Barber (effective 3/2/2017); Stephen A. Oxman; Don M. Randel (effective 3/2/2017); Anne Tatlock
- Elected to serve on the **Planning and Finance Committee** were Don M. Randel, Chairman (effective 3/2/2017); Marcia McNutt (effective 3/2/2017); Louise Richardson
- Elected to serve on the **Committee on Trustees** were Janet Robinson, Chairman; Jared L. Cohon; John J. DeGioia (effective 3/2/2017); Edward P. Djerejian (effective 3/2/2017)
- Elected to serve on the **Audit Committee** were Edward P. Djerejian, Chairman; Jared L. Cohon (effective 3/2/2017); John J. DeGioia; Janet Robinson; Ann Claire Williams

Both Thomas H. Kean, Chairman of the Board, and Dr. Vartan Gregorian, President of the Corporation, serve ex officio on all standing committees, except for the Audit Committee on which Dr. Gregorian does not serve.

Membership on the ad hoc **Committee on Compensation** includes Thomas H. Kean, Chairman of the Board; Janet Robinson, Vice Chairman of the Board (effective 3/2/2017); Geoffrey Boisi, Chairman of the Investment Management Committee

## BOARD ACTIONS

### December 8, 2016 board meeting:

None

### March 2, 2017 board meeting:

None

### June 1, 2017 board meeting:

None

### September 7, 2017 board meeting:

**RESOLVED:** That the trustees authorize the President of the Corporation to approve \$3,500,000 from the funds in fiscal year 2016/2017 for **Academic Leadership Awards**.

## STAFF MILESTONES

During the fiscal year 2016/2017, there were a number of staff changes as the Corporation recognized professional growth with promotions and welcomed new people to the foundation. Appreciation was also expressed to departing staff members.

### The following individuals joined

- **Khafra Crooks** was hired as Digital Strategies Producer on 11/14/2016
- **Shomari Maynard** was hired as Administrative Assistant in HERA on 01/04/2017
- **Joseph Jung** was hired as Program Assistant, Strengthening U.S. Democracy on 03/13/2017
- **Alloya Elwadie** was hired as Program Assistant, Higher Education and Research in Africa on 03/20/2017
- **Megan Benay** was hired as Program Analyst, New Designs to Advance Student Learning on 05/30/2017
- **Julia M. Weede** was hired as Chief Communications and Digital Strategies Officer on 07/10/2017
- **Mojgan Rastegar** was hired as Program Assistant, Public Understanding on 07/13/2017

### The following individuals have updated titles

- **Greta Essig** as Executive Assistant
- **Adrienne Faraci** as Manager, Digital Campaigns and Special Initiatives, Communications
- **Celeste Ford** as Director, Media Relations, Communications
- **Ronnie Garwood** as Operations Coordinator, Democracy Program, Grants Administration and Budget, U.S. Democracy and Special Opportunities Fund

- **Iris Lee** as Junior Investment Analyst
- **Robert Nolan** as Executive Director, Communications and Content Strategy
- **Eugene Scherbakov** as Research Assistant, President's Office and Program Assistant, International Program

### The following individuals have left

- **Deanna Lee**, 10/31/2016
- **Sara Sands**, 01/13/2017
- **Gabrielle Porter**, 08/04/2017
- **Mark Mihalho**, 09/13/2017

### The following individuals were recognized for their years of service

- **Deana Arsenian**: 20 years
- **Ellen Bloom**: 10 years
- **Paula Douglas**: 10 years
- **Vartan Gregorian**: 20 years
- **Kim Lew**: 10 years
- **Gladys McQueen**: 30 years
- **Damon Roundtree**: 10 years



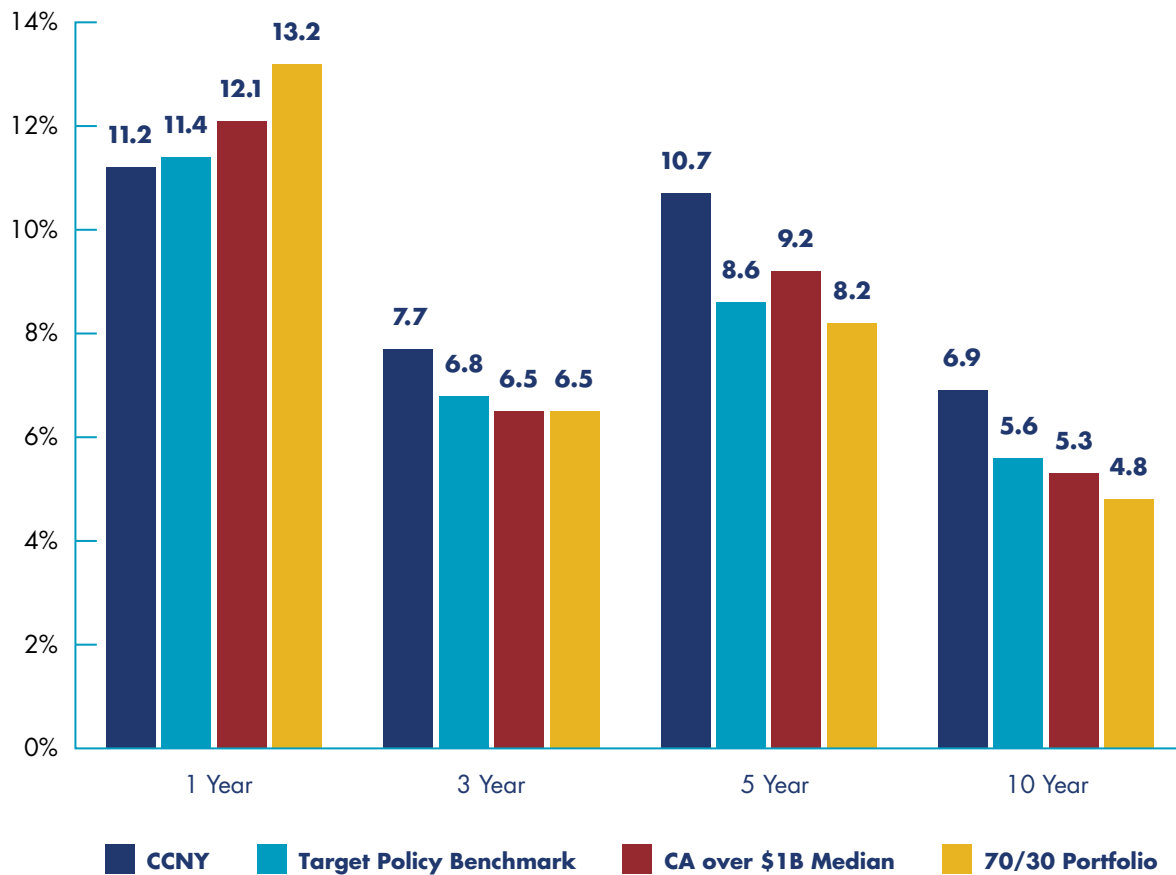
REPORT ON  
**INVESTMENTS**



Carnegie's performance for the fiscal year ended September 30, 2017, was 11.2%, versus our target policy benchmark of 11.4%. While diversification into illiquid markets has contributed significantly to long-term performance, returns were negatively impacted by these decisions over the past year. The return of the marketable assets portfolio was 14% while our non-marketable portfolio returned a modest 6%. However, over the 3-, 5-, and 10- year periods, non-marketable assets outperformed marketable assets by 410 basis points, 480 basis points, and 180 basis points, respectively. Traditional equity markets were driven higher as talk of a synchronized global recovery got louder, while private

markets were more muted due to rising multiples coupled with fears of raising rates and a more constrained lending environment. Both asset allocation and portfolio construction worked against us in the short term but we were still able to meet our primary goal of maintaining purchasing power net of spending. More importantly, the portfolio is positioned to capitalize on long-term trends and we expect continued strong performance. Over the past 10 years, we have grown assets from \$3.1 billion to \$3.5 billion, while at the same time paying out \$1.5 billion for grants and administrative expenses.

### Carnegie Corporation of New York Investment Results Period Ending September 30, 2017



## FISCAL YEAR PERFORMANCE

As stated, this year speaks to the challenges of having a diversified portfolio when public markets have run ahead of long-term expectations. Public markets will reflect short-term optimism while the illiquid assets will reflect long-term fears. As always, we feel that it is important to have a diversified portfolio where some assets can provide access to up markets and others buffer us from risk.

The Developed Markets portfolio gained 19.6 percent beating the MSCI World Index, which gained 18.8 percent. The developed market returns were strong and we kept pace with the exception of our investment in Japan, which significantly lagged.

In the Emerging Markets (EM) portfolio, our holdings were up 19.4 percent but underperformed the MSCI Emerging Markets Index by 3.5 percent because after years of lagging developed markets, emerging markets finally saw strength. Our portfolio is biased towards quality in all of the emerging markets and in some markets the rally was narrow making it challenging for us to keep pace. However, most investments still managed to keep pace with the strong performance of the developed markets.

Our absolute return portfolio plays an important role in the overall portfolio. We expect that in exchange for giving up some of the upside in bull markets, it will protect us in down markets and so over the course of a market cycle, it will outperform a public market alternative. This is done through two distinct portfolios. The long-short portfolio, which is a more classic volatility suppressor, and the event-driven opportunistic portfolio, which in many respects seeks out relative value in up markets and exploits dislocations in downturns. The event-driven opportunistic portfolio is highly dependent on the team's ability to source and due diligence opportunities globally, and are far more resource heavy but can have a meaningful impact on the portfolio. During time periods where markets have run unabated, the absolute return portfolio has struggled to keep pace with the developed markets equities. However, over the 10-year period that includes the Great Financial Crisis, the absolute return portfolio has performed just as it is expected and outperformed the public market alternative. It should also be noted that the opportunistic investments significantly

outperformed across all markets and demonstrates the importance of continuing to dedicate resource to sourcing uncorrelated investments that exploit inefficiencies.

With the exception of the natural resources portfolio, the non-marketable assets portfolio lagged the marketable assets portfolio.

In the buyout portfolio, managers returned 12.5% but underperformed their benchmark by 440 basis points, taking a breather after many years of significant outperformance. Over the past few years, many of our managers pulled exits forward as they saw multiples reach new heights, which drove outperformance. However, exits moderated significantly over the past year leading to more modest returns.

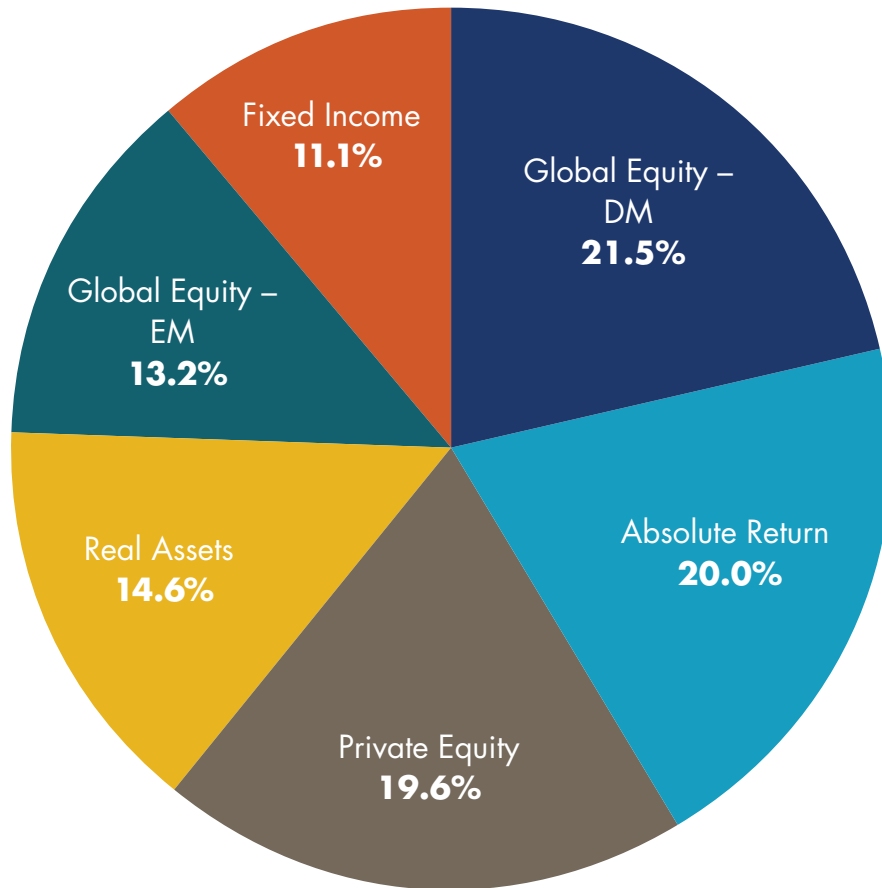
The venture capital asset class was down 1.6% under-performing the benchmark by 950 basis points in 2017. This reflects the mix of this portfolio which is hurt by its poor distribution among vintage years. The team made very few investments between 2007 and 2014 as we worked to reduce our over-allocation to venture. However, we are now feeling the impact of this decision because for many, these are the vintages that are currently providing the greatest percentage of distributions.

The Real Estate subportfolio returned 4.6% underperforming the NCREIF Property Index by 230 basis points. The NCREIF Property Index is more heavily weighted towards industrial properties and income producing stabilized properties, which significantly outperformed other property types.

The Natural Resource portfolio was a ray of hope in the nonmarketable assets portfolio returning 19.8% outperforming the Cambridge Natural Resources Index by 720 basis points and even outperforming the marketable assets portfolio. Natural resources is a modest 6.2% of the portfolio but was built up significantly over the last three years to exploit the market dislocation created by the drop in oil and gas prices.

Finally, the Corporation's Fixed Income portfolio continues to be held largely in cash, which finally worked in our favor. As a result of the modest uptick in interest rates, our fixed income portfolio was able to outperform its benchmark by 90 basis points.

**Carnegie Corporation of New York Asset Allocation  
at September 30, 2017**



## TAKING THE LONG VIEW

One year relative performance modestly underperformed the composite benchmark by 20 basis points, which is disappointing, but we take comfort that even in the short term we achieved our overarching goal of maintaining purchasing power net of spending. Over the past year, diversification did not contribute to performance. The best performing portfolios were those that deployed a traditional 70/30 allocation. However, we feel strongly that strong long-term

performance requires a diversified portfolio that is in position to exploit equity markets but that provides protection against the inevitable market dislocations. Over the 10 years ended September 30, 2017, our portfolio returned 6.9% and both outperformed composite benchmark and maintained purchasing power net of spending. Further we see the distinct advantage of having a diversified portfolio with the non-marketable assets portfolio outperforming the marketable portfolio by 180 basis points, although the non-marketable assets portfolio included the drag of real estate, which was the epicenter of the Great Financial Crisis.

## Carnegie Corporation of New York Performance Summary (Period Ending September 30, 2017)

	Asset Allocation	1-Year Performance			5-Year Performance			10-Year Performance		
		CCNY	B'Mark	Diff	CCNY	B'Mark	Diff	CCNY	B'Mark	Diff
<b>Marketable Portfolio</b>	<b>65.8%</b>	<b>14.0%</b>	<b>12.5%</b>	<b>1.6%</b>	<b>8.9%</b>	<b>6.2%</b>	<b>2.7%</b>	<b>6.2%</b>	<b>3.2%</b>	<b>2.9%</b>
Global Equity Assets	34.7%	19.7%	20.4%	-0.8%	10.7%	8.6%	2.1%	5.6%	3.5%	2.1%
Developed Markets	21.5%	19.6%	18.8%	0.8%	12.7%	11.6%	1.1%	6.8%	4.8%	2.0%
Emerging Markets	13.2%	19.4%	22.9%	-3.5%	5.2%	4.4%	0.8%	2.5%	5.5%	-3.0%
Fixed Income	11.1%	0.6%	-0.3%	0.9%	0.3%	1.0%	-0.7%	2.1%	3.0%	-0.9%
Bonds	XX.X%	-0.4%	2.4%	-2.8%	0.7%	3.4%	-2.7%	3.0%	4.5%	-1.5%
Cash	XX.X%	0.6%	0.1%	0.4%	0.2%	0.1%	0.1%	0.5%	1.2%	-0.6%
Absolute Return	20.0%	12.9%	7.3%	5.6%	11.1%	5.3%	5.8%	8.5%	3.4%	5.1%
Long/Short	XX.X%	13.9%	7.3%	6.6%	8.4%	5.3%	3.1%	7.0%	3.4%	3.6%
Event Driven/ Opportunistic	XX.X%	11.9%	7.3%	4.6%	13.3%	5.3%	8.0%	9.6%	3.4%	6.2%
<b>Non-Marketable Portfolio</b>	<b>X.X%</b>	<b>6.0%</b>	<b>9.4%</b>	<b>-3.4%</b>	<b>13.7%</b>	<b>12.8%</b>	<b>0.9%</b>	<b>8.0%</b>	<b>8.6%</b>	<b>-0.7%</b>
Private Equity	19.6%	3.5%	11.1%	-7.7%	16.0%	14.6%	1.4%	10.8%	10.4%	0.4%
Venture Capital	XX.X%	-1.6%	7.9%	-9.5%	15.8%	14.8%	1.0%	11.0%	9.1%	1.9%
Leveraged Buyouts	XX.X%	12.5%	16.9%	-4.4%	17.0%	13.7%	3.4%	10.9%	9.7%	1.3%
Private Real Estate	XX.X%	4.6%	6.9%	-2.3%	13.3%	10.3%	3.0%	3.0%	6.2%	-3.3%
Natural Resources	XX.X%	19.8%	12.7%	7.1%	1.1%	2.3%	-1.2%	6.0%	5.1%	0.9%
<b>Total Portfolio</b>	<b>100.0%</b>	<b>11.2%</b>	<b>11.4%</b>	<b>-0.2%</b>	<b>10.7%</b>	<b>8.6%</b>	<b>2.1%</b>	<b>6.9%</b>	<b>5.6%</b>	<b>1.4%</b>

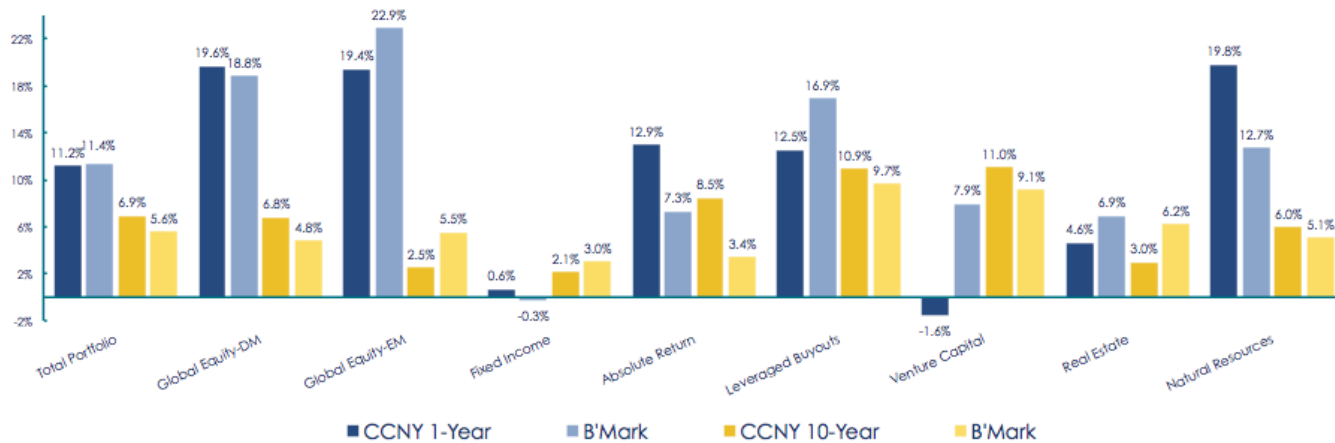
## THE ROAD AHEAD

The debate rages on between the bulls and bears. After 9 years of a recovery, how much longer can we expect markets to rise? It has been said too many times by the bulls that recoveries seldom die of old age; rather there is generally a catalyst that causes the shift in sentiment and expectations: rising rates, inflation, declining profits, war. None of the typical catalysts appear to be imminent. In fact, the tax law changes point to rising profits and the possibility of increased capital investment and repatriation of foreign profits back to the United States. In truth, both arguments are sound and it's really a question of timing. How long will the bulls run and when will the bears have their turn? Carnegie seldom constructs a portfolio that requires us to have strong predictive ability. Rather we design a diversified, long-term oriented portfolio and are purposeful about

creating optionality to invest when the market overreacts and presents us with the opportunity to make outsized returns. As we have done throughout our history, we will seek out equity-oriented managers that use bottom-up fundamental research to uncover mispriced assets; we will look for opportunities in undercapitalized and inefficient markets; we will invest opportunistically in market dislocations that offer asymmetric upside; we will do all this while constructing a highly diversified portfolio that mitigates risk. We understand that this strategy does not always look good in the short run. It generally means that we will shift to a defensive position before the overall market; we will miss periods where momentum defines the investing environment and where rallies are narrowly focused. However, we are confident that over the long term, we will be able to meet our ambitious goal of maintaining purchasing power net of our 5% mandated payout plus expenses so that we can continue to support the Carnegie mission into perpetuity.



Asset Class Returns - Short Term vs. Long Term



# TRUSTEES

Thomas H. Kean, *Chairman*

**THK Consulting, LLC**

President  
Far Hills, NJ

Janet L. Robinson, *Vice Chairman*

**The New York Times Company**

Former President and CEO  
New York, NY

Pedro Aspe

**Evercore Partners**

Chairman (Ret.)  
Mexico, D.F. Mexico

Lloyd J. Austin III

General, US Army (Ret.)  
St. Petersburg, FL

Lionel Barber

**Financial Times**

Editor  
London, United Kingdom

Geoffrey T. Boisi

**Roundtable Investment Partners LLC**

Chairman and CEO  
New York, NY

Jared L. Cohon

**Carnegie Mellon University**

President Emeritus and Director,  
Scott Institute for Energy Innovation  
Pittsburgh, PA

John J. DeGioia

**Georgetown University**

President  
Washington, DC

Edward P. Djerejian

**Baker Institute for Public Policy at Rice University**

Founding Director  
Houston, TX

Marcia McNutt

**National Academy of Sciences**

President  
Washington, DC

Stephen A. Oxman

**Morgan Stanley, Investment Banking Division**

Senior Advisor  
New York, NY

Don M. Randel

**The Andrew W. Mellon Foundation**

**The University of Chicago**

President Emeritus  
New York, NY

Louise Richardson

**University of Oxford**

Vice-Chancellor  
Oxford, England

Jorge Sampaio

**Former High Representative for the**

**UN Alliance of Civilizations**

President  
Lisbon, Portugal

Anne M. Tatlock

**Fiduciary Trust International**

Former President and CEO  
Brooklyn, NY

Ann Claire Williams

**Everett McKinley Dirksen United States Courthouse**

Judge of the United States Court of Appeals  
Chicago, IL

James D. Wolfensohn

**Wolfensohn Fund Management, L.P.**

Chairman and CEO  
New York, NY

Judy Woodruff

**PBS NewsHour**

Coanchor and Managing Editor  
Arlington, VA

## **HONORARY TRUSTEES**

Helene L. Kaplan

Newton N. Minow

# STAFF

Nehal Amer, Program Assistant, Transnational Movements and the Arab Region

Deana Arsenian, Vice President, International Program and Program Director, Russia and Eurasia

Megan Benay, Program Analyst, New Designs to Advance Student Learning<sup>1</sup>

Kenneth Benson, Writer/Editor, Communications

Ellen Bloom, Vice President, CAO and Corporate Secretary

Rick Brown, Infrastructure and End User Technology Specialist

Nicole Howe Buggs, Associate Corporate Secretary and Director, Grants Management

Michael Burns, Investment Operations Manager

Jon-Michael Consalvo, Associate Director Risk Management, Portfolio Analysis and Investments

Khafra Crooks, Digital Strategies Producer, Communications<sup>2</sup>

Natasha Davids, Executive Assistant to the President

Stephen J. Del Rosso, Jr., Program Director, International Peace and Security, International Program

Jeanne D'Onofrio, Chief of Staff, President's Office

Paula Douglas, Executive Assistant, CAO'S Office

Alloya Elwadie, Program Assistant, Program Officer, Higher Education and Research in Africa, International Program<sup>3</sup>

Greta Essig, Executive Assistant, President's Office

Adrienne Faraci, Manager, Digital Campaigns and Special Initiatives, Communications

Celeste Ford, Director, Media Relations, Communications

Claudia Frittelli, Program Officer, Higher Education and Research in Africa, International Program

Veronica (Ronnie) M. Garwood, Operations Coordinator, Democracy Program, Grants Administration and Budget, U.S. Democracy and Special Opportunities Fund

Mary Gentile, Grants Assistant, Grants Management

Andrew Geraghty, Program Analyst, U.S. Democracy and Special Opportunities Fund

Vartan Gregorian, President

Jacqueline Guttman, Investment Analyst

Elise Henson, Program Analyst, Education

Zoe Ingalls, Special Assistant to the President

Andrea Johnson, Program Officer, Higher Education and Research in Africa, International Program

Brooke Jones, Director, Investments

Joseph Jung, Program Assistant, Strengthening U.S. Democracy<sup>4</sup>

Karim Kamel, Program Assistant, International Peace and Security Program, International Program

Ambika Kapur, Program Officer, National Program

Rex Kim, Applicant Support Engineer

Constanza Lafuente, Program Analyst, Leadership and Teaching to Advance Learning

Jean R. Laraque, Senior Accountant, Finance

Deanna Lee, Chief Communications and Digital Strategies Officer, Communications<sup>5</sup>

Iris Lee, Junior Investment Analyst

Ken Lee, Director, Investments

Kim Y. Lew, Vice President, Chief Investment Officer

Alisa Mall, Director, Investments

Virginia Mallon-Ackermann, Executive Assistant, President's Office

Geri P. Mannion, Program Director, U.S. Democracy and Special Opportunities Fund

Shomari Maynard, Administrative Assistant, Higher Education and Research in Africa, International Program<sup>6</sup>

1. As of May 2017

2. As of November 2016

3. As of March 2017

4. As of March 2017

5. As of October 2016

6. As of January 2017

Gladys D. McQueen, Records Manager, Grants Management

Mark Mihallo, Senior Investment Analyst<sup>7</sup>

Deborah Moore, Operations Coordinator, Communications

Michelle Napoli, Manager, Human Resources

Nancy Neuberger, Operations Coordinator, International Program

Kate Newburger, Administrative Assistant, Finance/President's Office

Patricia Moore Nicholas, Program Officer, International Peace and Security, International Program

Robert Nolan, Executive Director, Communications and Content Strategy

Maria Junia Perez, Controller, Finance

Gabrielle Porter, Finance Investment Operations Associate<sup>8</sup>

Noelle Pourrat, Program Assistant, International Peace and Security, International Program

Mojgan Rastegar, Program Assistant, Public Understanding<sup>9</sup>

José A. Rivera, Coordinator, Office Services

Bonnie Rivers, Associate Director, Grants and Records Management

Carl Robichaud, Program Officer, International Peace and Security, International Program

Robert Rosenthal, Director, Information Technology

Damon Roundtree, Mail Clerk/Office Assistant, Office Services

Rebecca Ryan, Program Assistant, Leadership and Teaching to Advance Learning

Evgeny (Eugene) Scherbakov, Research Assistant, President's Office and Program Assistant, International Program

Robert J. Seman, Vice President, Chief Financial Officer

Ronald Sexton, Librarian/Online Researcher, Communications

Lana Shenker, Accounts Payable Coordinator, Finance

Yotaro Sherman, Associate Director, Information Technology

Jim Short, Program Director, Leadership and Teaching to Advance Learning

Marisa (Lupo) Siroka, Program Assistant, New Designs to Advance Student Learning, National Program

Camilla Somers, Manager, Communications, President's Office

Shana Sorhaindo, Grants Associate, Grants Management

LaVerne Srinivasan, Vice President, National Program and Program Director, Education

Aaron Stanley, Program Assistant, International Peace and Security, International Program

Patricia Stochansky, Receptionist, Office Services

Saskia Levy Thompson, Program Director, New Designs to Advance Learning, National Program

Daniel Um, Principal Designer, Communications

Valerie Vitale, Operations Coordinator, National Program, Department Communications and Planning

Julia Weede, Chief Communications and Digital Strategies Officer<sup>10</sup>

Terry Welch, Operations Coordinator, National Program, Grants Administration and Budget

Hillary Wiesner, Program Director, Transnational Movements and the Arab Region

7. As of September 2017

8. As of August 2017

9. As of July 2017

10. As of July 2017

*Carnegie*  
CORPORATION  
OF NEW YORK