

From supporting efforts to promote education, international peace and the strength of our democracy, Carnegie Corporation continues to advance the ideals rooted in Andrew Carnegie's passion for promoting knowledge and understanding.

Carnegie
CORPORATION
OF NEW YORK

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Report on Program

International Program

Higher Education and Libraries in Africa

AMERICAN LIBRARY ASSOCIATION, *Chicago, IL*

FOR THE ANNUAL CARNEGIE CORPORATION *NEW YORK TIMES* LIBRARIAN AWARDS PROGRAM HONORING EXEMPLARY PERFORMANCE BY PUBLIC AND ACADEMIC LIBRARIANS. 24 MONTHS, \$193,200.

Librarians play key roles in promoting literacy and education, creating lifelong learners, and developing an informed electorate to sustain democratic traditions. In 2008, the Corporation partnered with the American Library Association (ALA) and *The New York Times* to reinstate and expand a New York Times librarian awards program under the administration of ALA. By recognizing the accomplishments of exceptional public, academic, and school librarians, the proposed awards program will continue to demonstrate how librarians are improving the lives of people in their communities. The proposed I Love My Librarian awards program honors ten librarians in an annual event, as a vehicle for library users to recognize outstanding performance.

BOSTON COLLEGE, *Chestnut Hill, MA*

AS A FINAL GRANT FOR THE CENTER FOR INTERNATIONAL HIGHER EDUCATION'S INTERNATIONAL HIGHER EDUCATION PUBLICATION AND THE INTERNATIONAL NETWORK OF HIGHER EDUCATION IN AFRICA. 24 MONTHS, \$461,300.

As higher education expands in Africa and globally, the sector is confronting issues of public and private funding, indigenization of knowledge, the impact of global rankings, and virtual learning environments. African universities have limited information to analyze the impact of these trends to enhance planning and decision making. The Center for International Higher Education (CIHE) at Boston College has developed a strong reputation worldwide for researching, analyzing, and sharing information through its publication *International Higher Education (IHE)*. Its *International Network for Higher Education in Africa (INHEA)* is now transitioning to the University of KwaZulu-Natal (UKZN) in South Africa. This proposal seeks renewal support for Africa-dedicated pages in *IHE*, and for *INHEA's Chronicle of African Higher Education and International Journal of African Higher Education (IJAHE)*.

INSTITUTE OF INTERNATIONAL EDUCATION, INC., *New York, NY*

FOR AN AFRICAN DIASPORA FELLOWSHIPS PROGRAM. 24 MONTHS, \$2,800,000.

African countries suffer from the highest rates of skilled labor migration across the world, while their share of skilled workers is the lowest worldwide. According to a 2013 study, "Engagements between African Diaspora Academics in the U.S. and Canada and African Institutions of Higher Education," by Prof. Paul Zeleza, approximately 20,000 to 25,000 academics of the African diaspora are employed at U.S. institutions. Based on recommendations of the study, the Institute of International Education (IIE), in partnership with Prof. Zeleza, vice president for academic affairs at Quinnipiac University, requests a grant to support the development and implementation of an African Diaspora Fellowships (ADF) program. Over a two-year project, ADF will support approximately 100 fellowships for faculty exchange of African diaspora scholars at African higher education institutions.

IWF LEADERSHIP FOUNDATION, *Washington, DC*

AS A FINAL GRANT FOR A HIGHER EDUCATION FELLOWSHIP PROGRAM FOR AFRICAN WOMEN. 36 MONTHS, \$247,500.

The low level of women's leadership in African higher education continues to surface as a challenge among African university stakeholders. The International Women's Forum (IWF) advances women's leadership across careers, cultures, and continents by connecting the world's most preeminent women. IWF's Leadership Foundation's Fellows Program helps emerging women leaders prepare for the highest levels of leadership in public and private sectors. Since 2002, the Corporation has supported twenty fellows from its partner universities in East and West Africa to participate in the IWF Fellows Program, including sessions at Harvard Business School and INSEAD. Several alumni have been promoted to national leadership positions including minister and vice-chancellor. IWF proposes to support nine additional fellows in its leadership training program for the next three years.

MAKERERE UNIVERSITY, Kampala, Uganda

AS A FINAL GRANT FOR POSTGRADUATE TRAINING AND RESEARCH PROGRAMS TO ADVANCE SCHOLARSHIP AND IMPROVE THE RETENTION OF AFRICAN ACADEMICS. 36 MONTHS, \$2,563,700.

This grant advances the International Program’s strategy of developing and retaining the next generation of African academics through promoting excellence in postgraduate training and research, emphasizing retention and strengthening intellectual communities. The program builds on previous Corporation support to strengthen the university’s capacity for high-quality postgraduate training and research along with staff retention. With an emphasis in this phase on the social sciences and humanities, it will train thirty-two Ph.D.’s, six postdoctoral fellows, and six master’s students. In addition, it will provide writing and publications grants to twenty-five emerging academics, mentorship, and skills enhancement training in research methods and communication skills. It will also support retention strategies.

SciDev.NET, London, United Kingdom

FOR A MULTIMEDIA SERIES ON STRENGTHENING DOCTORAL TRAINING AND RESEARCH IN AFRICA. 18 MONTHS, \$248,200.

A number of African governments have asserted that universities in their countries must produce more Ph.D. holders to fuel knowledge-driven development. However, viable plans for increasing doctoral production, with due attention to quality and resources, are generally absent from such announcements. In practice, issues of expanding access to undergraduate training and improving the employability of graduates take precedence, pushing postgraduate training into the background. SciDev.Net is a nonprofit media organization focused on generating support for the application of scientific discoveries to foster development. To raise awareness about issues that underpin large-scale strengthening of capacity for doctoral training that sustains both quantity and excellence, the organization will produce a multimedia series and engage a range of stakeholders in debate and dialogue.

SOCIAL SCIENCE RESEARCH COUNCIL, Brooklyn, NY

FOR A COMPETITIVE FELLOWSHIP PROGRAM TO PROMOTE DOCTORAL RESEARCH AND WRITING BY UNIVERSITY-BASED SOCIAL SCIENTISTS IN SELECTED AFRICAN COUNTRIES. 24 MONTHS, \$2,035,200.

The “Next Generation Social Sciences in Africa Fellowship Program,” managed by the Social Science Research Council, provides support to early-career academics in African universities at critical times during their doctoral study. Staff members of universities in Ghana, Nigeria, South Africa, Tanzania, and Uganda may apply for three types of fellowships: dissertation proposal development, research, and writing. Their research topics must fall within the broad theme of “Peace, Security, and Development.” Fellows are selected competitively, with each application reviewed by three scholars, most of whom are based in African universities. In addition to their fellowships, fellows participate in skill-building workshops and are eligible to apply for travel grants to present papers at international conferences. This grant will support up to eighty-four fellows in two cohorts.

TRUSTAFRICA, Dakar, Senegal

AS A FINAL GRANT FOR A POLICY DIALOGUE SERIES ON HIGHER EDUCATION TRANSFORMATION IN SUB-SAHARAN AFRICA. 28 MONTHS, \$927,700.

The Corporation has been committed to revitalization of African higher education since 2000, contributing to investments of over \$500 million together with the Partnership for Higher Education in Africa. Sustaining reforms supported by external donors requires mobilization of local stakeholders in the government, private sector, community groups, and regional organizations, to inform, build a constituency, effect policy, and leverage local resources. TrustAfrica aims to consolidate achievements seeded in TrustAfrica’s first phase through a series of national dialogs culminating in a continental summit on higher education in Africa. TrustAfrica will provide secretarial services to coordinate with the African Union, UN Economic Commission for Africa, higher education research think tanks, the World Bank, and other pan-African higher education policy organizations.

UNIVERSITY OF CAPE TOWN, *Cape Town, South Africa*

FINAL GRANT FOR POSTGRADUATE TRAINING AND RESEARCH PROGRAMS TO ADVANCE SCHOLARSHIP AND IMPROVE THE RETENTION OF AFRICAN ACADEMICS. 36 MONTHS, \$2,700,000.

University of Cape Town (UCT) is requesting support to continue its program of postgraduate training, and research to advance scholarship, and improve the retention of African academics. The Corporation has supported an earlier phase as part of four institutional grants to African universities that have been identified as leading institutions. Building on previous work, the program addresses the shortage of blacks and women academics in Africa with a particular focus on the fields of infectious disease, civil engineering, and economics. It will train thirty-nine Ph.D. graduates, fourteen postdoctoral fellows in the Institute for Infectious Diseases and Molecular Medicine, eight Ph.D. graduates and one postdoctoral fellow in civil engineering, and twenty-nine Ph.D. graduates and one postdoctoral fellow in Eco International Program\Higher Education and Libraries in Africa

UNIVERSITY OF THE WITWATERSRAND, *Johannesburg, South Africa*

AS A FINAL GRANT FOR POSTGRADUATE TRAINING AND RESEARCH PROGRAMS TO ADVANCE SCHOLARSHIP AND IMPROVE THE RETENTION OF AFRICAN ACADEMICS. 36 MONTHS, \$2,541,600.

The University of the Witwatersrand (Wits) is requesting support to continue its program of postgraduate training and research to advance scholarship and improve the retention of African academics. The Corporation has supported an earlier phase as part of four institutional grants to African universities that have been identified as leading institutions. Building on previous work, the program addresses the shortage of blacks and women academics in Africa with a focus on the interdisciplinary area of Global Change and Sustainability and Academic Medicine. The program will train eighteen new Ph.D. students, two postdoctoral fellows, consolidate the newly established Global Change and Sustainability Research Institute (GCSRI), support two research fellows, and deepen the work of the Faculty of Health Sciences Diaspora program.

UNIVERSITY WORLD NEWS (AFRICA), *Durban, South Africa*

FOR SUPPORT OF UNIVERSITY WORLD NEWS (AFRICA) HIGHER EDUCATION EDITORIAL PROJECTS. 24 MONTHS, \$200,000.

The growth of African economies has contributed to worldwide attention to African higher education. The World Bank, major global universities, and countries with investment interests in Africa are paying attention to the higher education sector. The sector itself is rapidly transforming by forces from within and without. In this environment, African academics are seeking new forms of dissemination through social media and online platforms. University World News (UWN) (Africa) is dedicated to increasing the online presence and visibility of African higher education through traditional and new forms of media. The proposed grant aims to: improve and expand reporting on and analysis of African higher education; reach both a continental and international audience with quality reporting on African higher education; and improve communication and collaboration among African academics and higher education professionals.

Higher Education in Eurasia

NATIONAL COUNCIL FOR EURASIAN AND EAST EUROPEAN RESEARCH, *Washington, DC*

AS A FINAL GRANT FOR ACADEMIC FELLOWSHIPS FOR RUSSIAN AND EURASIAN SCHOLARS. 24 MONTHS, \$700,000.

One of the most striking characteristics of the post-Soviet academic environment has been the collapse of informal networks that supported scholars in the social sciences and the humanities. The Corporation's Higher Education in the Former Soviet Union (HEFSU) initiative was created to help mitigate this through a network of Centers for Advanced Study and Education (CASEs) in Russia and Eurasia. However, while the CASEs offer modest fellowship support for scholars, they do not support extended research visits outside of their countries. This grant would fill this gap by providing outstanding local scholars the opportunity to update and expand their academic skills through the conduct of research at American universities. Most of the fellowships will result in publications, including English-language journals.

International Peace and Security

ALEXANDRIA TRUST, *London, United Kingdom*

FOR AN ONLINE PUBLICATION. 24 MONTHS, \$300,000.

The political upheavals and transformations in the Arab region have echoed across higher education institutions in the region. Currently, these institutions face many pressing challenges, from political control to cash flow and strikes, to foreign universities establishing bases of operation in difficult political and legal contexts. The stakes for higher education as an agent of change are high, yet transparency in the higher education sector is severely lacking. At present, there is no editorial platform in the region to enable academics to exchange ideas or information, provide critical data and analyses of pressing issues, or exchange opinions about ongoing developments in higher education in the Arab region. Al Fanar, an online publication of Alexandria Trust (the Trust), aims to fill this void. With Corporation support, Al Fanar will scale up its own reporting and community engagement capacity and provide an accessible and independent platform for higher education journalism, commentary, and analysis in the Arab region.

ALLIANCE FOR PEACEBUILDING, *Washington, DC*

FOR SUPPORT OF A CONSORTIUM TO ADVANCE PEACEBUILDING EVALUATION. 24 MONTHS, \$300,000.

In response to its complexity, the peacebuilding field has made meaningful strides over the past decade to address the perception that the field is too mercurial to measure. Much of this progress, however, has been made within individual organizations, and as a result, substantial field-wide challenges still exist. To begin addressing this challenge, the Alliance for Peacebuilding (AFP) and the United States Institute for Peace (USIP) founded the Peacebuilding Evaluation Project (PEP) in 2010, the first effort within the peacebuilding field to bring donors and implementers together to develop practical strategies to improve evaluation in this field. Corporation support will fund the next phase of this effort, the Peacebuilding Evaluation Consortium, which will continue addressing the disjuncture between peacebuilding research in academic settings and applied work in the field.

AMERICA ABROAD MEDIA, *Washington, DC*

FOR MEDIA PROGRAMMING CONNECTING CITIZENS IN THE UNITED STATES, MIDDLE EAST, AND SOUTH ASIA. 24 MONTHS, \$299,900.

Across the Middle East and North Africa, the so-called “Arab Awakening” demonstrated the capacity of media to mobilize citizens. Throughout the region, however, media structures remain vulnerable and underdeveloped. America Abroad Media (AAM) was founded to promote the free exchange of ideas and empower self-governing citizens worldwide. This grant will support AAM’s efforts to harness the power of media in the Middle East and South Asia and enable AAM to a) produce public radio town halls connecting Americans with counterparts in the Middle East and South Asia; b) bring Tunisians together for direct discussion on democratic transition; c) connect Afghans, Pakistanis, and Indians for dialogue via televised town halls. Through this project, AAM original programming will reach more than 200 million listeners and viewers and will build capacity in the region sustain this work.

AMERICAN UNIVERSITY IN CAIRO, *New York, NY*

FOR THE PROGRAM ON FUTURE GENERATIONS IN ECONOMIC DEVELOPMENT OF THE CENTER FOR GLOBAL AND PUBLIC POLICY. 24 MONTHS, \$500,000.

Economic issues undergird many of the challenges facing the Arab region today. Fundamental reforms are needed to encourage investment, revive economies, and put the countries on a path toward sustainable development. For these policies to take root, they must be developed from within and not imposed from the outside. And, they must be developed through mechanisms that take account of political and social realities in the region. In the face of these challenges, there is a dire need for innovative thinking and policy solutions. The American University in Cairo (AUC) aims to respond to this need. Through the Future Generations in Economic Development project, AUC will leverage its considerable base and expertise in Egypt to build the capacity of key stakeholders in the Arab region’s countries in transition to address pressing policy issues.

ARAB REFORM INITIATIVE, *Paris, FRANCE*

FOR SUPPORT OF ARAB REGION RESEARCH, CAPACITY BUILDING, AND POLICY OUTREACH. 24 MONTHS, \$500,000.

As many countries in the Arab region continue to transition into new forms of governance, the need to build scholarly research, partnerships, and engagement—not only among scholars in the region but also internationally—continues to intensify. This need is especially acute for younger scholars, many of whom are likely to emerge as thought and policy leaders in the region. These scholars, as a group, also tend to face significant challenges in obtaining the quality teaching, support, mentorship, and networks necessary for success. Within this context, the Arab Reform Initiative (ARI) is mobilizing its expertise in supporting regional research efforts among young and emerging scholars to catalyze scholarship and collaboration in the social sciences. In the coming two years, ARI will identify, select, and mentor forty young researchers from academic and policy circles, focusing especially on transition-relevant social science scholarship.

ARMS CONTROL ASSOCIATION, *Washington, DC*

FOR STRENGTHENING THE NUCLEAR WEAPONS THREAT REDUCTION ENTERPRISE. 24 MONTHS, \$525,000.

Few organizations in the field combine the depth and breadth of expertise of the Arms Control Association (ACA). Arms Control Today, ACA's flagship publication, is an authoritative and timely resource that amplifies the work of other Corporation grantees, and ACA is one of the first sources reporters and congressional staff consult when they have questions about arms control and threat reduction efforts. This is especially important at a time when fewer and fewer policymakers understand the technical and political dimensions of arms control. As one reviewer put it, the New START ratification debate in 2010 revealed a "major loss of arms control 'muscle memory' on the part of both senators and staff." A significant portion of this grant is dedicated to bipartisan outreach, with particular attention to policymakers at the center-right of the political spectrum.

ASPEN INSTITUTE, INC., *Washington, DC*

FOR THE WORK OF THE CONGRESSIONAL PROGRAM ON U.S. POLICY CHALLENGES IN SOUTH ASIA. 12 MONTHS, \$600,000.

The Aspen Institute Congressional Program (the Aspen Program) is an educational initiative for members of Congress aimed to provide the lawmakers with a strong grasp of critical public policy issues. Established in 1983, it remains one of the few safe places where members of Congress with differing views can have meaningful dialogue on the issues of the day. Through high-level conferences abroad, and breakfast meetings on Capitol Hill, legislators from both political parties and both houses of Congress hear from internationally recognized academics and experts; study their ideas; and explore various policy alternatives. The Aspen Program in 2013 will center on South Asia, including Afghanistan, Pakistan, and India. As a result of their experience, the participating legislators are more familiar with critical international issues and are exposed to a network of experts that they can use as a resource.

ATLANTIC COUNCIL OF THE UNITED STATES, INC., *Washington, DC*

FOR A PROJECT ON RUSSIA'S SECURITY RELATIONSHIP WITH THE UNITED STATES AND ITS ALLIES. 12 MONTHS, \$250,000.

With the U.S.-Russian relationship at another crossroads, promoting engagement between the two countries at the official and nonofficial levels remains an important international priority. The United States and Russia have learned to live with social, political, and economic difference, but the value gaps have widened on some foreign policy positions, including concerning the Arab region and humanitarian interventions, particularly with respect to Libya and Syria. A project of the Atlantic Council of the United States (the Council) will focus on Russia's interactions in the security sphere with the United States and its allies, primarily NATO. Greater consensus is needed between the United States and NATO concerning Russia; just as a greater consensus is needed within the United States on where Russia fits within the U.S. security and foreign policy priorities. Moving forward on this goal, the Council has established a working relationship with the Russian International Affairs Council (RIAC), a new Russian institution dedicated to foreign policy and headed by former Russian Minister of Foreign Affairs Igor Ivanov.

ATLANTIC COUNCIL OF THE UNITED STATES, INC.,
Washington, DC

AS A FINAL GRANT FOR THE EMERGING LEADERS OF PAKISTAN PROJECT, A PROGRAM TO BRING YOUNG PAKISTANI LEADERS TO THE UNITED STATES TO EXPOSE THEM TO A WIDE RANGE OF AMERICAN PEOPLE AND INSTITUTIONS. 28 MONTHS, \$350,000.

U.S.-Pakistan relations have seen a succession of good and bad in recent years. With a new government in place in Pakistan, both countries will face challenges to keep relations steady. To help strengthen ties and develop increased understanding, the Atlantic Council's South Asia Center seeks to develop a solid, long-term forum for dialogue between the two countries. The program will include security, public policy, and economic development, and consist of an exchange fellowship, issue briefs, events, and an annual conference. Related to this work, the Emerging Leaders of Pakistan project will help build broad younger constituencies to support constructive U.S. leadership and policies. Together, the projects support the work of the Corporation on the critical role of Pakistan in a host of international peace and security challenges.

ATLANTIC COUNCIL OF THE UNITED STATES, INC.,
Washington, DC

FOR THE U.S.-PAKISTAN PROGRAM. 12 MONTHS, \$229,000.

U.S.-Pakistan relations have seen a succession of good and bad in recent years. With a new government in place in Pakistan, both countries will face challenges to keep relations steady. To help strengthen ties and develop increased understanding, the Atlantic Council's South Asia Center seeks to develop a solid, long-term forum for dialogue between the two countries. The program will include security, public policy, and economic development, and consist of an exchange fellowship, issue briefs, events, and an annual conference. Related to this work, the Emerging Leaders of Pakistan project will help build broad younger constituencies to support constructive U.S. leadership and policies. Together, the projects support the work of the Corporation on the critical role of Pakistan in a host of international peace and security challenges.

BIPARTISAN POLICY CENTER, *Washington, DC*

FOR A PROJECT TO BUILD CONSENSUS ON A COMPREHENSIVE NUCLEAR WASTE MANAGEMENT PLAN. 18 MONTHS, \$375,000.

Without a plan to manage its nuclear waste, the United States will be unable to meet its nonproliferation goals—and will be less persuasive in dissuading risky practices by others. In 2010, after deciding to terminate the Yucca Mountain repository, the administration established the Blue Ribbon Commission (BRC) on America's Nuclear Energy Future. In 2012 the Commission proposed a new consent-based approach to siting nuclear waste facilities backed by an independent federal organization. This approach has the potential for bipartisan support, but success will require elaborating on the Commission's plan with actionable steps and building understanding of multiple stakeholder positions. The Bipartisan Policy Center (the "Center") seeks to advance this process by using its established convening and consensus-building approach to develop and advocate a path forward.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE,
Washington, DC

FOR THE CARNEGIE NONPROLIFERATION PROJECT IN SUPPORT OF THE ENDOWMENT'S GLOBAL VISION. 36 MONTHS, \$600,000.

The Carnegie Endowment for International Peace (the Endowment) is a global think tank with a mission to contribute to global security, stability, and prosperity through its international presence and multinational outlook. The Carnegie Moscow Center (Moscow Center) was established twenty years ago. More recently, the Endowment has added offices in Beijing, Beirut, and Brussels, in an effort to expand its global presence. This Corporation grant will support four projects in three of the Endowment's offices: the Moscow Center for its research and outreach in both the United States and Russia on issues of relevance to Russia, Eurasia, and U.S. policies toward that part of the world; the Carnegie Tsinghua Center for Global Policy in Beijing for work with Chinese institutions and scholars in carrying out research and dissemination independent of the government; the nuclear security work of the Washington, D.C. office, aimed at revitalizing the international nuclear order; and the follow-up activities of the Euro-Atlantic Security Initiative (EASI), aimed at building on EASI's final report by engaging younger scholars across the Euro-Atlantic region in research, outreach, and networks.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE,
Washington, DC

FOR THE EURO-ATLANTIC SECURITY INITIATIVE IN SUPPORT OF THE ENDOWMENT'S GLOBAL VISION. 39 MONTHS, \$200,000.

The Carnegie Endowment for International Peace (the Endowment) is a global think tank with a mission to contribute to global security, stability, and prosperity through its international presence and multinational outlook. The Carnegie Moscow Center (Moscow Center) was established twenty years ago. More recently, the Endowment has added offices in Beijing, Beirut, and Brussels, in an effort to expand its global presence. This Corporation grant will support four projects in three of the Endowment's offices: the Moscow Center for its research and outreach in both the United States and Russia on issues of relevance to Russia, Eurasia, and U.S. policies toward that part of the world; the Carnegie Tsinghua Center for Global Policy in Beijing for work with Chinese institutions and scholars in carrying out research and dissemination independent of the government; the nuclear security work of the Washington, D.C. office, aimed at revitalizing the international nuclear order; and the follow-up activities of the Euro-Atlantic Security Initiative (EASI), aimed at building on EASI's final report by engaging younger scholars across the Euro-Atlantic region in research, outreach, and networks.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE,
Washington, DC

FOR THE CARNEGIE MOSCOW CENTER IN SUPPORT OF THE ENDOWMENT'S GLOBAL VISION. 36 MONTHS, \$1,500,000.

The Carnegie Endowment for International Peace (the Endowment) is a global think tank with a mission to contribute to global security, stability, and prosperity through its international presence and multinational outlook. The Carnegie Moscow Center (Moscow Center) was established twenty years ago. More recently, the Endowment has added offices in Beijing, Beirut, and Brussels, in an effort to expand its global presence. This Corporation grant will support four projects in three of the Endowment's offices: the Moscow Center for its research and outreach in both the United States and Russia on issues of relevance to Russia, Eurasia, and U.S. policies toward that part of the world; the Carnegie Tsinghua Center for Global Policy in Beijing for work with Chinese institutions and scholars in carrying out research and dissemination independent of the government; the nuclear security work of the Washington, D.C. office, aimed at revitalizing the international nuclear order; and the follow-up activities of the Euro-Atlantic Security Initiative (EASI), aimed at building on EASI's final report by engaging younger scholars across the Euro-Atlantic region in research, outreach, and networks.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE,
Washington, DC

FOR THE CARNEGIE-TSINGHUA CENTER FOR GLOBAL POLICY IN SUPPORT OF THE ENDOWMENT'S GLOBAL VISION. 36 MONTHS, \$1,800,000.

The Carnegie Endowment for International Peace (the Endowment) is a global think tank with a mission to contribute to global security, stability, and prosperity through its international presence and multinational outlook. The Carnegie Moscow Center (Moscow Center) was established twenty years ago. More recently, the Endowment has added offices in Beijing, Beirut, and Brussels, in an effort to expand its global presence. This Corporation grant will support four projects in three of the Endowment's offices: the Moscow Center for its research and outreach in both the United States and Russia on issues of relevance to Russia, Eurasia, and U.S. policies toward that part of the world; the Carnegie Tsinghua Center for Global Policy in Beijing for work with Chinese institutions and scholars in carrying out research and dissemination independent of the government; the nuclear security work of the Washington, D.C. office, aimed at revitalizing the international nuclear order; and the follow-up activities of the Euro-Atlantic Security Initiative (EASI), aimed at building on EASI's final report by engaging younger scholars across the Euro-Atlantic region in research, outreach, and networks.

CENTER FOR NATIONAL POLICY, *Washington, DC*

FOR ITS LEADERSHIP DEVELOPMENT, EDUCATION, AND CAPITOL HILL PROGRAMS. 24 MONTHS, \$500,000.

U.S. policy leaders must make decisions about a rapidly changing security landscape, but lack the time to develop expertise about new developments. The Truman National Security Project Educational Institute (Truman) seeks to bridge the gap between these policymakers and more rigorous academic analysis by providing training, policy products, and briefings that deliver timely information to leaders in a form they can use. Truman's fast growing leadership development and education network has become a trusted conduit for delivering Corporation-sponsored research to decision makers. Through this project, Truman will educate members of Congress and their staffs on a 21st century security worldview, produce policy products on the most pertinent policy issues for decision makers on Capitol Hill and in the Administration, and connect specific policy ideas with a broader worldview consistent with American values.

CENTER FOR PUBLIC INTEGRITY, *Washington, DC*

FOR INVESTIGATIVE REPORTING ON EFFORTS TO CONTROL WEAPONS-USABLE NUCLEAR MATERIAL. 24 MONTHS, \$400,000.

Nuclear terrorism occasionally garners high-level attention but the threat is complex and poorly understood. Investigative journalism is unique in its ability to clarify complex issues and build a cohesive narrative. However, today's media outlets no longer have the capacity to dispatch reporters to undertake the level of analysis that is needed, a gap that can be filled by nonprofit outlets like the Center for Public Integrity, a nonpartisan journalistic outfit that produces independent work of high standards. The project will support the Center's investigations into the successes and shortcomings of efforts to secure fissile material. In addition to stories targeted at a U.S. audience, the project will reach news outlets in Russia, South Africa, China, and India. The Center's innovative copublishing arrangements allow its reporting to reach a much larger and broader audience than most Corporation efforts.

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, \$550,000.

At a time when official channels of communication between the United States and Russia seem blocked, additional measures are needed to promote relationships between those in Russian and U.S. policymaking circles. The Russia and Eurasia Program (the Program) of the Center for Strategic and International Studies (CSIS) is creating opportunities for public discourse and debate on the nature and future of the U.S.-Russia relationship. The Program assesses areas in which strategic partnership could evolve, and promotes interactions among younger American and Russian specialists to strengthen professional ties. It engages in projects that provide research, analysis, assessment, and recommendations to government and nongovernment officials. Alongside its projects and policy work, the Program builds and maintains strategic networks of scholars and experts for its various initiatives who contribute to the policy debate in Washington, in Moscow, and across Europe.

CENTER FOR THE NATIONAL INTEREST, *Washington, DC*

FOR PROJECTS ON U.S. RELATIONS WITH ASIAN AND MIDDLE EASTERN POWERS. 24 MONTHS, \$330,000.

At a time of great challenge for Western economies, industry and development are exploding in Asia, especially in India and China. The impact of that footprint is especially important in the Middle East. There, the danger of nuclear proliferation is increasing and competition for threatened resources such as water, minerals, and energy is escalating, all against the backdrop of climate change. The Center for the National Interest (CNI) is carrying out two interconnected projects. The first will work to analyze how the compounding factors of resource competition and climate change will affect key U.S. diplomatic and security issues on the Middle East-Asian agenda. The second will assess how, moving forward, the issues impact the unresolved question of Iran's nuclear program.

CENTER FOR THE NATIONAL INTEREST, *Washington, DC*

FOR A U.S.-RUSSIAN DIALOGUE ON MUTUAL INTERESTS AND VALUES. 24 MONTHS, \$300,000.

Russia remains a critical player to U.S. foreign policy decisions, with the ability to contribute to or derail solutions to many issues of concern to the United States. Working out a relationship where differences in both domestic values and foreign policy approaches can be dealt with effectively and diplomatically is challenging. Given the tensions in the relationship today, it is possible that the two governments could slide from disappointment to frustration into hostility. The Center for the National Interest (the Center) is among the leading American institutions with Russia-relevant programs. It strives to promote an effective cooperative relationship with Russia that meets both U.S. and Russian national interests. With Corporation support, the Center will continue its current Russia program, including nongovernmental engagement through dialogues between American and Russian policy and opinion leaders. In addition, the Center will organize a high-level discussion of U.S. and Russian interests and perspectives on major international challenges at the G20 Summit in St. Petersburg, Russia in September 2013.

COLLEGE OF WILLIAM AND MARY FOUNDATION,
Williamsburg, VA

FOR A PROJECT TO STRENGTHEN THE LINKS BETWEEN THE ACADEMIC AND POLICY COMMUNITIES IN THE INTERNATIONAL RELATIONS FIELD. 24 MONTHS, \$307,500.

The last decade has brought a resurgence of interest within both the academy and the policy world in studying and improving the interaction between these two communities. A 2012 Teaching, Research, and International Policy (TRIP) survey, conducted by the College of William and Mary, confirmed that international relations scholars overwhelmingly believe there is a gulf between the academy and the policy world and that it needs to be bridged. To address this challenge, the project seeks to leverage recent efforts to understand and address this gulf by bringing together the major participants in these efforts, along with those who have worked in both communities. The project also seeks to build on previous Corporation support for the TRIP survey, to improve the quality of the data available to scholars and policymakers interested in linking the academic and policy worlds of international relations.

COUNCIL OF AMERICAN OVERSEAS RESEARCH CENTERS,
Washington, DC

FOR STRENGTHENING SCHOLARLY COLLABORATION AND RESEARCH IN THE ARAB REGION. 24 MONTHS, \$500,000.

Rapidly evolving political, social, and economic developments across the Arab region make it imperative to bolster innovative social science research and scholarship in the region. The Council of American Overseas Research Centers (CAORC), a federation of twenty-three independent U.S. overseas research centers, aims to leverage its presence in many countries across the Arab region to catalyze social science research and scholarship and build lasting institutional partnerships. CAORC will leverage its considerable infrastructure and local reach in the Arab region toward these ends through sponsoring research, academic networking, and other capacity-building programs for scholars in the Arab region.

COUNCIL ON FOREIGN RELATIONS, INC., *New York, NY*

FOR SUPPORT OF THE CENTER FOR PREVENTIVE ACTION. 24 MONTHS, \$575,000.

From Syria to Pakistan, many countries around the world are experiencing turbulent transitions from years of authoritarian rule, while others are emerging precariously from protracted periods of internal strife. If prior experience is any guide, these countries will remain vulnerable to acute instability and violent conflict in the short to medium term. Since its creation in 1994, the Council on Foreign Relations Center for Preventive Action's (CPA) mission has been to help prevent, defuse, and resolve deadly conflicts around the world. Whereas other research organizations and various advocacy groups have active and productive programs to promote conflict prevention and peacebuilding around the world, CPA's primary focus is on enhancing U.S. preventive action in places of particular interest to the United States. Corporation funding will be targeted on core CPA activities to advance this mission.

GEORGE MASON UNIVERSITY FOUNDATION, *Fairfax, Virginia*

FOR A PROJECT TO ENHANCE PUBLICLY ENGAGED SCHOLARSHIP IN THE ARAB REGION. 24 MONTHS, \$500,000.

The long-entrenched authoritarianism in many countries in the Arab region often dramatically curtailed the ability of scholars, academics, and other social science experts to engage in meaningful critique and debate, especially in the public sphere. There are concrete and compelling needs to remove the barriers that previously separated knowledge producers from the citizenry and broader public sphere; and to ensure that cutting-edge social scientists in the region are supported, visible, and positioned to assert a positive impact on the future of their societies and inform ongoing debates about governance and transitional decision making. George Mason University (GMU) proposes a project to increase the capacity and visibility of cutting-edge social science scholars from the Arab region and to facilitate the vital international partnerships and collaborative research that will catalyze social science research and inform policy developments both in and about the region.

GEORGE WASHINGTON UNIVERSITY, *Washington, DC*

FOR THE PROJECT ON MIDDLE EAST POLITICAL SCIENCE.
24 MONTHS, \$700,000.

The Elliot School of George Washington University has the mission to train students in both the theory and practice of international affairs. It has an academically based curriculum that applies theory to real-world policy questions, which is a particularly attractive attribute at a time when major rethinking needs to take place about U.S. foreign policy priorities in an environment with shifting global dynamics. For several years, the Corporation has been observing the Elliot School and noticing its distinction. Two years ago, IP recommended a single grant to the university that brought together several strands of work to maximize potential integration among the projects and help further establish the Elliot School as the foremost place to develop knowledge needed for the study and conduct of policy and help to connect the school's analysis to the policymaking community. At this juncture, staff members recommend support for four projects of the university: the Project on Middle East Political Science (POMEPS), the Program on New Approaches to Research and Security in Eurasia (PONARS Eurasia), a research project to look at U.S. strategic nuclear policy toward China, and support to continue efforts to encourage bipartisan consensus on a challenging nuclear security agenda in the face of growing partisan divide in Washington, D.C.

GEORGE WASHINGTON UNIVERSITY, *Washington, DC*

FOR U.S. STRATEGIC NUCLEAR POLICY TOWARD CHINA.
24 MONTHS, \$450,000.

The Elliot School of George Washington University has the mission to train students in both the theory and practice of international affairs. It has an academically based curriculum that applies theory to real-world policy questions, which is a particularly attractive attribute at a time when major rethinking needs to take place about U.S. foreign policy priorities in an environment with shifting global dynamics. For several years, the Corporation has been observing the Elliot School and noticing its distinction. Two years ago, IP recommended a single grant to the university that brought together several strands of work to maximize potential integration among the projects and help further establish the Elliot School as the foremost place to develop knowledge needed for the study and conduct of policy and help to connect the school's analysis to the policymaking community. At this juncture, staff members recommend support for four projects of the university: the Project on Middle East Political Science (POMEPS), the Program on New Approaches

to Research and Security in Eurasia (PONARS Eurasia), a research project to look at U.S. strategic nuclear policy toward China, and support to continue efforts to encourage bipartisan consensus on a challenging nuclear security agenda in the face of growing partisan divide in Washington, D.C.

GEORGE WASHINGTON UNIVERSITY, *Washington, DC*

FOR PROMOTING BIPARTISAN NUCLEAR SECURITY CONSENSUS.
24 MONTHS, \$450,000.

The Elliot School of George Washington University has the mission to train students in both the theory and practice of international affairs. It has an academically based curriculum that applies theory to real-world policy questions, which is a particularly attractive attribute at a time when major rethinking needs to take place about U.S. foreign policy priorities in an environment with shifting global dynamics. For several years, the Corporation has been observing the Elliot School and noticing its distinction. Two years ago, IP recommended a single grant to the university that brought together several strands of work to maximize potential integration among the projects and help further establish the Elliot School as the foremost place to develop knowledge needed for the study and conduct of policy and help to connect the school's analysis to the policymaking community. At this juncture, staff members recommend support for four projects of the university: the Project on Middle East Political Science (POMEPS), the Program on New Approaches to Research and Security in Eurasia (PONARS Eurasia), a research project to look at U.S. strategic nuclear policy toward China, and support to continue efforts to encourage bipartisan consensus on a challenging nuclear security agenda in the face of growing partisan divide in Washington, D.C.

GEORGE WASHINGTON UNIVERSITY, *Washington, DC*

FOR THE PROGRAM ON NEW APPROACHES TO RESEARCH AND SECURITY IN EURASIA. 24 MONTHS, \$800,000.

The Elliot School of George Washington University has the mission to train students in both the theory and practice of international affairs. It has an academically based curriculum that applies theory to real-world policy questions, which is a particularly attractive attribute at a time when major rethinking needs to take place about U.S. foreign policy priorities in an environment with shifting global dynamics. For several years, the Corporation has been observing the Elliot School and noticing its distinction. Two years ago, IP recommended a single grant to the university that brought together several strands

of work to maximize potential integration among the projects and help further establish the Elliot School as the foremost place to develop knowledge needed for the study and conduct of policy and help to connect the school's analysis to the policymaking community. At this juncture, staff members recommend support for four projects of the university: the Project on Middle East Political Science (POMEPS), the Program on New Approaches to Research and Security in Eurasia (PONARS Eurasia), a research project to look at U.S. strategic nuclear policy toward China, and support to continue efforts to encourage bipartisan consensus on a challenging nuclear security agenda in the face of growing partisan divide in Washington, D.C.

HARVARD UNIVERSITY, Cambridge, MA

FOR THE WORKING GROUP ON THE FUTURE OF U.S.-RUSSIA RELATIONS. 24 MONTHS, \$220,000.

Innovative thinking and problem solving about the U.S.-Russia relationship is critical to international peace and stability, as Russia plays a prominent role in U.S. foreign policy. The Working Group on the Future of U.S.-Russia Relations (the Working Group) was founded several years ago to explore ways to deepen U.S.-Russian cooperation moving forward. It has developed a cohort of young scholars and intellectuals who could bring new ideas to the table. Coordinated by the Davis Center for Russian and Eurasian Studies at Harvard University, the Working Group convenes rising experts from leading American and Russian institutions to tackle the thorniest issues in the bilateral relationship. By engaging the latest generation of scholars in face-to-face discussion and debate, the Working Group generates policy recommendations that reflect common ground between the United States and Russia.

HARVARD UNIVERSITY, Cambridge, MA

FOR WORK TO STRENGTHEN NUCLEAR SECURITY AND SAFEGUARDS AND PROMOTE INTERNATIONAL ATOMIC ENERGY AGENCY REFORM. 24 MONTHS, \$800,000.

Despite progress in threat reduction, there remain many weak links in nuclear security rules and practices that leave us vulnerable to the spread of nuclear technology and materials. Harvard University's Project on Managing the Atom has been an analytical leader in efforts to identify gaps in policy frameworks and develop recommendations for improvements. The project team members have served as expert advisors on nonproliferation and threat reduction measures, and are highly respected for their ability to understand the nature of the threat and the policy landscape. The proposal builds on past work

and includes research and outreach on three distinct but related areas: a) promoting a commitment to nuclear security beyond the 2014 Nuclear Security Summit; b) reforming and strengthening the IAEA; and c) helping to ensure China's nuclear expansion does not introduce new global dangers.

HENRY L. STIMSON CENTER, Washington, DC

FOR GENERAL SUPPORT. 24 MONTHS, \$1,000,000.

Since 1989, when it was founded with Corporation leadership, the Henry L. Stimson Center (the Center) has a strong track record of performing innovative research that injects new ideas into the policy conversation. The Center is known for its ability to take on complex security issues and bring together national, international, and regional stakeholders to work toward pragmatic solutions. The Center's portfolio includes regional security, transnational threats, and effective institutions, and it has key programs on peacebuilding, nuclear nonproliferation, and security in South Asia. This year, they kicked off a campaign to raise \$5 million in unrestricted support over five years, which would strengthen the institution's effectiveness by providing institutional flexibility while sustaining progress on Corporation priorities. This is a general support challenge grant to help the Center meet these goals.

INSTITUTE FOR EASTWEST STUDIES, INC., New York, NY

AS A FINAL GRANT FOR A U.S.-RUSSIA WORKING GROUP ON AFGHAN NARCOTRAFFICKING. 24 MONTHS, \$380,000.

Given NATO's 2014 withdrawal from Afghanistan, the United States' planned troop drawdown, and persistent tension in the U.S.-Russia bilateral relationship, it is important to consider constructive ways for the United States and Russia to work together. The Institute for EastWest Studies (EastWest) will work to sustain U.S.-Russia cooperative engagement on an issue of mutual importance: the production and trafficking of opium and heroin in and from Afghanistan. For the past several years with Corporation support, EastWest has brought together Russian and U.S. technical and policy experts for frank discussions of concerns, intentions, and policy options regarding many facets of the Afghan narcotics trafficking threat. This grant represents a second, culminating round of support for this project, which will result in a joint policy assessment for members of the policy community.

INTERNATIONAL INSTITUTE FOR STRATEGIC STUDIES,
London, United Kingdom

FOR SUPPORT OF DIALOGUE AND RESEARCH ON IRAN,
NUCLEAR PROLIFERATION, AND SECURITY IN THE MIDDLE
EAST. 24 MONTHS, \$425,000.

Building on its strong track record of convening high-level Track II dialogues, the London-based International Institute for Strategic Studies (IISS) proposes to continue one such dialogue and launch a second. The first would involve renewed support for a dialogue involving Iran, its regional neighbors, Western countries, China, and Russia to address Persian Gulf security issues. Despite some of the more bellicose rhetoric from both Iran and its adversaries over Iran's nuclear program, the Corporation believes that the only sensible alternative to conflict is engagement. In a separate project, IISS also proposes to create a U.S.-Russia bilateral dialogue that would build on work IISS has conducted on both Asia-Pacific regional issues and Eurasia security affairs. This project would seek to involve Russia on issues related to the Asia-Pacific region where interchange with the U.S. has been lacking.

INTERNATIONAL INSTITUTE FOR STRATEGIC STUDIES-US,
Washington, DC

FOR SUPPORT OF A U.S.-RUSSIA DIALOGUE ON THE FUTURE
OF THE ASIA-PACIFIC REGION. 24 MONTHS, \$229,300.

Building on its strong track record of convening high-level Track II dialogues, the London-based International Institute for Strategic Studies (IISS) proposes to continue one such dialogue and launch a second. The first would involve renewed support for a dialogue involving Iran, its regional neighbors, Western countries, China, and Russia to address Persian Gulf security issues. Despite some of the more bellicose rhetoric from both Iran and its adversaries over Iran's nuclear program, the Corporation believes that the only sensible alternative to conflict is engagement. In a separate project, IISS also proposes to create a U.S.-Russia bilateral dialogue that would build on work IISS has conducted on both Asia-Pacific regional issues and Eurasia security affairs. This project would seek to involve Russia on issues related to the Asia-Pacific region where interchange with the U.S. has been lacking.

INTERNATIONAL PEACE INSTITUTE, INC., *New York, NY*

FOR SUPPORT OF RESEARCH, DIALOGUE, AND OUTREACH ON
PEACEBUILDING IN AFRICA. 24 MONTHS, \$313,800.

The International Peace Institute (IPI) has long been one of the key NGO players in the peacebuilding field, enjoying a particular comparative advantage given its close relationship with the office of the UN Secretary General and location across the street from the UN. It has long enhanced knowledge and policy development in peacebuilding, including the publication of several essential readings in the field. More recently, IPI has provided direct support to UN officials and member states on the challenges facing the organization's new "peacebuilding architecture." Guided by a Virtual Advisory Board comprised of African and international scholars and experts, this proposed project on peacebuilding will have a three-pronged approach: a balanced mix of locally grounded policy research, enhanced South-South and North-South dialogues, and outreach to disseminate knowledge and insights.

MASSACHUSETTS INSTITUTE OF TECHNOLOGY, *Cambridge, MA*

AS A FINAL GRANT FOR SUPPORT OF RESEARCH, MEETINGS,
AND DISSEMINATION ON "MISSED OPPORTUNITIES IN THE U.S.-
IRAN RELATIONSHIP 1979-2012." 24 MONTHS, \$199,700.

The U.S.-Iran relationship has been deeply troubled from the outset of the Iranian revolution in 1979, and the list of grievances from each side is long. The standoff between the two countries has generated considerable attention from public policy professionals, scholars, and civil-society activists. While some American groups advocate more forceful action toward Iran, including regime change by armed force, the weight of mainstream foreign policy opinion tends to favor negotiations to resolve the nuclear issue. Renewal support for this proposed project by Massachusetts Institute of Technology's (MIT's) Center for International Studies (CIS) would continue a final series of "critical oral history" conferences bringing together policymakers from the U.S. and Iran to better understand the national narratives of America and Iran and the mindsets that produce so much misperception of the others' motives and actions in a way that might provide the basis for possible reconciliation between these two seemingly implacable enemies.

MIDDLEBURY COLLEGE, *Middlebury, VT*

FOR A CHALLENGE GRANT TO EXPAND AND SUSTAIN THE WORK OF THE VIENNA CENTER FOR DISARMAMENT AND NON-PROLIFERATION. 48 MONTHS, \$2,000,000.

The International Atomic Energy Agency (IAEA) is essential to preventing the spread of nuclear weapons and ensuring peaceful access to nuclear technology. Unfortunately, the Agency is hampered by inadequate funding and seldom receives analytical support from academic and nongovernmental organizations. The Vienna Center for Disarmament and Non-Proliferation (the Vienna Center) was established in 2011 by Austria to help fill this gap. The Vienna Center combines research, education, outreach, public education, and networking to promote the development of independent expertise in the field of disarmament and nonproliferation. The demand for its services continues to grow. This challenge grant will help the Monterey Institute to leverage its relationships with national governments and foundations to secure the long-term viability of the Vienna Center.

NATIONAL ACADEMY OF SCIENCES, *Washington, DC*

FOR A ONE-TIME ONLY GRANT FOR A REPORT ON SCIENCE AND TECHNOLOGY ISSUES OF INTERNATIONAL SECURITY INTERESTS. 15 MONTHS, \$200,000.

At the suggestion of the Department of State (DOS), the National Academy of Sciences (NAS) proposes an assessment of the DOS' capacity to draw effectively on the science and technology assets of the country and the broader international community in carrying out its diplomatic responsibilities. Support for this endeavor recognizes the legacy of the long relationship between the Corporation and NAS. The effort will be supported by a committed coalition of funders with equal histories of support to NAS for its efforts and interest in the science and technology dimensions of foreign relations.

NATURAL RESOURCES DEFENSE COUNCIL, INC., *New York, NY*

FOR TECHNICAL ANALYSIS RELATED TO NONPROLIFERATION, DISARMAMENT, AND NUCLEAR ENERGY POLICY. 24 MONTHS, \$450,000.

The National Resources Defense Council (NRDC) is an influential environmental organization that for three decades has conducted groundbreaking work on the nuclear threat. This proposal renews support for the nuclear program, continuing work on fuel cycle and spent fuel management issues while addressing two new opportunities. The project has three components: 1) continued research and outreach to shape U.S. spent fuel management policies to minimize proliferation risks; 2) analytical work to reduce alert levels of U.S. and Russian nuclear forces and reduce the risk of inadvertent nuclear war; and 3) a new assessment of cyber threats to nuclear energy and associated electricity distribution networks. NRDC has had significant influence in these debates so far, and will continue to play a key role as an arbitrator between nonproliferation and environmental concerns.

NEW YORK UNIVERSITY, *New York, NY*

FOR SUPPORT OF A U.S.-CHINA DIALOGUE ON AFGHANISTAN AND PAKISTAN. 24 MONTHS, \$405,200.

The transition process in Afghanistan, leading to a drawdown of U.S. combat troops by the end of 2014, will present the United States and its international partners with multiple policy challenges. At present, key stakeholders and allies lack a forum in which to discuss these important issues in a constructive and informal manner. Building on the current Corporation-supported U.S.-China Dialogue on Afghanistan and Pakistan, the Afghanistan Regional Project at New York University's Center on International Cooperation will use additional funding to convene three more rounds of dialogue with Chinese partners. This process will involve a Track-1.5 format, with delegations comprised of representatives from departments of foreign affairs and the military. Select subject matter experts would also be invited to the discussion, and results would be disseminated to policy-makers in both capitals.

NONPROLIFERATION POLICY EDUCATION CENTER,
Arlington, Virginia

FOR RESEARCH, DISSEMINATION, AND CURRICULUM
DEVELOPMENT ON NONPROLIFERATION POLICY.

24 MONTHS, \$450,000.

The Nonproliferation Policy Education Center (NPEC) seeks to “clarify emerging strategic weapons proliferation threats and the options for mitigating them” for military planners, civilian officials, diplomats, the media, and academics. This proposal has three components. The first is a research and outreach effort focused on producing better nonproliferation outcomes in East Asia, which is at a pivot point in the wake of Fukushima and the emergence of alternatives such as low-cost imported natural gas. The second project activity is the development and administration of an advanced course of instruction on nuclear policy for academics and policy practitioners. The third activity is a set of monthly dinner seminars in Washington, D.C. designed to bridge gaps between policy practitioners—from the military, Capitol Hill, the Executive Branch, embassies, and the media.

NORTHEASTERN UNIVERSITY, *Boston, Massachusetts*

FOR THE BOSTON CONSORTIUM FOR ARAB REGION STUDIES.
24 MONTHS, \$500,000.

Transitions in the Arab region have exponentially increased the need to develop regional scholarship, especially in the social sciences. These events also increase the need to improve U.S. understanding of Arab cultures, and build more robust bases of knowledge both about the Arab world and about U.S. interests in the region. In response to these needs, the Boston Consortium for Arab Region Studies, coordinated by Northeastern University, will leverage both its extensive expertise and networks in the field and the surprisingly underutilized intellectual resources in the Boston area to develop a transdisciplinary international forum where scholars from Boston and the Arab region can collaborate, undertake and advance innovative research, and mentor up-and-coming scholars. The ultimate goal of this project is to amplify both the quality and the reach of Arab region scholarship and research.

PARTNERSHIP FOR A SECURE AMERICA, Inc., *Washington, DC*

FOR A PROJECT TO DEVELOP UPCOMING U.S. CONGRESSIONAL
STAFF LEADERS ON INTERNATIONAL PEACE AND SECURITY
ISSUES. 24 MONTHS, \$350,000.

Partnership for a Secure America (PSA) operates on the premise that progress within Congress on peace and security-related issues can most effectively be accomplished when bipartisan consensus exists in the lawmaking body. To advance that bipartisan accord, PSA established the Congressional Partnership Program (CPP). CPP creates opportunities through events and retreats for congressional staffers from across the political spectrum. They discuss important foreign policy and national security questions; absorb consensus building skills; and participate in a growing alumni network dedicated to cooperative action. Program staff members are recommending renewed support so that CPP can continue to encourage bipartisan action in the Senate and the House of Representatives that ultimately could create strong working relationships and break down partisan barriers within Congress.

PARTNERSHIP FOR GLOBAL SECURITY, *Washington, DC*

FOR A PROJECT TO STRENGTHEN NUCLEAR GOVERNANCE AND
SUPPORT THE NUCLEAR SECURITY SUMMIT. 24 MONTHS,
\$550,000.

Today’s nuclear security system is a patchwork of agreements, regulations, and guidelines that evolved over time and lack coherence. The Nuclear Security Summit (NSS) process, which continues with a meeting in the Netherlands in 2014, was established to fill these gaps by raising the profile of nuclear security issues; the process has led to some important achievements, though it has at times suffered from a lack of ambition and creativity. The Partnership for Global Security (PGS) has established itself as an international leader and innovator in the nuclear security area. This proposal seeks to leverage opportunities provided by the NSS process by focusing on four project areas: 1) strengthening Nuclear Security governance; 2) sustaining momentum at the NSS; 3) analyzing U.S. and global spending on Nuclear Security efforts; and 4) supporting the Fissile Materials Working Group (FMWG).

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, its diplomatic history, and its leaders' domestic and international goals and objectives, 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 the proposed China and the World Program (CWP) is to train and mentor the upcoming generation of scholars who study China's relations with the outside world, and who will go on to teach the next generation of citizens in the United States and other countries about China's foreign relations.

SOCIAL SCIENCE RESEARCH COUNCIL, *Brooklyn, NY*

FOR A PROJECT TO HELP DEVELOP COOPERATIVE SOLUTIONS TO PROBLEMS INVOLVING SECURITY ON THE KOREAN PENINSULA. 24 MONTHS, \$300,000.

North Korea has made it clear that it will retain its nuclear arms for the foreseeable future. That has led some to question the utility of diplomatic engagement with Pyongyang. An unstated premise of such skepticism is that once a state has nuclear arms, the game is over. Yet denuclearization is not binary. It is one thing for the North to have a handful of nuclear devices best delivered by container ship and another for it to have a growing arsenal of more sophisticated nuclear weapons deliverable by reliable missiles. It can continue to export weapons technology and know-how or not. Cognizant of the nature of the challenge, the Social Science Research Council's Northeast Asia Security Project will conduct Track II probes, help design cooperative solutions to security issues, and, based on this work, educate officials and publics in the United States, Northeast Asia, and elsewhere about the issues and stakes involved with a view toward promoting cooperative outcomes.

SOCIAL SCIENCE RESEARCH COUNCIL, *Brooklyn, NY*

FOR SUPPORT OF THE AFRICAN PEACEBUILDING NETWORK.
24 MONTHS, \$2,023,700.

The Social Science Research Council (SSRC) seeks renewal grant funding over the next two years for the African Peacebuilding Network (APN) to further its support of independent African research on conflict-affected countries and neighboring regions of the continent, and the integration of African knowledge into global policy and scholarly communities. The Program responds to the critical need for policy-relevant research on peacebuilding in Africa that is generated by, and reflects the knowledge of, locally based scholars working on the continent by: 1) supporting new research and analytical capacities; 2) inserting evidence-based knowledge from Africa into regional and global debates and policies on peacebuilding; and 3) facilitating the building of new networks among researchers, and between researchers and practitioners. The APN works from the premise that the highly uneven record of peacebuilding efforts in Africa can be improved by bringing the knowledge and diverse voices and perspectives of scholars and professionals in the region to bear on the analysis of problems and design of solutions by national, regional, and international policymakers.

SYRACUSE UNIVERSITY, *Syracuse, NY*

FOR A PROJECT TO PROMOTE GREATER CONVERGENCE BETWEEN ACADEMIC RESEARCH IN THE INTERNATIONAL RELATIONS FIELD AND FOREIGN POLICYMAKING.
24 MONTHS, \$143,000.

University-based scholars can be an important source of sound research and innovative ideas to inform policymaking. The academy is also the single most important venue for preparing the next generation of policymakers, as well as future security-related scholars. Yet today, there are serious questions about how effectively universities are playing either role. In an effort to rethink the approach to the advanced study of international relations/security studies, Syracuse University's Maxwell School of Citizenship and Public Affairs and the University of Texas at Austin's Robert S. Strauss Center for International Security and Law will bring together relevant stakeholders: employers (in the policymaking and related communities), scholars, students, and funders to assess current deficiencies and opportunities, and to identify sensible solutions and their realistic implementation.

THE GRADUATE CENTER OF THE CITY UNIVERSITY OF
NEW YORK, *New York, NY*

FOR SUPPORT OF A PROJECT ON WARTIME HISTORY AND THE
FUTURE OF THE UNITED NATIONS. 30 MONTHS, \$200,000.

With support from the Corporation (and six other foundations and eight governments), the UN Intellectual History Project (UNIHP, 1999-2010) compiled a comprehensive intellectual history of the world organization's contributions to setting the past, present, and perhaps future international agendas. The proposed Wartime History and the Future of the United Nations Project (WHFUNP) picks up where UNIHP left off but goes back further in history, to the UN's origins during the 1937-45 effort to defeat fascism. The UN created in 1942 was not only a military alliance, but also an institutionalized multilateral approach to problem solving. It was conceived to develop into a world organization that would continue wartime cooperation to maintain the peace and foster prosperity. The proposed research will make use of major unexplored archives of the UN at war.

THE UNIVERSITY OF MARYLAND FOUNDATION, INC.,
Adelphi, Maryland

AS A FINAL GRANT FOR RESEARCH AND TRAINING OF
RUSSIAN AND AMERICAN SECURITY EXPERTS.
24 MONTHS, \$410,000.

Overcoming obstacles in U.S.-Russian relations requires new thinking about the principles and operational practices of global security. One way of fostering this intellectual reassessment is by helping to develop a new generation of American and Russian security experts. This has been the objective of a joint project between the Center for International and Security Studies at the University of Maryland and the Moscow-based Institute of USA and Canada Studies. With continued Corporation support, the project will develop new curricula on international security, organize two week-long exchange visits for students and faculty, and promote policy-relevant research and dissemination at both institutions. The work will result in new course work, joint U.S.-Russian training seminars, publications, and policy outreach in both countries.

TUFTS UNIVERSITY, *Medford, MA*

AS A ONE-TIME GRANT FOR THE WORK OF THE INSTITUTE
FOR GLOBAL LEADERSHIP TO TRAIN FUTURE GENERATIONS OF
INTERNATIONAL SECURITY LEADERS. 24 MONTHS, \$200,000.

Recent major global developments and challenges underscore that the international environment is evolving quickly, new powers and nontraditional actors are rising, and new technologies are transforming the nature of conflict. The complexity of these challenges and developments imply the need for a generation of international security and foreign policy experts who are intellectually nimble, thinking critically, and able to be flexible in their approach. The Institute for Global Leadership of Tufts University (IGL) cultivates innovative ways to educate learners at all levels in understanding difficult and compelling global issues. Through a variety of related programs, IGL develops new generations of critical thinkers who are able to comprehend and deal with complexity, to bridge cultural and political differences, and to respond to some of the world's most pressing international challenges. Over the next two years, the activities of IGL will focus on the Middle East and North Africa (MENA) and on Russia and the former Soviet Union.

UNIVERSITY OF CALIFORNIA, SAN DIEGO, *La Jolla, CA*

FOR THE 21ST CENTURY CHINA PROGRAM.
36 MONTHS, \$600,000.

The University of California, San Diego (UCSD) proposes two distinct but related Asia-related projects: 1) a continuation of Track II dialogue by the Northeast Asia Cooperation Dialogue (NEACD) organized and run by the state-wide university system's University of California Institute on Global Conflict and Cooperation (IGCC) based at UCSD. NEACD is the region's only ongoing Track II forum convening government and military officials, along with nonofficial specialists, from China, Japan, the United States, Russia, and South and North Korea for informal discussion of pressing and longer-term regional security issues; and 2) a project at the new 21st Century China Program on the "Domestic Roots of China's International Behavior" that, through collaborative research, seeks to deepen understanding of China's political system and the domestic dynamics underlying its foreign policymaking.

UNIVERSITY OF CALIFORNIA, SAN DIEGO, *La Jolla, CA*

FOR THE NORTHEAST ASIA COOPERATION DIALOGUE.
36 MONTHS, \$500,000.

The University of California, San Diego (UCSD) proposes two distinct but related Asia-related projects: 1) a continuation of Track II dialogue by the Northeast Asia Cooperation Dialogue (NEACD) organized and run by the state-wide university system's University of California Institute on Global Conflict and Cooperation (IGCC) based at UCSD. NEACD is the region's only ongoing Track II forum convening government and military officials, along with nonofficial specialists, from China, Japan, the United States, Russia, and South and North Korea for informal discussion of pressing and longer-term regional security issues; and 2) a project at the new 21st Century China Program on the "Domestic Roots of China's International Behavior" that, through collaborative research, seeks to deepen understanding of China's political system and the domestic dynamics underlying its foreign policymaking.

UNIVERSITY OF OTTAWA, *Ottawa, Canada*

FOR A PROJECT TO ENGAGE INDIAN AND PAKISTANI
INTELLIGENT OFFICIALS ON REGIONAL ISSUES.
24 MONTHS, \$114,300.

The Ottawa Dialogue at the University of Ottawa is comprised of a series of four distinct dialogues between retired, senior officials from India and Pakistan (and Afghanistan in one case) addressing nuclear security, Afghanistan, confidence-building measures, and maritime issues. Of all the dimensions of the relationship between India and Pakistan, one which has yet to be explored in sufficient depth is the intelligence dimension. The intelligence services of the two countries, Pakistan's Inter-Service Intelligence and India's Research and Analysis Wing, are bureaucratically powerful and play a significant role in relations between them. Building on the success to-date of this series, the proposed dialogue between retired intelligence chiefs from the two countries will seek to explore whether there is a role for the intelligence services in reducing tensions in the region and how that role may be developed.

WOODROW WILSON INTERNATIONAL CENTER FOR
SCHOLARS, *Washington, DC*

FOR THE NUCLEAR PROLIFERATION INTERNATIONAL HISTORY
PROJECT. 36 MONTHS, \$800,000.

Despite reams of historical scholarship, major gaps remain in our understanding of nuclear drivers. For example, we lack definitive answers to the question of why certain states pursued nuclear weapons, or why many discontinued them. One obstacle is that key documents from many countries, such as Brazil, China, South Africa, and India, remain classified or inaccessible. The Nuclear Proliferation International History Project (the Project) brings together research organizations in eight countries to help correct this knowledge deficiency through a global archive, an oral history research effort, and a boot camp for emerging scholars. This year, the International Atomic Energy Agency (IAEA) joins the list of partners, bringing unique archival access. The Project will continue to unearth empirical evidence that can help scholars and policymakers better understand nuclear decision-making.

Discretionary Grants

Higher Education and Libraries in Africa

AFRICAN JOURNALS ONLINE, *Grahamstown, South Africa*

6 MONTH GRANT OF \$47,400 FOR A STUDY ON THE CURRENT STATUS OF OPEN ACCESS SCHOLARLY PUBLISHING IN SUB-SAHARAN AFRICA

ASSOCIATION OF AFRICAN UNIVERSITIES, *Accra-North, Ghana*

12 MONTH GRANT OF \$50,000 FOR A CONFERENCE OF RECTORS, VICE-CHANCELLORS, AND PRESIDENTS OF AFRICAN UNIVERSITIES

KING'S COLLEGE LONDON, *London, UK*

12 MONTH GRANT OF \$49,900 FOR A GRANTEE MEETING ON HIGHER EDUCATION LEADERSHIP, POLICY, AND GOVERNANCE

MAKERERE UNIVERSITY, *Kampala, Uganda*

12 MONTH GRANT OF \$1,500 FOR BUILDING A LOCAL COLLECTION OF BOOKS

NATIONAL RESEARCH FOUNDATION, *Pretoria, South Africa*

7 MONTH GRANT OF \$50,000 FOR A CONVENING ON EXPANDING AND SUSTAINING EXCELLENCE IN DOCTORAL TRAINING IN SUB-SAHARAN AFRICA

ONTARIO CONFEDERATION OF UNIVERSITY FACULTY ASSOCIATIONS, *Toronto, Canada*

11 MONTH GRANT OF \$20,000 FOR A CONFERENCE ON MEDIA COVERAGE OF HIGHER EDUCATION IN THE 21ST CENTURY

RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY, *New Brunswick, NJ*

2 MONTH GRANT OF \$19,600 FOR SUPPORT OF AFRICAN POSTDOCTORAL AND GRADUATE STUDENTS ATTENDING THE AFRICAN LINGUISTICS SCHOOL 2013

UNIVERSITY OF GHANA, LEGON, *Accra, Ghana*

12 MONTH GRANT OF \$1,500 FOR BUILDING A LOCAL COLLECTION OF BOOKS

UNIVERSITY OF JOS, *Jos, Nigeria*

12 MONTH GRANT OF \$50,000 FOR A STUDY ON HOW SELECTED AFRICAN POSTGRADUATE TRAINING AND RESEARCH NETWORKS ARE USING INFORMATION AND COMMUNICATION TECHNOLOGIES

UNIVERSITY OF KWAZULU-NATAL, DURBAN, *KwaZulu-Natal, South Africa*

18 MONTH GRANT OF \$49,900 FOR A STUDY ON HOW EARLY-CAREER AFRICAN ACADEMICS ARE LEARNING TO TEACH

International Peace and Security

ATOMIC HERITAGE FOUNDATION, *Washington, DC*

12 MONTH GRANT OF \$50,000 FOR PRESERVING THE MANHATTAN PROJECT IN MANHATTAN

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, *Washington, DC*

6 MONTH GRANT OF \$35,100 FOR SUPPORT OF THE SECURING SAFEGUARDS IN PERPETUITY PROJECT

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC., *Washington, DC*

8 MONTH GRANT OF \$49,800 FOR A HIGH-LEVEL STRATEGIC U.S.-RUSSIA TRACK II DIALOGUE

GEORGE WASHINGTON UNIVERSITY, *Washington, DC*

24 MONTH GRANT OF \$50,000 FOR JOHNSON'S RUSSIA LIST, AN INTERNET-BASED NEWSLETTER

GEORGE WASHINGTON UNIVERSITY, *Washington, DC*

19 MONTH GRANT OF \$50,000 AS A FINAL GRANT FOR DISSEMINATION ACTIVITIES OF THE WORLDVIEWS OF ASPIRING POWERS PROJECT OF THE ELLIOT SCHOOL

GERMAN MARSHALL FUND OF THE UNITED STATES, *Washington, DC*

9 MONTH GRANT OF \$50,000 FOR SUPPORT OF A PROJECT ON CHINA'S POSSIBLE DEMOCRATIC TRANSITION

HENRY L. STIMSON CENTER, *Washington, DC*

2 MONTH GRANT OF \$28,400 FOR A WORKSHOP ON NUCLEAR RISK REDUCTION IN SOUTH ASIA

INDIANA UNIVERSITY, *Bloomington, IN*

12 MONTH GRANT OF \$25,000 FOR SUPPORT FOR SYMPOSIA ON AFGHANISTAN AFTER THE U.S. DRAWDOWN AND NUCLEAR STABILITY IN SOUTH ASIA

INTERNATIONAL PEACE INSTITUTE, INC., *New York, NY*

24 MONTH GRANT OF \$50,000 FOR A PROJECT ON THE UNITED NATIONS SECURITY COUNCIL

INTERNATIONAL SCHOOL ON DISARMAMENT AND RESEARCH ON CONFLICTS (ISODARCO), *Rome, Italy*

12 MONTH GRANT OF \$50,000 FOR AN INTERNATIONAL COURSE ON NUCLEAR GOVERNANCE

JOHNS HOPKINS UNIVERSITY, *Washington, DC*

5 MONTH GRANT OF \$25,000 FOR SUPPORT OF A U.S.-NORTH KOREA TRACK II MEETING

MAUREEN AND MIKE MANSFIELD FOUNDATION, *Washington, DC*

10 MONTH GRANT OF \$50,000 FOR U.S.-JAPAN NUCLEAR WORKING GROUP AND JAPAN OUTREACH MEETINGS

MIDDLEBURY COLLEGE, *Middlebury, VT*

12 MONTH GRANT OF \$50,000 FOR THE GRADUATE LEARNING INITIATIVE IN RUSSIAN STUDIES AT THE MONTEREY INSTITUTE OF INTERNATIONAL STUDIES

NATIONAL COMMITTEE ON UNITED STATES - CHINA RELATIONS, INC., *New York, NY*

3 MONTH GRANT OF \$33,100 FOR A NEEDS ASSESSMENT OF CHINA-RELATED PROGRAMS AT U.S.-BASED RESEARCH INSTITUTES AND UNIVERSITIES

NEW YORK UNIVERSITY, *New York, NY*

15 MONTH GRANT OF \$50,000 FOR A WORKSHOP AND REPORT ON ALTERNATIVE SCENARIOS AND OUTCOMES FOR SYRIA

NEW YORK UNIVERSITY, *New York, NY*

4 MONTH GRANT OF \$49,900 FOR SUPPORT OF A US-CHINA DIALOGUE ON AFGHANISTAN AND PAKISTAN

NORWEGIAN PEACEBUILDING RESOURCE CENTRE, NOREF, *Oslo, Norway*

9 MONTH GRANT OF \$50,000 FOR THE U.S.-RUSSIA DIALOGUE ON SYRIA

SOUTHERN CENTER FOR INTERNATIONAL STUDIES, INC., *Atlanta, Georgia*

5 MONTH GRANT OF \$25,000 FOR SUPPORT OF A PUBLIC FORUM OF THE 16TH SECRETARIES OF DEFENSE CONFERENCE: "ADVICE TO THE NEWLY ELECTED ADMINISTRATION"

STEVENS INSTITUTE OF TECHNOLOGY TRUSTEES, *Hoboken, NJ*

6 MONTH GRANT OF \$45,900 FOR SUPPORT OF A CONFERENCE TO PROMOTE NUCLEAR ISSUES EDUCATION

UNITED NATIONS, *New York, NY*

12 MONTH GRANT OF \$50,000 FOR SUPPORT OF THE IMPLEMENTATION OF THE 2004 UN SECURITY COUNCIL RESOLUTION 1540

WORLD AFFAIRS COUNCILS OF AMERICA, *Washington, DC*

9 MONTH GRANT OF \$50,000 FOR A PUBLIC EDUCATION PROJECT ON THE 50TH ANNIVERSARY OF THE CUBAN MISSILE CRISIS

National Program

Strengthening Democracy

AMERICA'S VOICE EDUCATION FUND, *Washington, DC*

FOR SUPPLEMENTAL GENERAL SUPPORT. 6 MONTHS, \$800,000.

The United States, a nation of immigrants, is at a pivotal moment. The country is closer now than at any other time in recent memory to fixing a broken immigration system that divides families, weakens the economy, and excludes millions from fully participating in the American experience. In past efforts by proponents to advance federal reform, such as in 2007, a major flaw was the lack of a unified voice to promote the immigrant narrative through various media platforms. Established in 2008 with Corporation support, America's Voice Education Fund (AVEF) has moved quickly to fill this gap. With Corporation support, America's Voice Education Fund will continue to serve as the voice of the immigrant integration movement and help shape the media narrative on immigration policy and politics at the federal and state levels.

CATO INSTITUTE, *Washington, DC*

FOR A CAMPAIGN TO EDUCATE THE PUBLIC AND POLICYMAKERS ON THE IMPLICATIONS OF A BIOMETRICS IDENTIFICATION SYSTEM RELATED TO IMMIGRATION POLICY REFORMS. 24 MONTHS, \$150,000.

While there is a general consensus among policymakers from both parties that the country's immigration system is broken, there is much disagreement on what specific aspects of immigration policy should be addressed in an effort to reform the system. While some have called for a comprehensive solution that will address the most challenging pieces of immigration (such as what to do with the 11 million illegal immigrants currently living in the country), others prefer to address only specific immigration policies (such as the creation of a national identification system or an overhaul of the high-skill visa system). Such a piecemeal approach, which addresses only those policies that policymakers can more easily compromise on, leaves the most contentious and significant pieces of the country's broken immigration system unchanged. With Corporation support, Cato will engage conservative, independent, and liberal policymakers and bring its unique libertarian perspective to bear on the public debate on federal immigration reform and especially the consequences—both pro and con—of a national identification system.

MIGRATION POLICY INSTITUTE, *Washington, DC*

FOR GENERAL SUPPORT. 24 MONTHS, \$1,250,000.

Despite the increased support and momentum the immigration reform issue has enjoyed recently, many of the obstacles that thwarted previous attempts—which are deep and complex—still remain. Rigorous, fact-based research and recommendations on how to design and implement thoughtful and feasible immigration reform are needed. The Migration Policy Institute (MPI) is a leading think tank in the United States and the advanced industrial world dedicated to the study of migration. MPI attempts to build consensus by supplying ideas, analyses, and comparative perspectives to United States legislators and to the executive branch, state and local officials, policymakers working on immigration and migration in many nations, opinion leaders, civil society writ large, the media, and the public. With renewed Corporation support, MPI will continue its work devoted to building the foundations for enacting comprehensive immigration reform in the United States by providing an evidence base, revisiting the assumptions that have governed earlier reform efforts with fresh analyses, and promoting a more informed debate.

NATIONAL ACADEMY OF SCIENCES, *Washington, DC*

FOR A STUDY EXAMINING THE INTEGRATION OF IMMIGRANTS INTO AMERICAN SOCIETY. 33 MONTHS, \$250,000.

Improving knowledge and understanding of how immigrants integrate into their receiving communities and the impact of immigrants on the country will go a long way in informing the debate that will eventually lead to federal legislation reforming United States immigration policy. In 1997 the National Academy of Sciences published *The New Americans*, the results of a study examining the demographic, economic, and fiscal consequences of immigration to the United States. This seminal report has been widely used as a standalone reference for a broad spectrum of individuals interested in immigration policy. Since 1997, many factors—including the recession, and an increasing tendency among immigrants to settle outside of traditional gateway cities—have necessitated another look at this research. With Corporation support, the National Research Council, housed at the National Academies, will build on the 1997 report and conduct a study examining new data on U.S. immigration patterns and the impact of immigration on the country. As part of its research, the academy will look at current immigrant integration practices and how they can inform the country's immigration policies moving forward.

NATIONAL IMMIGRATION FORUM, INC., WASHINGTON, D.C.,
Washington, DC

FOR GENERAL SUPPORT. 24 MONTHS, \$1,000,000.

The assessment that America's immigration system is broken and meaningful policy reform is needed is widely accepted by the public and policymakers on both sides of the aisle. Despite this agreement, immigration policy is a divisive issue that policymakers have generally been unwilling to address. A highly visible, broad consensus including diverse constituencies from across the political spectrum is needed to help diffuse the polarized immigration debate and provide policymakers with the opportunity to negotiate meaningful policy reforms. In particular, conservative leaders of credible institutions, such as the faith, business, and law enforcement communities, are an essential component in establishing such a broad consensus of stakeholders. The National Immigration Forum has been building diverse coalitions of groups in support of immigration reform since its founding in 1982. With renewed Corporation support, the National Immigration Forum will continue to expand its coalition of faith, business, and law enforcement leaders and, along with other advocates for reform, will offer policymakers a new consensus for comprehensive immigration reform.

NATIONAL IMMIGRATION LAW CENTER, *Los Angeles, CA*

FOR A NATIONAL LEGAL IMPLEMENTATION STRATEGY TEAM TO SUPPORT UNDOCUMENTED IMMIGRANT YOUTH APPLYING FOR DEFERRED ACTION. 15 MONTHS, \$500,000.

In June 2012, the Obama administration announced a new policy to defer the deportation of undocumented immigrants brought to the United States as minors. Known as Deferred Action for Childhood Arrivals (DACA), the policy responds to the need to address the estimated 1.76 million youth who have grown up in the country but do not have the same access to education or employment as their native-born peers. Potential applicants may be unsure about whether they qualify, how to establish eligibility, and whether submitting a request is the best choice. This uncertainty presents certain risks for potential applicants—a group that has traditionally avoided government contact. To ensure that as many immigrant youth benefit from this policy as possible, the National Immigration Law Center (NILC) has launched the National Legal Implementation Strategy Team (NLIST)—a coalition of national immigrant-serving organizations with expertise in legal services, strategic communications, and advocacy. With Corporation support, NLIST will coordinate quality legal services; administrative advocacy; outreach and communications strategies; and field organizing efforts.

PUBLIC INTEREST PROJECTS, *New York, NY*

FOR SUPPORT OF THE FOUR FREEDOMS FUND, A DONOR COLLABORATIVE ON IMMIGRANT INTEGRATION AT THE STATE LEVEL. 12 MONTHS, \$5,000,000.

The Four Freedoms Fund (FFF), a donor collaborative housed at Public Interest Projects, supports immigrant-serving coalitions at the state and regional levels that incorporate three areas of work—immigrant civic engagement and integration, policy advocacy, and defense of immigrant rights. The adaptive capacity of FFF enables it to effectively influence emerging events in the immigrant integration movement, particularly at the state level, where opponents to immigration reform have become more prominent and opportunities to engage diverse communities in support of reform are ripe. With Corporation support, the Four Freedoms Fund's grantees will continue to push back against proposed anti-immigrant policies and work to advance policies that promote the integration of immigrants.

PUBLIC INTEREST PROJECTS, *New York, NY*

FOR SUPPORT OF THE STATE INFRASTRUCTURE FUND, A DONOR COLLABORATIVE THAT FOCUSES ON NONPARTISAN VOTER ENGAGEMENT. 24 MONTHS, \$3,000,000.

In 2012, little more than half of Americans eligible to vote did so. Even fewer Americans vote in midterm elections (42 percent in 2010), and in state and local elections, voter participation rates can be in the single digits. Even at its highest level in 1960, the percent of eligible Americans who turned out to vote never surpassed 65 percent—significantly lower than in other established democracies. A declining interest in voting, coupled with ongoing efforts to increase barriers to voting, have contributed to the country's low voter participation rate. The State Infrastructure Fund, a funder collaborative housed at Public Interest Projects, coordinates funders who support the sustainability of a nonpartisan voter engagement infrastructure in the states. With renewed Corporation support SIF will support state and national groups engaged in two broad areas of work: 1) protection of voting rights and 2) nonpartisan voter engagement (which includes voter registration, Get-Out-the-Vote drives, and voter education on candidates, policy issues, and the voting process), all aimed at increasing habitual voter turnout in the United States.

THE REGENTS OF THE UNIVERSITY OF MICHIGAN,
Ann Arbor, MI

FOR A PROJECT TO ENGAGE UNIVERSITY ADMINISTRATORS AND DEVELOP INCLUSIVE PRACTICES THAT OPEN EDUCATIONAL OPPORTUNITIES FOR IMMIGRANT STUDENTS.
24 MONTHS, \$200,000.

Despite the recent Obama administration policy granting some illegal immigrant youth access to temporary work permits, these youth face multiple obstacles to higher education, including restrictive state laws and school policies. Access to college is the gateway for social and economic integration into U.S. society. If inclusive practices encouraging immigrant youth to enroll in colleges and universities were to spread, they could play a critical role in building public will in support of broad social acceptance for immigrant students and immigration reform more broadly. The National Forum on Higher Education for the Public Good, housed at the University of Michigan, is dedicated to increasing awareness, understanding, and commitment, relative to the public service role of higher education in a diverse, democratic society. With Corporation support, the forum will reinvigorate commitment within higher education institutions to assert leadership around national issues related to diversity and inclusion, with a focus on illegal immigrant students.

WELCOMING AMERICA, *Decatur, GA*

FOR GENERAL SUPPORT. 18 MONTHS, \$200,000.

The role of the native-born in welcoming and integrating immigrants into the community and the country as a whole is often overlooked by immigrant advocates. Founded in 2009, Welcoming America focuses exclusively on helping the broader community to embrace change and participate in the integration process. A national, grassroots-driven collaborative, Welcoming America builds mutual respect and cooperation between foreign-born and U.S.-born Americans, creating the conditions for long-term integration, especially in new destination states where immigrants have not traditionally settled. With Corporation support, Welcoming America will work with its national 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.

Urban and Higher Education

ACADEMY FOR URBAN SCHOOL LEADERSHIP, *Chicago, IL*

FOR GENERAL SUPPORT AND FURTHER DEVELOPMENT OF PROGRAMS TO TRAIN AND RETAIN EXCELLENT STEM TEACHERS IN CHICAGO PUBLIC SCHOOLS. 36 MONTHS, \$750,000.

There is overwhelming evidence that teachers have greater in-school influence on student achievement than any other person or characteristic. Unfortunately, a considerable gap exists between need and capacity in the world of teacher development, placement, and support. This is particularly true for the development of school turnaround teachers, who require a specialized skill-set to manage the added complexity and challenges associated with transforming a failing school. The Academy for Urban School Leadership (AUSL), is a nonprofit that works in turnaround public schools in Chicago and offers a teacher-residency program that provides practical foundations specific to teaching in high-poverty, urban schools. Through this grant, AUSL will focus on recruiting and training excellent STEM teachers and will work to implement STEM-specific curriculum into its teaching model.

ALLIANCE FOR EXCELLENT EDUCATION, *Washington, DC*

FOR GENERAL SUPPORT. 24 MONTHS, \$1,500,000.

The Common Core State Standards present an enormous opportunity to improve education in the United States. However, if education delivery is not changed, the consequences will be grave. A recent McKinsey analysis projects that if nothing changes about the way schools and systems work to educate their students, the six-year dropout rate will rise from 15 percent to 30 percent. With stakes this high, it is imperative that states do not back away from the ambitious standards, but instead, that they have adequate supports to implement them equitably. They will need to share best practices and learn from one another. At the same time, there must be a coalition of voices demanding that states expect all students meet the same high standards and decry any dual pathway that enables states to lessen standards for some students. The Alliance for Excellent Education (AEE) will fill both of those roles. Through its webinars, in-person briefs, and written reports, AEE will provide a path for states to Common Core implementation. In addition, AEE will use its advocacy capacity to join other organizations in maintaining support for the standards and to defend the Common Core when resistance arises.

AMERICAN MUSEUM OF NATURAL HISTORY, *New York, NY*

FOR MOVING NEXT GENERATION SCIENCE STANDARDS INTO PRACTICE. 24 MONTHS, \$500,000.

The nation's capacity to innovate and the ability of American workers to thrive in the global economy depend on a broad foundation of math and science learning. But our schools are struggling to rise to the task at hand. Great among these challenges is the successful implementation of Next Generation Science Standards (NGSS). As states adopt NGSS, their teachers will need comprehensive and thoughtful materials to help them understand the new standards and learn how to use them to enhance student learning. The American Museum of Natural History (AMNH) has extensive experience in developing and helping to teach scientific content, as well as designing professional development for teachers in the STEM fields, and has agreed to take on this work on behalf of the field.

BRANDEIS UNIVERSITY, *Waltham, MA*

FOR STRENGTHENING, SUSTAINING, AND EXPANDING SCIENCE POSSE, A PROGRAM FOR INCREASING THE RECRUITMENT AND RETENTION OF UNDER-REPRESENTED STUDENTS IN STEM DISCIPLINES. 18 MONTHS, \$250,600.

The Science Posse, a program initiated at Brandeis University that aimed to increase the recruitment and retention of students from disadvantaged and under-represented backgrounds in STEM disciplines, has outperformed expectations for graduation and persistence in STEM majors with a 100 percent cohort on-time graduation with majors in sciences or closely related subjects of psychology and health policy. An added unanticipated development in the latter two years has been a significant increase in the numbers of underrepresented students majoring in sciences as students come to see larger numbers of African-American and Latino students persisting and succeeding in STEM courses. To build on that success, with renewed support from the Corporation, Brandeis aims to make Science Posse both a permanent fixture at the University through an endowment campaign, and to expand the reach of the Science Posse program to other colleges and universities.

CARNEGIE FOUNDATION FOR THE ADVANCEMENT OF TEACHING, *Stanford, CA*

FOR A REPORT ON STUDENT MOTIVATION AND COMMON CORE STANDARDS. 12 MONTHS, \$150,000.

The role of noncognitive factors has emerged once again as a critical piece of any approach to increasing student achievement, particularly in the era of the rigorous

Common Core State Standards. As schools work to adjust their academic instruction to meet the demands of the Common Core, they must also intentionally incorporate strategies to strengthen students' motivation, metacognition, and persistence so that students have both the cognitive and noncognitive skills necessary to succeed in the face of higher academic standards. The Carnegie Foundation for the Advancement of Teaching will study the research on student motivation, exploring the historical treatment of the issue in education, interviewing leading experts on psychological and social-emotional interventions, and visiting sites that are doing the best work in the field. Using this research, the Carnegie Foundation will write a report in which they will identify and describe innovative approaches that demonstrate how educators are creating school conditions and instructional designs to develop students' motivation, engagement, and persistence so that they master academic content. The high-quality research and accessible language of the report combined with the Carnegie Foundation's strong reputation will unify thinking around cognitive and non-cognitive factors in student achievement and galvanize a conversation among policymakers and practitioners.

CHARTER FUND, INC., *Broomfield, CO*

FOR IDENTIFYING, INCUBATING, AND SCALING PROMISING NEXT GENERATION LEARNING SCHOOL DESIGNS. 36 MONTHS, \$3,000,000.

Without strengthening efforts to "do school differently," students' increased struggle to meet the higher Common Core standards may have a significant negative effect on student persistence and academic progress. This suggests the need to hasten the development and scaling of new school designs to ensure that all students succeed in meeting the challenges put forward by the Common Core. Schools must emphasize personalized learning according to student needs, with a focus on using technology to enable anytime, anywhere learning. Rigorous learning that happens on a flexible, accelerated timeline can greatly increase students' potential for academic success. This proposal from the Charter School Growth Fund (CSGF) aligns directly with this idea, and enables CSGF staff to continue to develop, cultivate, and scale promising models across the country, while providing valuable lessons to the field as high-quality, Next Generation Learning-enabling school designs are implemented at scale. Some of the strongest schools in this effort have already emerged through the Corporation's first grant to the Charter School Growth Fund, which has been a leader in the field in terms of incubating, developing, and scaling charter models that seek to truly personalize learning for every student through their Next Generation Learning portfolio.

CLEVELAND METROPOLITAN SCHOOL DISTRICT,
Cleveland, OH

FOR DEVELOPING AND SUPPORTING NEW SECONDARY
SCHOOLS UNDER THE OPPORTUNITY BY DESIGN INITIATIVE.
36 MONTHS, \$3,000,000.

As program staff argued in the Opportunity by Design challenge paper, nowhere is the need for redesign greater or more urgent than in American high schools. In the context of the Common Core, high schools will be charged with educating all students to achieve much higher levels of skill and knowledge. At the same time, high schools will continue to be responsible for meeting the learning needs of large numbers of students who enter ninth grade performing significantly below grade level. This grant to Cleveland Metropolitan School District supports a realignment of system capacity to support innovative secondary school models and the creation of new high schools. School redesign is an ambitious response to the challenge of the Common Core, but nothing less will capitalize fully on this extraordinary opportunity and produce the realignment of resources needed to provide all high school students, including those who are underprepared, with powerful, personalized learning.

D.C. PUBLIC EDUCATION FUND, *Washington, DC*

FOR SUPPORT OF A STEM EDUCATOR DEVELOPMENT
STRATEGY IN D.C. PUBLIC SCHOOLS. 24 MONTHS, \$500,000.

Our country is at a critical juncture: Our need for science, technology, engineering, and math (STEM) capacity far outpaces our ability to train and keep great talent in these fields and our schools are struggling to rise to the task at hand. Fifty percent of all students test at or below basic levels in science, and 40 percent test at or below basic levels in math; by 12th grade, only 16 percent of students are both math proficient and interested in a STEM career. To address these problems, DC Public Schools (DCPS) is working to recruit, develop, and retain excellent STEM teachers and has developed a three-pronged STEM educator development strategy that will include creating a STEM professional development (PD) initiative, launching a STEM Master Teacher Corps, and supporting STEM teachers' participation in intensive summer PD institutes.

DENVER PUBLIC SCHOOLS FOUNDATION, *Denver, CO*

FOR DEVELOPING AND SUPPORTING NEW SECONDARY
SCHOOLS UNDER THE OPPORTUNITY BY DESIGN INITIATIVE.
24 MONTHS, \$1,000,000.

As program staff argued in the Opportunity by Design challenge paper, nowhere is the need for redesign greater or more urgent than in American high schools. In the context of the Common Core, high schools will be charged with educating all students to achieve much higher levels of skill and knowledge. At the same time, high schools will continue to be responsible for meeting the learning needs of large numbers of students who enter ninth grade performing significantly below grade level. This grant to Denver Public Schools supports a realignment of system capacity to support innovative secondary school models and the creation of a new high school. School redesign is an ambitious response to the challenge of the Common Core, but nothing less will capitalize fully on this extraordinary opportunity and produce the realignment of resources needed to provide all high school students, including those who are underprepared, with powerful, personalized learning.

EDUCATION RESOURCE STRATEGIES, INC., *Watertown, MA*

FOR GENERAL SUPPORT AND ACTIVITIES TO INCREASE THE
FIELD'S UNDERSTANDING OF SCHOOL AND SYSTEM DESIGNS.
36 MONTHS, \$1,500,000.

Very few districts truly have the capacity to engage in the difficult work of system redesign by themselves. In supporting organizations that do have this capacity, we hope to both bolster the field, and help districts begin to understand at a deeper level what barriers they must remove to make high-performing schools that have the power to accelerate student learning the norm, not the exception. This renewal to Education Resource Strategies(ERS) supports both their overall growth as an organization and activities that help them concentrate efforts toward helping districts and external partners create and sustain strong enabling conditions for school and system design, with a specific focus on secondary schools. ERS has long been a sought-after partner for districts, with expertise in helping leadership understand and leverage a range of resources to support system redesign. They are also national leaders in bringing attention to, and disseminating knowledge about best practices in school and system redesign. Furthermore, they are the national hub of expertise for districts transitioning from legacy funding models to models that allow funding to follow the student, or "fair student funding" models.

EDUCATION TRUST, INC., *Washington, DC*

FOR GENERAL SUPPORT. 24 MONTHS, \$800,000.

The Common Core State Standards and the Next Generation Science Standards present an unprecedented commitment by states to educate all young people to a higher standard and prepare them for successful participation in an increasingly complex, global society. As states move to implement the standards, however, they are facing increasing pockets of resistance. It is widely anticipated that political and public backlash will intensify as states implement the Common Core-aligned assessments. Another alarming threat to Common Core is the quiet lowering of expectations through the creation of “dual diplomas.” Any retrenchment on the state-led, standards-based reform or the related assessments threatens to stall momentum on the subsequent wave of reform activities. At this time of great opportunity and risk, it is important to have strong, independent institutions that are capable of informing and sustaining support for important state and federal policies. Education Trust, Inc. (Ed Trust) will continue to maintain support for the Common Core and advocate for its equitable implementation, as well as identify, learn from, and promote effective, equity-focused practice at the state, district, and school levels.

EDUCATORS 4 EXCELLENCE, *New York, NY*

FOR GENERAL SUPPORT. 12 MONTHS, \$500,000.

There is overwhelming evidence that teachers have greater in-school influence on student achievement than any other person or program. The difference between being taught by a highly effective teacher and an ineffective one amounts to up to one full grade level of additional progress a year, yet urban schools are far less likely to have great teachers. Educators 4 Excellence (E4E) works to foster and encourage teachers’ voices in education reform by mobilizing a large network of teachers to influence a wide range of education issues, such as designing effective teacher evaluations and addressing issues related to teacher tenure and compensation. E4E does this by building a teacher-led constituency for change both within teachers’ unions and in the wider education-policy conversation.

FOUNDATION FOR EXCELLENCE IN EDUCATION,
Tallahassee, FL

FOR DEVELOPMENT OF MATERIALS TO HELP POLICYMAKERS AND PRACTITIONERS CONNECT THE COMMON CORE AND NEXT GENERATION LEARNING. 18 MONTHS, \$500,000.

As work shifts from mobilization around Common Core adoption to the difficult work of implementation, and the challenges of enacting the standards more real, the tone of the field has shifted. Implementation of the Common Core is about solving problems, and realignment to ensure that all schools and districts are truly supporting students in meeting these standards. This is very challenging work, and it places a significant burden on the central office administrators, school leaders, and teachers who must grapple with it. Developing a strong apparatus to ensure that these reforms are maintained over time is more critical than ever before. It is important to consider the needs of these at-risk policymakers and staff members, who are often most likely to encounter anti-Common Core messaging and potentially retreat from the commitments that have already been made. The Foundation for Excellence in Education seeks to structure a set of supports that can help those in implementation-critical positions develop understanding of both the importance of the Common Core itself and what can be done at a system level to help ensure productive, strong implementation.

FUND FOR PUBLIC SCHOOLS, INC., *New York, NY*

FOR DEVELOPING AND SUPPORTING NEW SECONDARY SCHOOLS UNDER THE OPPORTUNITY BY DESIGN INITIATIVE. 36 MONTHS, \$3,000,000.

As program staff argued in the Opportunity by Design challenge paper, nowhere is the need for redesign greater or more urgent than in American high schools. In the context of the Common Core, high schools will be charged with educating all students to achieve much higher levels of skill and knowledge. At the same time, high schools will continue to be responsible for meeting the learning needs of large numbers of students who enter ninth grade performing significantly below grade level. This grant to the New York City Department of Education supports a realignment of system capacity to support innovative secondary school models and the creation of new high schools. School redesign is an ambitious response to the challenge of the Common Core, but nothing less will capitalize fully on this extraordinary opportunity and produce the realignment of resources needed to provide all high school students, including those who are underprepared, with powerful, personalized learning.

inBloom, Atlanta, GA

FOR GENERAL SUPPORT. 36 MONTHS, \$3,000,000.

In March 2011, the Corporation, in a departure from traditional grantmaking, responded to the need for bold change by forming an LLC with the Bill & Melinda Gates Foundation to create the Shared Learning Collaborative (SLC) as an important step toward an innovation infrastructure for American public education. Other partners include the Council of Chief State School Officers and nine states: Colorado, Illinois, Massachusetts, New York, North Carolina, Delaware, Georgia, Kentucky, and Louisiana. Students in the states represent approximately 25 percent of all students in states that have adopted Common Core State Standards. In December 2012, the SLC was incorporated as inBloom, Inc. a 501(c)(3) non-profit organization working to make personalized learning a reality for every U.S. student. inBloom provides technology services that allow states and public school districts to better integrate student data and learning applications to support sustainable, personalized learning.

INSTITUTE FOR ADVANCED STUDY, Princeton, NJ

FOR CONTINUING IMPLEMENTATION OF THE OPPORTUNITY EQUATION REPORT'S RECOMMENDATIONS FOR IMPROVING MATHEMATICS AND SCIENCE EDUCATION. 12 MONTHS, \$1,500,000.

Since its inception three years ago, the Opportunity Equation initiative jointly led by the Institute for Advanced Study (IAS) and the Corporation has been an effective, credible, and versatile vehicle for advancing systemic education reform, with STEM education as a key lever, as recommended in the Opportunity Equation report. The 100Kin10 network of organizational partners, created by and currently co-led by Opportunity Equation and the Corporation, has emerged as the most effective vehicle for mobilization to have arisen from this work. It has helped the field to look at the STEM education challenge from new angles and generate new ways to support professional learning, stimulate innovation, surface and share ideas, and improve on existing models. In the coming year, IAS will continue to serve as the managing and operational partner for the 100Kin10 mobilization and maintain momentum and accelerate action toward the hopeful vision of equity and excellence in STEM education outlined in the Opportunity Equation report by continuing to build 100Kin10 and transition its operation to a permanent organizational structure.

INSTITUTE FOR ADVANCED STUDY, Princeton, NJ

FOR A PROJECT ON ADVANCING KNOWLEDGE ABOUT TRANSFORMING POSTSECONDARY MATHEMATICS. 12 MONTHS, \$150,000.

The Institute for Advanced Study (IAS) is proposing a project to address a widely recognized mismatch between the postgraduate teaching of mathematics and the quantitative and analytical skills required to thrive in the modern American work force. With a rising share of the work force needing at least some college mathematics as a minimum job qualification, mathematics has become a “barrier course” that deters or prevents many students from attaining a postsecondary credential. Few faculty or graduate students are aware of how mathematics is used by the private sector or in new interdisciplinary fields, especially biology. In an effort to better understand, articulate, and address this shortcoming, IAS will convene and mobilize the leadership from a broad array of institutions comprising the national mathematical enterprise, and widely disseminate their recommendations. The Corporation is continuing to support this work along with our priority K-12 STEM efforts as central aspects of the mobilization to realize the recommendations of the Carnegie Corporation-Institute for Advanced Study Commission report, *The Opportunity Equation*.

MASS INSIGHT EDUCATION AND RESEARCH INSTITUTE, INC., Boston, MA

FOR CONTINUATION AND EXPANSION OF THE PARTNERSHIP ZONE INITIATIVE AND DEVELOPMENT OF A SCHOOL DESIGN FRAMEWORK FOR LOW-PERFORMING SCHOOLS. 18 MONTHS, \$700,000.

In order to meet the demands of the Common Core State Standards, schools will need to increase their abilities to remediate and accelerate their students. However, the number of districts prepared to take the bold steps of redesigning their schools is small compared to the growing number of at-risk students. The Mass Insight School Turnaround Group (STG) partners with school districts and state education agencies to improve policies, structures, and incentives surrounding school systems. The STG supports districts to create many of the essential conditions that need to be in place before they could effectively institute the Corporation's school design principles. The STG's work will further demonstrate what conditions and capacities are needed and how to implement them. It will also increase the number of districts ready to redesign their schools to improve student performance.

NATIONAL ALLIANCE FOR PUBLIC CHARTER SCHOOLS,
Washington, DC

FOR TWO REPORTS ON POLICY THAT ENABLES INNOVATION.
12 MONTHS, \$150,000.

High-performing charter schools have been able to innovate in areas of school design, which has allowed some of them to outperform other schools serving similar students. Many of the innovations that have developed were enabled by the relative flexibility with which charters have to operate. Although many innovative school practices have been documented, very little has been written about the specific conditions that enable more innovative schools. Policymakers, state and district officials, and practitioners need a better understanding of what policies foster more robust schools so that they can create an entire system of high-functioning schools capable of educating all students to meet the demands of the Common Core. The National Alliance for Public Charter Schools (NAPCS) seeks to analyze the conditions that have enabled innovative charter school models, evaluate the current policy conditions in states across the country, and share its findings in two reports.

NATIONAL ASSOCIATION OF STATE BOARDS OF EDUCATION,
Arlington, VA

FOR PREPARING STATE-LEVEL DECISION MAKERS FOR THE
ADOPTION AND IMPLEMENTATION OF THE NEXT GENERATION
OF SCIENCE STANDARDS. 12 MONTHS, \$319,000.

State boards of education are integral to the governance of public education in the United States. State Boards have numerous powers and duties specified in state law and in most states are ultimately the entity that formally adopts that state's academic standards. For more than 50 years, the National Association of State Boards of Education (NASBE) has been delivering services to state boards of education to support and sustain evidence-based innovation through state policies and programs. NASBE is proposing to work in partnership with Achieve, Inc. as well as the Next Generation Science Standards Partners to educate their state members to prepare them for the adoption of the Next Generation Science Standards.

NATIONAL CENTER FOR CIVIC INNOVATION, *New York, NY*

FOR THE LAUNCH AND DEVELOPMENT OF THE SPRINGPOINT
INSTITUTE AS A NEW SCHOOL DESIGN INTERMEDIARY.
36 MONTHS, \$5,718,700.

The widespread adoption of the Common Core State Standards and the progress that is being made on the development of the Next Generation Science Standards present a historic opportunity for school systems to reshape themselves to support innovative school designs that can help today's students accelerate their learning, and meet the considerable demands of the new standards. The standards pose a particularly urgent challenge for high schools, where traditional stratified secondary schools still dominate today's education landscape, and students must both recuperate a skills gap from earlier grades and accelerate their learning to meet the new standards. This grant supports the incubation of a new organization, the SpringPoint Institute, which will be a crucial leader in the Corporation's strategic push to help districts stimulate their thinking around and implementation of school design strategies. These strategies build on the lessons learned through the New Century initiative's implementation in New York City and the proof point school models supported by the Corporation, while maximizing the new tools now available for creating personalized pathways to high levels of achievement. The stage is set for school models that can enable today's students to reach college and career readiness, but there is significant work to be done to help districts meet the challenge of designing and developing these schools.

NATIONAL CENTER FOR CIVIC INNOVATION, *New York, NY*

FOR SUPPORTING THE ONGOING GROWTH, DEVELOPMENT, AND
SUSTAINABILITY OF 100Kin10. 36 MONTHS, \$9,000,000.

The 100Kin10 partnership has brought significant national attention to the need to recruit and retain excellent STEM teachers at an unprecedented scale, has been widely endorsed by leaders across sectors, and has mobilized 150 diverse partners including nonprofit organizations, universities, government entities, and corporations to make concrete commitments to increase the supply of STEM teachers, retain excellent STEM teachers, and build the movement. Building on the accomplishments of 100Kin10, the Corporation seeks to ensure the initiative's continuing success and to allow it to grow to its full potential. A grant to the National Center for Civic Innovation will enable 100Kin10 to establish a governance and management structure for a growing national organization with multiyear funding.

NATIONAL COUNCIL ON TEACHER QUALITY, *Washington, DC*

FOR GENERAL SUPPORT. 12 MONTHS, \$450,000.

The Obama administration's call for strengthening human capital in our highest-need schools has created significant change and a rush of new state and district regulations and policies. The Corporation's long-term human capital strategy identifies that teachers have the greatest in-school influence on student achievement, emphasizing that all students taught by excellent teachers are critical to improving student learning and closing the achievement gap. The National Council on Teacher Quality (NCTQ), launched in 2000, is a nonpartisan research and advocacy group whose mission is to restructure the teaching profession by identifying and promoting key policy changes, particularly in state and district work. NCTQ's research has informed federal priorities, making them a trusted voice in the policy and advocacy arena. Their work focuses on three interlocking areas: state policy, through their state year-books on teacher policy; districts, through their work on union-district contracts; and teacher preparation, through their review of all teacher-preparation institutions.

NEW PROFIT, INC., *Boston, MA*

FOR SUPPORT OF THE SOCIAL INNOVATION FUND INTERMEDIARY STRATEGY. 12 MONTHS, \$250,000.

The rigor of the Common Core State Standards presents an increased challenge for schools that have many students who are already behind or well on their way to disconnecting from schooling and now need to reach even higher standards. McKinsey data suggests that if schools do not respond differently, dropout rates could rise to 32 percent overall and to 47 percent for low-income students. New Profit's Pathways Fund offers an efficient way for the Corporation to support and grow six organizations working to reverse this trend and improve college and career pathways for youth. Each of the innovative models in the Pathways Fund seeks to improve outcomes in at least one of four education and career outcomes, including high school graduation and GED attainment, college enrollment, college persistence, and living wage employment. New Profit, Inc., as an intermediary for the federal government's Social Innovation Fund (SIF), provides strategic and financial support to strengthen and scale its six sub-grantees.

NEW VENTURE FUND, *Washington, DC*

FOR THE COMMON CORE COMMUNICATIONS COLLABORATIVE PROJECT. 12 MONTHS, \$200,000.

As a response to build public and political will, and create sustainable demand, for the successful implementation of Common Core State Standards (CCSS) and related assessments through strategic and targeted communications support, a group of national and regional funders are launching a collaborative multidonor fund, provisionally known as the Common Core Communications Collaborative. The Collaborative will pool resources in support of strategic communications at the national, state, and local levels to help generate sustainable demand for effective implementation of the common core state education standards. The Corporation is joining the Leona B. Helmsley Trust, Helios Foundation, Bill and Melinda Gates Foundation, the William and Flora Hewlett Foundation and the Lumina Foundation to establish this nimble funding source to address communications needs proactively as they arise in critical states and districts and nationally.

NEW YORK CITY LEADERSHIP ACADEMY,
Long Island City, NY

FOR GENERAL SUPPORT. 12 MONTHS, \$250,000.

Research shows that school leadership is second only to teacher quality among all school-related factors that positively influence student achievement. But despite the importance of school leadership, many principals feel underprepared for the enormous responsibilities of their jobs and lack knowledge of key strategies for creating successful school environments. The New York City Leadership Academy is a nonprofit leadership development organization working to identify, recruit, train, and support high-quality school leaders who are committed to effecting real change in schools by providing leadership training through its Aspiring Principals Program and comprehensive coaching supports to new school leaders. Graduates of the Leadership Academy serve more than 119,000 students in New York City.

NEWSCHOOLS VENTURE FUND, *Oakland, CA*

FOR THE LEARNING TO TEACH FUND: CHANGING TEACHER EDUCATION TO IMPROVE STUDENT OUTCOMES. 24 MONTHS, \$1,200,000.

The National Program has identified teacher preparation as one of the critical components to ensuring improved outcomes for students. NewSchools Venture Fund was founded in 1998 as one of the pioneers of venture philanthropy in the education sector. Their proposed Learning to Teach Fund aims to transform teacher education by supporting innovative and effective early-stage teacher preparation programs that hold both themselves and their teachers accountable for student learning. The Fund will identify initiatives and leaders whose programs ensure that their graduates will enter the classroom with the skills and experience to advance their students' learning by at least one year's worth of growth each year. The Fund will also spur new models and infuse learning from those models into more traditional institutions of higher education that continue to train the majority of our nation's teachers.

NORTH AMERICAN COUNCIL FOR ONLINE LEARNING, *Vienna, VA*

FOR DEVELOPMENT OF POLICY CAPACITY TO ADDRESS THE INTERSECTIONS BETWEEN MASTERY-BASED PROGRESSION, THE COMMON CORE, AND NEXT GENERATION LEARNING. 12 MONTHS, \$350,000.

As experts start to examine the interdependencies between the Common Core-aligned assessments and some innovative school features like mastery-based progression, it is clear that some tensions emerge. As new, innovative school models develop, policymakers and district leaders must consider the implications that these models pose for accountability systems, standardized assessments, and student progress to graduation. The extent of these challenges has not yet been articulated, but major gaps and conflicts exist between the main strands of work. At this point, the field needs some focused expertise and leadership around unpacking the dimensions of these strands, and determining policy pathways to take that allow for personalization and mastery-based progression within the context of the Common Core, while holding systems to a high standard for quality and equity. North American Council for Online Learning (iNACOL), proposes to expand their policy analysis work, to help define both the challenges and opportunities around policy and innovative school models.

OUR PIECE OF THE PIE, INC., *Hartford, CT*

FOR DEVELOPING A BLENDED-SCHOOL DESIGN FOR OVER-AGE AND UNDER-CREDIT YOUTH. 12 MONTHS, \$300,000.

State implementation of the Common Core State Standards is accompanied by mounting urgency across the education community to identify effective ways to ensure all students meet the high level of rigor found in the new standards. This presents a particular challenge for students who are already significantly behind in school or already disconnected from schooling. Our Piece of the Pie will combine its vast experience as a youth development organization with its expanded capacity as a school developer to further refine its school design by adding mastery-based progression, improved data capabilities, and an enhanced professional development plan. Additionally, OPP will pursue a district-affiliated charter school for overage and under-credited youth to launch its new model in Windham, CT. At the same time, OPP will leverage its policy and communications capacity to share its knowledge and advocate for full and adequate funding for charter schools.

PHILADELPHIA'S CHILDREN FIRST FUND, *Philadelphia, PA*

FOR DEVELOPING AND SUPPORTING NEW SECONDARY SCHOOLS UNDER THE OPPORTUNITY BY DESIGN INITIATIVE. 36 MONTHS, \$3,000,000.

As program staff argued in the Opportunity by Design challenge paper, nowhere is the need for redesign greater or more urgent than in American high schools. In the context of the Common Core, high schools will be charged with educating all students to achieve much higher levels of skill and knowledge. At the same time, high schools will continue to be responsible for meeting the learning needs of large numbers of students who enter ninth grade performing significantly below grade level. This grant to the School District of Philadelphia (Philadelphia Children's First Fund) supports a realignment of system capacity to support innovative secondary school models and the creation of new high schools. School redesign is an ambitious response to the challenge of the Common Core, but nothing less will capitalize fully on this extraordinary opportunity and produce the realignment of resources needed to provide all high school students, including those who are underprepared, with powerful, personalized learning.

PUBLIC IMPACT, LLC, Chapel Hill, NC

FOR REACHING MORE STUDENTS WITH EXCELLENT SCIENCE, TECHNOLOGY, ENGINEERING, AND MATH (STEM) TEACHERS. 24 MONTHS, \$700,000.

The difference between being taught by a highly effective teacher and an ineffective one can amount to up to one full grade level of additional progress a year, yet only about 25 percent of teachers are achieving this level of growth. Knowing that, it is clear that there is no path to improving student outcomes and closing the achievement gap without ensuring that all students have access to excellent teachers. With the creation of its Opportunity Culture initiative, Public Impact is working to expand ideas around how we can best use, develop, and reward the expertise of our best educators by allowing them to reach more students than the typical one-teacher-one-classroom model.

RELAY GRADUATE SCHOOL OF EDUCATION, New York, NY

FOR GENERAL SUPPORT. 12 MONTHS, \$500,000.

There is overwhelming research confirming that teachers have greater in-school influence on student achievement than any other person or characteristic. If we are to educate significantly more students to higher standards than ever before, we must find ways for our highest-need schools to be staffed with excellent teachers, which will require a strategy that both recruits and prepares excellent teachers and continues to support and develop them once they have entered the classroom. Relay is the first independent graduate school of education to be credentialed in the State of New York in over eighty years. It provides rigorous, research-based teacher-preparation programs for master's degrees and state credentialing, and requires its graduates to demonstrate significant growth and ability over the course of their studies.

ROCKEFELLER PHILANTHROPY ADVISORS, New York, NY

FOR INCREASING STUDENT AND SYSTEM CAPACITY FOR COLLEGE SUCCESS USING THE ACADEMY FOR COLLEGE EXCELLENCE MODEL. 24 MONTHS, \$350,000.

A new analysis of economic and labor market trends by the Georgetown University Center on Education and the Workforce projects that 63 percent of occupations will require postsecondary education by 2018. These new labor market demands require young Americans to have higher-level capabilities in problem-solving, decision-making, and synthesizing and applying information to move beyond low-wage, low-skill work. Academy for College Excellence (ACE) seeks to redesign the first semester of college to help the most at-risk students get through the most challenging courses, while increasing persistence through both the first year of college and the remainder of a student's college experience. ACE has begun to replicate in different college contexts, and has shown significant success in helping the students it targets get through their first year of college.

STANFORD UNIVERSITY, Palo Alto, CA

FOR A LANDSCAPE ANALYSIS AND CASE STUDIES OF SUCCESSFUL MODELS FOR ENGLISH LANGUAGE LEARNERS. 24 MONTHS, \$400,000.

The rigor of the Common Core State Standards presents an incredible opportunity to ensure that all students in the United States meet higher academic standards and graduate college- and career-ready. In this grant, Stanford University will build on its previous work of laying out a framework for English Language Proficiency Standards and provide insight into how new school designs can support English Language Learners (ELLs) to be college- and career-ready in the context of the Common Core State Standards. The Understanding Language group will conduct a landscape analysis and produce case studies of five exemplary schools in order to identify ways in which districts and school leaders organize their schools and classrooms that lead to positive outcomes for ELLs. Over the course of the grant, the team will examine and unpack the factors of innovative school designs that allow ELLs to master the language and content that is required by the new standards. Stanford's research will contribute important, concrete lessons to the field about how schools must change to best meet the needs of the country's growing ELL population. The research will be widely distributed to educators, administrators, district leaders, policymakers, and to organizations supporting development and innovation in districts with ELLs, including Springpoint.

SUMMIT PUBLIC SCHOOLS, *Redwood City, CA*

FOR THE DEVELOPMENT OF A FUND THAT ENCOURAGES AND SUPPORTS INNOVATIVE NEXT GENERATION LEARNING STRATEGIES. 24 MONTHS, \$500,000.

In contrast to the traditional models that dominate the education landscape, schools today must seek to enable individualized delivery of instruction to provide all students with the opportunity to recuperate and accelerate their learning toward these higher standards. Program staff articulated this challenge in the Next Generation Learning papers, arguing for the use of technology to drive more personalized, deeper development of skills. Some school districts and networks that demonstrate high performance in learning gains and graduation rates are already seeking to meet the demands of the Common Core head-on by redesigning their curriculum, school model, and instructional delivery to enable Next Generation Learning. One of these networks is Summit Public Schools, which is a Charter Management Organization based in Silicon Valley. The school is now seeking to raise the bar for all students to focus on personalization and mastery-based progression, ensuring that students are ready for college and career. They are developing an Innovation Fund, from which the high-performing faculty members and staff at Summit can apply for funds to help them research and design the tools that are most valuable for them in the new blended model.

TURNAROUND FOR CHILDREN, INC., *New York, NY*

FOR GENERAL SUPPORT. 18 MONTHS, \$600,000.

The implementation of the rigorous Common Core State Standards presents an unprecedented opportunity toward ensuring that all students are college and career ready. Yet, many districts, especially those with significant concentrations of high poverty and low-performing schools, lack the capacity to build core competencies that create readiness in classrooms, teachers, leaders, and students. To ensure that schools are able to lead students to high levels of academic achievement and meet students' social and emotional needs, Turnaround for Children partners with schools for at least three years to help them build capacity for student supports, create highly effective classroom learning environments, and increase organizational efficacy to implement school improvement. With previous Corporation funding, Turnaround for Children expanded its internal capacity and codified its model. Now it will use this general support funding to implement its enhanced model and support national policy and advocacy efforts.

UNIVERSITY OF WASHINGTON, *Seattle, WA*

FOR RESEARCH AND TOOLS TO BUILD READINESS AND CAPACITY FOR DISTRICTS TO ENACT NEW SCHOOL DESIGNS, 24 MONTHS, \$860,900.

To meet the new Common Core State Standards and Next Generation Science Standards, many students will have to accelerate their learning—overall, the standards ask that students develop both the knowledge and skills to achieve at a much more rigorous level than is currently required by most states. At the school level, this will require significant changes in what is taught, and how to teach for more complex and deeper learning. But it will also require districts to support the development of schools that have both recuperative and accelerative power—a set of activities that many districts are not currently prepared to undertake. The Center on Reinventing Public Education will provide the research and tools that districts need to reach readiness for an engagement to develop new school designs, and will continue to work with selected districts to refine the tools needed for significant reform in district capabilities.

Discretionary Grants

Strengthening Democracy

ALLIANCE FOR A JUST SOCIETY, *Seattle, WA*

12 MONTH GRANT OF \$50,000 FOR THE MAIN STREET ALLIANCE

AMERICAN IMMIGRATION COUNCIL, *Washington, DC*

12 MONTH GRANT OF \$50,000 FOR A WEB-BASED PUBLIC FORUM DEVOTED TO ANALYSIS, CRITIQUE, AND DIALOGUE ABOUT MERGING IMMIGRATION POLICY ISSUES

AMERICAN UNIVERSITY, *Washington, DC*

6 MONTH GRANT OF \$50,000 FOR A PROJECT TO INVESTIGATE AND REPORT ON CONDITIONS INSIDE THE IMMIGRATION DETENTION SYSTEM

BALLOT INITIATIVE STRATEGY CENTER FOUNDATION, *Washington, DC*

12 MONTH GRANT OF \$50,000 FOR RESEARCH ON HOW BALLOT INITIATIVES CAN PROMOTE IMMIGRANT CIVIC INTEGRATION AT THE STATE LEVEL

CENTER FOR MIGRATION STUDIES OF NEW YORK, INC., *New York, NY*

12 MONTH GRANT OF \$50,000 FOR A COMPREHENSIVE ASSESSMENT OF THE U.S. REFUGEE PROTECTION SYSTEM AND RECOMMENDATIONS FOR REFORM

FAITH IN PUBLIC LIFE, INC., *Washington, DC*

6 MONTH GRANT OF \$50,000 FOR A PROJECT USING RELIGIOUS MESSENGERS TO EDUCATE THE PUBLIC ON THE NEED FOR IMMIGRATION REFORM

FAITH IN PUBLIC LIFE, INC., *Washington, DC*

6 MONTH GRANT OF \$50,000 FOR A PROJECT TO MOBILIZE CATHOLIC COLLEGES AND OTHER CATHOLIC INSTITUTIONS IN SUPPORT OF IMMIGRATION REFORM

FRENCH-AMERICAN FOUNDATION, *New York, NY*

12 MONTH GRANT OF \$50,000 FOR AN IMMIGRATION JOURNALISM FELLOWSHIP AND AN AWARD RECOGNIZING EXCELLENCE IN INNOVATIVE REPORTING ON IMMIGRATION AND INTEGRATION ISSUES

GEORGE W. BUSH FOUNDATION, *Dallas, TX*

6 MONTH GRANT OF \$50,000 FOR PANEL DISCUSSIONS ON THE ECONOMIC BENEFITS OF CITIZENSHIP

INSTITUTE FOR SOUTHERN STUDIES, INC., *Durham, NC*

12 MONTH GRANT OF \$23,000 FOR A RESEARCH, MEDIA, AND PUBLIC EDUCATION PROJECT TO HEIGHTEN UNDERSTANDING OF NEW IMMIGRANT COMMUNITIES IN THE SOUTH AND PROMOTE MORE EFFECTIVE POLICIES ON IMMIGRANT ISSUES

INSTITUTE ON TAXATION AND ECONOMIC POLICY, *Washington, DC*

3 MONTH GRANT OF \$10,000 FOR A FIFTY-STATE REPORT ON THE STATE AND LOCAL TAX CONTRIBUTIONS OF UNDOCUMENTED IMMIGRANTS

LEAGUE OF WOMEN VOTERS EDUCATION FUND, *Washington, DC*

8 MONTH GRANT OF \$40,000 FOR ITS VOTER EDUCATION ACTIVITIES IN 2012

MANHATTAN INSTITUTE FOR POLICY RESEARCH, INC., *New York, NY*

6 MONTH GRANT OF \$25,000 FOR DISSEMINATION OF A REPORT THAT MEASURES IMMIGRANT INTEGRATION AT THE LOCAL AND NATIONAL LEVEL

NATIONAL FOUNDATION FOR AMERICAN POLICY, *Arlington, VA*

12 MONTH GRANT OF \$50,000 FOR GENERAL SUPPORT

NATIONAL IMMIGRATION LAW CENTER, *Los Angeles, CA*

6 MONTH GRANT OF \$50,000 FOR A STRATEGIC PLANNING PROCESS TO REALIGN ITS PROGRAM PRIORITIES WITH NEW AND EMERGING POLICY ISSUES

PARTNERSHIP FOR A NEW AMERICAN ECONOMY RESEARCH FUND, *New York, NY*

6 MONTH GRANT OF \$50,000 FOR GENERAL SUPPORT

PROJECT VOTE SMART, *Philipsburg, MT*

3 MONTH GRANT OF \$25,000 FOR A PROJECT TO GATHER INFORMATION ON CANDIDATES RUNNING FOR OFFICE IN THE 2012 ELECTIONS AND DISSEMINATE IT TO VOTERS

PURDUE UNIVERSITY, *West Lafayette, IN*

12 MONTH GRANT OF \$50,000 FOR A SURVEY TO ASSESS THE POLITICAL ATTITUDES OF NON-CITIZEN LATINOS IN THE UNITED STATES

REGENTS OF THE UNIVERSITY OF CALIFORNIA, *Riverside, CA*

22 MONTH GRANT OF \$50,000 FOR A SURVEY OF ASIAN AMERICANS AND PACIFIC ISLANDERS

REGIONAL ECONOMIC MODELS, INC., *Amherst, MA*

3 MONTH GRANT OF \$27,000 FOR STATE-LEVEL ANALYSES OF THE ECONOMIC IMPACT OF KEY COMPONENTS OF IMMIGRATION REFORM

SMALL BUSINESS MAJORITY, *Sausalito, CA*

6 MONTH GRANT OF \$50,000 FOR A PROJECT TO EDUCATE THE SMALL BUSINESS COMMUNITY ABOUT THE CURRENT IMMIGRATION SYSTEM

TAXPAYERS FOR COMMON SENSE, *Washington, DC*

6 MONTH GRANT OF \$50,000 FOR A PROJECT TO EDUCATE THE PUBLIC ABOUT UNNECESSARY AND WASTEFUL SPENDING ON IMMIGRATION ENFORCEMENT

YALE UNIVERSITY, *New Haven, CT*

12 MONTH GRANT OF \$50,000 FOR A PROJECT TO RESEARCH AND EDUCATE THE PUBLIC ABOUT GOVERNMENT SECRECY AND ITS EFFECT ON IMMIGRATION AND VOTING RIGHTS POLICIES

Urban and Higher Education

ACHIEVE, INC., *Washington, DC*

3 MONTH GRANT OF \$50,000 FOR THE DEVELOPMENT OF COMMUNICATION RESOURCES FOR THE NEXT GENERATION SCIENCE STANDARDS (NGSS)

ASPEN INSTITUTE, INC., *Washington, DC*

12 MONTH GRANT OF \$50,000 FOR SUPPORT OF THE ASPEN FORUM FOR COMMUNITY SOLUTIONS

ASSOCIATION OF PUBLIC AND LAND-GRANT COLLEGES, *Washington, DC*

3 MONTH GRANT OF \$15,900 FOR A 100Kin10 JOINT PLANNING GRANT FOR GAP ANALYSIS FOR SCIENCE TEACHER PREPARATION AND THE NEXT GENERATION SCIENCE STANDARDS

BOSTON FOUNDATION, *Boston, MA*

4 MONTH GRANT OF \$50,000 FOR CHARTING THE COURSE: IMPROVING OUTCOMES BY ACCELERATING COMMUNITY COLLEGE REFORM

CALIFORNIA STATE UNIVERSITY FOUNDATION, *Long Beach, CA*

4 MONTH GRANT OF \$16,400 FOR A 100Kin10 JOINT PLANNING GRANT FOR TRANSFORMING TEACHING AND LEARNING THROUGH TECHNOLOGY

CALIFORNIA STATE UNIVERSITY FOUNDATION, *Long Beach, CA*

6 MONTH GRANT OF \$50,000 FOR PREPARING AND RETAINING OUTSTANDING SCIENCE AND MATH TEACHERS: THE STEM TEACHER AND RESEARCHER (STAR) PROGRAM

CITIZEN SCHOOLS, *Boston, MA*

12 MONTH GRANT OF \$50,000 FOR SUPPORT FOR THE I3 PROJECT ON “CLOSING INSPIRATION AND ACHIEVEMENT GAPS IN STEM WITH VOLUNTEER-LED APPRENTICESHIPS”

CIVIC CONSULTING ALLIANCE, *Chicago, IL*

8 MONTH GRANT OF \$150,000 FOR THE ILLINOIS SHARED LEARNING ENVIRONMENT (ISLE) PROGRAM MANAGEMENT

COUNCIL OF CHIEF STATE SCHOOL OFFICERS, INC., *Washington, DC*

3 MONTH GRANT OF \$25,000 FOR THE U.S.-CHINA POLICY LEADERS MEETING ON QUALITY AND EQUITY FOR ALL

COUNCIL OF GREAT CITY SCHOOLS, *Washington, DC*

11 MONTH GRANT OF \$50,000 FOR ACTIVITIES REGARDING THE OPTIMIZATION OF RESOURCE ALLOCATION IN NEW JERSEY DISTRICTS

GULF OF MAINE RESEARCH INSTITUTE, *Portland, ME*

8 MONTH GRANT OF \$50,000 FOR STIMULATING A STATEWIDE LEARNING ECOSYSTEM THAT ENABLES STEM TEACHERS

INTERNATIONALS NETWORK FOR PUBLIC SCHOOLS, INC., *New York, NY*

12 MONTH GRANT OF \$50,000 FOR SUPPORT FOR THE INVEST IN INNOVATION (I3) MATCH FOR THE REALIZING INTERNATIONALS SUPPORTS FOR ENGLISH LANGUAGE LEARNERS (RISE) PROJECT

JAMES B. HUNT, JR. INSTITUTE FOR EDUCATIONAL LEADERSHIP AND POLICY FOUNDATION, INC., *Durham, NC*

12 MONTH GRANT OF \$200,000 FOR DEVELOPMENT OF DIGITAL LEARNING INSTITUTE

MANHATTAN INSTITUTE FOR POLICY RESEARCH, INC., *New York, NY*

6 MONTH GRANT OF \$25,000 FOR COMMUNICATIONS EFFORTS TO PROMOTE THE ADOPTION AND IMPLEMENTATION OF THE COMMON CORE STATE STANDARDS

MUSEUM OF SCIENCE AND INDUSTRY, CHICAGO, *Chicago, IL*

8 MONTH GRANT OF \$50,000 FOR THE INSTITUTE FOR QUALITY SCIENCE TEACHING AND LEARNING

NATIONAL ACADEMY OF SCIENCES, *Washington, DC*

12 MONTH GRANT OF \$50,000 FOR AN INDEPENDENT REVIEW AND PRINT PUBLICATION OF THE NEXT GENERATION SCIENCE STANDARDS

NATIONAL BOARD FOR PROFESSIONAL TEACHING STANDARDS, INC., *Arlington, VA*

12 MONTH GRANT OF \$50,000 FOR SUPPORT TOWARD THE I3 PROJECT "BUILDING A PIPELINE OF ACCOMPLISHED TEACHING"

NATIONAL MATH AND SCIENCE INITIATIVE, *Dallas, TX*

12 MONTH GRANT OF \$250,000 FOR A PARTNERSHIP TO EXPAND AND REPLICATE THE UTEACH STEM TEACHER PREPARATION PROGRAM

NATIONAL SCIENCE TEACHERS ASSOCIATION, *Arlington, VA*

12 MONTH GRANT OF \$225,100 FOR A RELATIONAL DATABASE FOR THE NEXT GENERATION SCIENCE STANDARDS

NEW TEACHER CENTER, *Santa Cruz, CA*

12 MONTH GRANT OF \$150,000 FOR GENERAL SUPPORT

NORTH AMERICAN COUNCIL FOR ONLINE LEARNING, *Vienna, VA*

6 MONTH GRANT OF \$50,000 FOR DEVELOPMENT OF RESOURCES RELATED TO COMPETENCY-AND MASTERY-BASED LEARNING PROGRESSIONS

PUBLIC POLICY INSTITUTE OF NEW YORK STATE INC., *Albany, NY*

12 MONTH GRANT OF \$50,000 FOR DEVELOPMENT OF THE NEW YORK STATE PATHWAYS IN TECHNOLOGY EARLY COLLEGE HIGH SCHOOL LEADERSHIP COUNCIL

ROOT CAUSE, *Cambridge, MA*

7 MONTH GRANT OF \$50,000 FOR DEVELOPING THE EDUCATION STRATEGY OF THE LEADERSHIP AND SUSTAINABILITY INSTITUTE FOR BLACK MALE ACHIEVEMENT

TEACHING INSTITUTE FOR EXCELLENCE IN STEM, *Cleveland, OH*

7 MONTH GRANT OF \$15,000 FOR THE NEXT GENERATION SCIENCE STANDARDS INSTITUTE

UNIVERSITY OF MARYLAND, COLLEGE PARK, *College Park, MD*

12 MONTH GRANT OF \$50,000 FOR THE STANDARDS FOR MATHEMATICS PRACTICE PROJECT

UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL, *Chapel Hill, NC*

5 MONTH GRANT OF \$25,000 FOR A RESEARCH PROJECT ON LESSONS LEARNED FROM TEACHERS FOR A NEW ERA INITIATIVE

UNIVERSITY OF SOUTHERN CALIFORNIA, *Los Angeles, CA*

12 MONTH GRANT OF \$50,000 FOR IMPROVING ANALYSIS AND REPORTING OF THE BENCHMARKING EQUITY AND STUDENT SUCCESS TOOL (BESST)

UNIVERSITY OF VIRGINIA, *Charlottesville, VA*

8 MONTH GRANT OF \$49,900 FOR ASSESSING THE EFFECTS OF IMPACT ON DISTRICT OF COLUMBIA PUBLIC SCHOOLS TEACHER QUALITY AND STUDENT ACHIEVEMENT

UNIVERSITY OF WASHINGTON, *Seattle, WA*

4 MONTH GRANT OF \$50,000 FOR TOOLS TO ASSESS THE READINESS OF DISTRICTS TO UNDERTAKE NEW SCHOOL DESIGN ACTIVITIES

WESTED, *San Francisco, CA*

12 MONTH GRANT OF \$50,000 FOR SUPPORT FOR THE INVESTING IN INNOVATION (I3) MATCH FOR THE INTERNET-BASED READING APPRENTICESHIP IMPROVING SCIENCE EDUCATION (IRAISE) PROJECT

Communications/Dissemination

ROCKEFELLER PHILANTHROPY ADVISORS, *New York, NY*

12 MONTH GRANT OF \$25,000 FOR THE ACADEMY FOR
COLLEGE EXCELLENCE'S DISSEMINATING SOLUTIONS FOR
SERVING VULNERABLE COMMUNITY COLLEGE STUDENTS
PROJECT

Centennial Grants

AMERICAN UNIVERSITY, *Washington, DC*

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$300,000.

CARNEGIE COUNCIL FOR ETHICS IN INTERNATIONAL AFFAIRS, *New York, NY*

AS A ONE-TIME GRANT FOR A SERIES OF CENTENNIAL PROGRAMS EXPLORING HOW SHARED ETHICAL AND MORAL VALUES CAN BE INCORPORATED INTO GLOBAL ACTION TO CONFRONT INTERNATIONAL CHALLENGES. 12 MONTHS, \$500,000.

In 1914, Andrew Carnegie founded the Carnegie Council for Ethics in International Affairs, in accordance with his belief that good politics and positive social change should be based on ethical principles and innovative thinking. Much has changed since the council was established, but at few points in history have ethical considerations more clearly animated international affairs. Today, questions abound about how governments should treat their citizens, whether states should intervene to prevent injustice abroad, and how the pursuit of peace can best be realized amid the reality of war. With Corporation support, the council will undertake an ambitious multi-year project connecting public intellectuals, business and religious leaders, policymakers, students, and educators from around the globe in the joint pursuit of Andrew Carnegie's vision for global responsibility. Together, project participants will tackle difficult moral questions, considering ways to stimulate current and future generations to think about the role of ethics in an era of growing interconnectedness and seeking to apply Mr. Carnegie's legacy to contemporary global challenges.

CARNEGIE DUNFERMLINE TRUST, *Dunfermline, Scotland*

FOR SUPPORT OF THREE INITIATIVES: A CARNEGIE LEGACY EXHIBITION, THE ANDREW CARNEGIE BIRTHPLACE MUSEUM EXHIBITION UPGRADE, AND THE CARNEGIE DUNFERMLINE TRUST COMMUNITY PROJECT. 12 MONTHS, \$150,000.

The Carnegie Dunfermline Trust (the Trust) was established by Andrew Carnegie in 1903 to add value to the lives and environment of the community of Dunfermline, Fife. The Trust is responsible for overseeing The Andrew Carnegie Birthplace Museum, community grants, and the Carnegie Hero Fund. The Trust, along with Carnegie Trust for the Universities of Scotland and the Carnegie U.K. Trust, will host the 2013 Carnegie Medal

of Philanthropy (CMoP) awards ceremony in Scotland. With Corporation support, the Trust will curate an International Legacy Exhibition, scheduled to open in the Scottish Parliament on the eve of the CMoP ceremony; upgrade exhibition materials in The Andrew Carnegie Birthplace Museum; and generate and support educational projects in high schools built on the active themes of the Legacy of Andrew Carnegie.

COLUMBIA UNIVERSITY, *New York, NY*

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$300,000.

GEORGETOWN UNIVERSITY, *Washington, DC*

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$300,000.

HARVARD UNIVERSITY, *Cambridge, MA*

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$300,000.

LIBRARY OF CONGRESS, *Washington, DC*

AS A FINAL GRANT FOR THE WORLD DIGITAL LIBRARY IN HONOR OF THE CORPORATION'S CENTENNIAL. 24 MONTHS, \$2,000,000.

Established in 2006, the World Digital Library (WDL) is a project led by the Library of Congress to present, on a single multilingual website, the historical and cultural documents that capture the histories and achievements of the nations and states of the world. The project is of particular importance for states that have lost access to many of these documents through colonialism, war, internal upheaval, or natural disasters. A significant component of the project will focus on virtually restoring the historical and cultural memory of Afghanistan by identifying, digitizing, cataloging, and describing books, manuscripts, rare photographs, maps and other materials that are not widely available. This will constitute a major gesture and commitment to "virtually repatriating" Afghanistan's patrimony. These materials will be pulled from the Library of Congress as well as other WDL partner libraries, including the British Library, the National Libraries and Archives of Iran, and UNESCO, among others.

STANFORD UNIVERSITY, *Palo Alto, CA*

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$300,000.

THE REGENTS OF THE UNIVERSITY OF MICHIGAN,
Ann Arbor, MI

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$295,000.

UNIVERSITY OF DENVER, *Denver, CO*

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$294,200.

UNIVERSITY OF MINNESOTA, *Minneapolis, MN*

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$300,000.

UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL,
Chapel Hill, North Carolina

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT FOR SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$300,000.

WOODROW WILSON NATIONAL FELLOWSHIP FOUNDATION,
Princeton, NJ

AS A ONE-TIME GRANT FOR THE WOODROW WILSON NEW JERSEY TEACHING FELLOWSHIP. 8 MONTHS, \$1,000,000.

In 1949 Carnegie Corporation provided a \$100,000 grant to Princeton University to extend its fellowship program nationwide. This initiative became the Woodrow Wilson National Fellowship Program (WWNFF). This \$1,000,000 grant will provide fellowships to twenty-eight fellows, part of a cohort of 180 teaching fellows in New Jersey, and should fill most science, technology, engineering, and math (STEM) vacancies in high-need school districts. Five universities—Monclair State, Rowan, Rutgers-Camden, The College of New Jersey, and William Paterson—have been selected to participate in this initiative and are required to transform their existing STEM teacher education programs to meet the stands of the WWNFF. The Fellowship, employing a model already tested in three other states, is projected to help thousands—perhaps hundreds of thousands—of New Jersey students gain access to high-quality STEM education.

YALE UNIVERSITY, *New Haven, CT*

AS A ONE-TIME GRANT FOR SCHOLAR MOBILITY FELLOWSHIPS TO U.S. UNIVERSITIES IN SUPPORT OF SOCIAL SCIENTISTS FROM THE ARAB REGION. 24 MONTHS, \$300,000.

Discretionary Grants

Centennial

AMERICAN ALUMNI OF GLASGOW UNIVERSITY, *Milford, CT*

120 MONTH GRANT OF \$250,000 FOR THE ANDREW
CARNEGIE LECTURES

CARNEGIE DUNFERMLINE TRUST, *Dunfermline, Scotland*

6 MONTH GRANT OF \$30,000 FOR SUPPORT OF THE
CARNEGIE INTERNATIONAL LEGACY EXHIBITION

CARNEGIE HERO FUND COMMISSION, *Pittsburg, PA*

36 MONTH GRANT OF \$150,000 AS A ONE-TIME GRANT FOR
GENERAL SUPPORT

CARNEGIE INSTITUTION OF WASHINGTON, *Washington, DC*

24 MONTH GRANT OF \$1,000,000 FOR GENERAL SUPPORT

CARNEGIE UNITED KINGDOM TRUST, *Dunfermline, Scotland*

24 MONTH GRANT OF \$250,000 FOR GENERAL SUPPORT

CARNEGIE-STICHTING, *The Hague, The Netherlands*

6 MONTH GRANT OF \$500,000 FOR SUPPORT OF THE PEACE
PALACE CENTENARY IN THE HAGUE

UNIVERSITY OF EDINBURGH USA DEVELOPMENT TRUST, INC., *New York, NY*

117 MONTH GRANT OF \$250,000 FOR THE ANDREW
CARNEGIE LECTURES

UNIVERSITY OF ST. ANDREWS AMERICAN FOUNDATION, INC., *Atlanta, GA*

120 MONTH GRANT OF \$250,000 FOR THE ANDREW
CARNEGIE LECTURES

Special Opportunities Fund

BIPARTISAN POLICY CENTER, *Washington, DC*

FOR ITS HOMELAND SECURITY PROJECT.
12 MONTHS, \$200,000.

The Bipartisan Policy Center's (BPC) Homeland Security Project has as a core mission to be an active, bipartisan voice on homeland and national security issues. With terrorist threats and tactics becoming more complex and diverse, the project works to foster public discourse, provide expert analysis, and develop proactive policy solutions on how best to respond to emerging security challenges. Under the leadership of the former chairmen of the 9/11 Commission, former Governor Thomas Kean and former Congressman Lee Hamilton, the Homeland Security Project includes a bipartisan group of fourteen national security, terrorism, and intelligence experts. With Corporation support, the BPC's Homeland Security Project will educate and engage policymakers and the public on a range of national security issues, including the threat of cyber terrorism.

CARNEGIE CORPORATION OF NEW YORK, *New York, NY*

FOR CORPORATION-WIDE NONPROFIT MEMBERSHIPS IN FISCAL YEAR 2013. 12 MONTHS, \$340,000.

The board and leadership of the Corporation have consistently viewed the health of the philanthropic and nonprofit sectors as important to the nation and to the Corporation itself. The Corporation has historically taken an active role in establishing and supporting organizations dedicated to strengthening the philanthropic and nonprofit sector. Staff members believe that this modest investment, currently in the form of annual membership dues to a selected group of organizations, including the Council on Foundations, Independent Sector, Foundation Center, and GuideStar, yields a significant return in public understanding of how the sector operates and in public recognition of its value. The costs of annual membership are usually based on corpus. To facilitate the processing of the memberships, an annual officers' appropriation is recommended.

CENTRAL EUROPEAN UNIVERSITY, *New York, NY*

FOR SUPPORT OF ITS RICHARD C. HOLBROOKE CENTER FOR CONFLICT RESOLUTION AND THE PREVENTION OF GENOCIDE.
24 MONTHS, \$210,000.

U.S. Secretary of State Hillary Clinton called Richard Holbrooke one of America's "fiercest champions and most dedicated public servants." Until his untimely death in December 2010, he was a top-ranking American diplomat who committed his career and his life to the messy and complex struggle for peace. To honor his legacy, the Budapest-based Central European University (CEU) will establish the Richard C. Holbrooke Center for Conflict Resolution and the Prevention of Genocide (Holbrooke Center). With Corporation support, CEU proposes to establish the Director of the Holbrooke Center. The director will drive the center's development and will provide leadership in educating a new generation of expert practitioners, bringing independent analysis to bear on critical issues, integrating international perspectives, linking the research and policy communities, and negotiating peace in real-time settings.

CITIZEN FILM, INC., *San Francisco, CA*

FOR THE PRODUCTION OF A DOCUMENTARY FILM EXPLORING THE CONTINUUM OF PRINCIPLES AND BELIEFS THAT DEFINE THE AMERICAN IDENTITY. 6 MONTHS, \$100,000.

American citizenship is unique in that it does not rely on a shared ethnicity, ancestry, religion, history, or geography. Instead, it is based on adherence to a common set of founding values: liberty, justice, and fair opportunity for all. But this shared American identity is not always obvious, and in this moment of fractious and polarizing political discourse, it is easy to lose sight of the common thread that links all Americans together. To rediscover this commonality requires periodic reexamination, reinterpretation, and reinvigoration. Recognizing these unique characteristics and the country's need to rediscover them, former Secretary of State Condoleezza Rice and Pulitzer Prize winning historian David M. Kennedy have engaged Citizen Film, an independent documentary production company that makes and disseminates films that promote active engagement in civic and cultural life. With Corporation support, Citizen Film will produce a feature length documentary film that will engage the country in a national conversation about Americans' rights and responsibilities as citizens and excavate what their identity as "citizen" means.

COUNCIL OF INDEPENDENT COLLEGES, *Washington, DC*

FOR A RESEARCH AND DISSEMINATION CAMPAIGN IN SUPPORT OF THE LIBERAL ARTS AND LIBERAL ARTS COLLEGES. 24 MONTHS, \$250,000.

Negative press and a poor economy have, in recent years, compounded a growing problem: skepticism of the value of a liberal arts education. This year, a widely circulated American Academy of Arts & Sciences report on the humanities indicated that only eight percent of college students now major in a liberal arts discipline, while another study stated that nearly 90 percent of this year's first-year students said they are going to college to "get a better job." The Council of Independent Colleges (CIC), an association of more than 620 colleges and universities that share the attributes of a strong general education in the liberal arts, launched a multiyear initiative in the fall of 2012 to promote the liberal arts and independent higher education. As part of this initiative and with Corporation support, CIC will launch a public information campaign to promote a positive perception of the liberal arts among the public as an essential basis for American higher education.

DEMOS: A NETWORK FOR IDEAS AND ACTION, LTD., *New York, NY*

FOR FOUR ORIGINAL RESEARCH REPORTS. 12 MONTHS, \$100,000.

At a time when economic disparity and partisan divides are growing deeper, student debt, voting reform, and the influence of corporate donors in electoral campaigns are among the most significant challenges to democracy in America. In the U.S. alone, student debt has reached \$1 trillion; private interest groups in the form of "Super PACs" continue to donate record-breaking sums of money to political campaigns; and voter participation is challenged by strict voter-identification laws, as well as limited voter registration and education opportunities. Demo: A Network for Ideas and Action, Ltd. (Demos), a well-respected, New York-based public policy organization, produces original research that aims to advance policy change and address those issues to help advance greater access to higher education, civic inclusion, and a healthy democracy. With Corporation support, Demos will produce a series of reports that address emerging and inherent problems associated with student debt, college affordability, and electoral and campaign finance reform.

EDUCATION ACHIEVEMENT AUTHORITY OF MICHIGAN, *Detroit, MI*

FOR DEVELOPMENT OF A LEADERSHIP PIPELINE TO SUPPORT NEXT GENERATION SCHOOLS. 24 MONTHS, \$1,000,000.

The Urban Education program has long argued for the strategic, informed use of technology to drive more personalized, deeper development of skills. When these technologies are accessed and Next Generation Learning is enacted effectively, it changes what schools look like and what teachers have the capacity to do for students. Yet learning how to use these technologies effectively as part of a school design is a challenging process, especially when students have a wide range of needs. The Michigan Education Achievement Authority (EAA), a new turnaround district that has taken Detroit's lowest-performing schools and applied a series of new models that employ personalized learning, has been taking on this challenge. But they have found that the number of teachers and leaders that have the capacity to understand and work in these new models is disarmingly low. As part of their strategy to meet the Common Core, the EAA has proposed a new program, drawing on successful apprenticeship programs across the country, that will bring on leaders as apprentices, so they have the opportunity to understand these new school designs before taking over their own models.

GREATER WASHINGTON EDUCATIONAL TELECOMMUNICATIONS ASSOCIATION, INC., *Arlington, VA*

FOR SUPPORT FOR THE PBS *NEWSHOUR*. 12 MONTHS, \$1,000,000.

Since its creation in 1976 as the *MacNeil/Lehrer Report*, the PBS *NewsHour* has been a daily news program known for its high standards and core mission of providing excellent, objective, and knowledgeable journalism. More than 1 million television viewers tune in to the program each night, while the *NewsHour* website garners an average of 2.2 million unique visitors each month. Whereas much of the media picks up a hot topic of the day and then moves on, *NewsHour* stays to probe topics in depth, to put them into context, and to follow their impact. With renewed support from the Corporation, the *NewsHour* will continue its coverage of critical issues such as international affairs, states at risk, and science, technology, engineering, and math education. In addition, it will focus extra effort on three major issues President Obama raised in his inauguration speech: immigration, gun violence, and climate change.

NATIONAL ACADEMY OF SCIENCES, *Washington, DC*

FOR GENERAL SUPPORT IN HONOR OF THE NATIONAL ACADEMY OF SCIENCES' SESQUICENTENNIAL. 12 MONTHS, \$100,000.

On March 3, 1863, at the height of the American Civil War, Abraham Lincoln signed a bill incorporating the National Academy of Sciences (NAS) to address the government's urgent need for an independent advisor on scientific matters. Today, 150 years after the academy first started its work, science, technology, and medicine influence virtually all aspects of society. As such, NAS's work is crucial in helping to shape science policy through its reports and other advisory functions, and engaging the public through publications and events related to the significance of science and technology in society. Now in its sesquicentennial year, the National Academy of Sciences will use the occasion to celebrate its history of service to the nation through a series of anniversary activities. With Corporation support, NAS will increase public awareness of the importance of science and science education to the public, and of the Academy's critical role in ensuring that science and technology inform public policy on a broad range of issues.

NATIONAL PUBLIC RADIO, INC., *Washington, DC*

FOR REPORTING ON INTERNATIONAL AFFAIRS. 12 MONTHS, \$400,000.

The mission of National Public Radio (NPR) is to work in partnership with their member public radio stations to create a more informed public—one challenged and invigorated by a deeper understanding and appreciation of events, ideas, and cultures. With support from the Corporation, NPR will focus on informing and engaging a large and influential audience about international peace and security issues. During the proposed grant period, NPR will bring to their nearly 26 million weekly listeners reports from NPR's foreign bureaus in Kabul, Islamabad, Baghdad, and recently opened bureaus in Dubai and Jakarta; cover news from Washington, DC, and elsewhere on the domestic front to track security issues and trends and U.S. defense policies and intelligence; create robust Web-only features and layouts to reach news consumers with the information they need however they choose to consume it; and work with other public media providers to enrich NPR's own coverage and extend the reach of their reporting to other audiences and on other digital platforms.

PUBLIC RADIO EXCHANGE, *Cambridge, MA*

FOR AN ORAL HISTORY PROJECT TO INCREASE PUBLIC AWARENESS OF SIGNIFICANT EVENTS THROUGHOUT JOHN F. KENNEDY'S POLITICAL CAREER. 6 MONTHS, \$150,000.

In the weeks following the assassination of former president John F. Kennedy, his family announced plans for an oral history project to memorialize the 35th president through the personal recollections of those who had known him at some point during his brief life. With Carnegie Corporation support, the oral history project was launched in early 1964 and through over 1,200 interviews—all of them archived in both audio and transcript form at the John F. Kennedy Presidential Library—many of these significant events have been captured through the accounts of those who knew President Kennedy. With Corporation support, Public Radio Exchange (PRX) will now make select recordings and transcripts from these personal recollections available to the broader public through a soon to be launched website. To promote the material—some of which has only recently become public—PRX will use select recordings to produce and air a series of stories on public radio stations throughout the country in November 2013, the 50th anniversary of Kennedy's death.

UNIVERSITY OF THE PEOPLE, *Pasadena, CA*

AS A ONE-TIME ONLY GRANT FOR A PROJECT TO OBTAIN FULL U.S. ACADEMIC ACCREDITATION. 12 MONTHS, \$150,000.

Education is one of the most significant factors that has a lasting influence on multiple aspects of an individual's life, including income, health, and quality of life, among others. Higher education, in particular, plays a significant role in determining one's social mobility. But in the United States and abroad, serious challenges continue to deny many students access to higher education. The cost of higher education is a major obstacle that contributes to the inequality of access around the world. While low-income and minority individuals make up a disproportionate share of those with degrees in the United States, obstacles to higher education opportunities are a global problem that affects all groups. Today, there is a growing shortfall in the overall number of degrees being produced and the increasing number of jobs requiring postsecondary education. It is estimated that this gap will reach 23 million by 2025. Addressing two of the most significant barriers to accessing higher education (cost and location), University of the People (UoPeople) is the only tuition-free, nonprofit, online academic institution designed to provide access to college studies for qualified high-school graduates, despite financial, geographic, or societal constraints. With Corporation support, UoPeople will implement established policies and practices necessary to obtain full U.S. academic accreditation.

Report on Finances

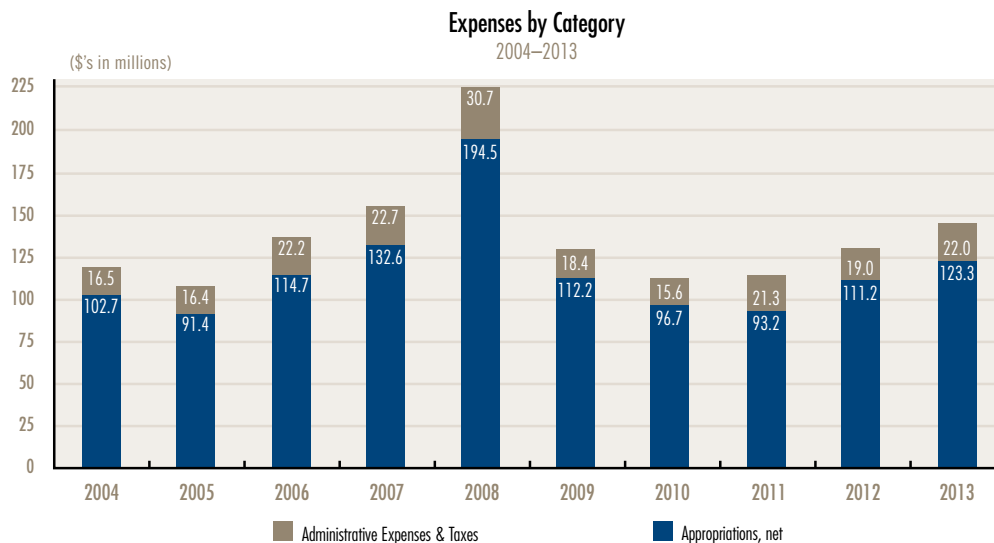
Financial Highlights

Appropriations and Expenses

For the ten years ended September 30, 2013, the Corporation awarded 5,314 grants totaling \$1,172.6 million and incurred expenses of \$166.6 million for program management, direct charitable activities

and administrative expenses, excluding investment expenses, and \$38.2 million for taxes, for a total of \$1,377.4 million.

The graph below illustrates the change in expenses by category over the ten-year period ended September 30, 2013.



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, 2013, 60 percent of the appropriated funds were paid within the fiscal year. Appropriations, net of refunds and cancellations, totaled \$123.3 million, compared to \$111.2 million in the preceding year.

Program management and direct charitable activities expenses were \$15.2 million in the fiscal year ended September 30, 2013, compared to \$13.6 million in the previous fiscal year. Included in these amounts, are direct charitable activities of \$3.2 million in 2013 and \$2.9 million in 2012. 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 \$5.6 million in 2013 and \$5 million in 2012.

The schedule below breaks down total expenses, excluding appropriations and taxes, into categories for the year ended September 30, 2013.

	Program management and direct charitable activities	Investment	General administration	Total
Salaries	\$ 5,941,917	\$2,636,836	\$2,133,583	\$10,712,336
Employee benefits	2,961,362	501,456	1,058,334	4,521,152
Investment advisory and custody fees	—	6,696,270	—	6,696,270
Rent	1,354,395	157,355	634,976	2,146,726
Legal and accounting services	—	416,265	367,430	783,695
Consultants	1,350,895	187,322	704,494	2,242,711
Publications	324,957	—	—	324,957
Conferences and meetings	1,207,012	4,775	27,741	1,239,528
Travel	442,206	189,410	35,821	667,437
Computer equipment and services	236,938	43,066	105,545	385,549
Office expenses	197,406	28,203	90,671	316,280
Amortization and depreciation	83,162	-	38,989	122,151
Trustees' honoraria and expenses	121,915	-	44,383	166,298
Other	991,600	30,026	393,320	1,414,946
TOTAL	\$15,213,765	\$10,890,984	\$5,635,287	\$31,740,036*

* In FY2012, total expenses, excluding appropriations and taxes, were \$25.5 million, which included \$6.9 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 the 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 rate in both 2013 and 2012. During 2013, the Corporation had unrelated business income losses of \$4.1 million from certain investment partnership activities. After applying these losses, the Corporation expects to recover \$1.6 million in unrelated business income taxes. 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 McGladrey LLP audited the Corporation's financial statements as of and for the year ended September 30, 2013. The Corporation's financial statements, together with the independent auditor's report, appear on the following pages.

Independent Auditor's Report



To the Board of Trustees
Carnegie Corporation of New York
New York, New York

Report on the Financial Statements

We have audited the accompanying financial statements of Carnegie Corporation of New York, which comprise the balance sheets as of September 30, 2013 and 2012, and 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 Carnegie Corporation of New York as of September 30, 2013 and 2012, 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.

A handwritten signature in black ink that reads "McGladrey LLP".

New York, New York
March 6, 2014

Balance Sheets

As of September 30, 2013 and 2012

	2013	2012
Assets		
Cash	\$ 38,583	\$ 88,810
Investments	3,031,613,438	2,760,511,436
Taxes receivable	1,722,937	3,113,039
Prepaid expenses and other assets	104,031	411,163
Fixed assets	215,189	306,985
Total Assets	<u>\$ 3,033,694,178</u>	<u>\$ 2,764,431,433</u>
Liabilities and Net Assets		
Liabilities		
Grants payable	\$ 83,445,160	\$ 90,059,721
Accounts payable and other liabilities	1,995,983	1,469,910
Deferred taxes payable	14,666,644	10,967,163
Total Liabilities	<u>100,107,787</u>	<u>102,496,794</u>
Net Assets		
Temporarily restricted	2,798,249,523	2,526,597,771
Permanently restricted	135,336,868	135,336,868
Total Net Assets	<u>2,933,586,391</u>	<u>2,661,934,639</u>
Total Liabilities and Net Assets	<u>\$ 3,033,694,178</u>	<u>\$ 2,764,431,433</u>

Statements of Changes in Net Assets

For the years ended September 30, 2013 and 2012

	2013	2012
Changes in temporarily restricted net assets		
Investment income:		
Interest and dividends	\$ 9,772,156	\$ 8,644,938
Income from partnerships, net	230,455,078	123,862,429
Net realized gains (losses)	17,118,829	(16,543,959)
Investment income	257,346,063	115,963,408
Less investment expenses paid directly	(10,890,984)	(6,857,759)
Net realized investment income	246,455,079	109,105,649
Change in unrealized appreciation of investments, net of related taxes of \$3,477,932 in 2013 and \$4,786,856 in 2012	170,418,652	234,555,948
Net investment income	416,873,731	343,661,597
Investment income released from restriction - appropriation for expenditures	(145,221,979)	(130,242,216)
Change in temporarily restricted net assets	271,651,752	213,419,381
Changes in unrestricted net assets		
Investment income released from restriction - appropriation for expenditures	145,221,979	130,242,216
Expenses:		
Grant appropriations	123,251,111	111,203,565
Program management and direct charitable activities	15,213,765	13,588,845
General administration	5,635,287	5,027,549
Provision for taxes	1,121,816	422,257
Total expenses	145,221,979	130,242,216
Change in unrestricted net assets	-	-
Change in Net Assets	271,651,752	213,419,381
Net assets, beginning of year	2,661,934,639	2,448,515,258
Net assets, end of year	\$ 2,933,586,391	\$ 2,661,934,639

Statements of Cash Flows

For the years ended September 30, 2013 and 2012

	2013	2012
Cash flows from operating activities		
Change in net assets	\$ 271,651,752	\$ 213,419,381
Adjustments to reconcile change in net assets to net cash provided by (used in) operating activities		
Change in unrealized appreciation of investments	(173,896,584)	(239,342,804)
Net realized (gains) losses	(17,118,829)	16,543,959
Depreciation and amortization	122,151	136,437
Change in deferred taxes payable	3,699,481	4,873,720
Total adjustments	(187,193,781)	(217,788,688)
Change in taxes receivable and prepaid expenses and other assets	1,697,234	(3,216,303)
Change in grants payable and accounts payable and other liabilities	(6,088,488)	(1,153,162)
Net cash provided by (used in) operating activities	80,066,717	(8,738,772)
Cash flows from investing activities		
Proceeds from sales or redemptions of investments	708,027,245	877,684,726
Purchases of investments	(788,113,834)	(868,918,094)
Purchases of fixed assets	(30,355)	(15,271)
Net cash (used in) provided by investing activities	(80,116,944)	8,751,361
Change in cash	(50,227)	12,589
Cash, beginning of year	88,810	76,221
Cash, end of year	\$ 38,583	\$ 88,810
Supplemental cash flow information		
Interest paid	\$ 74,874	\$ 101,700

Notes to Financial Statements

September 30, 2013 and 2012

(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, 2013 and 2012. 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 multi-year 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 \$49 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 2010.

Notes to Financial Statements

September 30, 2013 and 2012

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 6, 2014 for these financial statements.

In May 2011, the Financial Accounting Standards Board (the “FASB”) issued Accounting Standards Update (“ASU”) 2011-04, *Amendments to Achieve Common Fair Value Measurement and Disclosure Requirements in U.S. GAAP and IFRSs*. ASU 2011-04 amended Accounting Standards Codification (“ASC”) 820, *Fair Value Measurements and Disclosures*, to converge the fair value measurement guidance in GAAP and International Financial Reporting Standards (“IFRSs”). Some of the amendments clarify the application of existing fair value measurement requirements, while other amendments change a particular principle in ASC 820. In addition, ASU 2011-04 requires additional fair value disclosures. The amendments are effective for annual periods beginning after December 15, 2011 and were adopted by the Corporation. The adoption did not have a material impact on the financial statements.

In October 2012, the FASB issued ASU 2012-04, *Technical Corrections and Improvements*. The amendments in this update cover a wide range of topics including technical corrections and improvements to the ASC and conforming amendments related to fair value measurements. The amendments in this update will generally be effective for fiscal periods beginning after December 15, 2013 for nonpublic entities, except for amendments in this update where there was no transition guidance and which were immediately effective upon issuance. The impact of adopting ASU 2012-04 on the Corporation’s financial statements for subsequent periods has not yet been determined.

(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.

Notes to Financial Statements

September 30, 2013 and 2012

All transfers between fair value hierarchy levels are recognized by the Corporation at the end of each year. Transfers between Level 2 and Level 3 are the results of expiration of lock up periods and liquidity provisions.

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.

Restricted securities and other securities for which quotations are not readily available are valued at fair value as determined by the fund managers. Investments in other funds are valued at fair value based on the applicable percentage ownership of the funds' net assets as of the measurement date, as determined by the investment managers. In determining fair value, the Corporation utilizes valuations provided by the 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. These financial instruments are classified in Level 3 of the fair value hierarchy.

The Corporation applies the measurement provisions of ASC 820-10-35-59 to certain investments in funds that do not have readily determinable fair values including hedge funds, absolute return funds and other funds (the "Funds"). This guidance allows, as a practical expedient, for the estimation of the fair value of investments in investment companies for which the investment does not have readily determinable fair value using net asset value ("NAV") per share or its equivalent.

Also in accordance with ASC 820-10-35-54B, the Corporation categorizes its investments in investment funds as a Level 2 fair value measurement if the Corporation had the ability to redeem its investment on the reporting date or the near term, which is defined as 90 days or less from the reporting date. All other investment funds, including real estate and private equity funds, are categorized as Level 3.

Notes to Financial Statements

September 30, 2013 and 2012

The following tables present the Corporation's fair value hierarchy based on the definitions provided in ASC 820-10 for those assets and liabilities measured at fair value as of September 30, 2013 and 2012:

	2013 Fair Value Measurements Using			
	Total	Quoted Market Prices (Level 1)	Significant Observable Inputs (Level 2)	Unobservable Inputs (Level 3)
Cash and cash equivalents	\$ 367,923,062	\$ 367,923,062	\$ —	\$ —
Investments in securities:				
Common stock	177,765,476	177,310,798	454,678	—
Fixed income	7,090,572	—	7,090,572	—
Investments in other funds:				
Global equity	871,266,926	—	633,479,213	237,787,713
Private equity - Venture capital	321,167,205	—	—	321,167,205
Private equity - Leveraged buyouts	254,632,951	—	—	254,632,951
Real estate	356,249,453	—	—	356,249,453
Natural resources	123,334,813	—	—	123,334,813
Absolute return	552,182,980	—	251,915,213	300,267,767
Total	\$ 3,031,613,438	\$ 545,233,860	\$ 892,939,676	\$ 1,593,439,902

	2012 Fair Value Measurements Using			
	Total	Quoted Market Prices (Level 1)	Significant Observable Inputs (Level 2)	Unobservable Inputs (Level 3)
Cash and cash equivalents	\$ 191,834,052	\$ 191,834,052	\$ —	\$ —
Investments in securities:				
Common stock	196,217,756	195,380,564	837,192	—
Fixed income	21,383,540	10,197,499	11,186,041	—
Investments in other funds:				
Global equity	694,393,223	—	324,746,411	369,646,812
Private equity - Venture capital	334,523,665	—	—	334,523,665
Private equity - Leveraged buyouts	349,917,376	—	—	349,917,376
Real estate and resources	371,037,871	—	—	371,037,871
Absolute return	601,203,953	—	213,235,012	387,968,941
Total	\$ 2,760,511,436	\$ 397,412,115	\$ 550,004,656	\$ 1,813,094,665

Notes to Financial Statements

September 30, 2013 and 2012

All Level 3 investments were valued using the NAV of the Funds (practical expedient) as described above. There were no unobservable quantitative inputs used by management in the valuation of the Corporation's Level 3 investments as of September 30, 2013.

The following tables reconcile all Level 3 assets measured at fair value for the years ended September 30, 2013 and September 30, 2012:

	2013						
	Balance, beginning of year	Transfers between asset classes ⁽¹⁾	Purchases	Sales and settlements	Net realized and unrealized gains (losses)	Net transfers between Level 2 and Level 3 ⁽²⁾	Balance, end of year
Global equity	\$ 369,646,812	\$ 27,577,193	\$ 60,000,000	\$ (44,454,862)	\$ 104,146,611	\$ (279,128,041)	\$ 237,787,713
Private equity – Venture capital	334,523,665	(39,208,450)	26,307,235	(50,563,693)	50,108,448	—	321,167,205
Private equity – Leveraged buyouts	349,917,376	(57,401,918)	36,366,499	(101,449,185)	27,200,179	—	254,632,951
Real estate	371,037,871	(30,510,174)	40,673,012	(66,091,653)	41,140,397	—	356,249,453
Natural resources	—	127,120,542	19,570,141	(20,010,007)	(3,345,863)	—	123,334,813
Absolute return	387,968,941	(27,577,193)	—	(85,269,832)	69,689,646	(44,543,795)	300,267,767
Total	\$ 1,813,094,665	\$ —	\$ 182,916,887	\$ (367,839,232)	\$ 288,939,418	\$ (323,671,836)	\$ 1,593,439,902

⁽¹⁾ During the year ended September 30, 2013 the Corporation decided to segregate its investment in natural resources into a separate asset class. The investments held under Natural Resources were previously reported under Leveraged Buyouts, Venture Capital and Real Estate and Resources.

⁽²⁾ Represents net transfers of investments between Level 2 and Level 3 based on liquidity provisions.

	2012					
	Balance, beginning of year	Purchases	Sales and settlements	Net realized and unrealized gains (losses)	Net transfers between Level 2 and Level 3 ⁽¹⁾	Balance, end of year
Global equity	\$ 339,561,474	\$ 18,750,000	\$ (35,887,378)	\$ 89,195,567	\$ (41,972,851)	\$ 369,646,812
Private equity – Venture capital	288,766,487	39,275,296	(55,549,737)	62,031,619	—	334,523,665
Private equity – Leveraged buyouts	390,271,116	55,713,317	(122,980,480)	26,913,423	—	349,917,376
Real estate and resources	316,833,852	73,235,989	(49,802,742)	30,770,772	—	371,037,871
Absolute return	358,930,908	44,800,000	(76,988,427)	61,226,460	—	387,968,941
Total	\$ 1,694,363,837	\$ 231,774,602	\$ (341,208,764)	\$ 270,137,841	\$ (41,972,851)	\$ 1,813,094,665

⁽¹⁾ Represents net transfers of investments between Level 2 and Level 3 based on liquidity provisions.

The change in unrealized appreciation attributable to Level 3 investments still in position as of September 30, 2013 and 2012 was \$60,780,505 and \$144,010,286, respectively.

Notes to Financial Statements

September 30, 2013 and 2012

The following table lists the redemption terms and unfunded commitments for the investments in other funds as of September 30, 2013.

	2013 Fair Value	Unfunded commitments (in millions)	Redemption frequency	Redemption notice period
Investments in other funds:				
Global equity	\$ 871,266,926	\$ —	Various ⁽¹⁾	6–120 days
Private equity—Venture capital	321,167,205	72.5	Illiquid	n/a
Private equity—Leveraged buyouts	254,632,951	109.1	Illiquid	n/a
Real estate	356,249,453	136.4	Illiquid	n/a
Natural resources	123,334,813	73.1	Illiquid	n/a
Absolute return	552,182,980	—	Various ⁽²⁾	30–180 days
Total	\$ 2,478,834,328	\$ 391.1		

⁽¹⁾ Redemptions are permitted as follows: \$0.58 million daily, \$248.73 million monthly, \$227.46 million quarterly, \$26.69 million biannually, \$349.80 million have rolling lock-up periods, and \$18.01 million are illiquid.

⁽²⁾ Redemptions are permitted as follows: \$57.80 million monthly, \$26.79 million quarterly, \$217.47 million annually, \$138.07 million have rolling lock-up periods, and \$112.05 million are illiquid.

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 5 years, 23% within 6-10 years and 3% in more than 10 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 \$109,361,300 and \$94,410,600 as of September 30, 2013 and 2012, 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 entire emerging markets portfolio is actively managed.

Fixed Income

The bond portfolio is largely comprised of Treasury and Agency securities but may hold directly other bonds. Generally, the Corporation’s bond holdings are designed to act as protection for the portfolio.

Notes to Financial Statements

September 30, 2013 and 2012

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.

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.

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 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.

During the years ended September 30, 2013 and 2012, the Corporation received distributions of marketable securities with a total fair value of approximately \$28.6 million and \$7.9 million, respectively, from limited partnerships.

In certain cases, the Corporation uses swap contracts to invest in real estate limited partnerships. As of September 30, 2013 and 2012, the fair value of these swaps, which are included in investments, was approximately \$4.4 million and \$3.9 million, respectively. Swap contracts are subject to off-balance-sheet risk mainly due to the credit risk arising from the potential inability of the counterparty of the swap to perform under the terms of the contract. Based on the specific structuring of these swap contracts, the Corporation's exposure to credit risk associated with counterparty nonperformance is limited to the unrealized gain on each contract. To reduce this risk, the Corporation only enters into swaps with major U.S. broker-dealers.

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 market 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.

Notes to Financial Statements

September 30, 2013 and 2012

(4) FIXED ASSETS:

Fixed assets are composed of the following at September 30, 2013 and 2012:

	2013	2012
Leasehold improvements	\$ 4,216,682	\$ 4,216,682
Furniture and equipment	4,139,792	4,109,437
	8,356,474	8,326,119
Less accumulated depreciation and amortization	(8,141,285)	(8,019,134)
Total	\$ 215,189	\$ 306,985

(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 one percent if certain conditions are met. The Corporation met the requirements for the reduced tax in 2013 and 2012. Therefore, current taxes are estimated at one percent of net investment income, as defined.

Deferred taxes represent two percent of unrealized appreciation of investments at September 30, 2013 and 2012, as qualification for the one percent 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.

During 2013, the Corporation had unrelated business income losses of \$4,086,000 from certain investment partnership activities. By applying these losses, the Corporation expects to recover \$1,591,600 in unrelated business income taxes. This amount is included in the provision for taxes. During 2012, the Corporation had unrelated business losses of \$2,681,600.

The Corporation paid federal excise taxes of \$2,300,000 in 2013 and \$1,700,000 in 2012. The Corporation also paid state unrelated income taxes of \$18,000 in 2013 and federal and state unrelated business income taxes of \$1,565,000 in 2012.

(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, 2013 and 2012 was \$1,379,100 and \$1,302,100, 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. Contributions to the plan totaled \$21,500 in 2013 and \$9,000 in 2012. At December 31, 2012 the assets of the plan exceeded the actuarial present value of accumulated plan benefits by approximately \$117,000. 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 \$456,500 in 2013 and \$433,300 in 2012, on a pay-as-you-go basis.

Notes to Financial Statements

September 30, 2013 and 2012

(7) LEASES:

The Corporation occupies office space at 437 Madison Avenue under a lease agreement that expired on December 31, 2013. The remaining commitment on this lease as of September 30, 2013 was \$424,000.

Rental expense for 2013 and 2012, including escalations, was \$2,119,503 and \$2,217,886, respectively.

The Corporation has entered into a new 15-year lease agreement, effective on February 7, 2014, with the landlord at 437 Madison Avenue to rent other space in the building. Below is the minimum commitment on this lease agreement:

<u>Fiscal year ending September 30</u>	<u>Amount</u>
2014	\$ —
2015	1,920,000
2016	2,880,000
2017	2,880,000
2018	2,880,000
Thereafter	33,754,000
Total	<u>\$ 44,314,000</u>

(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, 2013. Interest expense on undrawn capital for the year ended September 30, 2013 was \$74,874. This line of credit facility will expire on August 21, 2014.

Report on Administration

Fiscal 2013: The Year in Review

Board and Committees

Trustee Changes:

- Secretary Governor Kean was elected chairman of the board at the March 2013 board meeting
- Kurt Schmoke was re-elected as vice chairman at the March 2013 board meeting
- Janet Robinson retired from the board after eight years of service, which included serving as chairman, as of the March 2013 board meeting. Janet Robinson now serves as honorary trustee
- Pedro Aspe retired from the board after eight years of service as of the December 2012 board meeting
- Richard Brodhead retired from the board after eight years of service as of the December 2012 board meeting

New Trustees:

- John J. DeGioia was elected to a four-year term effective December 2012–December 2016
- Louise Richardson was elected to a four-year term effective December 2012–December 2016
- Jorge Sampaio was elected to a four-year term effective December 2012–December 2016

The Corporation's standing committees were constituted as follows:

- Elected to serve on the Investment Management Committee were Geoffrey Boisi, Stephen A. Oxman, Norman Pearlstine, James D. Wolfensohn
- Elected to serve on the Planning and Finance Committee were Kurt L. Schmoke, Richard Beattie, Amy Gutmann, John S. Hendricks, Don M. Randel
- Elected to serve on the Committee on Trustees were Susan Hockfield, Richard Beattie, Ralph Cicerone, Kurt L. Schmoke

- Elected to serve on the Audit Committee were Edward P. Djerejian, Amy Gutmann, Ana Palacio, Norman Pearlstine, 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, Kurt L. Schmoke, vice chairman of the board, Geoffrey Boisi, chairman of the Investment Committee.

Board Actions

At the board meeting on **December 13, 2012:**

- The Trustees authorize the President to appropriate, at his discretion, in honor of the Corporation's Centennial, up to \$500,000 for support to the Carnegie Foundation/Peace Palace; \$150,000 for support to the Carnegie Hero Fund Commission; \$1,000,000 for the Carnegie Institution for Science; \$250,000 for the Carnegie UK Trust; \$250,000 each for the Universities of Aberdeen, Glasgow, Edinburgh, and St. Andrews; and \$200,000 for the Carnegie Trust for the Universities of Scotland in fiscal year 2012/2013, for a total of up to \$3,100,000.
- The Trustees authorize the President to execute a lease for new office space and provide for all costs associated with the move of the Corporation's offices.
- The Trustees authorize the President to appropriate up to \$250,000 from funds in fiscal year 2012/13 to the Mayor's Fund to Advance New York City for relief efforts related to Hurricane Sandy. (*NOTE: this resolution was approved by Trustees via email on December 14, 2012*)

At the board meeting on **September 12, 2013:**

- The trustees authorize the president to appropriate up to \$9,000,000 payable over a 36-month period to provide a Corporation grant to the National Center for Civic Innovation, subject to a satisfactory final review by the President, for support of the ongoing growth, development, and sustainability of 100Kin10.

Milestones

During the fiscal year 2012/2013, 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 the Corporation in fiscal year 10/2012–9/2013:

NAME/TITLE	HIRE DATE
THEODORE KALIONZES Program Assistant, International Peace and Security Program	8/26/2013
JAMES MURDOCK Director of Digital Strategies	7/9/2013
MARK MIHALLO Investment Analyst	6/24/2013
LAURIE MINCIELI Program Assistant, International Peace and Security Program	5/6/2013
CAMILLA SOMERS Administrative Assistant to the Special Assistant to the President	3/21/2013
MICHAEL ASTOLFI Digital Strategies Producer, Communications	2/19/2013
JESSICA HARRIS Program Assistant, National Program	1/24/2013
DEANNA LEE Chief Communications & Digital Strategies Officer	10/1/2012

The following individuals expanded their responsibilities in fiscal year 10/2012–9/2013:

JOSE RIVERA, Office Services, Supervisor
 NICOLE HOWE BUGGS, Associate Corporate Secretary and Director, Grants Management
 BONNIE RIVERS, Associate Director of Grants Management
 VIRGINIA MALLON-ACKERMANN, Executive Assistant, President's Office
 JON-MICHAEL CONSALVO, Senior Investment Analyst
 JULIA SELTZER, Senior Investment Analyst
 PATRICIA AQUINO-MACRI, Operations Coordinator, International Program
 VALERIE VITALE, Executive Assistant, National Program and STEM
 HILLARY WIESNER, Director of Fellowships and Arab Region Programs
 DEANA ARSENIAN, Vice President, International Program and Program Director, Russia and Eurasia

The following individuals left the Corporation in fiscal year 10/2012–9/2013:

NAME	LAST DATE @ CCNY
JULIA SELTZER	AUGUST 2, 2013
GEORGE SOULE	MAY 23, 2013
HILLARY S. WIESNER	APRIL 30, 2013
DEBORAH S. COHEN	APRIL 30, 2013 Retired
ANDRES HENRIQUEZ	NOVEMBER 5, 2012

The following individuals were recognized for their years of service at the Corporation during 10/2012–9/2013:

None

Report on Investments

Annual Report Fiscal 2013

After a series of challenging market and macro-economic shocks that roiled global markets in 2008, many developed markets are back to all-time peaks. Yet the world has not become riskless in the intervening period. In the United States, the stock market has done well in the past year on the back of dividends, buybacks, and multiple expansion, yet the overhang of policy uncertainty and the unwind of quantitative easing remain. Similarly, though stocks in Europe and Japan have seen price appreciation in the past year, there is still no obvious long-term solution to some of the structural issues facing both geographies. Instead, where markets had once irrationally discounted European and Japanese stocks, the pendulum has begun to swing in the opposite direction. Only Emerging Markets seems to present a pocket of value, discounting these global risks as well as local ones. Yet even with this apparent value, the markets are bifurcated into “safe” consumer names that are priced to perfection, and cyclical companies that are discounted to reflect investors’ concerns regarding global growth. As such, unlike their Developed Market counter-

parts, Emerging Markets returns driven by pure beta are illusory thus far and may remain so for the foreseeable future. Though we are heartened by the Corporation’s strong fiscal year performance in 2013, we are duly sober about the risks that persist in the world and the price we are being asked to pay for risk assets. As we look forward, we endeavor to stay true to our core investment principles and remain levelheaded and value-oriented in the face of the ebullience and false comfort that often follow a long and steady spate of asset price reflation.

In 2013, the Corporation’s portfolio has performed remarkably well. Over the past five years, anchored by the sharp decline in financial asset valuations during the global financial crisis, the market value of the Corporation’s assets increased 8.7 percent per annum, taking the total portfolio value from \$2.4 billion to \$3.0 billion and only just exceeding our long-term performance goal of maintaining the Corporation’s purchasing power net of spending and inflation. While our long-term aspirations are to produce greater absolute performance, this five-year figure was hard won given the severe drawdown in

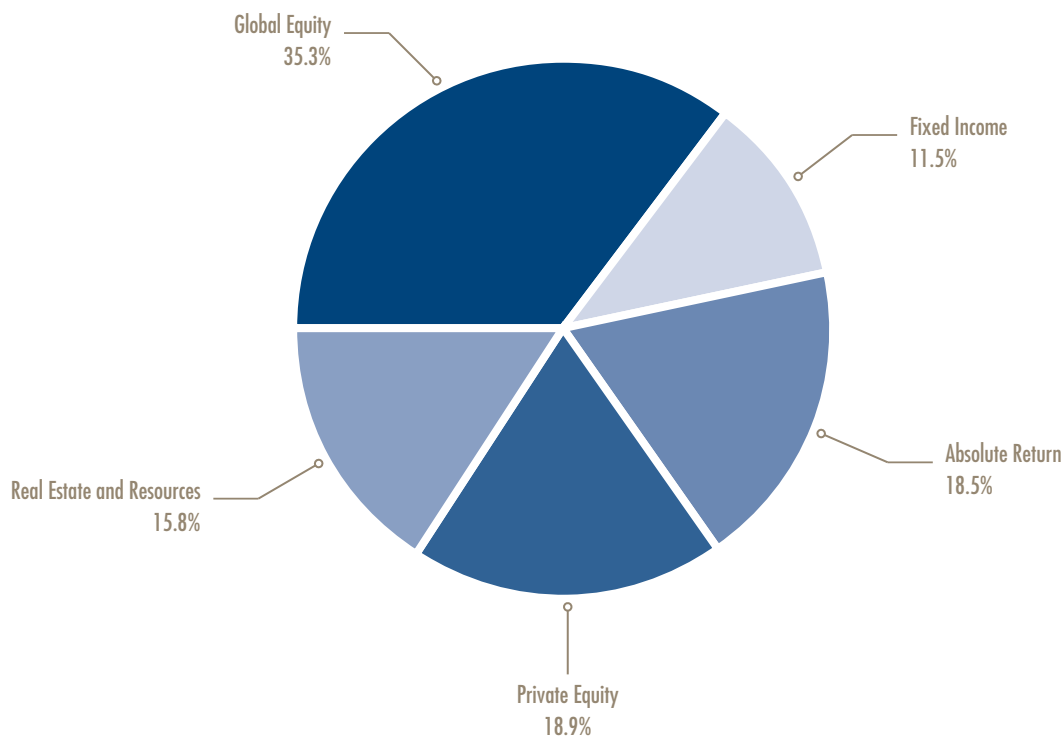
2008. Over this five-year period, the Corporation disbursed \$708 million for grants and administrative expenses, representing a spending rate of 5.4 percent of total assets. The Corporation was able to maintain its spending during this challenging period thanks to the foundation's diversified approach to investing, its judicious guarding of cash and fixed income reserves prior to the downturn, which allowed the investment program to stay the course, and a flexible spending rule based on 5.5 percent of its average market value over the prior quarters, which smoothed the volatility of disbursements.

The Corporation's annualized compounded return net of fees for the five-year period ending September 30, 2013, is 8.7 percent, allowing, most importantly, the foundation to maintain its purchasing power net of spending. By comparison, global equity markets, as measured by Morgan Stanley's All World Country Index, gained 8.3 percent on an annualized basis during this same period. While a portfolio consisting solely of liquid, global equities

could have matched the Corporation's performance over this shorter period, the Corporation's long-term performance of 10.7 percent per year over ten years would have been impossible without investing in a broader range of asset classes, including the alternative asset classes: a fact that speaks to the importance of running a diversified portfolio that is more likely to meet the Corporation's needs over the long haul. This performance allowed the Corporation's portfolio to grow from a starting value of \$1.8 billion to its current value of \$3.0 billion in addition to spending over \$1.2 billion on grants and administrative expenses over the trailing ten-year period. In terms of relative measures of performance, the Corporation is in the top quartile of the Cambridge Associates Over \$1 Billion Universe, and outpaced its policy benchmark for the one-, five-, and ten-year periods by 5.7, 2.1, and 3.1 percent respectively.

The Corporation's asset allocation as of September 30, 2013 and its long-term performance history are illustrated below:

Asset Allocation as of September 30, 2013



Asset Class Performance for One-, Five-, and Ten-Year Periods Ending September 30, 2013

Carnegie Corporation of New York Performance Summary Periods Ending September 30, 2013

	Asset Allocation 9/30/2013	One Year Oct. 2012–Sept. 2013			Five Years Oct. 2008–Sept. 2013			Ten Years Oct. 2003–Sept. 2013			Benchmark
		CCNY	B'Mark	Difference	CCNY	B'Mark	Difference	CCNY	B'Mark	Difference	
Marketable Portfolio	65.2%	18.4%	9.3%	9.0%	10.1%	6.3%	3.8%	10.3%	7.0%	3.3%	Target Policy Index
Global Equity Assets	35.3%	21.9%	12.5%	9.4%	11.0%	7.7%	3.3%	10.8%	8.9%	1.9%	MSCI World/MSCI Emerging Markets Blend
Developed Markets	26.0%	27.4%	20.9%	6.5%	12.4%	8.5%	3.9%	10.0%	8.2%	1.9%	MSCI World
Emerging Markets	9.3%	6.2%	1.3%	4.8%	7.0%	7.6%	-0.6%	13.5%	13.2%	0.4%	MSCI Emerging Markets
Other Marketable Assets	29.9%	14.3%	6.5%	7.8%	8.4%	4.0%	4.4%	9.1%	4.4%	4.6%	Target Policy Index
Fixed Income	11.5%	0.0%	-0.7%	0.7%	1.9%	3.5%	-1.6%	3.7%	4.0%	-0.3%	Target Policy Index
Bonds	0.0%	0.0%	-2.0%	2.0%	2.2%	4.2%	-1.9%	4.0%	4.4%	-0.5%	20% Barclays Tsy 5 Yr+ & 80% Barclays Gmt
Cash	11.5%	0.0%	0.1%	-0.1%	0.2%	0.2%	0.1%	1.8%	1.7%	0.1%	91-Day T-Bills
Absolute Return	18.5%	21.7%	9.3%	12.4%	10.6%	5.2%	5.4%	11.7%	5.9%	5.8%	CA Hedge FoF Median
Long/Short	7.9%	14.5%	9.3%	5.2%	8.7%	5.2%	3.5%	11.5%	5.9%	5.6%	CA Hedge FoF Median
Event Driven/Opportunistic	10.5%	27.7%	9.3%	18.4%	12.3%	5.2%	7.1%	11.7%	5.9%	5.8%	CA Hedge FoF Median
Non-Marketable Portfolio	34.8%	11.4%	14.0%	-2.6%	5.8%	7.5%	-1.7%	12.5%	10.6%	1.9%	
Private Equity	18.9%	13.9%	15.7%	-1.7%	9.6%	8.7%	1.0%	13.1%	11.6%	1.5%	Private Equity/Venture Composite Index
Venture Capital	10.6%	17.5%	15.1%	2.4%	11.5%	7.5%	4.0%	9.6%	8.6%	1.1%	CA Venture Index
Leveraged Buyouts	8.4%	10.0%	16.4%	-6.4%	8.1%	9.8%	-1.7%	16.2%	14.3%	1.9%	CA Private Equity Index
Private Real Estate	11.8%	12.6%	11.0%	1.6%	-1.3%	5.7%	-6.9%	9.6%	8.6%	1.0%	NCREIF Property Index
Natural Resources	4.1%	-2.6%	8.2%	-10.9%	10.0%	7.3%	2.8%	20.4%	15.1%	5.3%	CA Natural Resources Index
Total Portfolio	100.0%										
Estimated Composite Performance		16.4%	10.6%	5.7%	8.7%	6.7%	2.1%	10.7%	7.7%	3.1%	

Outperformance in the one-year period was driven by a mix of manager outperformance in the majority of the asset classes and a tactical overweight to Developed Market equities versus the Corporation's target benchmark. In terms of asset class specific performance, the Corporation's Developed Markets and Absolute Return portfolios performed well on both an absolute and relative basis during this period, while the Corporation experienced more varied results across the alternative and illiquid asset classes. This reversal of fate in the asset classes speaks to the importance of running a diversified portfolio: in the previous five-year reporting period, the dominant drivers of return had been the same alternative and illiquid asset classes that are relative underperformers today. As fundamental, long-term investors, we know that every asset class has its day in the sun...or the shade. Specific asset class results were as follows:

- Global Equities:** During the trailing one- and five-year periods, the Global Equities portfolio produced returns of 21.9 percent and 11 percent per annum, respectively. Manager selection was additive to both periods, but particularly strong in the one-year figure. Over the ten-year period, global equities were up 10.8 percent per annum. Within the asset class, Developed Markets equities and the tactical tilt to them was the real standout in recent performance, delivering 27.4 percent in fiscal year 2013. On the other hand, Emerging Markets detracted from absolute performance over this period, unable to resist the gravitational pull of the asset class as a whole. In fiscal year 2013, Emerging Markets returned only 6.2 percent, but significantly outperformed its benchmark, helping protect capital in the face of depressed emerging markets overall.

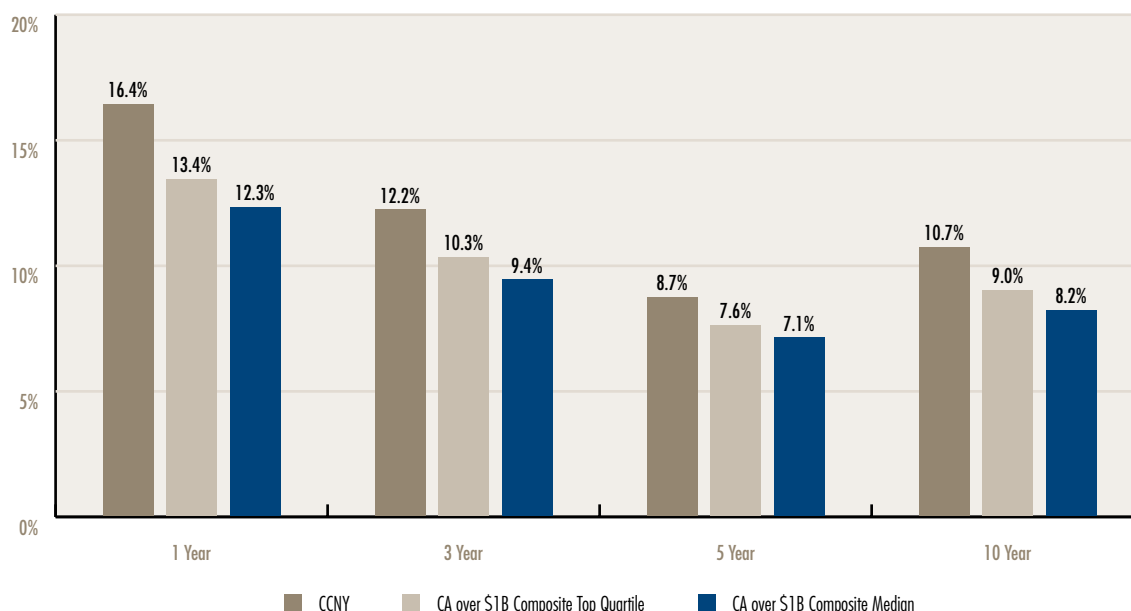
- **Absolute Return:** Across the strategy types, Absolute Return produced attractive absolute and relative outperformance, with 21.7 percent in fiscal year 2013, 10.6 percent per annum for the trailing five years, and 11.7 percent per annum for the trailing ten years. Our event-driven/opportunistic strategies were particularly accretive, still reaping seeds sown during the depths of the 2008 crisis.
- **Private Equity:** The asset class returned 13.9 percent, 9.6 percent per annum, and 13.1 percent per annum in the one-, five-, and ten-year periods, respectively, contributing to strong absolute returns. In the one-year figure, venture capital strategies and our structural overweight to them were particularly accretive, as the Corporation's managers took advantage of the same strong selling environment created by the buoyancy of developed markets equities.
- **Private Real Estate:** At the epicenter of the global financial crisis, Private Real Estate was by far the hardest hit asset class in 2008 and the slowest to reflate. This market reality is clear in the five-year performance figure, still coming in as a negative absolute performance of -1.3 percent. That said, the value of staying the course and capitalizing on the Corporation's patience and long-term invest-

ment horizon could not be more clearly illustrated than in the Real Estate portfolio's one-year performance figure of 12.6 percent – a healthy rebound from the nadir of the crisis. Over the longer term ten-year period, the portfolio returned 9.6% per annum.

- **Natural Resources:** Though the five-year figure remains relatively strong for the Corporation's Natural Resources portfolio at 10.0 percent per annum, the recent one-year period has been challenging, with a final negative performance of -2.6 percent. As fears regarding global growth and the Chinese fixed asset investment cycle took hold, high beta asset classes, like Natural Resources, were particularly hard hit. The more recent fund allocations that have yet to get beyond the J-curve exacerbate this trend. The Corporation takes comfort in the quality of its managers and looks to the long-term success of the asset class, which annualized at 20.4 percent over the trailing ten-year period, knowing it too will once again have its day in the sun.

The Corporation's overall investment performance over the decade ending September 30, 2013, is illustrated below.

**Carnegie Corporation of New York
Investment Results**
September 30, 2013



Looking forward, valuations of financial assets remain rich for most asset classes, with few exceptions. Consequently, we agree with the consensus forecast that returns, especially to *beta*, will be relatively modest for the next several years, and are likely to be lower than those of the past decade. In order to meet the Corporation's mandate, this lower return environment places ever-greater importance on asset allocation and manager selection *alpha*. The Corporation's portfolio is positioned defensively to do well in a challenging environment, given its substantial diversification, emphasis on fundamental manager research, and bottoms-up security selection throughout the portfolio.

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