

THE JOYCE FOUNDATION ANNUAL REPORT 2000 →

The Joyce Foundation supports efforts to protect the natural environment of the Great Lakes, to reduce poverty and violence in the region, and to ensure that its people have access to good schools, decent jobs, and a diverse and thriving culture. We are especially interested in improving public policies, because public systems such as education and welfare directly affect the lives of so many people, and because public policies help shape private sector decisions about jobs, the environment, and the health of our communities. To ensure that public policies truly reflect public rather than private interests, we support efforts to reform the system of financing election campaigns.

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PRESIDENT'S LETTER

In physics, "power" is defined as doing work, or producing energy. In society, however, we tend to think of power as integral to decision-making and action. We hope power will flow on behalf of general progress, though we all know the adage that power corrupts.

How to array political power was the central challenge facing framers of the U.S. Constitution. To them, the new nation came down to the question of how much power to vest in a central government and how much to vest with the states and with the people. Each succeeding generation has redefined the balance in our Federal system, and the nation confronted outright dissolution over the question during the Civil War when states rightists exercised an extreme belief in state-based power by grotesquely defining slavery as a state's prerogative.

2 Today, the role of the Federal government seems under constant re-examination, as society's expectations change. The generation today coming into its own has no memory of the Depression of the 1930s, the vast and restorative New Deal, or the shift in the role of government that those initiatives represented. Many recoil from the very word "entitlement" and do not share the belief that citizens are entitled to a minimum level of support, even less that our Federal government bears an obligation to insure the well-being of citizens unable to secure that well-being on their own.

In this post-entitlement age, power—through accident as well as design—has been devolving to less centralized decision-making units. At the same time, confusion has begun to creep in over where authority and responsibility ultimately lie. Power can certainly be divorced from legitimate authority, as in dictatorships, where leaders cling to power through the rule of force. Equally, in democratic processes, "participation" and "involvement" can be confused with responsibility. Do irate parents, for example, who begin to monitor a poorly performing school indirectly acquire some responsibility to maintain their involvement until the school improves?

Increasingly, the public voice has numerous channels through which to flow. But where is true power and responsibility? The public cannot simply sit by and watch the bouncing ball of power move from state government to local to Federal and back again.

According to the journal *Public Management*, by the end of the 20th century local governments in the United States had become the most trusted level of American government. Proximity favors accountability, from which follows trust.

But is being trusted enough? Do local governments have the stamina and resources to tackle the large issues that are being passed to them to handle? The nation's fifty state legislatures—not to mention the 3,043 counties, 19,279 municipalities and 16,656 towns—have a need for staff and budget. But only nine of the state legislatures have full-time legislators, supported by professional full-time staff. According to recent data from the National Association of Counties, roughly 60 percent of the nation's county governments were having difficulty recruiting staff, due to constraints of cost and the competitive appeal of employment outside government. Meanwhile, despite pronouncement of budget surpluses, early in 2001, 23 states were expecting budget shortfalls.

Yet power continues to shift to states through the block grant process as the Federal government passes more decision-making away. Also, as the role of the public sector changes, so does expectation of the private sector. Free market solutions are touted as alternatives to regulatory approaches—long-standing emblems of public power. But what is the proper ratio of substitution? What is the optimum interplay?

The Joyce Foundation has tried to remain alert to these questions, weighing costs and benefits and the impact on the work of our grantees.

Our Grantmaking

This year, for each of our current Programs, shifts in power arrangements have been notable forces in the development of public policies.

In the case of Gun Violence, a keen dynamic has been a balance between Federal and state action and whether policies and laws at only one level can be effective. Also at issue is the balance between state and individual power. Those who argue for the individual right to use and own a gun resist regulatory approaches as being subversive of personal power and individualism.

In the Money and Politics domain, debate revolves around the perceived and actual power of cash to influence leaders and public policy decisions. How much money translates into too much power? Have those who can afford access to the influential become, through wealth, more powerful than those who have been elected?

In the area of Environment, discussion has focused on the flexibility of power. If regulatory requirements, which have been the backbone of our national system of environmental protection, are decried as onerous and bureaucratic, how flexible should regulators be? Clearly, the intent of basic environmental regulation is to achieve the cleanest possible air and water and all incentives should align with those goals. But how much should regulators assist possible polluters in achieving compliance and when does an emphasis on flexible compliance amount to an abrogation of regulatory power? This question is central to an era of so-called regulatory relief, and our grantmaking attempts to keep the issue in focus.

In Education, there is seemingly a constant realignment of power between local community control and central school Boards. Like sand in an hourglass, governance power trickles down to the schools and local districts, often only to be turned upside down in the next wave of educational reform, to be regrouped to start all over again. Grants in our Education Program have attempted to distill the essence of good governance so that power flows creatively, but predictably and reliably, through the school system for the benefit of students.

In the arts, high-brow appreciation has long been perceived as elitist or rarified. Yet, all people derive power from the inspiration of artistic creation, and our Culture Program grantmaking seeks to support efforts that bring the power of artistic activity not down from an “on high” cultural mountaintop, but across the human consciousness to the heart of the broad human community, for all people.

Our grantmaking in the Employment Program this year offers perhaps the archetypal case of responding to a major power shift. In 1996, the Federal government essentially washed its hands of a notion of an entitlement for poor people. The ensuing new law tied welfare payments to “work first” activity, transferred billions of dollars to states to deploy, and established strict time limits on benefits. With these block grants, power cascaded to the states. But, only time will tell whether the 1996 reform

recalibrated power constructively, for the benefit of individuals facing poverty. Or perhaps, as economic growth slows down, states will yearn for the once centrally determined entitlement notion, especially if welfare recipients cannot move out of poverty despite their best efforts, because of stagnant wages and layoffs—the Federal entitlement safety net now being gone.

Finally, our grantmaking through the special Joyce Millennium Initiatives addresses the dynamic of power flowing from one generation to the next. What concepts should we reinforce because they have intergenerational significance? And what problems demand inter-generational responsibility and equity? What bold new efforts carry a concomitant sense of responsibility? For example, the problem of global warming caused by emissions of greenhouse gases like carbon dioxide will build up and plague generations that will have had very little to do with causing the problem. One of our first Millennium grants supports the design of a pilot phase for a carbon dioxide emissions trading market, called the Chicago Climate Exchange. Long discussed, the ability of the marketplace to create incentives for reducing carbon dioxide emissions has not been tested. Often, the constructive power of the marketplace cannot be unleashed without a public sector stimulus, such as a regulatory target for action. Will the power perceived to reside in the private sector, in fact, be able to travel the track of public good? This is a key intergenerational question, since the generation now coming of age has a great belief in the power of the private sector to meet social goals.

Power in today’s world wears many costumes. Citizens, however, should be vigilant to the new domains and appearances of power. There remains a crisp and vivid difference between power, authority, decision-making and responsibility, and they do not necessarily derive and flow neatly from one to the other.

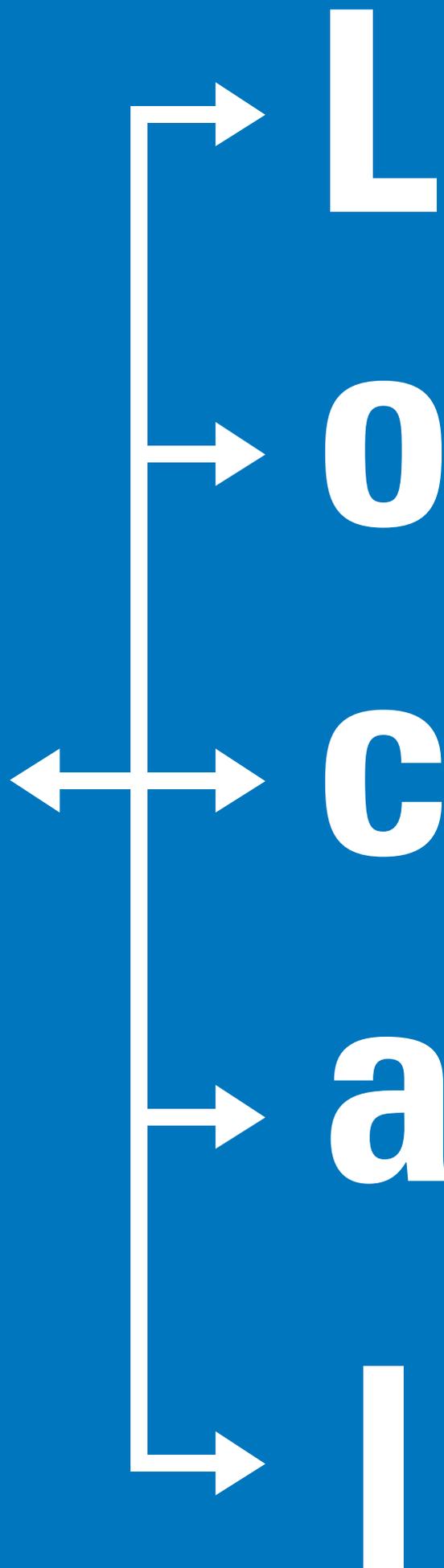
Committed to sound public policy-making, the Joyce Foundation also remains committed to the idea that power should be dedicated to the greatest public good and remain responsible for achieving the broadest benefit. Otherwise, power remains simply a cold force of physics wandering loose and unexamined in the world.



Paula DiPerna



District



It's one thing to devise bold educational policies downtown or in the district office, quite another to make them work in individual schools. That's when governance becomes critical.

EDUCATION

The last two decades have seen education rise to the top among issues in political campaigns and opinion polls. The period has generated many creative ideas for transforming schools. But too often successes remain small and localized. Few policymakers have yet figured out how to bring promising strategies to scale—let alone extend them “throughout the length and breadth of our land,” as the National Commission on Excellence in Education urged in its pathbreaking report on America’s troubled school systems, *A Nation at Risk*, back in 1983.

“We thought, if we had a sense of what to do in individual schools, it shouldn’t be that difficult to find policies to help those strategies take root and spread,” says Bob Palaich of the Education Commission of the States. “But creating supportive policies turned out to be very difficult. It was not hard to identify a set of schools willing to try something new, to network them and get them to share best practices. But to change anything other than those schools didn’t happen naturally.”

The problem, clearly, was governance. Individual schools could improve, if given flexibility to innovate; but school districts and states weren’t changing in ways that could support reform across the system. Says Palaich: “School systems have a culture of trying different instructional strategies every few years, paying relatively little attention to student results generated by any of these strategies, and failing to create policies that bring coherence to different parts of the enterprise.

“We realized we needed to think about changing the locus of decision-making authority,” says Palaich. “Decisions about standards, curriculum, and assessment must be related. And people who are going to be held accountable for meeting standards need some control over the decisions that can get them there.”

With \$450,000 in funding from the Joyce Foundation, ECS researched school governance and created a National Commission on Governing America’s Schools. The Commission’s report, issued in November 1999, drew widespread praise—and criticism—for proposing a dramatic rethinking of school governance. The Commission recognized the great power of flexibility and innovation at the local level that ECS had been supporting since the mid-1980s. It also recognized the

demands for high standards and accountability that were a hallmark of the 1990s. Balancing those two trends is the central challenge facing districts, the Commission wrote: “After all, how can people on the front lines be legitimately held accountable for results unless they have real control over managing, staffing, allocating resources and other day-to-day decisions? And how can state and district leaders do a good job of steering the boat when they are so bogged down in rowing?”

The Commission laid out two governance models for states and districts to consider:

- A system of publicly authorized, publicly funded and publicly operated schools, based on promising trends within the prevailing system, and
- A system of publicly authorized, publicly funded but independently operated schools, based on promising alternatives to the prevailing system.

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Each model involves changing from a school system to a “system of schools.” The governing body—states and districts—would set goals and provide resources and support; people running the schools would have greater autonomy and flexibility than most current public schools have, but they would also be held strictly accountable for results. The main difference is that, in the first model, schools are publicly operated (though some have the relative freedom of charter schools); the second model envisages a district that funds, authorizes and oversees a portfolio of charter schools that are operated by for-profit and nonprofit organizations, cooperatives, and other independent entities.

Whatever variation of either model is chosen needs to bring coherence to governance and decision-making. Milt Goldberg of the National Alliance of Business, an ECS fellow who works on the governance project, makes the case this way: “In a successful business, increasing productivity is not based solely on staff development, technology, and plant improvements. It requires systemic planning and organization. It demands understanding of the interaction of elements required for improvement and the ensuing organizational implementation. That is simply not a common enough thought in American education. Through this project, we want to build a greater awareness and capacity in the policy community of what governance can do to help schools achieve at much higher levels.”

To further that goal, with additional \$585,700 in Joyce funding over three years, ECS has set up the National Center on Governing America’s Schools. The Center collects information and examples of effective school governance, provides technical assistance to states and school districts, and stimulates debate on governance as a critical element in improving American education.

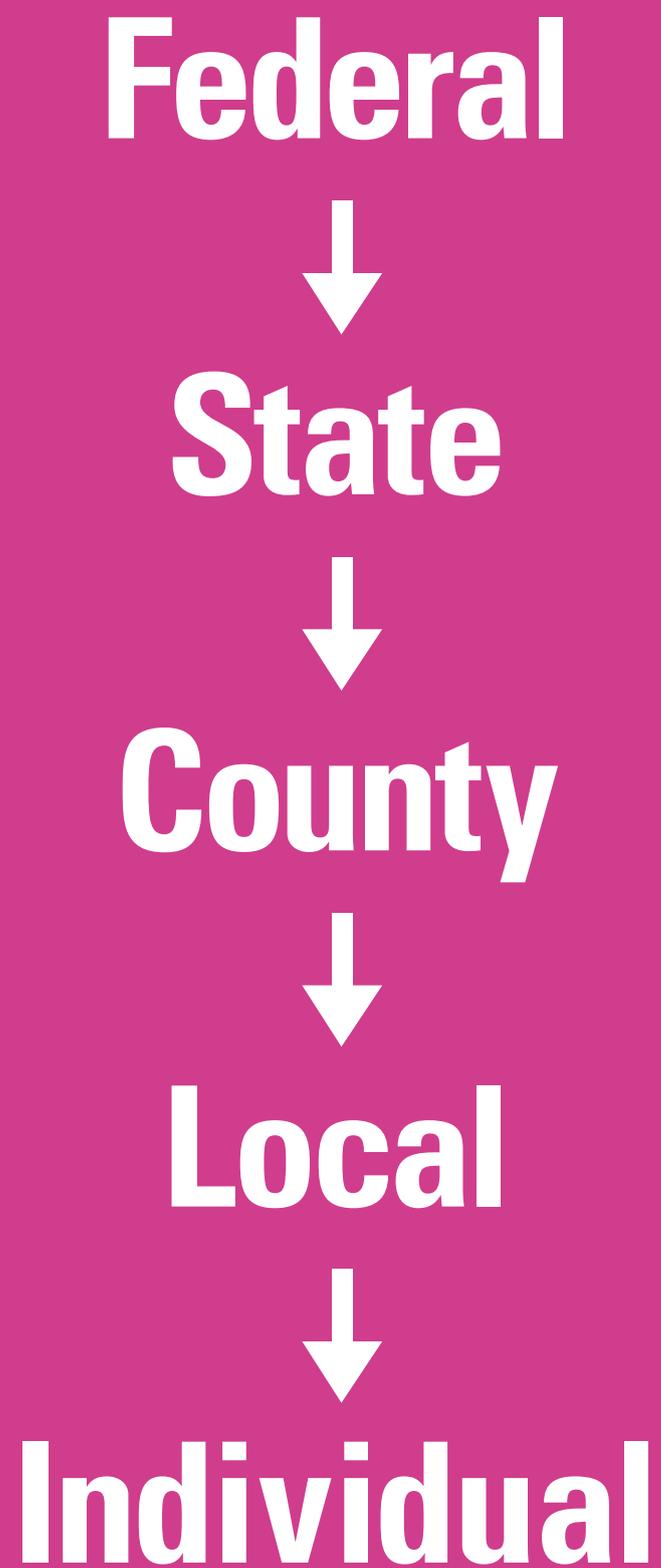
“Governance establishes the rules of the system,” says Center director Todd Ziebarth. “For student achievement to improve, you’ve got to change what happens in the classroom, how teaching and learning occur. But who sets the rules for the classroom? And how can you change the rules to promote teaching and learning?”

“We want to make it possible for legislators to look at how their state compares to other states in the way governance is organized,” Ziebarth says. “We want them to be able to compare who decides what, at the state, district, or school level, around certain key questions: standards, assessment, finance, teacher policies, student policies.”

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Luther Olsen, a state representative from Berwyn, Wisconsin, who serves on the Center’s advisory board, says he’s especially interested in how changing governance might help improve troubled urban systems. “The traditional governance model, with a board, an administration, and a principal, works well in small districts. But in large urban districts I think sometimes size causes problems. Maybe we should make them resemble small districts, where the principal hires the teachers instead of the main office; or maybe we should think bigger, make the board responsible for the finances, then let it contract out for educational services.

“A couple of years ago we looked at how the state can help the Milwaukee public schools improve. Everybody sat and talked, but there was nothing to work off. The ECS report gives a starting point for legislators, school boards, mayors, governors. Here is a model that could be the starting place for you to make some changes. Here are some ideas you can use.”



Once helping the poor was a federal commitment. Now states and localities are in charge. But poverty persists, and families are discouraged from expecting government aid. It's not clear where the solution lies.

EMPLOYMENT

For better or for worse, “welfare as we know it”—that is, the federally guaranteed, state-run system of ongoing support to poor mothers with young children—ended during the 1990s. The 1996 welfare reform bill reframed welfare from help for needy families with children to “Personal Responsibility and Work Opportunity.” And, in a classic case of devolution, it gave states the responsibility and money to make their own social policy, as long as the policy fit the broad directions of the Act. The legislation will come before the U.S. Congress for reauthorization in 2002.

Even before the 1996 bill, some states were already reshaping welfare, wrestling with the federal government for the flexibility to tailor policies to local needs. Nowhere was that more true than in the Midwest. Both before and since 1996, Midwest states have been leaders in creating and testing the basic elements of the new approach. Consider:

- ❑ Wisconsin Works led the “welfare to work” charge, ending benefits for those who don’t comply with work requirements while also increasing spending on child care and other supports for working families.
- ❑ Minnesota’s Family Investment Program (MFIP) sought to “make work pay” by increasing benefits to workers and increasing what workers could earn without jeopardizing their welfare check.
- ❑ Michigan pushed a “work first” strategy, emphasizing quick entry into the job market over education and training.
- ❑ Iowa, on the other hand, early on pioneered Family Development and Self-Sufficiency, a program of intensive services to help families become self-sufficient.
- ❑ In Illinois’ closely watched experiment, people working their way off welfare can continue to collect benefits, paid out of state funds, without using up their federally mandated five-year benefit maximum.
- ❑ Indiana combines aggressive employment efforts with more lenient sanctions than most other states apply—and it has consistently done a better job of employment placement than most other states.
- ❑ Ohio is pushing devolution: it uses a corporate franchising model to give county officials unprecedented authority to craft policies to fit local needs.

This climate of experimentation has made Midwest states policy leaders on welfare reform and created intense national interest in the results of their efforts. To help policymakers understand what the new policies have meant for poor families and inform the reauthorization policy process, the Joyce Foundation has since 1996 invested just under \$8 million in Midwest welfare reform evaluations.

The results, like the policies, are too complex to generalize across all seven states, but several basic patterns are emerging.

- Caseloads are down (by 76 percent in Wisconsin, by lower but still dramatic percentages in other states).
- About two-thirds of those who have left welfare are working.
- Policies aimed at “making work pay” (like Minnesota’s pilot MFIP program or Wisconsin’s New Hope project) have had positive impacts.
- Benefits that could help reduce poverty, such as food stamps and Medicaid, are not reaching many working families who need them.
- Some people still find the barriers to work too formidable; others have dropped out of sight; and at the bottom of the income scale thousands of Midwest families are worse off than before.
- Today three-quarters of poor families in the Midwest are working families.
- Still largely unknown are the potential effects of an economic slowdown, or what will happen when families begin hitting the five-year time limits on welfare benefits over the next year.

If the results in the lives of families are dramatic, a less dramatic but still fundamental shift has also taken place in the way welfare policy is made and implemented.

Once the welfare worker was seen mainly as a screener, assigned to make sure benefits went to those who were eligible and weed out everyone else. Now, officials say, the task for welfare agencies is much broader—to help people in need without necessarily translating that need into a welfare check. The challenge is for agencies to use whatever resources they can muster to find solutions to complex family problems. That has meant much more flexibility at the local level, and much

more collaboration with outside groups—employers, child care, job training and other social service agencies, community and faith-based groups.

“Fundamentally and quickly, the welfare world has been turned upside down,” say top midwestern welfare officials. The transformation is detailed in a report by the Midwest Welfare Peer Assistance Network (WELPAN), an ongoing forum funded by the Joyce Foundation in which policymakers have been meeting quarterly since 1996 to share ideas, experiences and frustrations of crafting a new welfare system.

WELPAN got started even before the federal welfare law passed, as it became increasingly apparent that policymaking was shifting to the states. University of Wisconsin Professor Tom Corbett, a leading welfare researcher who has staffed WELPAN meetings since the beginning, says that in the new climate, “Inevitably, states began to look toward one another as sources of innovation and technical assistance—with horizontal communication among peers gradually replacing vertical communication from national ‘experts’ and ‘authorities’.”

Joel Rabb, welfare policy advisor for the Ohio Department of Job and Family Services, has been part of the WELPAN group from the beginning. “We try to share the successes and the problems so we can repeat the successes and avoid the problems,” says Rabb. “And as we’ve encountered problems we’ve been able to ask for each other’s help. If the counties ask, ‘can we use TANF money this way?’ I’ll ask other states how they’ve dealt with that. Or we’ll identify common issues—on food stamps, for example—where we want to speak with one voice.”

Rabb goes on: “Welfare reform has changed dramatically how we do business with counties, how counties do business with recipients, how counties work with other providers in the community. There’s a much broader delegation of authority and responsibility to individuals and communities, based on some fairly clear outcomes that need to be achieved. The old way of doing business didn’t trust communities or individuals to do what they were supposed to do—that’s why we wrote all those rules. Now we’ve removed a lot of the rules, and we focus instead on results.”

But tracking the results remains a concern, Rabb says. “We need to get better about figuring out what to measure, when, how often—that’s the kind of information we need for accountability.”

And that’s an observation that advocate Mark Real, director of the Children’s Defense Fund-Ohio, heartily endorses. Welfare reform created new opportunities, Real says. He points to genuine progress on issues like increasing child care and enforcing child support obligations. The flexibility at the local level has been used in some very creative ways. Real cites a program (PRC: Prevention, Retention, Contingency) that makes funds available for on-the-spot help: “A lot of people show up at the welfare office because they’re broke and they just want help. This program lets local officials use money to fix people’s cars so they can get to work, or to buy a uniform, or tools. That kind of local flexibility makes a lot of sense.”

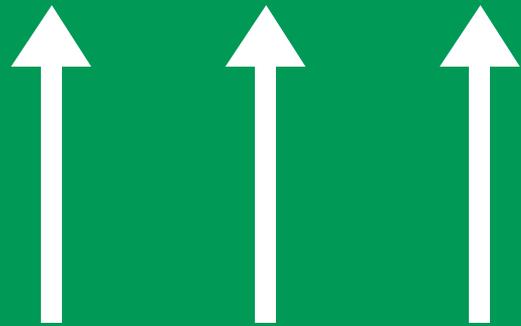
But ultimately, says Real, it’s important to track results and see how things are working for poor families. “To us, the structure is less important than accountability for outcomes. And we’ve had constant tension to get local counties to report on results.” Real wants to see county report cards, similar to those commonly used for school districts, that would show how counties are doing on establishing paternity, finding people jobs with health insurance and higher wages, enabling people to take advantage of child care and health care and other supports that can make it possible to support families.

“Certainly the welfare system we have now is better suited to meet the needs of Ohio families than it was before,” he says. “But there are still problems. There are still all these people who are not on public assistance but have very marginal incomes. They’re showing up at food pantries. This past winter their utility bills were much higher. And for many of them the work hours are erratic—they work 40 hours one week and 20 hours the next.”

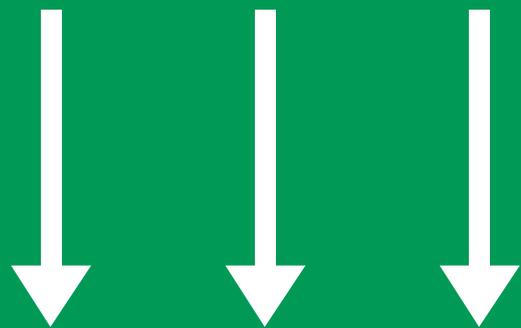
When the welfare bill comes before Congress for reauthorization in 2002, the concerns of such families will need to be dealt with, says Real. “The world has changed so dramatically between 1996 and now. The continuing challenge is how

you keep the focus on helping families rise above poverty. The original focus was to help people get off welfare. But there’s been a shift—and it needs to be much more explicit—into how to help working families meet their basic needs.” States and counties may be better able to help local families now that they hold the policymaking reins once in the hands of the federal government—but only if they know what they are trying to accomplish and keep track of what happens to families struggling to live with the impacts of policy change.

State



Federal



State

Tension between federal and state powers has been part of environmental policymaking for decades. Getting the balance right is important. But it's the outcomes—clean water, fresh air, a healthy ecosystem—that really count.

ENVIRONMENT

The Cuyahoga River on fire, the near-death of Lake Erie: such dramatic events, along with growing public pressure organized during the first Earth Day in 1970, led Congress to pass the nation's bedrock environmental laws in the 1970s. Those laws—the Clean Air Act, the Clean Water Act and others—differ somewhat, but basically Congress authorized the U.S. Environmental Protection Agency to set standards for environmental protection, while leaving it to the states to decide how to meet them. The legislation thus built an uneasy balance between federal and state powers into the dynamic of enforcement.

Thirty years later, innovations in environmental policymaking are forcing re-examination of the balance between federal and state interests. The Joyce Foundation is supporting several projects aimed at both fostering innovation at the state level and making sure that the new policies deliver what they promise—a cleaner environment.

“From the beginning, the new laws envisioned delegation of most responsibility for environmental protection to the states,” says Suellen Keiner of the National Academy of Public Administration. “But, because Congress was worried that states would try to attract more industry by undercutting one another's environmental standards in a race to the bottom, the laws required that a state could only receive approval from the US EPA for a delegated program if it agreed to meet minimum federal standards. Delegation to the states was a hallmark of this system, but it has also been a constant source of tension.”

In the first two decades, a pattern developed. Responding to federal legislation to improve water and air quality, protect endangered species, deal with toxics, etc., US EPA organized its work by separate resource category—water, air, solid waste—and set standards for each. States meanwhile were creating enforcement systems at the local level charged with meeting those federal standards. In addition, US EPA evaluated states by how many enforcement actions—inspections, citations, penalties—they carried out.

By the 1990s, some states were feeling constrained by US EPA's emphasis on enforcement at the expense of other efforts to improve environmental outcomes. With closer on-the-ground experience of environmental conditions and greater familiarity with the polluters they were regulating, states were pioneering new strategies. They experimented with both carrots and sticks to get companies to comply with environmental rules. Illinois, for example, began giving companies a heads-up and a chance to correct problems before they were actually cited for violations.

“When states issue a formal notice of violation, that triggers enforcement and administrative action,” explains Jeanne Herb of the Tellus Institute. The US EPA counts such actions as evidence of state implementation. “Illinois started issuing pre-notices—telling companies that they had been identified as out of compliance, letting them know that they were about to receive a formal notice,” says Herb. “The point was to encourage companies to take advantage of various forms of technical assistance to help them come into compliance,” rather than simply punishing the violation. But—just as traffic police get credit when they write tickets but not when speeders slow down in the vicinity of a squad car—states got no enforcement credit for bringing companies into compliance without explicit citation, even if results came at a fraction of the usual cost.

States were pioneering other innovative strategies as well. They were encouraging some companies to go beyond strict adherence with regulations (limit x pollutant from x pipe by x date) and instead rethink their processes—by, for example, finding ways to cut pollution throughout all the company's activities. And instead of just enforcing standards in one area, states were expanding their focus to see how a given action affects water resources, air quality, species protection—the broader ecosystem.

“Certainly much of the innovation in environmental regulation has come from the states,” says Jeanne Herb. “They have been trying to achieve a greater level of environmental protection, through measures that would be more cost-effective both for the agencies and for the regulated community. They've been doing that partly through incentive-based approaches. And they've been trying to better allo-

cate public resources—for example, by focusing less on large industrial facilities, where much has already been accomplished, and looking more at smaller facilities that haven't received as much attention.”

The new approach can be broadly characterized as “performance-based management.” It judges work by its performance in achieving cleaner air and water or enabling birds and fish and butterflies to thrive—rather than by the number of enforcement steps.

But the US EPA was still focused on measuring enforcement by counting activities—“enforcement beans,” as Shelley Metzenbaum of the University of Maryland (herself a former US EPA official) puts it—for specific areas. States trying new approaches had trouble getting US EPA approval. “Everyone in the EPA can say no,” says Metzenbaum, “but very few people can say yes. How could the head of the air office say yes to something that also affects water?”

Just as important is the fact that the innovations the states have been trying are experimental. There are few solid measures to test their effectiveness. And some worry that flexibility might become just a way to let companies sidestep regulation. “The history of evaluation that exists, for example, in welfare policy doesn't exist in the environmental area,” says Metzenbaum. “Do programs like compliance assistance work? We don't know—no one's studied them.”

Gathering such evidence is critical; innovation can't be an end in itself but must be a pathway to a healthier environment. Metzenbaum, Herb, and Keiner have been working on a set of interrelated projects, funded by the Joyce Foundation, to support state innovation in environmental policymaking and create solid measures to evaluate the real outcomes.

One project is organized through the Environmental Compliance Consortium, a collaborative effort among environmental agencies in eleven states (including Illinois, Minnesota, and Wisconsin). The Consortium is a peer network where state

enforcement officials come together a few times a year and communicate through an online forum to share ideas for improving environmental performance. The Consortium is funded in part through Joyce grants of \$150,000 (1998) and \$400,000 (2001) to the University of Maryland.

“States have a wealth of information about what works and what doesn’t, but until now there’s been no safe forum where they could discuss that among themselves,” says Keiner. One state official, for example, raised a question about how other states are levying penalties; the next meeting featured a presentation of a software package another state had designed for exactly that purpose. “Why should fifty states develop their own penalty policies?” says Metzenbaum. “But it’s nobody’s job at the US EPA to think about how to help states do this. So that’s a big part of the Consortium, get some states to try out models and let other states implement them.”

“It’s wonderful to be able to network with your counterparts around the country and learn from each other,” says Brenda Hagman of the Wisconsin Department of Natural Resources, a Consortium member. “It’s always helpful to see how different state agencies decide priorities and structure their efforts. It’s helpful to see if there’s a model for how to solve a problem. And the Consortium is a forum for talking about projects, for peer review of what you’re doing.”

A key Consortium goal is measuring results to evaluate effectiveness—an effort that, Metzenbaum admits, is still in its infancy. Because programs evolved in response to federal rules, the states have been counting enforcement “beans,” not measuring whether the air and water are getting cleaner as a result of their efforts. But here too, sharing of lessons creates progress.

She cites the example of one state that had developed a simple system for tracking wastewater discharge, generating a graph showing discharges over time for each facility it was monitoring. “When we put that on the table at the last meeting, someone from another state said, let’s add in a line that shows what they’re

allowed to discharge, so that you can see when a facility is violating its permit and when it is achieving superior performance. Then another state said, you could put in dates of inspections, enforcement actions for other facilities, compliance assistance programs. That way you can see whether your efforts are having an effect—whether, for example, taking an enforcement action against one facility has a deterrent effect, making others improve their performance. So we took one idea and built on it, through brainstorming by other states.” Metzenbaum hopes such efforts, with further development, can create a system that allows all the parties to evaluate what actions achieve the best environmental outcomes.

Sharing information about outcomes is also the objective of another project involving the Environmental Law Institute in collaboration with the Tellus Institute, funded by a \$170,000 Joyce grant. Researchers are developing case studies in a handful of states, including Wisconsin, Illinois and Indiana, that compare innovative programs with traditional enforcement mechanisms. Says Herb: “We want to measure individual results, and also see whether overall such programs have changed over time, whether legal authorities in the states have changed the way they interpret environmental enforcement, whether innovative programs are getting the resources to sustain them. Our overall goal is to understand whether these efforts are leading to measurable results.”

The Illinois initiative to give polluters a warning before issuing a notice of violation, for example, may well reduce the state’s record of enforcement actions. Will that be offset by improved compliance at less cost? The project, still in its early stages, aims to find out.

“The balance between the federal government and the states is definitely shifting,” says Herb. “The federal government is recognizing, giving space for, encouraging state innovation. And the states are recognizing the need for accountability.” Ultimately, the results won’t just shift power relationships between bureaucrats in Washington and their counterparts in Springfield and St. Paul, but will decide whether the rest of us get clean water and fresh air much closer to home.



Home

Stopping gun violence demands strong state action. But effective national policies are critical as well.

GUN VIOLENCE

Ask John Johnson when his organization got started, and he answers with an exact date: November 1, 1991. That afternoon, a graduate student at the University of Iowa, disappointed academically, used a .38 caliber Taurus semi-automatic handgun to shoot a rival student, his academic advisor, another professor, the physics department chair, a university administrator, her receptionist, and finally himself.

Iowans for the Prevention of Gun Violence, the group Johnson now runs, began out of the horror of that afternoon. But over the last decade the group has come to realize that mass shootings, appalling as this one was, are not the heart of the problem in their state. The problem, it turns out, lies much closer to home.

Setting out to learn whatever they could about gun violence, the group discovered that 80 percent of firearm deaths in Iowa are suicides (nationally, the figure is 54 percent). As Johnson puts it, “No Iowa schoolchildren have been killed by a gun in school in over ten years. But on average fifteen teens intentionally kill themselves with a gun each year. For us, violence is in the home, not on the street.”

So the group has studied all it can get its hands on about effective suicide prevention strategies, especially for young people. Researcher Jeremy Bringham ticks off a list of measures recommended by the Centers for Disease Control and Prevention: gatekeepers in schools and communities who pay attention to kids; screening for depression; intervention for troubled kids; crisis centers; quick reaction after one suicide to prevent copycat tragedies; and “means restriction”: keeping the most effective tools—especially firearms—away from those at risk. The latter, says Johnson, just makes common sense: “Screening out fifteen likely suicides out of 200,000 teenagers is almost impossible. We need to look at the simple solution: removing guns from homes with children and teenagers.”

Slightly more than half of Iowa homes have guns, considerably above the national figure of 40 percent. IPGV urges people to seek secure, locked storage of firearms outside the home, such as storing rifles at gun clubs in the off-season. For those who argue that long guns aren't the problem, they cite another homegrown

statistic: while, nationally, handguns account for two-thirds of suicide by firearm, in Iowa it's the opposite—two-thirds of Iowa suicides use a rifle or a shotgun.

The group has other proposals as well. They want more money for mental health services and suicide prevention. They want to keep firearms out of the wrong hands: prohibit sales to people convicted of assault or harassment, limit accessibility in cases of domestic abuse, require that private sales go through a federally licensed dealer with background checks and other protections. Finally, they want more attention paid to gun safety. Gun dealers, they argue, should issue safety warnings and educate purchasers about safety features. And, following the Johns Hopkins University model handgun safety bill, they want all handguns sold in Iowa after 2004 equipped with a device to prevent unauthorized users from firing them.

24

Such issues of gun design really cry out for a national, not a state solution, Johnson and his colleagues acknowledge. And that's where state policies matched to state-level problems must be balanced by effective national strategies.

"Guns should be regulated the way other consumer products are," says Johnson. "We know that regulation of other potentially dangerous products—cars, toys, airplanes—has reduced deaths and injuries. This should be done at the federal level. Even manufacturers would prefer that over having fifty different state standards." In February of this year IPGV joined the Consumer Federation of America in its campaign for comprehensive regulation of guns as consumer products. "It's important to create a regulatory umbrella for the entire nation by vesting authority in a federal agency, and the Treasury Department is the best-equipped agency for that purpose," says Sue Peschin, Firearms Project Manager with the Consumer Federation of America Foundation. "That's the most effective way to end the gun industry's immunity from regulation and ensure the health and safety of consumers." The Federation, with support from IPGV, calls for federal legislation to give Treasury the power to regulate the design, manufacture, and distribution of guns and ammunition, including such measures as safety standards, recall authority, and collection of data on product-related deaths and injuries.

Data tracking is another area where state efforts need to be balanced by federal policy. "Information on product safety needs to be collected at the federal level," says Brigham. His colleague Angela Major says the state could do a better job of data tracking as well. "We need to get the state medical examiner to get firearm injuries into a database so when there's a shooting we can understand what happened. Right now, records on 25 percent of fatalities are missing—county medical examiners were supposed to send them in but haven't. And the state hasn't provided funding for a firearm injury tracking system—in fact for two years we didn't even have a state medical examiner."

"It's ludicrous to think you can develop good policy without good facts and analysis," adds Johnson. "For example, we know that most Iowa gun suicides involve long guns. We'd like to know what was the average time from the purchase to the shooting. We'd like to know who owned the gun—was it a hand-me-down gun? Did it belong to the teenager's father, or to the kid himself?" Understanding such nuances of suicide would give further clues on how to prevent it, Johnson believes.

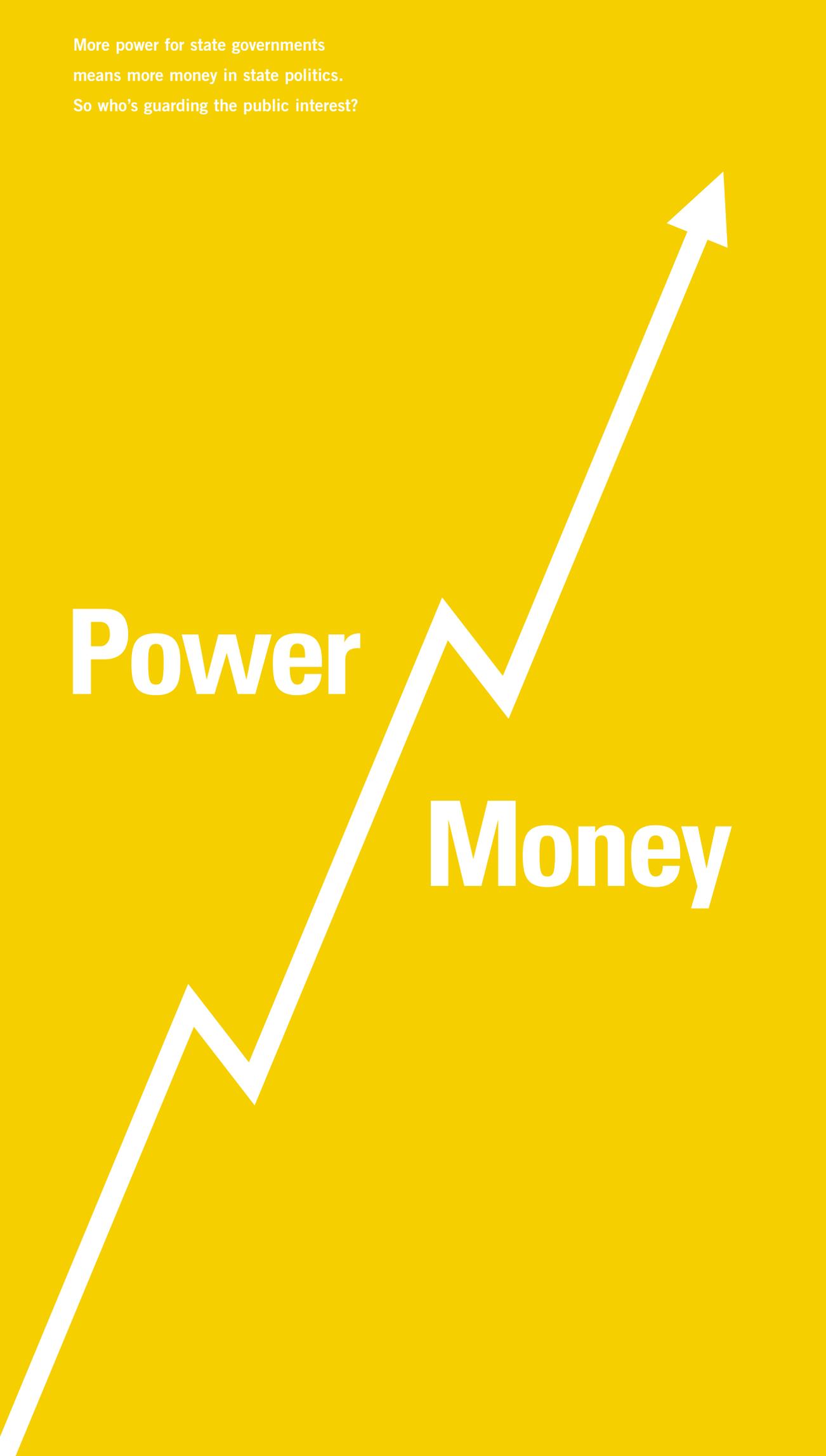
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Meanwhile, IPGV is doing all it can to educate the public about effective gun violence prevention. Its May 2000 report on suicide received excellent press coverage, and the group has followed up with a conference on suicide, public service announcements on gun safety, and a speakers bureau that spreads the message around the state to whomever is willing to listen.

Ultimately, Johnson adds, "it all comes down to what kind of state we are." He cites studies revealing that states with high levels of gun homicide (e.g., Louisiana) have as much as twelve times the homicide rates of low-ranking states like Iowa. The same patterns, though less pronounced, hold for gun suicide. "Obviously there are some strong state influences involved," Johnson says. "And that's why we've got to do some things at the state level.

"There are things that need to be done nationally, but it can't all be national. There are things we just need to do because that's the kind of state we are."

More power for state governments
means more money in state politics.
So who's guarding the public interest?



Power

Money

MONEY AND POLITICS

Health care, financial services, communications, utilities: bewilderingly complex policy issues are increasingly landing on the desks of state legislators. And not far behind, say campaign finance watchdogs, are election campaign contributions. Well-financed interests are wielding the power of money in state capitals on an unprecedented scale.

Take utility policy, for example. For years, proposals have been circulating to dismantle the federal and state regulations governing the nation's energy-producing utilities—regulations imposed during the early 20th century Progressive Era and the New Deal to protect the public interest against huge power monopolies. Today, the argument goes, market competition will serve the public better than the old monopolies, bringing innovation and lower prices in the bargain.

So far, federal deregulation has proceeded in fits and starts. In the meantime, the states are reexamining their own regulatory structures. And as they do so, political contributions from utilities and other affected groups have soared.

In Illinois, for example, the state's two biggest electric utilities gave \$154,000 to state candidates in the 1993-94 election cycle. Once deregulation became an issue, during the 1996 election cycle and into the 1997 legislative session, the utilities' political action committees and their employees contributed a combined \$656,000. Both companies made the top twenty list of political contributors in the 1997-98 election cycle.

The utilities had huge interests at stake. In particular, they wanted the law to allow them to recover billions of dollars worth of investments they had made prior to deregulation, so-called "stranded costs." But other corporations also had interests at play, notably the Illinois Manufacturers Association, whose members wanted lower energy costs. They too weighed in with contributions: the IMA, its member groups and their employees and PACs gave state candidates just under \$1.5 million.

Both interests got some of what they wanted: the utilities got to recover their pre-deregulation investments, and the manufacturers and other corporations won

provisions putting them first in line to choose less expensive power suppliers—while consumers have to wait until 2002 to be able to shop for cheaper power.

Activists like Cindi Canary of the Illinois Campaign for Political Reform and researchers like Kent Redfield of the University of Illinois at Springfield caution against inferring a simple quid pro quo for the contributions. Redfield, who documents the utility story in *Money Counts: How Dollars Dominate Illinois Politics and What We Can Do About It*, writes: “Contributions were only part of the lobbying effort that took place. Having full-time lobbyists and policy expertise is critical, particularly with a highly complex and technical set of issues like those involved with electric deregulation.”

28 Canary seconds that notion. She adds that state legislators can become much more dependent on lobbyists than their federal counterparts: “Congressmen have staffs and resources to handle very complicated subjects that just aren’t there at the state level,” says Canary. “Lobbyists, who have the technical expertise to understand a very complex bill like communications or utility deregulation, can have much greater impact at the state level.”

Illinois isn’t the only state where utility deregulation has drawn huge financial and lobbying efforts. In Michigan, contributions from utilities pushing deregulation—and anxious to recover their stranded investment costs, as in Illinois—were more than matched by contributions from manufacturers, including Big Three automobile companies, eager to cut special deals with suppliers. The competing interests contributed \$1,136,000 during the 1998 elections through June of 2000, when a deregulation bill passed, according to a recent report by the National Institute on Money in State Politics.

Even more intriguing, in the 1998 election pro-deregulation interests contributed \$158,000 to candidates for the Michigan Supreme Court, which was considering deregulation-related cases. The justice who wrote the majority opinion favoring the electric utility companies received \$95,000, according to the National Institute report.

Recent elections have seen enormous spending jumps in state court races generally, notes Cindi Canary. She suggests that trend is due in part to the sheer complexity of issues now facing the states: “Lawmakers are grappling with more complex topics; the corollary to that is increased judicial scrutiny.” Companies with a big stake in issues before the state courts are increasingly trying to use their money to influence the makeup of the judiciary.

Another industry where deregulation is creating new pressures and new money-making opportunities for state legislators is financial services. 1999 federal legislation (itself a huge money magnet for Congressmen) deregulated the financial services industry, giving financial institutions much greater flexibility to innovate and combine products and services. With federal strictures loosened, states have been tempted to step in to regulate such practices as fees at automatic teller machines or “payday loan” outfits that make small short-term loans at exorbitant rates.

When Wisconsin legislators proposed capping interest on such loans at 26%, contributions from check-cashing industry employees suddenly grew tenfold, from \$2,500 in 1997 to \$27,000 between January 1999 and October 2000, according to figures from the Wisconsin Democracy Campaign. Even when the proposed interest rate ceiling was raised to 36%—and then to 66%—the companies, backed by their contributions, prevailed; they were left alone to continue charging rates as high as 350%.

The same thing happened in Illinois, as Redfield documents. Faced with the prospect of regulation, payday loan shops banded together into the Illinois Small Loan Association in 1999 and made their political debut by giving \$10,000 each to the four leaders of the Illinois Legislature. In all, the ISLA gave over \$80,000 to legislators in spring 2000. The bill they were worried about stayed stuck in a House committee and died in the Senate (though the same issues were later addressed by state regulation).

30 With such increasingly complex issues on legislatures' agendas, and with increasingly large sums of money swirling around them, campaigns for state legislature are assuming a much greater importance than they held just a few years ago. In Wisconsin, special interest groups are spending tens of thousands of dollars on issue ads designed to influence legislative races, says Jay Heck of Wisconsin Common Cause. His reform ally, Mike McCabe, of Wisconsin Democracy Campaign, notes that up to the early 1990s—in part because of Watergate-era state regulations—a typical state House race saw about \$35,000 in spending by both sides, and a Senate race about \$60,000. That's changed. "In the 2000 election, two races for the state Senate cost over \$1 million each," says McCabe. "We estimate that one race, in the 10th district, probably consumed about \$2.5 to \$3 million. So you have the problem of runaway spending—when the cost of a Senate race goes from \$60,000 to \$3 million—and you have the breakdown of disclosure, so that the money is being spent by special interest groups with phony names that don't have to tell you who they are. And it's all happening very fast."

Illinois, meanwhile, is seeing money flow in, not just from state interests, but from national political parties. Once concerned largely with candidates for federal office, national party committees are now pouring money into races to determine who controls statehouses. "In the last election, we saw a combined \$10 million from the Democratic and Republican National Committees go into the coffers of the state parties," says Canary. "Some of that went for the presidential election, for a coordinated get-out-the-vote effort for candidates for the federal, state and local tickets. But that's such a huge amount of money, especially for a state that wasn't considered a battleground state for the Bush-Gore contest. And it's like a whirlpool: it flows in and it's very hard to track where it's going, where the federal money is being spent, where the local money, which dollars are paying for what." She adds: "It's almost like the states are being colonized. A lot of the battlegrounds have shifted, but control hasn't really shifted. There's still a very strong influence from national parties and national leadership."

Canary's group is putting together its own ideas for how to reduce the influence of such large forces and protect the interests of state residents. Partly she's concen-

trating on monitoring and disclosure, so that voters can at least see who's trying to influence their representatives in Springfield. Partly she's trying to convince candidates to comply voluntarily with the state's 1998 reform law, which was ruled unconstitutional by a Will County judge, a ruling that is now being appealed. And partly she's waging war against what she calls "a state political culture with an incredible tolerance for scandal—we're almost tickled by it sometimes." Two governors in recent decades (along with numerous other public officials) have served time in prison on corruption charges; and the current governor is embroiled in a scandal arising from his days as secretary of state, when his employees sold drivers licenses to unqualified applicants and funneled the money into his campaign. So far 38 people have been indicted in the scheme.

In Wisconsin, Common Cause has led the fight against phony issue ads that have had an outsized influence on state legislative races. Meanwhile, Wisconsin Democracy Campaign is pushing a broader reform agenda, including public financing in exchange for new limits on campaign spending, tighter limits on contributions, full disclosure of election-related activities, and controls on electioneering by independent groups.

With the fate of federal reform efforts still undecided, such state-level efforts may offer the greatest possibility of change. "[Former Governor] Tommy Thompson always said, 'The solution isn't in Washington, it's in Madison,'" says Jay Heck of Wisconsin Common Cause. "And what Supreme Court Justice Louis Brandeis said a century ago still holds true today: the states are the laboratories for democracy."



Community

Bottom up, top down, all together: creating a rich cultural future for Chicago neighborhoods.

CULTURE

Wicker baskets, white wine, and world-class music: it all adds up to a typical evening at Ravinia, the outdoor music festival on Chicago's affluent North Shore that is the summer home of the Chicago Symphony Orchestra. Socially and economically, and often musically, Ravinia seems a long way from Lawndale, an inner-city neighborhood on Chicago's West Side.

But appearances can be deceiving. For the last five years Ravinia has been doing some of its programming in Lawndale, and Lawndale residents have been making the 55-mile round trip to Ravinia Park to savor the music and the ambiance. Even more important, Ravinia and Lawndale have created a planning process to build strong community-based arts programming in Lawndale. Included are plans for what one resident calls "a really nice community arts center"—exactly what graceful old Ravinia Park has been to Chicago's northern suburbs for decades.

The Ravinia-Lawndale Partnership meets dual interests. In the mid-1990s, the West Side Association for Community Action, a North Lawndale community group, identified increased arts programming as a community priority. "We have kids with talent in the community who really need the opportunity to see first-rate performers," says Darryl Boggs, an elementary school music teacher. Meanwhile, Ravinia was seeking a way to carry its programming directly into communities with limited cultural options. Says director of audience development Reginald Jones, "Lawndale is a community with challenges and unmet needs, but also one with tremendous potential for positive change." Recent years have brought signs of revitalization: a grocery store, a movie theater, new residential construction. Community and social service agencies, religious institutions, and business development groups offered a starting point to discuss the arts as part of a broader redevelopment strategy.

In its early stages the project concentrated on building trust. Jeanne Keller, a Lawndale resident who was working at the time with the North Lawndale Family Network, recalls, "They told us about the project, and our office helped them get involved with other agencies. We welcomed it—we thought it was something that was badly needed." Other residents were not so sure; some expressed outright skepticism. Darryl Boggs, who also became involved early on, says, "When you live in Lawndale you tend to be skeptical of everything. But so far, it's been good."

Out of the early planning came several initiatives. Buses brought Lawndale residents to Ravinia concerts and distributed free “Return to Ravinia” tickets; by summer 1999, over a thousand Lawndale residents made their way back to the park, and the following summer Lawndale residents organized their own trips to Ravinia. Meanwhile, Ravinia began bringing some of its world-class musicians, including the Imani Winds, the Fisk Jubilee Singers, and Koko Taylor, to perform in Lawndale. Also featured were educational programs dubbed “informances,” with the music accompanied by explanations for those who might be unfamiliar with it.

“Speaking as an educator, I’d say the best thing about this project is the exposure for the kids to performing artists,” says Boggs. “For a lot of these kids it’s the first time they’ve seen black artists doing something other than hip hop, gospel or R&B—the Imani Winds, for example, with the oboe, bassoon, clarinet, flute and French horn, playing African-American music; or the Bryant Ballet company.”

Helping local young people develop their own talents became the next priority for the partnership. With Ravinia’s help, Lawndale has created a “conservatory without walls.” Each Saturday, in four neighborhood parks, 130 students take lessons in classical guitar, violin, piano, voice and music theory.

With the conservatory up and running for the past two years, Lawndale residents now dream of it being housed in a community arts center. “I’d like to see one building where we could have the conservatory and performance spaces, not just for music, but for dance and theatrical arts,” says Boggs, who’s on the conservatory board. “Every community should have a really nice community arts center.”

In the meantime, working in the parks makes good use of existing public space. It also makes it possible to draw students from both North Lawndale, which is predominantly African-American, and South Lawndale, a largely Mexican-American neighborhood. “Historically these two communities have been tremendously divided,” observes Reginald Jones. The partnership chooses programming to try to break down some of those walls. Last winter, a performance of Handel’s “Messiah” by the Bethesda Baptist Church Choir was offered at Blessed Sacrament Church

in South Lawndale and drew an enthusiastic response from both Latino and African-American concertgoers. And the partnership is negotiating to bring in the folk ensemble Sones de Mexico this summer. Says Jones: “We’re seeing that through the arts the two communities are coming together to share experiences.”

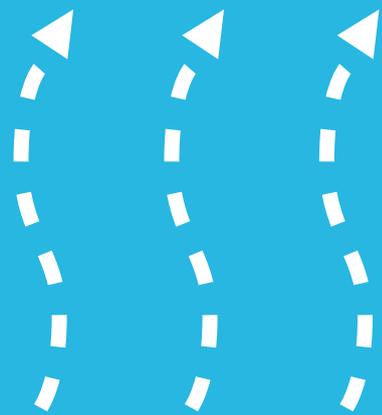
And that’s an important part of the broader mission of making the arts a centerpiece of community development. Now the Ravinia-Lawndale Partnership is taking that mission one step further. With a three-year, \$275,000 Joyce grant and funding from other Chicago foundations and corporations, the project aims to build the capacity of the community to take over and run the project entirely, with Ravinia a resource and consultant but not an active manager.

The Arts and Business Council of Chicago is training a community advisory council, made up of residents and local institutions, in the basics: how to set up an organization and build a team of volunteers; how to manage projects; doing program development, marketing, and administrative and financial management. Says Jones: “We hope that the community, having demonstrated its enthusiasm for diverse performing arts, will continue beyond Ravinia. We see ourselves as a resource, but we hope the primary leadership will come from the community.”

It’s a tall order. “Sometimes I feel things are not moving fast enough,” says Boggs. “There are many things we need to learn if we’re really going to be responsible for this: how to negotiate contracts, how to contract out for sound, lighting, staging outdoor performances. Not to mention marketing and fundraising—if we’re going to have an arts center we’ll need to do a capital campaign. If this is really going to turn into a totally community-run effort, those things will have to be known.”

But if there’s still much to do, it’s important to keep in mind how far the project has come in bridging the distance between what Ravinia is and what Lawndale wants to build: a first-class arts presence for its community. The pioneering partnership between the West Side and the North Shore is building that bridge.

Private



Public

Now Later



Climate change is a problem we created; it's not fair to leave it to the next generation. We need our best energies, public and private, to find solutions.

JOYCE MILLENNIUM INITIATIVES

It's hard for humans to think in geological time, but if they could, surely global warming would be recognized as the most dramatic potential change wrought by humans in the twentieth century, maybe even in the entire millennium just ended, and its effects on the planet are extending into the next millennium as well. The latest estimate warns that the global temperature could rise by as much as 10.5°F during the next hundred years. At the dawn of the twenty-first century, global warming poses a serious challenge for anyone who cares about intergenerational equity, as generations born in the new millennium will suffer the effects of industrial civilization that was a hallmark of the old.

The problem is carbon dioxide buildup in the atmosphere, caused largely by the burning of fossil fuels such as coal and oil. Carbon dioxide (along with other greenhouse gases) traps the sun's heat inside the earth's atmosphere, much as a greenhouse traps warm air. Scientists have expressed increasing alarm over resulting changes in the earth's climate, notably rising temperatures. They warn of possible increases in precipitation, a decrease in Arctic Sea ice and northern hemisphere snow levels, and a rise in sea level. Such changes, left unchecked, could lead to coastal flooding, resurgence of such diseases as malaria and cholera, drought and erosion in some areas, plus loss of forests, crops and animal species—all of which could cause massive economic disruptions as well. In the Great Lakes region, climate change is likely to affect everything from fish and bird populations to the region's vital \$15 billion agricultural sector.

But policymakers of the current generation have had a hard time agreeing to do anything about it. Governments have been slow to develop a concerted global plan. In 1990, the Intergovernmental Panel on Climate Change, a group of 2,500 scientists convened by the United Nations, urged substantial reduction of greenhouse gas emissions. The United States and 142 other nations committed to voluntary stabilization of emissions at the 1992 Rio Summit, but failed to move toward that goal. 1997 saw creation of the Kyoto Protocol, setting a fifteen-year time frame to reduce emissions below 1990 levels. Then in the last year of the century, representatives of 175 nations gathered at The Hague, Netherlands in

November to negotiate steps for following through on commitments made in 1992 and 1997. But those negotiations broke down without agreement. In early 2001, the Bush Administration announced plans to abandon the Kyoto agreement, though the European Union and many other countries decided to work to implement the protocol nonetheless.

Just the recognition of the climate change problem symbolized by international negotiations has had the effect of stimulating public-private activity. One of the most promising private sector initiatives, based in Chicago and funded by the Joyce Foundation, was presented at The Hague and drew substantial interest from delegates and corporations.

The initiative is the Chicago Climate Exchangesm (CCX), and its central strategy is emissions trading. Emissions trading already has helped reduce the costs of tackling one major environmental problem, acid rain. It works like this: companies, either because they're legally required to (as in the case of acid-rain-causing sulfur dioxide) or because they want the economic benefits and public recognition that come with being an environmental leader, agree to reduce their emissions of pollutants. No limits are yet in place for the greenhouse gases that cause global warming. But companies that get a head start on finding cost-effective ways to reduce emissions will have an advantage if and when such limits are set.

Emissions can either be cut directly, by reducing the burning of fossil fuels, or they can be offset by agricultural and forestry practices that capture carbon dioxide and keep it out of the atmosphere. In a trading regime, companies that do a good job of reducing emissions either way would get credits. They could then sell the credits to companies that find it difficult or expensive to get emissions down. Traders make money buying and selling the credits (just as credits for sulfur dioxide are traded at the Chicago Board of Trade). The overall level of greenhouse gases in the atmosphere goes down, and the environmental goal is accomplished.

Trading carbon dioxide emissions credits has been touted for years as a cost-effective means to address climate change. A one-year, \$347,600 Joyce grant to the Kellogg Graduate School of Management at Northwestern University funded internationally recognized financial innovator and trader Dr. Richard Sandor to test that premise by designing CCX, a Midwest-based voluntary carbon trading market that promises to bring real reductions in greenhouse gases at a scale that makes a difference.

Dr. Sandor presented the initial results of the design phase at The Hague in November, at an informational session that drew a lively and engaged crowd of delegates from developed and developing countries and the European Union, as well as many representatives of corporations, non-governmental organizations, and the media.

"Midwestern states contain approximately 25 percent of the U.S. manufacturing capacity and 19 percent of its population," Sandor told the group. "In itself the Midwest is large enough to be a major industrial power. Thus any results of a pilot trading program are clearly scalable to the national and international levels." The region's economy, which includes such major industries as automobile manufacturing, pharmaceuticals, transportation and utilities, offers a diverse group of activities that cause carbon dioxide emissions; and as one of the principal agricultural regions with substantial forests, it offers potential offsets as well.

Sandor reported that the market appears to be technically feasible. "We expect to begin trading in the second half of 2002," he said. "We will develop the market infrastructure and skills, conduct price discovery, and develop a predictable greenhouse gas reduction schedule. Credits will be for real emissions reductions below 1998 levels. We expect to start small, with initial efforts limited to the Midwest region of the United States and to Brazil, in order to test international factors. But we will grow over time, providing a model for how trading can reduce emissions that contribute to climate change."

GRANTS APPROVED IN 2000 →

Sandor, a visiting scholar at Kellogg, is the chairman and CEO of Environmental Financial Products, L.L.C., which specializes in developing and trading in new environmental, financial and commodity markets. He is widely recognized as a founder of the interest rate derivatives markets, now traded worldwide, and has also designed innovative market-based environmental protection programs. The Chicago Climate Exchange grant is one of a series of Joyce Millennium Initiatives launched by the Foundation in 2000. Ranging between \$250,000 and \$1 million, the grants are “intergenerational”—intended to reinforce and carry forward landmark twentieth century achievements or promote change-oriented initiatives for the century to come.

40 Dr. Sandor is undaunted by the slow pace of government action. “I believe this project takes on even more importance,” he said. “We think the ultimate solution to global warming will be bottom up, not top down. Countries like the UK are starting their own programs to reduce greenhouse gases, while corporations like Ontario Power and BP/Amoco are setting internal caps on emissions. The result will be that the markets will evolve, not be mandated—and that’s how markets have historically developed. The public sector still has a role of setting a cap on greenhouse gas emissions. It will be up to the private sector to implement the programs necessary to most efficiently achieve that objective.”

Regardless of whether private follows public or vice versa, the fact remains that the generation that has gained the most from twentieth century industrialization bears the greatest responsibility for addressing the problems that industrialization has caused. As Dr. Sandor told a Toronto reporter, “We don’t know the magnitude of the threat of greenhouse gases, but we do know it’s irreversible. If you heat up the oceans and the Arctic, you can’t just cool them down.”

EDUCATION

CHICAGO AND ILLINOIS

Business and Professional People for the Public Interest

Chicago, IL \$200,000

To foster development of small schools in Chicago (2 yrs.)

Chicago Lawyers' Committee for Civil Rights Under Law, Inc.

Chicago, IL \$180,200

To monitor and evaluate the reauthorization and implementation of Title I funding, a key federal program to enhance educational opportunities for poor and minority children (2 yrs.)

Chicago Panel on School Policy

Chicago, IL \$250,000

To report on Chicago public school reform initiatives, to involve parents in school activities, and to disseminate its findings to a wider audience (2 yrs.)

Coalition for Improved Education in South Shore

Chicago, IL \$250,000

To work with the South Shore Education Task Force in implementing a community-wide reading and math literacy program, and to continue work on the restructuring of South Shore High School (2 yrs.)

Commercial Club Foundation

Chicago, IL \$75,000

To assist the Chicago Public Schools in developing and implementing strategies to recruit and screen prospective teachers and match applicants with schools (1 yr.)

Community Media Workshop

Chicago, IL \$75,000

For continued support of the Chicago Successful Schools Project, a communications effort designed to raise public awareness about the valuable contributions of local school councils (1 yr.)

Community Renewal Society

Chicago, IL \$600,000

To expand the content of its publication, *Catalyst*, to include new audiences and more reporting of school reform activities in other cities (3 yrs.)

Cross City Campaign for Urban School Reform

Chicago, Illinois \$375,000

To document how central office policies and practices influence local school results and can be helped to improve instruction and student achievement (3 yrs.)

Designs for Change

Chicago, IL \$260,000

To develop the Learning Path Institute, an institution to prepare parent and community leaders with the advocacy, organizing skills, and knowledge to enable them to impact public policy and secure human service jobs (3 yrs.)

Future Teachers of Chicago

Chicago, IL \$244,425

For an evaluation of the effectiveness of its program to encourage minority students to enter the teaching profession (2 yrs.)

Metropolitan Planning Council

Chicago, IL \$200,000

To promote school financing reforms that would reduce reliance on property taxes as a funding source, ensure greater equity among districts in Illinois, and broaden citizen access to communication and information technologies (2 yrs.)

Northwest Neighborhood Federation

Chicago, IL \$375,000

For its collaboration with Blocks Together and the Brighton Park Neighborhood Council to strengthen and expand a parent and youth education policy project targeting predominantly poor, minority neighborhoods on the West, Northwest and near Southwest Sides of Chicago (2 yrs.)

Northwestern University School of Education and Social Policy

Evanston, IL \$441,000

For a partnership of eleven urban and suburban, public and private schools in the Chicago area that aims to foster relationships among administrators, teachers, and students in support of improved curricula and teaching techniques and to create multicultural exchanges between city and suburban students (2 yrs.)

Parents United for Responsible Education

Chicago, IL \$210,000

To continue to inform and mobilize parents in the Chicago metropolitan area about school reform issues and to promote wider community involvement in decisions affecting the public schools (2 yrs.)

Recruiting New Teachers, Inc.

Belmont, MA \$446,000

To improve recruitment, preparation, placement, and retention of minority teachers in Illinois (2 yrs.)

Rockman Et Cetera

San Francisco, CA \$350,000

To assess and guide the efforts of the Learning Technologies Office of the Chicago Public Schools to help teachers effectively integrate technology into classroom teaching and learning activities; and for research on technology and school reform that would benefit practitioners and researchers working in this area (2 yrs.)

University of California, Los Angeles

National Center for Research on Evaluation, Standards, and Student Testing

Los Angeles, CA \$839,059

To help the Chicago Public Schools develop a new method of collecting and analyzing data for use in measuring educational progress and preparing school improvement plans (3 yrs.)

University of Chicago

Department of Education

Chicago, IL \$880,620

To establish new institutional alliances with principals and veteran teachers in the Chicago Public Schools in the communities of North Kenwood, Oakland, and Woodlawn; to expand and enrich each partner's efforts to support improvement of schools in the area; and for new teacher development (3 yrs.)

University of Chicago

Department of Education

Chicago, IL \$1,172,520

To support the Consortium on Chicago School Research to continue and expand its research on Chicago school reform, with a particular focus on high school restructuring policies (3 yrs.)

University of Illinois at Chicago

Institute of Government and Public Affairs

Chicago, IL \$98,800

To conduct and disseminate research on the implications of school finance reform on large urban school districts, including by attracting junior faculty to this research area (1 yr.)

CLEVELAND AND OHIO

Children's Defense Fund - Ohio

Columbus, OH \$312,000

To promote policies consistent with developing family-friendly schools (small schools) in Ohio (3 yrs.)

Cleveland Foundation

Cleveland, OH \$30,000

To support the process of analyzing nonprofit and foundation support for Cleveland school reform (6 mos.)

Cleveland Initiative for Education

Cleveland, OH \$800,000

To assist the Cleveland Municipal School District in managing the Cleveland Teachers Academy; to assist in the recruiting and training of new teachers; and to maximize the benefits of the ongoing consultative relationship between the Initiative and the Cleveland Municipal School District (2 yrs.)

Community Renewal Society

Chicago, IL \$390,000

To support the continued development of *Catalyst: Voices of Cleveland School Reform*, a bimonthly school reform publication (2 yrs.)

Education Commission of the States

Denver, CO \$405,000

To assist the Cleveland public schools in developing a performance-based accountability and data management system that will enable the district to assess progress toward improving student achievement (1 yr.)

Greater Cleveland Roundtable

Cleveland, OH \$164,700

To assist the Cleveland Municipal School District in developing a comprehensive blueprint that integrates technology into teaching and learning and supports district educational plans and goals (1 yr.)

Greater Cleveland Roundtable

Cleveland, OH \$600,900

For renewed support of the Cleveland Summit on Education, which will assist the Mayor and the Chief Executive Officer of the Cleveland Municipal School District in implementing the district's strategic plan and coordinating ongoing training for School Board members and executive staff; and to support the development of academic standards and provide training to parents and community members in 30 schools (2 yrs.)

MILWAUKEE AND WISCONSIN

Cross City Campaign for Urban School Reform

Chicago, IL \$65,000

To assist the Milwaukee public schools in developing a decentralized resource allocation system (1 yr.)

Public Policy Forum, Inc. Researching Community Issues

Milwaukee, WI \$358,225

For its evaluation of the performance of charter and choice schools in Milwaukee (2 yrs.)

University of Wisconsin-Madison Wisconsin Center for Education Research

Madison, WI \$640,000

To develop the Secondary Teacher Education Project, a web-based interactive learning environment designed to train new teachers to use effective classroom practices (2 yrs.)

**University of Wisconsin-Madison
Wisconsin Center for Education Research**

Madison, WI \$1,009,386

To assist the Milwaukee public schools in developing and implementing a balanced student assessment system; and to conduct research and provide technical assistance on how individual schools in Milwaukee can best acquire and utilize data from the district data system (2 yrs.)

MULTISTATE

Bank Street College of Education

New York, NY \$270,000

To conduct a national public education campaign on the results of the Chicago Small Schools Study (1 yr.)

Benton Foundation

Washington, DC \$622,215

To continue monitoring the “e-rate” program, a federal initiative that provides significant discounts on telecommunications technologies to schools and libraries (16 mos.)

Center for Law and Education, Inc.

Washington, DC \$300,000

For continued support of the federal Title I and School Reform Project, which aims to ensure that federal Title I funds are used to provide low-income children the opportunity to achieve at high levels (2 yrs.)

Center on Education Policy

Washington, DC \$300,000

To continue engaging policymakers, educators, and parents in a series of consensus-building dialogues that focus on creating conditions to improve public education (2 yrs.)

Citizenship Education Fund, Inc.

Washington, DC \$250,000

To support the Urban Education and Public School Finance Reform Initiative, to educate and mobilize low-income and minority communities in Illinois and Michigan on school finance reform (2 yrs.)

Designs for Change

Chicago, IL \$520,000

For continued policy reform initiatives aimed at the basic restructuring and improvement of public education systems in Chicago, Cleveland, Detroit and Milwaukee (3 yrs.)

Education Commission of the States

Denver, CO \$585,700

To create and launch a National Center for Innovation in Governing American Education, a clearinghouse of information on governance issues from preschool through post-secondary education, which will serve as the primary mechanism for the Education Commission of the States to respond to emerging needs of policymakers (3 yrs.)

**Education Development Center, Inc.
Center for Children and Technology**

New York, NY \$100,000

To promote discussion among researchers and Joyce grantees in order to share information and strategies for integrating technology into teaching and learning (1 yr.)

Leadership for Quality Education

Chicago, IL \$187,100

To intensify the recruitment, startup, and operational assistance it provides to charter schools in the Chicago metropolitan region, and to continue exploring the base for charter schools in Cleveland (2 yrs.)

Marquette University

Institute for the Transformation of Learning

Milwaukee, WI \$400,000

To promote systemic school restructuring in urban areas, conduct research on urban schools with an emphasis on desegregation issues, support school-community partnerships that focus on improving student achievement, and develop a website (2 yrs.)

National Conference of State Legislatures

Denver, CO \$353,400

To establish and manage the National Clearinghouse on School Finance (2 yrs.)

Northwestern University

School of Education and Social Policy

Evanston, IL \$227,812

To analyze technology-enhanced science curricula to determine how effectively they meet the literacy needs of poor readers and the instructional needs of teachers (2 yrs.)

Tomas Rivera Policy Institute

Claremont, CA \$100,000

To investigate under-representation of Latino youth among college entrants, focusing on what Latino parents in Chicago, Houston, and Los Angeles understand about college admission requirements and how well their schools are preparing children for college (1 yr.)

University of Illinois at Chicago

College of Education

Chicago, IL \$365,000

To continue developing small schools and providing assistance to public schools in the process of restructuring in Chicago, the metropolitan area and the Midwest region (2 yrs.)

TOTAL EDUCATION \$16,879,062

EMPLOYMENT

WELFARE REFORM

Brookings Institution

Washington, DC \$350,000

To support and disseminate a multi-faceted synthesis of research on the implementation of the federal welfare law (27 mos.)

**Corporation for the Advancement
of Policy Evaluation**

Princeton, NJ \$274,797

To enable Mathematica Policy Research, Inc., to research how families who have left welfare in Iowa and who report very low or no income are faring, and to research the situations of welfare “leavers” who have been missed in basic surveys (1 yr.)

Erikson Institute

Chicago, IL \$650,000

To analyze the effectiveness of “post-employment” services since welfare reform; to analyze how Project Match’s model program affects recipients who are unable to find or keep work; and for ongoing dissemination of its program and policy research (3 yrs.)

**Indiana Coalition on Housing and
Homeless Issues, Inc.**

Indianapolis, IN \$497,900

For policy advocacy on issues related to welfare, poverty, and low-income working families in Indiana, to mitigate potentially punitive welfare policy developments, and to capitalize on policy accomplishments of the past two years (3 yrs.)

Interfaith Conference of Greater Milwaukee

Milwaukee, WI \$130,363

To research trends in demand for emergency health, food, shelter, and other services in Milwaukee County; to explore implications for state welfare policy; and to staff a bipartisan Wisconsin legislative working group on welfare reform and poverty policy (18 mos.)

Manpower Demonstration Research Corporation

New York, NY \$500,000

For the Jobs Plus Initiative, a demonstration and research project to substantially raise the employment rates and earnings of residents of six public housing developments in five U.S. cities, including Dayton, Ohio and St. Paul, Minnesota (3 yrs.)

Manpower Demonstration Research Corporation

New York, NY \$375,000

To complete its evaluation of Cleveland’s welfare policy as part of a national study of welfare in four urban areas (3 yrs.)

National Center on Poverty Law, Inc.

Chicago, IL \$385,052

To develop a financial education program for low-income people and seek its implementation in Illinois’ welfare-to-work programs; and to advocate for laws, regulations, and policies that ensure that low-income people have access to financial services (2 yrs.)

University of Chicago

Center for Urban Research and Policy Studies

Chicago, IL \$169,515

To foster dialogue among state employees, legislators, researchers, advocates, and journalists on welfare reform in Illinois by disseminating summaries of critical welfare research and sponsoring meetings on the implications (3 yrs.)

University of Chicago

Irving B. Harris

Graduate School of Public Policy Studies

Chicago, IL \$102,000

To study the educational and occupational outcomes of low-income teenage mothers (2 yrs.)

University of Michigan

Institute for Social Research

Ann Arbor, MI \$528,752

To develop, test, evaluate, and disseminate a “Winning New Jobs” model designed to aid welfare populations in seeking and retaining jobs and coping with the financial demands of an independent working life (3 yrs.)

University of Wisconsin-Madison

Institute for Research on Poverty

Madison, WI \$100,492

To augment the Institute’s survey of Milwaukee families leaving welfare with state administrative data on wages, food stamps, and Medicaid assistance (3 yrs.)

Work, Welfare and Families

Chicago, IL \$304,000

To establish a regional partnership of state and local policy advocates in the Midwest to share information and strategies related to welfare policy and to develop a coordinated agenda for the upcoming debate on reauthorization of the federal welfare law (2 yrs.)

WORKFORCE PREPARATION

Jane Addams Resource Corporation

Chicago, IL \$147,495

To develop policy recommendations to expand access of low-income workers to training and educational resources to help them move into higher-paying jobs (3 yrs.)

America's Second Harvest*Chicago, IL \$300,000*

To help ensure that welfare reauthorization debates consider ways to reverse the recent dramatic declines in food stamp usage by eligible low-income families and individuals, including many former welfare recipients (2 yrs.)

Chicago Association of Neighborhood Development Organizations (CANDO)*Chicago, IL \$200,000*

To lead the “State Agenda” coalition, a consortium of job-training and economic development groups that addresses state-level workforce development policy (2 yrs.)

Chicago Employment Service, Inc.*Chicago, IL \$436,700*

To improve the Career Path program, which is designed to help participants combine work with education or training in order to move into higher-wage jobs; and to test new strategies for helping participants obtain the high school equivalency degree needed to qualify for most jobs (3 yrs.)

Chicago Women in Trades*Chicago, IL \$140,000*

To advocate policies that support training and access to high-wage, nontraditional jobs for low-income women in Illinois (2 yrs.)

Child and Family Policy Center*Des Moines, IA \$600,000*

For continuing assistance to four Iowa counties in implementing welfare reform policies that bring welfare recipients out of poverty and in designing an employment demonstration program for people who remain outside or disconnected from the labor market (3 yrs.)

Economic Policy Institute*Washington, DC \$200,000*

To analyze employment rates, incomes, and other factors affecting the low-wage labor market and to foster debate about how policy can improve the economic well-being of low-wage workers (2 yrs.)

Heartland Alliance for Human Needs and Human Rights*Chicago, IL \$150,000*

To engage state legislators and other policy leaders in Illinois in better understanding the persistent underpinnings of poverty and generating and implementing policy ideas to address these concerns post-welfare reform (2 yrs.)

Indiana Association of United Ways, Inc.*Indianapolis, IN \$486,300*

To support its collaboration with Partners for Hoosier Communities for the Building Ladders for Success project (3 yrs.)

Legal Assistance Foundation of Chicago*Chicago, IL \$478,700*

To produce and publicize a study of the extent to which racial discrimination in selected Chicago neighborhoods and suburbs limits job opportunities for low-income African Americans in the retail and service sectors (2 yrs.)

Mid-Minnesota Legal Assistance, Inc.*St. Paul, MN \$619,992*

To advocate for policies that increase career and wage advancement opportunities and improve education, skills, and learning options for low-income working families and those transitioning from welfare to work (3 yrs.)

National Employment Law Project, Inc.*New York, NY \$525,000*

To develop and promote recommendations to render state unemployment insurance systems in the Midwest more beneficial to low-wage workers, including those who are temporary, part-time, or on unpaid leave under the Family and Medical Leave Act (3 yrs.)

National League of Cities Institute*Washington, DC \$250,000*

For outreach and technical assistance to municipal leaders to ensure that low-income working families receive the federally funded benefits to which they are entitled and to promote publicly funded job initiatives for non-working parents (2 yrs.)

SSI Coalition for a Responsible Safety Net*Chicago, IL \$522,000*

To serve as a regional clearinghouse for information on workforce development policies for low-income people with disabilities who receive Supplemental Security Income benefits, and to strengthen the Midwest network of state policymakers and advocates working to improve employment policies for the low-income disabled (3 yrs.)

Training, Inc. National Association*Indianapolis, IN \$153,000*

To continue to operate and evaluate its Practices for Advancement Success (PASS) program, which seeks to enhance job retention, additional skill development, and job advancement for women moving from welfare to entry-level jobs, and to share lessons learned with other job-training groups, employers, and policymakers (1 yr.)

OTHER**Catholic Charities***Chicago, IL \$325,000*

To evaluate and help improve its Transitional Jobs Program, which is designed to help welfare recipients gain paid work experience and move into private employment (1 yr.)

Institute on Taxation and Economic Policy*Washington, DC \$233,000*

For a comprehensive analysis of how Illinois' tax system affects residents at different income levels; to develop recommendations for reducing tax burdens on low-income families; and for work in other Midwest states to update taxpayer information and respond to questions about new tax proposals (2 yrs.)

LifeTrack Resources, Inc. (formerly St. Paul Rehabilitation Center, Inc.)*St. Paul, MN \$420,000*

To evaluate TransitionWorks, a publicly funded jobs program for persons moving from welfare to work, and to disseminate the results (2 yrs.)

TOTAL EMPLOYMENT \$10,555,058

ENVIRONMENT

ENERGY PRODUCTION AND USE**American Council for an Energy-Efficient Economy***Washington, DC \$125,000*

To promote federal policies that encourage energy efficiency (2 yrs.)

Center for Neighborhood Technology*Chicago, IL \$89,700*

To explore and develop a web-based mechanism to allow individuals to receive credits for the small emissions reductions achieved through everyday purchasing and transportation decisions (1 yr.)

Citizens Action Coalition Education Fund, Inc.*Indianapolis, IN \$75,000*

To establish new state-managed programs for renewable energy and energy efficiency as part of the Indiana state electric restructuring plan (1 yr.)

Environmental and Energy Study Institute*Washington, DC \$150,000*

For a series of briefings for congressional staff and others on recent developments regarding electric utility and transportation policies (2 yrs.)

Environmental Law and Policy Center of the Midwest*Chicago, IL \$600,000*

To continue its policy and legal advocacy to ensure environmental benefits in the context of Midwest utility restructuring (2 yrs.)

Midwest Energy Research Center*Findlay, OH \$125,000*

To launch a series of purchasing pools that would allow low-income and other small electric customers to buy electricity services, including “green” energy and energy efficiency improvements, in the developing competitive electricity market in Ohio (2 yrs.)

Natural Resources Defense Council, Inc.*New York, NY \$250,000*

To promote clean energy as federal electric utility policy is restructured, and to provide technical and policy support to encourage the cleanup of older coal-fired electric power plants that cause a high proportion of the air pollution in the Great Lakes region and beyond (2 yrs.)

Pace University**Clean Air Task Force***Boston, MA \$400,000*

To promote the cleanup or replacement of old coal-burning power plants that cause a high proportion of the air pollution in the Great Lakes region and beyond (2 yrs.)

Renewable Energy in Wisconsin, Inc.*Madison, WI \$50,000*

To convene interested parties, including utilities, to develop a consensus agreement for uniform interconnection standards governing small customer-owned alternative power generators in Wisconsin (1 yr.)

Union of Concerned Scientists*Cambridge, MA \$225,000*

To promote policies supporting renewable energy resources, such as wind, solar, and biomass, on the federal level and in the Midwest, particularly in Minnesota and Iowa (2 yrs.)

Izaak Walton League of America, Inc.*St. Paul, MN \$765,576*

For continued support of campaigns to reduce the environmental impacts of coal-fired electric plants underway in Indiana, Michigan, Minnesota, Ohio, Wisconsin, and Ontario (2 yrs.)

GREAT LAKES WATER QUALITY**Delta Institute***Chicago, IL \$226,500*

To help develop a regulatory framework for reducing the toxic pollution that enters Lake Michigan through the air (2 yrs.)

Enterprising Environmental Solutions, Inc.*Pittsburgh, PA \$250,000*

To design and implement a pilot project in a selected Great Lakes watershed, intended to improve water quality through comprehensive planning, stakeholder consensus, and trading between regulated and unregulated sources of water pollution (2 yrs.)

Fox-Wolf Basin 2000, Inc.*Appleton, WI \$150,000*

To complete an innovative water pollution control project (2 yrs.)

International Association for Great Lakes Research*Ann Arbor, MI \$176,500*

To improve communication between policymakers and scientific researchers studying the Great Lakes (2 yrs.)

Michigan Environmental Council*Lansing, MI \$109,000*

To develop a grading system for state environmental performance in the Great Lakes basin (1 yr.)

National Wildlife Federation**Great Lakes Natural Resource Center***Ann Arbor, MI \$185,000*

To support a combination of legal, scientific, and regulatory advocacy activities dedicated to achieving reductions in toxic pollution that reaches the Great Lakes through the air (1 yr.)

Tip of the Mitt Watershed Council*Conway, MI \$199,368*

To improve relations between environmental advocates and environmental officials in Michigan (2 yrs.)

Public Interest Projects**Trust for America's Health***Baltimore, MD \$250,000*

To support this new organization, whose purpose is to bridge the gap between public health professionals and environmental issues, in assessing and reporting on midwestern states' collection of data on diseases that could be linked to environmental exposure (2 yrs.)

University of Illinois at Chicago**Great Lakes Center for Occupational and Environmental Safety and Health***Chicago, IL \$94,500*

To evaluate and enhance efforts to prevent further contamination of the Great Lakes with polychlorinated biphenyls (PCBs) (1 yr.)

World Wildlife Fund, Inc.*Washington, DC \$100,000*

To support its Wildlife and Contaminants Program in bringing into national and regional policy debates new scientific research about the impact of chemical contamination, particularly hormone disruptors, on the Great Lakes ecosystem (1 yr.)

INTEGRATE ENVIRONMENT, ECONOMIC AND COMMUNITY DEVELOPMENT**Governors State University Foundation****South Metropolitan Leadership Center***University Park, IL \$198,670*

To retain the Corporation for Enterprise Development and lead an examination of "smart growth" options in the south suburban Chicago region (1 yr.)

Land Information Access Association*Traverse City, MI \$173,000*

To design and implement a program for exporting Building a Sense of Place, its high-tech community planning process, to Midwest communities outside of Michigan (2 yrs.)

Minnesotans for an Energy Efficient Economy*St. Paul, MN \$336,000*

To develop and promote tax and fiscal policies that will support cleaner energy and transportation and discourage air pollution (2 yrs.)

REDUCE TOXIC SUBSTANCES**American Council for an Energy-Efficient Economy***Washington, DC \$150,000*

To support its ongoing efforts to demonstrate a market for cleaner, greener cars in partnership with the Clean Car Campaign (2 yrs.)

American Farmland Trust*Washington, DC \$399,600*

For survey research and outreach to build support for a stewardship payment program in the 2002 Farm Bill; and to broaden support within Congress for using agricultural policy to reduce soil erosion, minimize wetland loss, improve air and water quality, and limit loss of farmland to development (18 mos.)

Citizens Policy Center*Cleveland, OH \$200,000*

To support the Ohio Pesticide Reduction Project, a collaboration with Innovative Farmers of Ohio and Rivers Unlimited designed to reduce the use of pesticides in agricultural operations (2 yrs.)

Council of State Governments*Lexington, KY \$100,000*

For the Multistate Working Group on Environmental Management Systems to design an in-service training academy that would help states take a broad "systems approach" to environmental protection and improvement (6 mos.)

Environmental Defense, Inc.*New York, NY \$600,000*

To continue its leadership of the Pollution Prevention Alliance, which is currently focused on reducing pollution in the manufacture of automobiles within the region, and to support its work with the five other organizations in the Joyce-supported Clean Car Campaign (2 yrs.)

Environmental Defense, Inc.*New York, NY \$250,000*

To galvanize broader interest among environmentalists in reforming federal agricultural policies in ways that improve water quality, save wildlife, combat sprawl, and revitalize communities (2 yrs.)

Environmental Law Institute*Washington, DC \$170,000*

To study the relationship between environmental enforcement and incentive-based approaches to environmental protection at the state level (1 yr.)

Environmental Working Group*Washington, DC \$1,620,000*

To support a concentrated program of agriculture policy reform (3 yrs.)

The Minnesota Project*St. Paul, MN \$312,500*

For a campaign to shift federal agricultural funding to stewardship incentives that reward farmers for implementing practices that prevent soil, nutrients, manure, and pesticides from contaminating water (30 mos.)

Ohio Environmental Council*Columbus, OH \$203,811*

For continued support of its Lake Erie Clean Water Project (2 yrs.)

Physicians for Social Responsibility*Washington, DC \$98,000*

To identify research and policy gaps around the possible relationship between environmental factors and certain diseases (18 mos.)

Sustainability Institute, Inc.*Hartland Four Corners, VT \$117,720*

To allow broader outreach to policymakers and farmers, who are the intended audience for its corn commodity system model (1 yr.)

SUPPORT GREAT LAKES NETWORK**Laidlaw Foundation***Toronto, Ontario, Canada \$110,000*

To start an Environmental Communications Centre that would help environmental organizations across Canada to develop and implement effective, professional, and consistent communications strategies (2 yrs.)

Edmund S. Muskie Foundation**National Caucus of Environmental Legislators***Washington, DC \$75,000*

To support a Midwest "circuit rider" and a one-day issues forum for the newly emerging National Caucus of Environmental Legislators (1 yr.)

Northeast-Midwest Institute*Washington, DC \$300,000*

To support the Great Lakes Program (2 yrs.)

TRANSPORTATION AND LAND USE

1000 Friends of Wisconsin Land Use Institute, Inc.

Madison, WI \$75,706

To support implementation of a new Wisconsin law requiring communities to write and implement a land-use plan (1 yr.)

Citizens for a Better Environment

Milwaukee, WI \$150,000

To promote high-speed rail development in designated corridors and to strengthen the Wisconsin Department of Transportation's effort to develop better methods of anticipating environmental impacts of proposed transportation projects (2 yrs.)

Environmental Law and Policy Center of the Midwest

Chicago, IL \$400,000

To continue its leadership in regional transportation and land-use reform, including support for regional high-speed rail (2 yrs.)

Metropolitan Planning Council

Chicago, IL \$300,000

To organize business leadership for sensible growth in the Chicago region (2 yrs.)

Michigan Land Use Institute

Benzonia, MI \$350,000

To continue and expand its efforts, through its Michigan Transportation and Land Use Policy Initiative, to reform state and local transportation policies and decision-making (2 yrs.)

Minnesota Center for Environmental Advocacy

St. Paul, MN \$205,914

To organize business support for sustainable transportation in Minnesota (2 yrs.)

Openlands Project

Chicago, IL \$50,000

To develop a recommendation for the Illinois EPA to incorporate land-use considerations into its process for evaluating expansions of municipal sewage districts (1 yr.)

Surface Transportation Policy Project

Washington, DC \$200,000

To continue to serve as a national resource on transportation and land use (1 yr.)

Sustain

Chicago, IL \$125,000

To assist Midwest transportation advocates with message development and media placement (1 yr.)

Transit for Livable Communities

St. Paul, MN \$150,000

To track and analyze transportation planning, funding, and spending in Minnesota; and to provide media and public education on transportation and land use issues (2 yrs.)

Wisconsin Sustainable Cities, Inc.

Madison, WI \$184,296

To support research on socioeconomic trends in urban and suburban areas in Wisconsin that are affected by changes in land use and the distribution of population (1 yr.)

OTHER

Center for Science in the Public Interest

Washington, DC \$140,000

To support its efforts to reform federal policies governing the use of antibiotics in agriculture (18 mos.)

International Council for Local Environmental Initiatives, Inc.

Berkeley, CA \$150,500

To develop a buyers cooperative or "consortium" of Midwest transit agencies committed to accelerating the market for non-polluting, fuel-cell-powered buses (1 yr.)

Mississippi River Basin Alliance

Minneapolis, MN \$60,000

To continue to monitor Army Corps of Engineers proposals to expand navigation on the Upper Mississippi, and to urge that more of the Corps' resources be devoted to environmental restoration (1 yr.)

TOTAL ENVIRONMENT \$12,551,861

GUN VIOLENCE

ACTIVATING MEDICAL PROFESSIONALS

New York Academy of Medicine

New York, NY \$750,000

For Doctors Against Handgun Injury (DAHI), a new coalition of medical societies and organizations dedicated to mobilizing the influence, authority, and clinical expertise of physicians to reduce handgun injury (3 yrs.)

Physicians for Social Responsibility

Washington, DC \$150,000

To involve medical and public health students and professionals in policy advocacy activities associated with the Alliance for Justice First Monday Program on Gun Violence in America (1 yr.)

BUILDING COALITIONS

Citizens for a Safer Minnesota Education Fund

St. Paul, MN \$300,000

To create the Gun Violence Organizing Project, a state-local partnership to step up the level of policy advocacy around gun violence prevention in Minnesota (2 yrs.)

Iowans for the Prevention of Gun Violence

Cedar Rapids, IA \$250,000

To coordinate efforts, working with state and voluntary agencies, to reduce firearms deaths and injuries in Iowa, with a particular emphasis on gun suicide (2 yrs.)

Minnesota Institute of Public Health

Anoka, MN \$296,594

For continuation of its efforts to reduce gun injuries and deaths in Minnesota, particularly focusing on the collection of gun violence data, state level legislation, and local policy development (2 yrs.)

Toledo Ecumenical Area Ministries

Toledo Metropolitan Mission

Toledo, OH \$33,200

To strengthen operations of the Ohio Coalition Against Gun Violence (1 yr.)

Wisconsin Anti-Violence Effort (WAVE) Educational Fund

Milwaukee, WI \$506,414

To develop and coordinate the policy-oriented activities of a multi-disciplinary coalition to reduce gun violence in Wisconsin (3 yrs.)

CONSUMER PRODUCT APPROACH

Alliance for Justice, Inc.

Washington, DC \$300,000

To support a focus on gun violence prevention in its First Monday Program, which mobilizes college, graduate, and law students to become informed advocates in a critical public policy issue (2 yrs.)

Communication Works, Inc.

San Francisco, CA \$560,122

To develop and implement communications strategies for promoting a public health-oriented gun policy that leads to comprehensive health and safety regulation of the firearms industry (3 yrs.)

INCREASE PUBLIC AWARENESS

Boston University School of Public Health

Boston, MA \$358,378

To enable its JoinTogether organization to expand and maintain its gun violence prevention website and related services (2 yrs.)

Entertainment Industries Council, Inc.

Reston, VA \$28,890

For a planning grant to initiate broad-scale research into how the media influences the public's perception of firearms, in order to develop the most effective courses of action to encourage accurate and responsible firearms depiction in the entertainment media (6 mos.)

National Association of State-Based

Child Advocacy Organizations

Washington, DC \$49,540

For a planning grant to launch the New Voices Initiative in 2001, intended to bring the voice of child advocates to the gun violence arena (9 mos.)

POLICY RESEARCH

Duke University

Office of Research Support

Durham, NC \$339,133

For the study of how gun ownership rates and gun-related policies affect the public health and safety within a given community (2 yrs.)

Harvard University School of Public Health

Boston, MA \$325,000

To support young scholars working on firearm injury prevention research and the dissemination of findings (3 yrs.)

MONEY AND POLITICS

National Opinion Research Center

Chicago, IL \$197,661

For support of a supplement to the fifth annual survey of public attitudes on gun policy issues; this supplement would focus on gun carrying (1 yr.)

University of California-Los Angeles School of Public Health

Los Angeles, CA \$132,787

To analyze and disseminate findings from its survey of access to, and use of, firearms among adolescents (2 yrs.)

Violence Policy Center

Washington, DC \$1,000,000

To promote public health-oriented gun policy through research, public education, coalition building, and advocacy (2 yrs.)

OTHER

Loyola University

Department of Sociology and Anthropology

Chicago, IL \$44,261

To support a study on illegal handgun distribution and availability in Chicago neighborhoods and their relationship to violent crime (1 yr.)

TOTAL GUN VIOLENCE \$5,621,980

JUDICIAL PROJECTS

American Bar Association

Fund for Justice and Education

Standing Committee on Judicial Independence

Chicago, IL \$213,376

To develop and promote standards for and models of public financing for state judicial elections (2 yrs.)

Fund for Justice

Chicago, IL \$80,150

To analyze the financing of judicial elections in Cook County, particularly at the sub-circuit level; to examine the effects of political finance practices on the quality and independence of the county's judicial system; and to develop and promote reform recommendations (1 yr.)

National Center for State Courts

Williamsburg, VA \$68,876

For two-day summit on judicial election reform bringing together the chief justices, key legislators, and reform advocates from the 15 most populous states with judicial elections, to address judicial election abuses, and to develop strategies and a support network for state-based reform efforts (1 yr.)

National Institute on Money in State Politics

Helena, MT \$153,600

To develop a searchable database and coding system and publish analyses of political contributions to, and expenditures by, candidates for appellate judgeships in selected Midwest states (1 yr.)

LEGAL PROJECTS

Brookings Institution

Washington, DC \$200,000

For a revised edition of its *Campaign Finance Sourcebook* and a parallel searchable archive on its website, the purpose of which is to provide policy-makers, journalists, scholars and reform activists with a comprehensive, continuously updated and authoritative repository of all primary legal, judicial, regulatory, and interpretive documents related to campaign finance (2 yrs.)

National Voting Rights Institute

Boston, MA \$350,000

For legal research, public education, and litigation focused on campaign finance issues (2 yrs.)

RESEARCH

Citizens' Research Foundation

Los Angeles, CA \$25,000

For the preparation of a book entitled *Financing the 2000 Elections*, the latest in a quadrennial series of studies that began in the 1960s (1 yr.)

National Health Law Program, Inc

Los Angeles, CA \$45,000

To document the influence of political contributions and high-priced lobbying on health policy and to encourage partnerships between health care and campaign finance reform advocates (1 yr.)

Ohio State University Research Foundation

Department of Political Science

Columbus, OH \$64,733

For a nationwide poll to evaluate public attitudes toward campaign finance reform by examining the issue from the perspective of respondents' issue concerns and group associations (16 mos.)

Public Citizen Foundation, Inc.

Washington, DC \$50,000

For support of an investigative research and reporting project by its Congress Watch program on the nexus between special interest contributions, lobbying activities, and the outcomes of important domestic policy decisions (1 yr.)

University of New Mexico

Department of Political Science

Albuquerque, NM \$42,098

For support of a research project which would better define the reasons corporations seek to influence the political process and the methods they use (1 yr.)

STATE AND LOCAL REFORM PROJECTS

American Friends Service Committee

Chicago, IL \$50,000

To promote campaign finance reform in Cincinnati through public education on a proposed charter amendment (1 yr.)

Center for Public Integrity

Washington, DC \$200,000

To complete its 50-state investigative and reporting project on potential conflicts of interests resulting from legislative and other official activities that serve or appear to serve legislators' personal economic interests, and for dissemination of the results (2 yrs.)

League of Women Voters of Ohio Education Fund

Columbus, OH \$367,977

To promote public financing of state Supreme Court elections through research, public education, coalition-building, news media outreach, and policy advocacy (2 yrs.)

Michigan Prospect for Renewed Citizenship

Okemos, MI \$325,000

To support efforts to reform Michigan's campaign finance system (16 mos.)

Minnesota Alliance for Progressive Action Education Fund

St. Paul, MN \$200,000

For educational and advocacy efforts to replace Minnesota's current campaign financing system with full public financing (2 yrs.)

Money and Politics Iowa

West Des Moines, IA \$156,530

To promote campaign finance reform in Iowa through database development, research, public education, news media outreach, and policy advocacy (2 yrs.)

Northeast Action

Boston, MA \$50,000

For a collaborative initiative to ensure full and timely execution, legal defense, and funding of the comprehensive campaign finance reforms adopted since 1996 in Maine, Massachusetts, Arizona, and Vermont (1 yr.)

Protestants for the Common Good

Chicago, IL \$108,000

To support the Mobilization of Religious Leaders Project (18 mos.)

University of Illinois at Springfield

Institute for Public Affairs

Springfield, IL \$93,134

To promote political finance reform through database development, research, publications, and technical and policy assistance to elected officials, journalists, and reform activists (2 yrs.)

Wisconsin Citizen Action Fund, Inc.

Milwaukee, WI \$360,000

For promotion of Impartial Justice—a proposal that calls for full or near-full public funding of Wisconsin Supreme Court elections—through policy and legal research, advocacy, public education, coalition-building, media outreach, and grassroots organizing activities (2 yrs.)

**Wisconsin Democracy Campaign
Education Project, Inc.**

Madison, WI \$485,000

To improve Wisconsin's campaign finance law through policy research and development, advocacy, public education, coalition-building, and citizen activism (2 yrs.)

OTHER

Committee for Economic Development

New York, NY \$150,000

To organize a Midwest component of its Campaign Finance Reform Project, which would seek to identify, engage and enlist the support of corporate and academic leaders in the region on behalf of federal and state political finance reform (1 yr.)

TOTAL MONEY AND POLITICS \$3,838,474

CULTURE

COLLABORATIVE PROJECTS

Chicago Theatre Group, Inc.

Chicago, IL \$100,000

To support the work of four African-American directors at the Goodman Theatre (1 yr.)

Guild Complex

Chicago, IL \$30,000

To increase audience admissions and membership revenues (1 yr.)

Museum of Broadcast Communications

Chicago, IL \$30,000

To expand use of the Internet as a way of reaching new audiences (1 yr.)

Museum of Contemporary Art

Chicago, IL \$150,000

To develop an artist-in-residence project with Ernest Dawkins, a Chicago-based jazz composer, in the African-American neighborhood of Englewood (3 yrs.)

Nonprofit Finance Fund

Chicago, IL \$22,000

For the development of a survey of Chicago's cultural facilities in cooperation with the City of Chicago's Department of Cultural Affairs (1 yr.)

Ravinia Festival Association

Highland Park, IL \$275,000

To support its collaboration with community organizations in Lawndale (3 yrs.)

Urban Institute

New York, NY \$75,000

For research on the financial support system for individual American artists (18 mos.)

MAJOR INSTITUTIONS

Chicago Children's Museum

Chicago, IL \$100,000

To support outreach and transition expenses during a change in leadership (1 yr.)

Columbia College Dance Center

Chicago, IL \$50,000

To boost its audience development and marketing efforts in preparation for a move to a new downtown site (1 yr.)

MINORITY-RUN INSTITUTIONS

Black Ensemble Theater Corporation

Chicago, IL \$60,000

To support board development; to implement a marketing plan to retain current audience; and to develop a feasibility plan for a move to a bigger space (2 yrs.)

Deeply Rooted Productions

Chicago, IL \$25,000

To support the first full-time employee of this new African-American dance troupe (1 yr.)

OTHER

Chicago Sinfonietta, Inc.

Chicago, IL \$160,000

To strengthen its programming and attract new audiences (2 yrs.)

Old Town School of Folk Music

Chicago, IL \$100,000

For continued support of its audience development initiatives during a time of leadership transition (1 yr.)

Steppenwolf Theater

Chicago, IL \$70,000

To develop a new play that would explore the impact of the Great Migration of African Americans from the South to the North between 1915 and 1970 (1 yr.)

TOTAL CULTURE \$1,247,000

INTER-PROGRAM

ENVIRONMENT-EMPLOYMENT

Brookings Institution

Washington, DC \$900,000

For research on topics relating environmental quality, urban reinvestment, and employment opportunities to equitable housing and transportation access (3 yrs.)

TOTAL INTER-PROGRAM \$900,000

SPECIAL OPPORTUNITIES

Center for Impact Research

Chicago, IL \$30,000

To help develop and to assess the impact of the Sweatshop Taskforce, a pilot collaboration between community groups and the U.S. Department of Labor to improve substandard working conditions in the Chicago area (1 yr.)

Center for National Policy

Washington, DC \$100,000

To develop the first comprehensive computerized database of federal expenditures broken down by congressional districts in Illinois, Michigan and Ohio (1 yr.)

Chinese Mutual Aid Association

Chicago, IL \$161,550

To support the Coalition of African, Asian and Latino Immigrants of Illinois Project, to staff the work of an Independent Monitoring Board to track, document, and report on the services of the Chicago office of the Immigration and Naturalization Service (2 yrs.)

City of Chicago

Department of Planning and Development

Chicago, IL \$50,000

To support development of a not-for-profit public/private river development corporation which, in collaboration with other governmental agencies, commercial interests, and environmental and recreational groups, would create and oversee the implementation of a Chicago River management plan (1 yr.)

Community Media Workshop

Chicago, IL \$75,000

For the Community News Project, an online news service for journalists focused on the activities and achievements of regional and Chicago-area community groups, nonprofits, foundations, and universities (1 yr.)

Federation for Community Planning

Cleveland, OH \$56,700

To help develop an information system to establish communication between the Cleveland Municipal School District and health and human service providers in Cleveland (9 mos.)

Joint Center for Political and Economic Studies, Inc.

Washington, DC \$150,000

For its legislative redistricting project, which seeks to clarify the conditions and circumstances that warrant the creation of majority-minority election districts as a legally appropriate strategy for ensuring minority voting rights (2 yrs.)

Mexican American Legal Defense and Educational Fund*Los Angeles, CA \$150,000*

For its redistricting project, which targets Illinois, Indiana, and Wisconsin communities with large concentrations of Latinos, using a combination of education, technical training, legal counseling (including the evaluation and development of proposed maps), liaison with elected officials, and, if necessary, litigation to expand and protect minority voting rights (18 mos.)

NAACP Legal Defense and Educational Fund, Inc.*New York, NY \$130,000*

For its redistricting project, an initiative to ensure fair and equal political representation for minorities through policy advocacy, public education, coalition-building, and litigation (2 yrs.)

National Asian Pacific American Legal Consortium*Washington, DC \$70,000*

For its redistricting project, an initiative involving data collection and analysis, targeted technical assistance, community education, and collaboration with other civil rights organizations, with special attention to redistricting problems and opportunities in Chicago (18 mos.)

Southeast Asia Resource Action Center*Washington, DC \$202,800*

To help build the capacity of local Southeast Asian American community-based organizations across the country to engage in local and national policy advocacy (3 yrs.)

University of Illinois at Urbana-Champaign Institute of Government and Public Affairs*Urbana, IL \$22,596*

For completion of its project on Political Representation and Alternative Electoral Systems (6 mos.)

Women in Government*Washington, DC \$107,440*

To support three, two and one-half day policy roundtables for Midwest and Central-state women legislators on education reform, gun violence prevention, and campaign finance reform (1 yr.)

Woodstock Institute*Chicago, IL \$375,000*

To develop and advocate policies that increase low-income people's access to mainstream bank accounts and that reduce predatory (high-fee, high-interest rate) home and consumer loans in low-income communities (3 yrs.)

TOTAL SPECIAL OPPORTUNITIES \$1,681,086

JOYCE MILLENNIUM INITIATIVES

Business and Professional People for the Public Interest*Chicago, IL \$525,000*

To help the Young Women's Leadership Charter School of Chicago develop a research-based curriculum to help students excel in math, science and technology, and to evaluate and document the curriculum development process in order to share lessons with other educators, schools and parents (3 yrs.)

National Association for Public Interest Law*Washington, DC \$540,000*

To help establish a Fellowship for Equal Justice program in Chicago that would organize a coalition of local law firms, corporations and foundations that would work with NAPIL in recruiting, training, compensating and placing new law school graduates in two-year assignments with local not-for-profit groups focused on environmental, poverty, education, employment and other social justice issues (4 yrs.)

Northwestern University**J.L. Kellogg Graduate School of Management***Evanston, IL \$347,600*

To design a midwestern pilot program for the voluntary trading of carbon dioxide and other emissions that cause climate change, with the goal of answering methodological questions and resolving operational issues (1 yr.)

University of California, Los Angeles*Los Angeles, CA \$345,754*

To study the successes and failures of school desegregation through the eyes of the generation that experienced this social experiment firsthand (3 yrs.)

TOTAL JOYCE MILLENNIUM INITIATIVES \$1,758,354

PRESIDENT'S DISCRETIONARY FUND

Asian American Institute*Chicago, IL \$6,000*

To support "Understanding Asian Americans," survey research on Asian Americans in the Chicago area (1 mo.)

Benton Foundation*Washington, DC \$20,000*

For preliminary examination of policy issues pertinent to the future of public television in the United States (3 mos.)

Center for Democratic Renewal*Atlanta, GA \$10,000*

To support "Tracking Hate: Sustaining a Civil Society," a climate assessment of hate crimes in Ohio (1 yr.)

Center for Environmental Citizenship*Washington, DC \$10,000*

For training young environmental leaders by Campus Green Vote (1 yr.)

Center for Public Integrity*Washington, DC \$20,000*

For an investigative report on campaign finance activities of media organizations (1 yr.)

Chicago Council on Foreign Relations*Chicago, IL \$20,000*

For an initiative to identify and involve young leaders from Chicago in the Council's Young Leaders Exchange program (1 yr.)

Columbus School for Girls*Columbus, OH \$20,000*

To plan a Women's Development Fund in Ohio (1 yr.)

Committee for the Silent March, Inc.*Brooklyn, NY \$18,200*

For production and dissemination of an original publication, "Ten Completely Reasonable, Sensible, and Obvious Ways to End the Gun Violence Epidemic" (1 yr.)

Consumer Federation of America Foundation*Washington, DC \$11,000*

To disseminate results of the 1999 Gun Policy Survey by the National Opinion Research Center at the University of Chicago and the Johns Hopkins Center for Gun Policy and Research (1 yr.)

Council for Basic Education*Washington, DC \$8,000*

To support a conference entitled "The Eye of the Storm: Improving Teaching Practices to Achieve Higher Standards" (1 yr.)

Cultural Landscape Foundation*Washington, DC \$20,000*

To finish "The Prairie Idealized: Columbus Park Cultural Landscape" Classroom CD-ROM Project (1 yr.)

Darrow-Altgeld Foundation*Chicago, IL \$20,000*

To support legal research and costs related to class action litigation on handguns (1 yr.)

Donors Forum of Chicago*Chicago, IL \$20,000*

For a research and organizing process to develop a public policy agenda for the nonprofit sector in Illinois (1 yr.)

Downtown Welfare Advocate Center, Inc.*Woodstock, NY \$20,000*

To examine the feasibility of designing a Caregivers Credit Campaign (1 yr.)

Duke University**Office of Research Support***Durham, NC \$20,000*

To promote *Gun Violence: The Real Costs* (Oxford University Press, 2000), by Philip Cook and Jens Ludwig (1 yr.)

Fund for Independent Publishing, Inc.**The New Press***New York, NY \$20,000*

To support *Every Handgun Is Aimed at You: The Case for Banning Handguns*, a collaborative publication with the Violence Policy Center (1 yr.)

Governors State University Foundation**South Metropolitan Regional Leadership Center***University Park, IL \$19,780*

Planning grant for its South Metropolitan Regional Leadership Center to engage affected communities and decision-makers in a discussion of "smart growth" for the I-355 corridor (1 yr.)

Governors State University Foundation**South Metropolitan Regional Leadership Center***University Park, IL \$20,000*

For ongoing work toward a "smart growth" planning process for the south metropolitan region (1 yr.)

The Historymakers*Chicago, IL \$20,000*

Planning grant for archive governance and management (1 yr.)

Human Relations Foundation of Chicago*Chicago, IL \$20,000*

To support expansion to other Midwest cities of the Chicago Unity Dinners project on race relations (1 yr.)

Indiana University**School of Public and Environmental Affairs***Indianapolis, IN \$20,000*

To monitor implementation by Indiana and other states of the Charitable Choice provision of the 1996 federal welfare reform law (1 yr.)

Iowa Citizen Action Network Education Foundation*Des Moines, IA \$12,100*

For a planning grant for a new campaign finance reform coalition (1 yr.)

Iowans for the Prevention of Gun Violence*Des Moines, IA \$5,000*

For a symposium on gun suicide (6 mos.)

Jefferson Center for Learning and the Arts*Columbus, OH \$20,000*

For research and publication components of the Founding Succession project (1 yr.)

John F. Kennedy Library Foundation*Boston, MA \$9,850*

To support educational programs (1 yr.)

Joint Center for Political and Economic Studies, Inc.*Washington, DC \$20,000*

To support the Network of Alliances Bridging Race and Ethnicity Program (1 yr.)

League of Women Voters of Illinois Education Fund*Chicago, IL \$17,000*

For study and analysis of cumulative voting and other alternative electoral systems (1 yr.)

Libraries for the Future*New York, NY \$17,500*

Planning grant for Public Memory, Public Space: Libraries and Civic Culture in the Great Lakes Region project (4 mos.)

Metropolitan Family Services*Chicago, IL \$20,000*

To study policy changes needed to make the Illinois child support program a better source of income for low-income families (1 yr.)

Minnesota Center for Environmental Advocacy*St. Paul, MN \$20,000*

Planning grant to identify potential partners and strategies to address the need for transportation and planning reform in Minnesota (1 yr.)

Northwestern University**School of Education and Social Policy***Evanston, IL \$18,000*

Planning grant for a center for the study and support of high academic achievement among African-American and Latino-American students (8 mos.)

Northwestern University**School of Law, Legal Clinic***Chicago, IL \$20,000*

For the Children and Family Justice Center to investigate and prepare a white paper on what role availability of guns plays in cases involving death sentences for children (1 yr.)

Parkways Foundation*Chicago, IL \$5,000*

To support a board of directors development retreat (1 yr.)

Poetry Society of America*Chicago, IL \$20,000*

For Chicago Transit Authority component of National Poetry in Motion program (1 yr.)

Project on Government Oversight, Inc.*Washington, DC \$15,000*

To support a Campaign Finance Disclosure Project (1 yr.)

Public Citizen Foundation, Inc.*Washington, DC \$20,000*

To support its work on campaign finance in Texas judicial elections (1 yr.)

The Tides Center**Grantmakers for Education***San Diego, CA \$5,000*

General support (1 yr.)

United States Hispanic Leadership Institute*Chicago, IL \$20,000*

To defray costs of printing *The Almanac of Latino Politics 2000* (1 yr.)

University of Illinois at Chicago**School of Public Health****Division of Epidemiology***Chicago, IL \$20,000*

For pilot study to examine variations in dust allergen levels among Chicago Public School rooms and schools (1 yr.)

**University of Illinois at Urbana-Champaign
Institute of Government and Public Affairs***Urbana, IL \$8,500*

For expenses in connection with the Political Representation and Alternative Electoral Systems project (1 yr.)

University of Wisconsin-Madison**General Library System***Madison, WI \$5,000*

To support and broaden the audience for the Celebration of Books and Reading program (1 yr.)

University of Wisconsin-Madison**Institute for Research on Poverty***Madison, WI \$20,000*

For a conference on evaluations of Wisconsin welfare policies (6 mos.)

Violence Policy Center*Washington, DC \$20,000*

For research by Tom Diaz, the author of *Making a Killing* (18 mos.)

WAVE Educational Fund*Milwaukee, WI \$20,000*

For initial expenses of the Firearm Injury Prevention Planning Project (3 mos.)

Wisconsin Public Radio*Milwaukee, WI \$20,000*

To support a five-part radio documentary entitled "Wisconsin: Armed and Dangerous" (6 mos)

Women and Philanthropy*Washington, DC \$5,000*

For a conference on women, poverty and the law (1 yr.)

Work, Welfare and Families*Chicago, IL \$4,000*

To support travel costs for welfare advocates to attend the New World of Welfare Conference (1 yr.)

MEMBERSHIPS**Council on Foundations, Inc.***Washington, DC \$39,600*

Membership support (1 yr.)

Donors Forum of Chicago*Chicago, IL \$17,820*

Membership support (1 yr.)

**Environmental Grantmakers Association
Rockefeller Family Fund, Inc.***New York, NY \$2,600*

Membership support (1 yr.)

Independent Sector*Washington, DC \$10,250*

Membership support (1 yr.)

The Joyce Foundation Employee**Matching Grants Program***\$13,668*

Payments in 2000 to match employee contributions

TOTAL DISCRETIONARY FUND AND MEMBERSHIPS \$833,868

TOTAL 2000 GRANTS \$55,866,743

SUMMARY OF 2000 GRANTS

FINANCIAL STATEMENTS →

		Grants Approved	Grants Paid
	Number	Amount	
Education	45	\$16,879,062	\$10,004,552
Employment	31	10,555,058	7,594,483
Environment	53	12,551,861	10,415,560
Gun Violence	18	5,621,980	4,304,071
Money and Politics	23	3,838,474	3,506,012
Culture	14	1,247,000	916,000
Inter-Program	1	900,000	300,000
Special Opportunities	14	1,681,086	1,083,000
Joyce Millennium Initiatives	4	1,758,354	639,076
Discretionary and Memberships	51	833,868	833,868
Total 2000 Grants	254	\$55,866,743	\$39,596,622

REPORT BY INDEPENDENT AUDITOR

To the Board of Directors of The Joyce Foundation We have audited the accompanying statements of net assets of The Joyce Foundation as of December 31, 2000 and 1999 and the related statements of revenues, expenditures and changes in net assets and of cash flows for the years then ended. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the net assets of The Joyce Foundation as of December 31, 2000 and 1999 and its revenue, expenditures and changes in net assets and its cash flows for the years then ended in conformity with generally accepted accounting principles.

Altschuler, Melvoin and Glasser LLP

Chicago, Illinois

March 23, 2001

STATEMENTS OF NET ASSETS

The Joyce Foundation	Years Ended December 31	
	2000	1999
Assets		
Cash	\$ 2,318,618	\$ 644,106
Due from Brokers for Sales of Securities	44,348,878	9,706,901
Investments		
(including loaned securities of \$26,105,535 and \$35,043,650 for 2000 and 1999, respectively)		
Short-term Money Market Investments	14,092,918	21,794,496
Mutual Fund Investments (cost: 2000—\$20,696,281; 1999—\$6,122,947)	20,794,091	5,603,126
U.S. Government and Corporate Bonds (cost: 2000—\$193,922,301; 1999—\$166,217,058)	196,012,295	162,226,843
Stocks (cost: 2000—\$450,126,033; 1999—\$418,477,091)	488,258,202	559,116,646
Investment Partnerships (cost under the equity method: 2000—\$219,333,470; 1999—\$236,556,858) (Note 3)	230,327,073	249,480,365
Program-related Investments (at cost—Note 4)	438,000	461,000
Real Estate and Mineral Rights (cost: \$405,779 in 2000 and 1999)	442,761	442,761
Prepaid Federal Excise Tax	2,457,518	172,220
Other Assets	40,604	107,271
	<u>\$ 999,530,958</u>	<u>\$ 1,009,755,735</u>
Liabilities and Net Assets		
Liabilities		
Due to Brokers for Purchases of Securities	\$ 106,132,444	\$ 29,956,229
Grants Payable (Note 1)	31,605,445	14,985,324
	<u>137,737,889</u>	<u>44,941,553</u>
Net Assets—Unrestricted	861,793,069	964,814,182
	<u>\$ 999,530,958</u>	<u>\$ 1,009,755,735</u>

The accompanying notes are an integral part of this statement.

STATEMENTS OF REVENUE, EXPENDITURES, AND CHANGES IN NET ASSETS

The Joyce Foundation	Years Ended December 31	
	2000	1999
Investment Return		
Gains on marketable investments		
Net realized	\$ 48,436,819	\$ 59,081,837
Change in unrealized	(97,094,477)	11,804,318
Partnership income	(10,856,155)	36,758,864
Interest income	11,383,383	10,641,721
Dividend income	7,723,407	7,479,545
Other income	145,704	125,386
	<u>(40,261,319)</u>	<u>125,891,671</u>
Investment expenses	1,951,642	2,282,527
	<u>(42,212,961)</u>	<u>123,609,144</u>
Expenditures		
Grants awarded	56,064,201	33,734,545
(grant payments made, net of grants returned were \$39,444,080 in 2000 and \$35,593,618 in 1999)		
Administrative expenses	3,901,788	2,781,068
Special program-related expenses	297,163	35,536
Federal excise tax	545,000	2,230,000
	<u>60,808,152</u>	<u>38,781,149</u>
Change in Unrestricted Net Assets	(103,021,113)	84,827,995
Unrestricted Net Assets		
Beginning of year	964,814,182	879,986,187
End of year	<u>\$ 861,793,069</u>	<u>\$ 964,814,182</u>

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STATEMENTS OF CASH FLOWS

The Joyce Foundation	Years Ended December 31	
	2000	1999
Cash Flows from Operating Activities		
Net increase (decrease) in net assets	\$ (103,021,113)	\$ 84,827,995
Adjustments to reconcile net increase (decrease) in net assets to cash used in operating activities		
Realized gains on sales of investments	(48,436,819)	(59,081,837)
(Increase) Decrease in market value of investments	97,094,477	(11,804,318)
Income from partnerships	10,856,155	(36,758,864)
Changes in assets and liabilities		
Decrease in other assets	66,667	217,525
Decrease (Increase) in prepaid federal excise tax	(2,285,298)	228,386
Decrease (Increase) in grants payable	16,620,121	(1,859,073)
Net cash used in operating activities	(29,105,810)	(24,230,186)
Cash Flows from Investing Activities		
Proceeds from sales of stocks and bonds	1,657,559,488	708,757,533
Purchases of stocks and bonds	(1,639,817,638)	(684,411,401)
Investments in partnerships	(10,601,940)	(9,253,867)
Distributions from partnerships	16,744,865	12,805,877
Net purchases and sales of short-term money market investments	(7,700,788)	(7,102,306)
Net purchases and sales of mutual fund investments	14,573,335	2,091,945
Sales of program-related investments	23,000	54,028
Net cash provided by investing activities	30,780,322	22,941,809
Net Increase (Decrease) in Cash		
	1,674,512	(1,288,377)
Cash, Beginning of Year	644,106	1,932,483
Cash, End of Year	\$ 2,318,618	\$ 644,106

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The accompanying notes are an integral part of this statement.

The accompanying notes are an integral part of this statement.

NOTES TO THE FINANCIAL STATEMENTS

Note 1 Nature of Activities and Significant Accounting Principles

Nature of Activities The Joyce Foundation (the “Foundation”) is a nonprofit organization that focuses on a limited number of carefully defined program areas, primarily education, employment, environment, gun violence, money and politics, and culture.

Use of Estimates The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions affecting the amounts reported in the financial statements and accompanying notes. Actual results could differ from the estimates.

Income Taxes The Foundation is exempt from federal income taxes under Section 501(c)(3) of the Internal Revenue Code and applicable state law. However, as a private charitable foundation, it is subject to a federal excise tax based on net investment income.

66 Investments Marketable securities and exchange-traded futures contracts are reflected at market value based on quoted prices. Investment partnerships and real estate and mineral rights are reflected at approximate fair value, as determined by management. Realized and unrealized gains and losses from changes in market values are reflected in the Statements of Revenue, Expenditures, and Changes in Net Assets.

Fixed Assets The cost of leasehold improvements, furniture and equipment is charged to expense in the year they are acquired rather than being capitalized, as the amounts involved are deemed to be immaterial.

Grants Grants specifically committed to designated grantees, but not yet paid, are accrued as grants payable.

Translation of Foreign Currencies Assets and liabilities denominated in foreign currencies are translated at year-end exchange rates. Revenue and expense items are translated at average rates of exchange for the year. Translation gains and losses are included in income.

Note 2 Fair Value of Financial Instruments

Substantially all of the Foundation's assets and liabilities are considered financial instruments and are either already reflected at fair value or are short-term or replaceable on demand. Therefore, their carrying amounts approximate their fair values.

Note 3 Investment Partnerships

The Foundation holds limited partnership interests in various venture capital partnerships, all of which invest in and trade marketable securities. The Foundation holds another limited partnership interest that invests in and trades marketable securities and futures contracts. The partnerships reflect these investments at market value. The Foundation's share of its net assets and income or losses is reflected in the financial statements using the equity method of accounting. The Foundation had open commitments to purchase additional partnership investments of \$21,894,603 at December 31, 2000 (1999—\$12,496,543).

Note 4 Program-Related Investments

The Foundation had three program-related investments at December 31, 2000 and 1999:

Investment	Purpose
\$138,000 (2000); \$161,000 (1999) investment in Series B2 preferred stock of the Shorebank Corporation, Chicago, Illinois	To encourage the economic revitalization of the Austin community of Chicago
\$75,000 callable loan to the Women's Self-Employment Project, Inc., Chicago, Illinois (interest at 3% per year)	To capitalize revolving loan fund to assist low-income women establish businesses to increase their economic self-sufficiency based on the Bangladesh Grameen Bank model
\$225,000 investment in Series E preferred stock of the Shorebank Corporation, Chicago, Illinois	To support rural economic development involving expert technical assistance, venture investing and small business lending to expand economic opportunities of low-income people in the Upper Peninsula of Michigan

Note 5 Pension Plan

The Foundation maintains a defined contribution pension plan for eligible employees. Employer contributions are discretionary and are calculated as a percentage of salaries as determined by the Board of Directors. Total employer and employee contributions may not exceed the lesser of 25% of salaries or \$30,000 per employee. Pension expense was \$215,062 for 2000 (1999—\$176,348).

Note 6 Commitments

The Foundation leases office space under a noncancelable operating lease that provides for minimum monthly payments through January 31, 2008, plus additional amounts to cover the proportionate share of the cost of operating the property. Rent expense totaled \$306,690 in 2000 (1999—\$166,702). At December 31, 2000, minimum payments under this lease are as follows:

2001	\$ 123,410
2002	129,066
2003	135,237
2004	141,407
2005	147,578
Thereafter	327,036
Total	<u>\$ 1,003,734</u>

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Note 7 Derivative Financial Instruments

In connection with its investing activities, the Foundation enters into transactions involving a variety of derivative financial instruments, principally exchange-traded financial futures contracts. These contracts provide for the delayed delivery or purchase of financial instruments at a specified future date at a specified price or yield.

Derivative financial instruments involve varying degrees of off-balance-sheet market risk, whereby changes in the market values of the underlying financial instruments may result in changes in the value of the financial instruments in excess of the amounts reflected in the statement of net assets. Exposure to market risk is influenced by a number of factors, including the relationships between financial instruments and the Foundation's investment holdings and the volatility and liquidity in the markets in which the financial instruments are traded. In many cases, the use of financial instruments serves to modify or offset market risk associated with other transactions and, accordingly, serves to decrease the Foundation's overall exposure to market risk.

Derivative financial instruments can also be subject to credit risk, which arises from the potential inability of counterparties to perform in accordance with the terms of the contract. The Foundation's exposure to credit risk associated with counterparty nonperformance is limited to the current cost to replace all contracts in which the Foundation has a gain. Exchange-traded derivative financial instruments, such as financial futures contracts, generally do not give rise to significant counterparty exposure due to the cash settlement procedures for daily market movements or the margin requirements of the individual exchanges.

The Foundation's net losses from futures contracts were \$505,240 and \$2,417,335 in 2000 and 1999, respectively.

OUR MISSION

The Joyce Foundation supports efforts to protect the natural environment of the Great Lakes, to reduce poverty and violence in the region, and to ensure that its people have access to good schools, decent jobs, and a diverse and thriving culture. We are especially interested in improving public policies, because public systems such as education and welfare directly affect the lives of so many people, and because public policies help shape private sector decisions about jobs, the environment, and the health of our communities. To ensure that public policies truly reflect public rather than private interests, we support efforts to reform the system of financing election campaigns.

PROGRAMS

Our current program areas are Education, Employment, Environment, Gun Violence, Money and Politics, and Culture. We focus our grantmaking on initiatives that promise to have an impact on the Great Lakes region, specifically the states of Illinois, Indiana, Iowa, Michigan, Minnesota, Ohio and Wisconsin. A limited number of environment grants are made to organizations in Canada. Education grantmaking focuses on public schools in Chicago, Cleveland and Milwaukee. Culture grants are restricted to the Chicago metropolitan area. We do not generally support capital proposals, endowment campaigns, religious activities, direct service programs, or scholarships.

ABOUT THE FOUNDATION

The Joyce Foundation was created in 1948 by Beatrice Joyce Kean of Chicago. The Joyce family wealth was based on lumber and sawmill interests and was left to the Foundation when Mrs. Kean died in 1972. Over the years, the Foundation has continued to respond to changing social needs, contributing over \$400 million in grants to groups working to improve the quality of life in the Great Lakes region.

EDUCATION

The Joyce Foundation supports efforts to reform public schools in Chicago, Cleveland, and Milwaukee to ensure that all children, regardless of race, gender or economic circumstances, get an education that prepares them for lives as thoughtful and productive citizens.

Recognizing that each city's schools are unique, the Foundation looks for proposals that support reform in each district and reinforce basic reform concepts, including equitable allocation of resources. Proposals must address one or more of the following program interests:

Investing in teaching: Supporting innovative strategies to develop and attract diverse, highly qualified teachers for hard-to-staff subject areas, schools, and districts*

Strengthening community engagement and leadership: Identifying, informing and supporting leaders at the school and community level and enabling them to participate meaningfully in school decision-making*

Advancing technology-supported reform: Fostering broad application of successful, technology-based innovation to promote district-wide improvements in the reform of teaching and learning*

Promoting minority achievement: Using proven strategies for helping minority students achieve at high levels*

*Indicates new priority or change of emphasis in this year's guidelines.

EMPLOYMENT

To reduce poverty in the Midwest the Joyce Foundation focuses on issues confronting low-income workers: the problems they face getting and keeping jobs and the barriers to moving up the job ladder. Addressing such issues can help improve the working lives and economic conditions of tens of thousands of Midwest families.

The goal of the Joyce Foundation's Employment Program is to support efforts to develop public policies that improve the education, skills, learning opportunities, and advancement potential of low-wage workers, including current and former welfare recipients. It supports initiatives that promise to:

Improve state job-training and welfare-to-work policies to provide high-quality workforce preparation for low-income people

Help translate lessons about successful workforce preparation strategies into policy

Make sure that welfare policies incorporate effective education and training strategies that can move people not just off the welfare rolls but toward economic self-sufficiency

Explore development of publicly funded jobs programs for people who lack skills and work experience to break into the private job market

Assess the impact of state and federal welfare policies on the economic prospects of poor people to help guide the policymaking process.

The Foundation does not provide operating support for direct services, such as job training and placement services for individuals.

ENVIRONMENT

Protecting the natural environment of the Great Lakes region has been a long-time commitment of the Joyce Foundation. The Foundation supports the development, testing, and implementation of policy-based, prevention-oriented, scientifically sound solutions to the environmental challenges facing the region.

It supports work that promises to:

Protect and improve Great Lakes water quality, especially by finding and implementing solutions to environmental problems

Maintain and strengthen the network of environmental groups working to improve the Great Lakes ecosystem

Reduce the production, use, and discharge of toxic substances in agricultural and industrial processes

Use the opportunity of the restructuring of the electric utility industry to promote more efficient use of energy and increased reliance on cleaner energy sources

Ensure that government decision-making on transportation and land use, especially at the state level, takes environmental considerations into account

We are especially interested in projects that:

Address root problems and promote pollution prevention rather than control or cleanup of existing pollution

Promise broad environmental benefits rather than solving one problem by creating another

Take into account all relevant perspectives and all aspects of the region's ecosystem, including community and economic well-being

Build effective partnerships for solving problems

Identify market or other economic mechanisms to further environmental goals

Develop incentives to encourage environmentally responsible decisions in the private sector.

GUN VIOLENCE

Gun violence takes the lives of more than 30,000 Americans each year and injures thousands more. The Joyce Foundation seeks to reduce that toll by addressing gun violence as a public health problem, with strategies that emphasize prevention.

The Foundation will consider proposals aimed at:

Strengthening public policies that deal with gun violence as a public health issue

Supporting policy-relevant research by scholars and institutions that collect and analyze gun violence data from a public health perspective and examine prevention strategies*

Supporting efforts that lead to the treatment and regulation of guns as a consumer product, with appropriate design and safety standards*

Supporting effective Midwest-based coalitions and national coalitions with a strong Midwest presence that address gun violence as a public health issue and promote policies that reflect that view*

Encouraging and strengthening the activity of medical professionals in addressing gun violence as a public health issue

Communicating public-health policy and research to midwestern and national policymakers*

MONEY AND POLITICS

To prevent political corruption, ensure all citizens equal access to their elected representatives, and restore fairness and competition to elections, Americans must address the problem of money in politics.

The goal of the Joyce Foundation's Money and Politics Program is to improve the system of financing state and federal election campaigns. Achieving that goal will likely require broad, sustained efforts including data collection and analysis, policy development and advocacy, public education, grassroots organizing, coalition-building, communications, and litigation.

The Foundation supports exemplary projects that:

Promote federal and state-level (Midwest) campaign finance reforms

Seek a better balance between the constitutionally protected rights of citizens to raise, give and spend campaign funds and the public's interest in preserving the integrity of the political process

Improve financial disclosure of campaign finance records, increase public access to them, and strengthen enforcement of campaign finance laws

CULTURE

The Joyce Foundation supports the efforts of Chicago-area cultural institutions to serve and represent the city's diverse populations. The Foundation is interested in projects that address current urban issues, enhance cross-cultural understanding, and bring diverse audiences together to share common cultural experiences.

We look for efforts that:

Stress the involvement of communities that are often overlooked

Lead minority audiences to identify mainstream institutions as inviting both their attendance and their collaboration in planning relevant programming

Help create a stable group of minority-based arts organizations

Encourage more of Chicago's people to see the arts as integral to their lives.

We seek proposals that demonstrate sustained, organization-wide commitment to those goals and:

Are based on a long-range plan with clear objectives, realistic strategies, and measurable outcomes

Actively involve the community the group is trying to reach or are designed by the community itself

Include a strong evaluation plan.

We are willing to provide multi-year support to organizations that are committed to achieving long-term institutional change. We also fund shorter demonstration projects that represent a first step toward community involvement or can serve as a model for other programs. In addition, we make grants to enhance the financial and administrative stability of community-based cultural organizations that serve minority audiences and contribute to the city's cultural mosaic.

Through August 15, 2001, the Foundation will accept proposals to fund presentation and development of work, by artists from Chicago or elsewhere, that is coupled with programming designed to increase participation of minority audiences at Chicago cultural institutions. Project budgets may include any costs related to the development and presentation of the work, but must also include an organizational commitment to ensure broad participation by diverse audiences in its presentation. This might include community involvement in the planning or performance of the work, or selection of artists, but other approaches will also be considered. Grants will be made to institutions, not directly to individual artists.*

All applicants must meet high artistic and presentation standards.

OTHER GRANTS

Special Opportunities

The Foundation makes some grants to projects outside the primary program areas. Preference is given to projects that encourage debate on timely public policy issues, reflect concern for social equity or regional cooperation, or explore connections among the Foundation's programs.

President's Discretionary Fund

The President's Discretionary Fund is used to make small, expeditious grants that advance the Foundation's priorities, and to support other activities of interest to the Foundation. Competition for discretionary funds is very high.

Joyce Millennium Initiatives

On the occasion of the new Millennium, the Foundation is making a series of grants to mark this intergenerational transition by reinforcing and strengthening landmark principles, as well as catalyzing and encouraging exceptional new efforts. Proposals for Joyce Millennium Initiatives are at the invitation of the Foundation.

Grants to Individuals

The Joyce Foundation considers grants to individuals under certain restricted conditions. Funding must be for projects that fit our program interests and serve a clear charitable purpose, but where a grant to a charitable organization would not meet the same goals. The grants are not intended to benefit or reward the grant recipient, but rather to lead to results that benefit the broader society. Grants will be made only to individuals who, in the Foundation's judgment, are experts in the field in which the project is to be conducted and whose record indicates an ability to complete the proposed work. No lobbying or political activity will be supported. Special reporting requirements apply.

HOW TO APPLY

The Joyce Foundation accepts grant inquiries throughout the year.

Letters of Inquiry: Content and Timing

Before submitting a formal proposal to the Foundation, prospective applicants should write a two-or three-page letter of inquiry outlining the proposed project to the appropriate Program Officer (see list on inside back cover). The letter should describe the project's goals, how it relates to the Foundation's interests, the target audience and beneficiaries, the estimated budget and duration, and plans for evaluation and dissemination of findings. Letters of inquiry should be submitted at least six to eight weeks prior to the proposal deadline for a given grant cycle. (See the current schedule on page 80.) Program Officers endeavor to respond in a timely manner and to advance all grant proposals expeditiously. However, Program Officers have discretion as to when to schedule full proposal review.

Full Proposals

After reviewing the letter of inquiry, the Program Officer may request a formal proposal. The proposal should include the application cover sheet, which is included in this annual report or can be downloaded from our web site (www.joycefdn.org). It should also include the information below.

GRANT APPLICATION INFORMATION

Executive summary or overview (1-2 pages).

Information on the project for which funding is requested, including the issue to be addressed, how the proposed project would address it, and plans for implementation, evaluation, and dissemination of findings

Description of the organization, including its background, purpose, objectives, and experience in the area for which funds are sought

Itemized project budget with narrative and proposed funding sources, amount of funds requested from Joyce, their proposed use, and the time period over which they will be expended

GRANT PROPOSAL COVER SHEET

(Please attach completed sheet or computer-generated sheet in the same format to your proposal.)

Applicant Information

Name of Applicant	Application Date	
Address		
City	State	Zip
Telephone ()	Fax ()	
Electronic Mail	Web Address	
Contact Person		
Title		
Date Organization Began Operations		
Number of Staff	Full-time	Part-time
Total Operating Expenses (for most recently completed fiscal year)	\$	
Estimated Duration Dates of Project	Beginning	Ending

Budget

	(If Multi-Year Request)		
	2001	Second Year 2002	Third Year 2003
Total Budget	\$	\$	\$
Requested from Joyce	\$	\$	\$
Total	\$		
Total Amount Requested from the Joyce Foundation	\$		

Brief Description of Project

Geographic Area Served by Project

Beneficiary Group(s) Targeted by Project (racial, ethnic, gender, age, income level)

Date of IRS Ruling Letter of Tax-Exempt Status, Case Number and EIN

Names and qualifications of people involved in the project

Organizational expenses and income for previous, current, and coming fiscal year

Board members, their titles, outside affiliations, and telephone numbers

Internal Revenue Service verification that the organization is not a private foundation and is exempt from taxation under Sections 509(a) and 501(c)(3) of the Internal Revenue Code. (A copy of the IRS tax-exempt letter must accompany the proposal.)

Audited financial statements and Internal Revenue Service Form 990 plus attachments for the most recently completed fiscal year.

The Joyce Board of Directors have requested that they not be contacted individually regarding proposals.

The Foundation does not at this time accept proposals submitted online.

Deadlines

Grant proposals are considered at meetings of the Foundation's Board of Directors in March, July and December. Deadline dates are:

Board meeting	Proposal deadline
December 2001	August 15, 2001
March 2002	December 10, 2001
July 2002	April 15, 2002

Applicants are strongly encouraged to plan their application and proposal submission process for the March or July meetings, since most grant funds will be distributed at those times. If you wish to discuss your application, please contact one of the Program Officers whose names are listed on the following page.

If a grant is awarded, the recipient will be expected to provide regular reports to the Foundation on the project's progress and the expenditure of grant funds.

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