

# The Joyce Foundation *Annual Report 2001*



# 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.



What really matters?

When economic progress falters, when people lose confidence in fundamental institutions, when the world seems irrevocably changed by acts of terrorism, people find themselves asking basic questions about meaning, purpose, and mission.

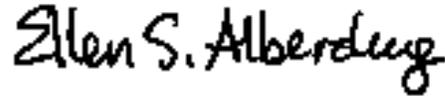
As a new leader, but one with a long association with this remarkable Foundation, I begin my tenure knowing that Joyce has chosen to tackle problems that defy easy solutions. At best, it will require sustained effort over many years. We know it will take time. We are patient. But we are also determined to move forward in a spirit of pragmatic idealism, which means doing our best to ensure that, in each of our program areas, we are making a difference.

Are we doing the best we can to identify where and how our funds can most efficiently affect the policy process? Are we sufficiently focused on the needs of our region and the realities of our time, so that our limited resources can make a difference? Have we adequately assessed the full range of options, and chosen wisely which to emphasize in our grantmaking? And have we established satisfactory ways to measure progress, however imperfect such measures may be?

We will work with our grantees, seek input from people with ideas and insight in our program areas, and consult with a full range of policy-makers to answer these questions and to develop strategies that we think can lead to change.

What really matters? Saving the life of one child. The health of the place where we live. A decent education. The capacity to climb out of poverty and into a job. A functioning democracy. Access to culture, to help us understand, shape, and celebrate our world. These are the things that give us hope, in the sense that Vaclav Havel defines it: “not the same as joy that things are going well, or willingness to invest in enterprises that are obviously headed for success, but an ability to work for something because it is good.”

What really matters? Confidence that we can make a difference, and the determination to see things through. This is what moves us forward.



Ellen S. Alberding  
President



What really matters?



*education*

Expectations matter.

*E v a n s t o n , I l l i n o i s ,*  
Ann Arbor, Michigan, Madison, Wisconsin,  
Cleveland Heights, Ohio, Berkeley, California:  
all relatively affluent communities with excellent  
schools, they share a disturbing pattern: their  
African-American and Latino students aren't  
doing so well. A depressing picture emerges  
from the districts' test scores, class rank, partici-  
pation in AP courses, graduation rates, and  
other measures: some black students excel,  
and some white students fail, but overall  
most students at the top are white or Asian  
American, while most of those at the bottom  
are children of color.

Even reporting those facts was (and some-  
times still is) controversial. But 15 school  
districts around the country have not only  
acknowledged the problem, they're mounting  
**a determined effort to close  
the minority achievement gap.** Organized in 1999, and supported in part  
by a two-year Joyce grant of \$300,000, the  
Minority Student Achievement Network is out  
to "discover, develop, and implement the means  
to ensure high academic achievement of minority  
students."

Preliminary results from a survey of 40,000  
students in the 15 districts offer fascinating  
**glimpses into the adolescent  
minds** the Network is trying to reach.

Children of color report having a harder time  
following what's presented in class, and a hard-  
er time understanding what they read. Not that  
they're not trying—they spend as much time on  
their homework as white students, for exam-  
ple—but then they are less likely to actually  
turn in that homework. They also are more like-  
ly than white students to say the teacher matters.  
"Teachers' expectations, teachers' belief they can  
do well, trust, pleasing the teacher—all that is  
important to them," says program manager  
Carolyn Ash.

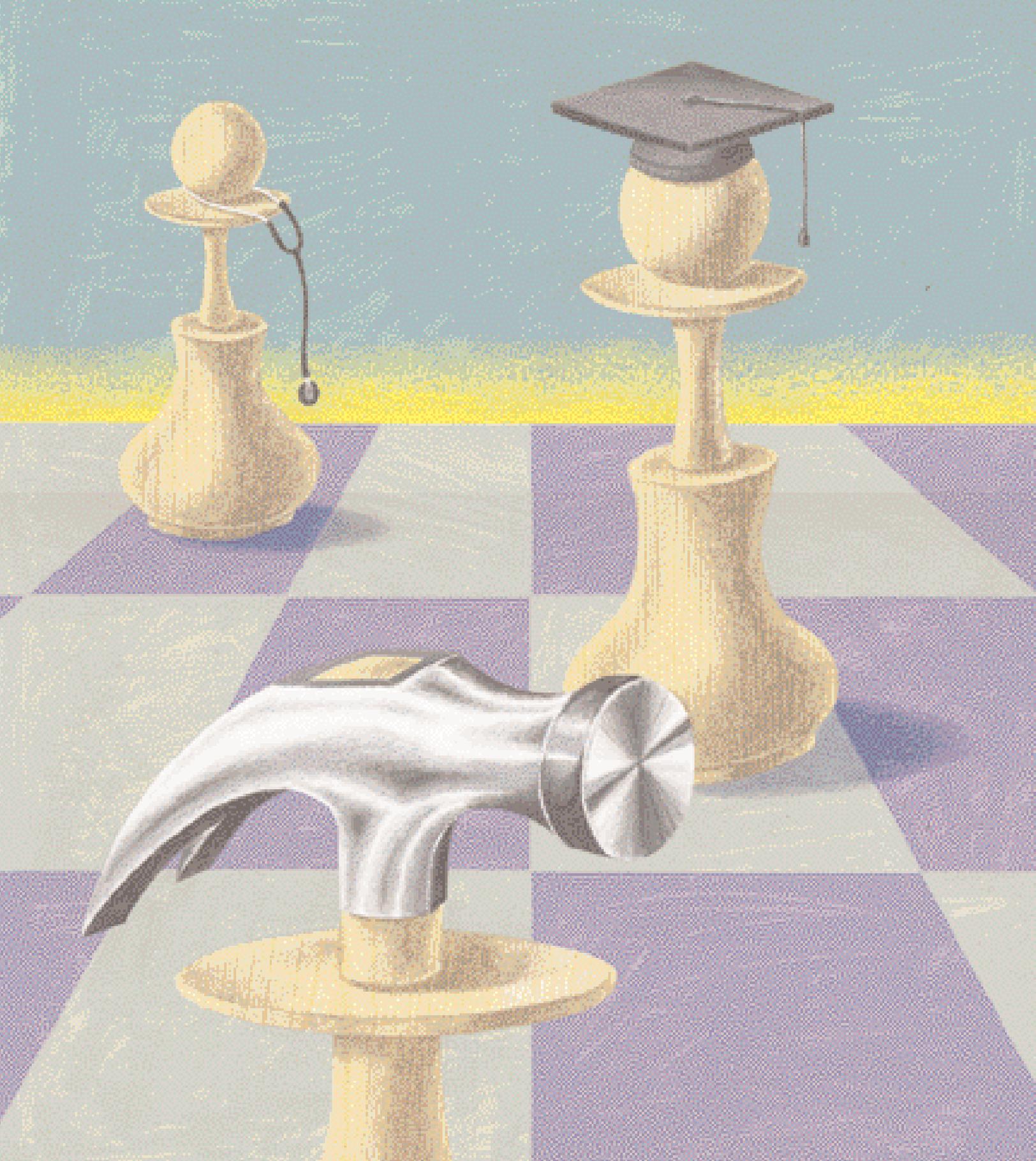
For Network leaders, those findings suggest  
where to focus. If students have trouble with  
classroom and written material, then instruc-  
tional methods and adolescent literacy need  
attention. The homework problem may be  
about expectations—students hesitate to turn in  
something that may be incorrect or incomplete  
—so perhaps teachers should encourage them to  
hand in what they've done and learn from that.  
On teacher-student relationships, the Network  
has launched an ambitious project, led by  
Harvard researcher Ron Ferguson, to examine  
how teachers and students **establish  
connections and build trust,**  
and to test whether improving their interaction  
will in turn improve student performance.

Besides research, Network activities emphasize sharing ideas and, even more, experiences. Teachers from all the districts met in spring 2002 in Madison, exchanging strategies for improving literacy, teacher-student relationships, math and science education. Evanston Township High School, for example, actively recruits minority students for high-level math and science courses, offers special summer preparation classes, and—to overcome the isolation that students of color often feel in higher-level classes—clusters students of color in selected classes. These initiatives are being evaluated, and others in the Network are watching closely. If successful, such experiments could lead to **strategies for improving education** that go well beyond the Network’s 15 districts, helping educators reach America’s increasingly diverse student populations.

Meanwhile, conferences in Cleveland (2000) and Ann Arbor (2002) brought together top high school students of color. Says Ash: “Many of these students have felt, when they’re the only African-American or Latino student in the classroom, alone and isolated. You could see the sheer relief on their faces when they heard other kids at the conference tell similar stories. It tells them they’re not alone.”

But the students are about much more than celebrating their own success, says Ash. They feel a strong sense of urgency to help fellow students who are not succeeding. Students have started their own mentoring programs to get middle and high school students prepared for upper-level classes. In doing that, says Ash, they are **sending a message only the students themselves can send.**

“These kids are defying the stereotype that African-American and Latino kids are not as concerned about their education as other students are. They’re also defying the stereotype among African-American and Latino kids themselves, that to be successful you have to leave your own culture by the wayside.”



*e m p l o y m e n t*

Skills matter.

*During the 1990s*, when unemployment dipped to near-record lows and businesses were desperate, workers with even minimal skills could get jobs. Hundreds of thousands of women coming off welfare went to work with little or no skills training. But inevitably, many of the jobs they took were part-time or temporary, and typically they paid low wages, leaving many families still poor. To move up the job ladder, toward more economic stability, these new workers need skills.

That's where education and job-training come in. Even in the current sluggish economy, **health care and other industries can't find enough people with the right skills to fill open positions.** Research demonstrates that work-relevant skills training boosts the earnings of low-income adults by giving them an entrée into occupations with higher wages, more hours, and greater stability. Programs like those of the Wisconsin Regional Training Partnership, which includes local employers and unions and trains people to meet identified job opportunities, have enabled participants to boost their average earnings from \$8,000 to \$22,000 a year, according to Partnership executive director Eric Parker.

Support for education and training was noticeably absent in the 1996 federal welfare reform. Policymakers did later allocate some training funds, but overall the prevailing "work first" philosophy concentrated on getting people

into jobs first and worried about training later. Six years later, Americans strongly support efforts to help families who have left welfare achieve economic self-sufficiency, according to a Peter Hart poll for the Annie E. Casey Foundation. Job training topped the list of programs when voters were asked about priorities for reforming welfare.

Working hard to put training back on the national agenda is The Workforce Alliance, a network of community-based job trainers, unions, community colleges, business leaders, and public officials in 25 states funded in part by a three-year, \$450,000 grant from the Joyce Foundation.

Informing policymakers about the successes of local trainers is the best way to make the case, says executive director Andy Van Kleunen. The Alliance has organized sessions in Washington and in local districts at which policymakers hear firsthand what's working at the local level and how federal policies can support it. Especially important is the range of participants, like those involved in the Wisconsin Partnership, reflecting **training strategies that are well rooted in the local economy.** "Policymakers tell us it's the first time they've heard from such a cross section of people from their district," says Van Kleunen, "businesses, community-based organizations, community colleges, labor affiliates, local and state public officials. These people are doing the work day to day. They pointed out that, even in the

current economy, there are plenty of industries that need skilled workers. They know how to get people into those jobs.”

**Building on such successes will require both funding and flexibility,** say Alliance members. Van Kleunen cites Focus:Hope, which trains low-income Detroit residents for metalworking and machinist jobs, qualifying them to replace a large cohort of skilled industrial workers who are or will soon be retiring. Focus:Hope programs can require as much as 57 weeks of full-time classroom and shop-floor training—well beyond the limit of four months training embodied in current welfare proposals. The investment pays off handsomely over the long haul by giving people access to solid, well-paid jobs with good benefits.

But taking that longer view can be difficult, says Luke Weisberg, executive director of the Governor’s Workforce Development Council in Minnesota and an Alliance member. “Legislators say they are interested in programs that have immediate impact. They hear from businesses that they need X number of workers and nobody can produce them fast enough. If we took a broader view, and invested in workforce development over time, we wouldn’t be so pressed for quick fixes.”

It’s especially important to make those investments as the 1996 welfare reform is being reconsidered, advocates argue. With large majorities of the welfare population having

gone to work, those remaining on the rolls are the ones with the most serious skill deficits and thus the most in need of education and training. In Michigan, for example, two-thirds of welfare recipients with a high school education went to work after welfare reform; only 39 percent of those without an education had done so. Similarly, in Illinois, 72 percent of those with a high school degree were working, versus 48 percent who lacked the diploma. Meanwhile, many of those who are employed are stuck in low-paying jobs; **improving skills is the classic way for low-skilled workers to climb the job ladder.**

Besides welfare reauthorization, other opportunities for making the investment are coming up. Over the next year and a half, Congress will reconsider the 1998 Workforce Investment Act as well as the Higher Education Act and the Perkins Act, both of which fund vocational training at community colleges. “We need to find a way to weave these together constructively,” says Weisberg, “so that we get the maximum benefit from federal dollars for workforce development.”

Van Kleunen is confident his members can make that case. “Helping people get into skilled occupations so that they can better support their families, and helping American businesses succeed in the global economy: everybody agrees that to do that you have to invest in people’s skills.”



*e n v i r o n m e n t*

Places matter.

2001 saw California scrambling to rebuild its electric utility system after a summer of devastating blackouts; the collapse of the energy company Enron; and introduction of a national energy policy stressing production over efficient use. September 11 added one more element: a new urgency to the quest for “energy independence” that would reduce our reliance on foreign energy supplies.

For a brief moment, it appeared that the thirst for energy would extend right into (actually beneath) the Great Lakes. Michigan Governor John Engler proposed ending a three-year moratorium and reopening the lakes to oil and gas drilling. At first, given apparently solid support in the state legislature, it appeared he might pull it off. In May, in fact, the state senate approved a bill authorizing drilling.

But they had reckoned without the opposition of environmental groups, led by two Joyce grantees, the Lake Michigan Federation and the Michigan Land Use Institute. Having studied the issue at the time of earlier attempts by state officials to open drilling, the groups had actually come to different conclusions. The Institute believed that, with stringent protections, drilling was environmentally feasible; the Federation argued that **the lakes are simply too precious to expose to even small risks of contamination.**

But both agreed that there was no evidence that state officials were willing to take the steps essential to protecting the lakes, so they united in opposition to the governor’s proposal.

“The issue just galvanized the environmental community,” says Keith Schneider, program director at the Michigan Land Use Institute. “It’s the first issue I’ve been around where environmental groups grew a unified vision, saying essentially the same things, and devoting considerable resources to winning.”

Assisted by another Joyce grantee, the communications group Sustain, the environmentalists began a public education campaign with the slogan “Oil and water don’t mix.” The campaign tapped into Michigan residents’ **deep and abiding affection for the lakes that surround and define their state.** The state’s \$11.5 billion tourism industry lines the coasts; bed-and-breakfast owners and outdoor recreation groups joined the fight. Local governments from shoreline communities weighed in: the Grand Haven City Council voted to ban drilling. That prompted one pro-drilling senator to threaten to withhold natural resource funds from any locality that opposed the plan.

Such threats, however, were no match for the remembered **images of oil slicks, poisoned birds, and ruined beaches** from other parts of the world.

When it comes to the lakes, “People just aren’t willing to take the chance,” says the Federation’s Cameron Davis. “It’s not worth the risk.”

**Slowly the political equation started to shift.** Michigan representatives in the U.S. Congress introduced legislation to ban drilling, and President Bush said he too was opposed. Faced with public outcry, one after another, state legislators and statewide candidates (including the lieutenant governor, an Engler ally) began to announce their opposition to the drilling plan. The administration went ahead anyway, and on September 14 the Michigan Department of Natural Resources approved new leasing procedures.

But opposition was by now too strong. Six weeks later, the U.S. Congress voted to ban drilling for two years while the Army Corps of Engineers studies safety concerns. Early in the new year, both houses of the Michigan Legislature, on overwhelming votes (98-7 in the House, 28-5 in the Senate), approved a permanent ban on new Great Lakes drilling.

The Institute’s Schneider believes that the energy aroused during the drilling debate will carry over into other issues affecting the lakes and the state’s environment. Michigan has a proud history as an environmental policy leader stretching back to the 1960s, he notes, having pioneered in such areas as wetland protection, dune protection, and erosion control. The spirit that created those safeguards has been aroused once again, he believes. Underlying it is an important recognition: “This state has something few areas of the world have, an abundance of clean, fresh water, with enormous economic, social and recreational value, through which we define ourselves as a state.”

“The reason this victory was so important,” says Davis, “was that it gave people a chance to **wake up and reconnect with their pride in the Great Lakes** as a regional, even a national icon. It raised people’s love of the lakes to a point where they said, we don’t care how safe they say this is, it can never be safe enough.”



*gun violence*

Children matter.

*Every day in these* United States, an average of 12 children under age 19 die of gunshot wounds. Forty-eight others are injured by firearms, some of them disabled permanently. Others see a parent, friend, or neighbor shot and killed, leaving emotional scars on the child. And, tragically, some young people themselves use guns in moments of adolescent anger or bravado or despair, setting off consequences that can last a lifetime—or end a life.

Guns are especially effective for young people tempted by suicide. A recent study by researchers at the Harvard School of Public Health found that children in states with high firearm ownership are twice as likely to kill themselves—seven times more likely to do it with guns—as children in states where firearms are less prevalent. (There was no comparable difference between the states on non-gun suicides.)

Statistics like those led child advocates in states around the country to identify **gun violence as a major public health threat to the nation's children**. They determined to add gun violence prevention to their list of priorities, which typically includes child welfare, education, child abuse prevention, health, and similar concerns. In 2001, the National Association of Child Advocates launched Child Safe, a three-year

project with Joyce funding to enable local child advocates to identify and build public support for strategies to reduce gun deaths and injuries among children, including federal consumer oversight of firearms.

The child advocates' interest in the issue came partly in response to the school shootings at Columbine, Paducah, Jonesboro, and other places that horrified the nation with images of dead and dying children. Besides dramatizing the vulnerability of children to firearms, the fact that some shooters were themselves children led to pressure for making the juvenile justice system tougher and trying more children as adults—measures that child advocates generally oppose. “It’s easy to make children into perpetrators,” says Deborah Stein, director for policy and advocacy at NACA, **“but the truth is children are much more typically the victims.”**

Trying to shift the focus from punishing children to protecting children led the advocates to explore a public health approach. “You collect the data, analyze it, and then develop the most appropriate policy solutions based on the data,” says Stein. It’s an approach that child advocates take in other areas, one that they know works.

Funds from the Joyce grant support the efforts of child advocacy groups in two mid-western states—Illinois and Wisconsin—as well as New Mexico, Tennessee, and Virginia. The Wisconsin Council for Children and Families

draws on extensive data from the Firearms Injury Research Center at the Medical College of Wisconsin and uses that resource to identify problems and dispel myths. For example, executive director Anne Arnesen points out that, contrary to common understanding, more Wisconsin children die of firearm suicide than firearm homicide. And **even gun-related juvenile crime, she suggests, is in part attributable to easy access to firearms.**

“Ever since Columbine, we’ve gotten into this mindset that kids are dangerous. They are not; but we need to make sure we’re not making kids more vulnerable by putting guns in their path all the time.” More mothers working (in part as a consequence of Wisconsin’s celebrated welfare reforms) means that more adolescents are on their own for much of the day, she adds, and some of them will get into trouble. By giving them easy access to guns, “we’re putting kids in harm’s way.”

Julie Parente, Child Safe project director for Voices for Illinois Children, notes that the Illinois Constitution gives the state attorney general power to issue state-level regulations for firearms. Regulations issued by the Massachusetts attorney general require child-proofing features (for example, a trigger weight too high for young children to fire, and demonstrated ability to avoid accidental

discharge when dropped) for all firearms sold in the state. Voices for Illinois Children plans to make firearm regulation an issue in this year’s elections for governor and attorney general. Parente cites polls showing that 68 percent of Illinois voters agree that firearms should be regulated for health and safety.

In fact, “people are surprised when they hear that guns are not regulated,” she says, “especially because they know that products children are exposed to—toys, sleepwear, cribs—are regulated. Americans are careful to try to keep children safe. **Yet here is a product that’s potentially deadly for children, and it’s not regulated for safety.**”

The group plans to distribute a report making the case for regulation to local groups around the state, “PTAs, teachers unions, churches—anyone who has or works with or cares about children.”

In Wisconsin and Illinois, as in many other states, gun ownership is common, especially in rural areas. Arnesen and Parente believe gun owners can support their proposed reforms. “Most gun owners in Wisconsin do not want to see kids have easy access to guns, or to have guns around that are unsafe,” says Arnesen. Regulating firearms to protect consumers, especially children, should offer a common ground, adds Parente: “If we talk about it as an issue of keeping kids safe, everyone should be able to agree on that.”



*money and politics*

Your vote matters.

*Bill Woods, a long-time civic activist and an inveterate optimist, admits that there was one moment when he almost lost faith. It was a few days before the November 2001 Cincinnati municipal election. His coalition, Citizens for Fair Elections, had campaigned tirelessly, against big money and long odds, for a ballot initiative amending the city's charter to provide public financing for municipal candidates. But April riots touched off by a police shooting of an unarmed black man, followed five months later by the terrorist attacks in New York and Washington, left the community distracted and uneasy.*

“You have to get yourself in a frame of mind to believe you can win,” says Woods. “You’ve got to go all out. One of our senior volunteers, a retired public administrator and African-American civic leader, went out and collected 2,500 signatures for our petitions. **That kind of effort inspires you.** Still, there was one moment toward the end of the campaign when I broke out in a cold sweat. I thought, what have I led these folks into? Are we going to go down 100-1? Will they say, why ever did we do this?”

His pessimism, though not his math, was apparently borne out on election night, when the amendment trailed by 23 votes at the end of the evening. But the official count—which included the walk-in ballots not tallied on November 6—showed the amendment winning by 547 votes, out of 84,289 votes cast. **The margin of victory was just over one-half of one percent,** proving once again (for anyone who may have slept through the 2000 presidential election) that every vote counts.

And that, in a way, could be the motto of the Cincinnati citizens campaign.

The charter amendment, as passed, sets contribution limits, ranging from \$1,000 for individuals to \$10,000 for donations by a political party. It creates strict new disclosure requirements and sets up a citizens commission to monitor implementation. On the public financing side, candidates who agree to limit spending to three times the salary of the office they’re seeking can get \$2 in public funds for every \$1 raised in individual donations.

The idea of pushing for public financing was appealing, says Woods, as a way for citizens to wrest ownership of the political process away from the big money that too often dominates campaigns.

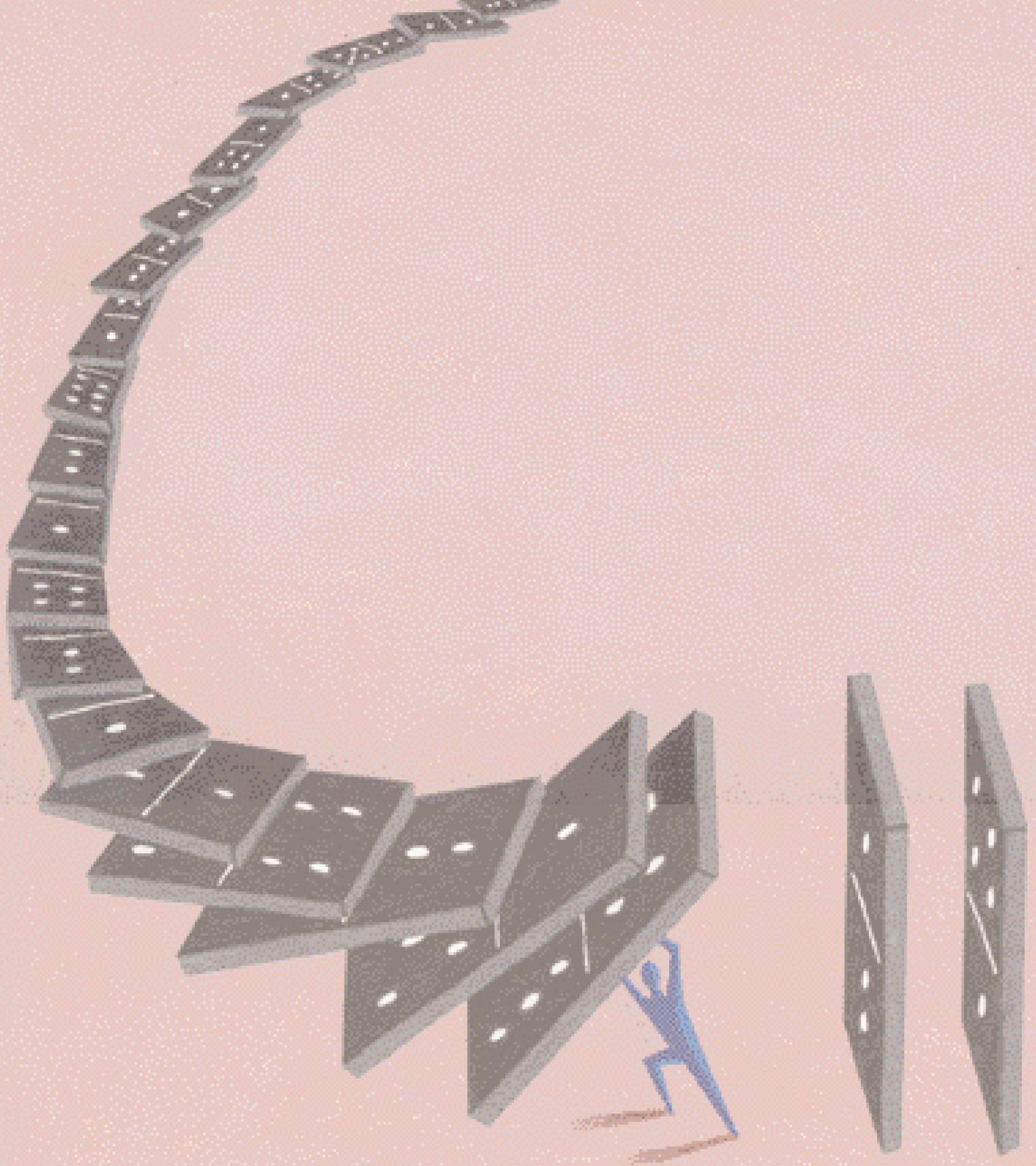
“If it’s their tax money that’s being spent on campaigns, citizens will really own the system again,” reasons Woods. “Most of us working on this reform effort thought of it as a way to reform democracy. We had experienced a local election cycle where campaign spending set new records every time while voter participation continued to plummet. All the focus groups that we conducted showed that people were getting pretty disillusioned. **If you don’t have citizens involved in the political system, you don’t have a working democracy.**”

The coalition spent two years developing its proposal, building alliances with churches, labor unions, environmental and community organizations, and organizing public support for reform. Outspent by more than 5-1, primarily by an anti-tax group but also by corporations, the reform proponents conducted an old-fashioned retail campaign. “Instead of spending money on ads, polls, and consultants talking about our image, we were out there going to community councils and neighborhood groups, sending volunteers out every night,” says Woods. Personal contact gave the organizers a firsthand sense of how voters were reacting, he adds. For example, “we could see that our message was resonating really well among African Americans, who felt left out of the

political process,” he says. Support from the black community, including groups of ministers and the NAACP, proved critical to the razor-thin margin of victory.

Thus, in a year when the U.S. Senate passed the McCain-Feingold campaign reform bill, and just before the House of Representatives followed suit, citizens of Cincinnati ignored the ads and the big money—and even put aside anti-tax sentiment—to vote for their own version of reform.

Just as McCain-Feingold faces legal challenges, the Cincinnati reform may face a repeal campaign, opponents say. The coalition is holding together, anticipating that challenge, and also keeping an eye on implementation, including monitoring the citizens commission appointed for that purpose. Says Woods: “Reform is really an ongoing process. Just because we win the charter amendment, or McCain-Feingold passes, doesn’t mean you can stop—especially if your goal is renewing the democratic process. **You’ve got to figure out ways to keep people involved, keep them believing.**”



*c u l t u r e*

History matters.

“*History walks into* the classroom every day, from the past, from children’s lives,” says Margot Stern Strom. No day in recent memory so dramatized the truth of her observation as September 11, 2001.

Strom runs Facing History and Ourselves, a nationwide group that teaches teachers, and through them students, to confront violence and hatred in history and in the decisions they face as citizens. On September 11, hatred and violence exploded in New York, Washington, and Pennsylvania, onto the nation’s TV screens, and into children’s consciousnesses all across America.

In Chicago, Bell School eighth-grade teacher Suzanne Saposnik, who has used the Facing History curriculum for four years, decided that as students left school on September 11 it was important “to send them home with a message. So at the end of the day, we brought our students together. We said, ‘we’re a community, we’re going to deal with this as a community. When you go home, listen to what people are saying, talk to your parents.’ The next day they came in with a lot of rumors, questions, things to share. For the next several days this is all we talked about.”

Saposnik, along with hundreds of other teachers around the country, turned to Facing History for tools to help students process the appalling scenes they had witnessed as well as the responses that followed. Facing History, drawing in part on a November \$10,000 Joyce discretionary grant, created lesson plans, readings, and resources, and offered space on its website for classroom teachers to share ideas. Over 1,650 lesson plans related to September 11 have been downloaded, and the site has had literally “millions” of hits, according to Strom.

At Bell School, Saposnik used the Facing History approach to structure classroom discussions. “We looked at what choices people make, and why certain people make these choices. In the unit on the Holocaust, one topic is forgiveness. Can we say some things are not understandable, but still forgivable? *We don’t offer hard and fast answers. We don’t divide the world into ‘us’ and ‘them.’ We teach students to be open to different points of view.*”

Through the fall Saposnik’s class debated the American action in Afghanistan; troubles in the Middle East; rumors of war between India and Pakistan. Students wondered why ethnic massacres in Africa draw so little attention. A movie about the U.S. response to the

Holocaust left kids “appalled,” then led to debate about whether the current Mideast crisis demands U.S. action or, as some felt, is “none of our business.” “We’ve touched on all this in the past,” says Saposnik, “but this year it really hit home. The questions were much more difficult to address. It was easier to be glib about certain things before this year. Now they took on whole new meanings.”

Pushing that kind of deep discussion, avoiding easy answers, refusing to divide the world into “us” and “them,” **focusing on individual choices: all that is the core of the Facing History philosophy.** A longtime Joyce grantee, Facing History got started 25 years ago to encourage teachers to teach about the Holocaust, not simply as painful history, but as an event that poses stark moral questions about the power of hatred and the responsibilities of the individual to confront it. More than 12,000 educators have participated in its workshops and week-long institutes; the group estimates that its programs reach a million students each year.

The need to respond to September 11 was immediately clear, says Strom. Staffers hit the phones calling teachers around the country to offer information and support. Also clear was the need to resist the temptation to preach, to offer easy answers. “Some people say, ‘This is simple, we’ve seen this happen before, it’s the same thing,’” says Strom. “Nothing is ever the same. We need to resist facile parallels, simple comparisons; **we need to look deeply for distinctions, so that no history looks inevitable.**”

“Others want to take the opportunity to be missionaries. But we’re not advocating a particular point of view, we’re advocating participation in democracy. Others say, ‘let’s not be prejudiced.’ But you have to deal with people’s fears. Facing History gives us a frame for questioning, a frame for responding; but the answers have to come from the interactions between teachers and kids.”

Strom believes that 2001 will become one of those watershed years in history. “I think we haven’t even begun to confront what it means,” she says. But she adds: “At least Facing History has sensitized us to using our history in ways that inform us, not yoke us. We have no choice, we have to figure out what it takes to make civil society work. That really is the challenge.”

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Grants Approved

## education

### CHICAGO AND ILLINOIS

#### **Aspira, Inc. of Illinois**

*Chicago, IL \$330,000*

To provide Chicago's education policy-making community with research-based policy analysis that impacts Latino students; and to enhance the capacity and effectiveness of local community-based organizations. (2 yrs.)

#### **Bethel New Life, Inc.**

*Chicago, IL \$330,000*

To establish and implement the West Side Education Reform Collaborative, a parent and community education policy project targeting predominantly poor and minority neighborhoods on the West Side of Chicago. (2 yrs.)

#### **Chicago Public Education Fund**

*Chicago, IL \$100,000*

To support the Chicago Public School Professional Development Project to conduct an inventory of professional development programs, assess the quality of professional development offerings, and outline a district-wide strategy. (1 yr.)

#### **Chicago Public Education Fund**

*Chicago, IL \$500,000*

To assist in establishing the Local School Council Fund, a long-term financial strategy to support outreach and broader civic participation in local school council elections. (1 yr.)

#### **Northwestern University School of Education and Social Policy**

*Evanston, IL \$461,139*

To continue the Administrators' Reform Community project to become the national "workspace" for educators and policy analysts seeking to leverage technology to support urban school reform. (2 yrs.)

#### **Organization of the Northeast**

*Chicago, IL \$330,000*

To establish and implement the Emerging Communities Education Collaborative, a parent and community education policy project targeting predominantly poor, immigrant, and minority neighborhoods on the North Side of Chicago. (2 yrs.)

#### **University of Illinois at Chicago College of Education**

*Chicago, IL \$160,000*

For continued support of its partnership with the Youth Guidance agency to complete the Promoting Teacher Leadership in Comer Schools project. (2 yrs.)

### CLEVELAND AND OHIO

#### **Children's Defense Fund - Ohio**

*Columbus, OH \$381,000*

For work in connection with Ohio's new education reform law, school funding, new governance options for urban districts, and linking academic improvement to improving school facilities. (3 yrs.)

### MILWAUKEE AND WISCONSIN

#### **Harvard University Graduate School of Education**

*Cambridge, MA \$674,969*

To explore the extent to which guidance and mentoring by Harvard faculty and the Education Development Corporation can enhance the recruitment and retention of Milwaukee public school teachers. (3 yrs.)

#### **Marquette University College of Education**

*Milwaukee, WI \$500,000*

To support the Compton Fellowship Program to increase the number of minority teachers in the Milwaukee school system. (2 yrs.)

#### **Milwaukee Catalyst**

*Milwaukee, WI \$400,000*

To provide the Milwaukee education policymaking community with research-based analysis of policy impacts on minority students in the Milwaukee public schools and to enhance the capacity of local community-based organizations to understand policy issues and education research. (2 yrs.)

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

*Madison, WI \$560,000*

To assist six Milwaukee public schools in developing the capacity to support and use electronic information systems to prepare school improvement plans and improve instruction. (2 yrs.)

**MULTI-STATE**

**Benton Foundation**

*Washington, DC \$452,000*

To develop new models of sustainable, effective educational technology use in K-12 urban school systems. (1 yr.)

**Education Writers Association**

*Washington, DC \$220,000*

To develop standards to assist newsrooms and reporters to understand the ongoing complexities of K-12 education; and for two special reports. (2 yrs.)

**Harvard University**

**Graduate School of Education**

*Cambridge, MA \$53,260*

To support the *Harvard Education Letter* publication of six articles entitled "Lessons from Chicago School Reform." (1 yr.)

**Minority Student  
Achievement Network**

*Evanston, IL \$300,000*

To strengthen the administrative, research, and communications capacity of the organization. (2 yrs.)

**National Association of  
State Boards of Education**

*Alexandria, VA \$275,000*

To disseminate policy recommendations on effective components of programs targeting student diversity, including an audit of state multicultural education policies and programs in Illinois and Ohio; and for development of suburban district sites for pilot projects. (2 yrs.)

**Neighborhood Capital  
Budget Group**

*Chicago, IL \$400,000*

To investigate, document, and increase public understanding of the relationship between school facility investment and quality education. (2 yrs.)

**Poverty and Race Research  
Action Council**

*Washington, DC \$230,000*

To support efforts to address issues related to minority achievement and student mobility in urban schools. (2 yrs.)

**Rethinking Schools, Ltd.**

*Milwaukee, WI \$630,000*

For two special written products, as well as for organizational enhancement and expansion of its audience reach. (3 yrs.)

**Technical Education Research  
Centers, Inc.**

*Cambridge, MA \$199,875*

To disseminate an evaluation framework to aid policymakers in examining and identifying quality educational technology programs. (10 mos.)

**University of Minnesota  
Institute on Race and Poverty**

*Minneapolis, MN \$205,000*

To publicize *Student Voices Across the Spectrum: The Education Integration Project Report*. (1 yr.)

**Total Education \$7,692,243**

*e m p l o y m e n t*

**WELFARE REFORM**

**Indiana University  
School of Public and  
Environmental Affairs  
Institute for Family and  
Social Responsibility**

*Bloomington, IN \$107,055*

To compare the effectiveness of faith-based organizations with other nonprofits in providing social services to welfare recipients. (1 yr.)

**Kent State University**

*Kent, OH \$118,094*

To continue longitudinal ethnographic research on the poorest, most vulnerable welfare families in Cleveland, Ohio, including some who have exhausted the state's three-year time limit. (14 mos.)

**Michigan League for  
Human Services**

*Lansing, MI \$329,000*

To expand its focus to issues related to reducing poverty through employment and ensuring long-term success in the labor market. (3 yrs.)

**National Conference of State Legislatures**

*Denver, CO \$232,000*

To synthesize key welfare research findings from the Midwest and coordinate forums for state policymakers. (2 yrs.)

**National Urban League, Inc.**

*New York, NY \$150,000*

To coordinate advocacy efforts related to the reauthorization of the 1996 federal welfare law. (2 yrs.)

**Northwestern University**

**Joint Center for Poverty Research  
Institute for Policy Research**

*Evanston, IL \$500,000*

To support the second and third waves of the Illinois Families Study, to refine information on how Illinois families have fared since the state's implementation of welfare reform policies. (2 yrs.)

**Ohio University**

**Institute for Local Government  
Administration and Rural  
Development**

*Athens, OH \$178,932*

To investigate how rural welfare participants are faring in the job market; how those who are hitting time limits are coping; and how rural county welfare directors are using a large, new flexible source of state funds intended to spur innovative local work and family support programs. (18 mos.)

**University of Michigan  
School of Social Work**

*Ann Arbor, MI \$550,000*

To complete research on the long-term experiences of welfare mothers in Michigan. (3 yrs.)

**University of Wisconsin-Madison  
Institute for Research on Poverty**

*Madison, WI \$319,712*

To continue directing the Welfare Peer Assistance Network (WELPAN) project. (2 yrs.)

**Wisconsin Council on Children  
and Families**

*Madison, WI \$600,000*

To support advocacy efforts related to welfare reform and employment policy in Wisconsin. (3 yrs.)

**WORKFORCE PREPARATION**

**Business/Education Training  
Alliance of Southeastern Michigan**

*Detroit, MI \$150,000*

To complete testing the success and viability of an employer-driven job ladder concept. (1 yr.)

**Center for Community Change  
The Workforce Alliance**

*Washington, DC \$450,000*

To bring local stakeholder voices into the national debate about employment and training policy. (3 yrs.)

**Center for Labor and  
Community Research**

*Chicago, IL \$55,000*

To support a strategic planning process focused on financial management and leadership development. (1 yr.)

**Center for Law and Social Policy**

*Washington, DC \$750,000*

To develop recommendations and advocate for policies to improve the labor market prospects of low-income adults, including current and former welfare recipients. (3 yrs.)

**Chicago Jobs Council**

*Chicago, IL \$335,000*

To improve workforce development and human service policies and programs in Illinois, to develop a new initiative focusing on employment of ex-offenders, and to strengthen internal capacity. (2 yrs.)

**Economic Policy Institute**

*Washington, DC \$200,000*

To continue analyzing policy issues pertinent to the low-wage labor market. (2 yrs.)

**Illinois Caucus for Adolescent Health**

*Chicago, IL \$200,000*

To advocate for improved education and training opportunities for low-income youth. (2 yrs.)

**Institute for Wisconsin's Future, Inc.**

*Milwaukee, WI \$220,000*

To assist with research and policy advocacy to strengthen education, training and other programs, such as health care and child care assistance, which improve the well-being of low-income workers. (2 yrs.)

**Legal Action Center  
of the City of New York, Inc.**

*New York, NY \$300,000*

To develop a National Center to Promote the Employment of Ex-Offenders to increase the number and quality of job opportunities available to people with criminal records by changing policies, practices, and public opinion. (2 yrs.)

**Loyola University Chicago  
Regional Manufacturing Training  
Collaborative**

*Chicago, IL \$55,606*

To develop a strategy for how the City of Chicago should spend funds allocated for job training in 37 industrial tax increment financing (TIF) districts. (1 yr.)

**Minnesota Council of Nonprofits, Inc.**

*St. Paul, MN \$300,000*

To support the work of the Affirmative Options Coalition to reform Minnesota's workforce system and its welfare program, so that both systems are effectively and coherently focused on helping low-income families get out of poverty. (3 yrs.)

**National Center on Poverty Law, Inc.**

*Chicago, IL \$585,000*

To continue policy advocacy regarding income supports and education and training options for welfare recipients, in anticipation of the reauthorization of the welfare reform law. (3 yrs.)

**National Results Council**

*St. Paul, MN \$128,800*

To assess the impacts of providing customized training to welfare-to-work participants by examining their career paths and earnings one year and two years post-training. (1 yr.)

**9-to-5 Working Women**

**Education Fund**

*Milwaukee, WI \$100,000*

To support the newly formed Keep Families First coalition in Milwaukee, a broad-based effort to educate the public and policymakers about the need for work-enabling benefits, from employers as well as the public sector, to help low-income workers stay employed. (2 yrs.)

**Paraprofessional Healthcare  
Institute, Inc.**

*Bronx, NY \$300,000*

To initiate a statewide public policy and industry practice campaign that will improve wages, benefits, and working conditions for more than 72,000 direct-care workers in Michigan's long-term care health industry. (2 yrs.)

**Twin Cities Rise!**

*Minneapolis, MN \$450,000*

To advance lessons and design features of its market-driven employment training model at the regional and national policy levels. (3 yrs.)

**Women Employed Institute**

*Chicago, IL \$235,000*

To help develop policies and practices in Illinois and Chicago that increase access to education and training opportunities for current and former welfare recipients and low-income Illinois residents. (2 yrs.)

**Work, Welfare and Families**

*Chicago, IL \$200,000*

To renew its statewide "working opportunities" campaign, which focuses on advancing five core policy strategies to promote economic self-sufficiency and facilitate the transition from welfare to work. (2 yrs.)

**OTHER**

**Center for Law and Human  
Services, Inc.**

*Chicago, IL \$300,000*

To establish a Midwest coalition of community-based organizations that provide tax preparation assistance to low-income workers. (2 yrs.)

**Cuyahoga Work & Training**

*Cleveland, OH \$193,926*

To design a transitional jobs program (publicly funded jobs) for welfare recipients who have exhausted a 36-month time limit on receiving welfare benefits. (1 yr.)

**Economic Opportunity Institute**

*Seattle, WA \$300,000*

To coordinate the activities of the Transitional Jobs Network, which consists of publicly funded jobs programs from around the country. (2 yrs.)

**Total Employment \$8,893,125**

*e n v i r o n m e n t*

**ENERGY PRODUCTION AND USE**

**Citizens Action Coalition Education  
Fund, Inc.**

*Indianapolis, IN \$150,000*

To add industry and organized labor to the existing coalition promoting new state policies to support renewable energy and energy efficiency. (2 yrs.)

**University of Illinois Foundation  
Regional Economics Applications  
Laboratory**

*Urbana, IL \$88,320*

To quantify the job impacts of the recommendations included in the report *Repowering the Midwest*. (1 yr.)

## GREAT LAKES WATER QUALITY

### **BSR Education Fund, Inc.**

*San Francisco, CA \$100,000*

To organize a voluntary business-led effort to reduce the environmental impact of containerized and bulk shipping in the Great Lakes and St. Lawrence Seaway. (1 yr.)

### **Canadian Environmental Defence Fund**

*Toronto, Ontario, Canada \$180,000*

To refine the Canadian PollutionWatch Scorecard and facilitate strategic use of the Scorecard by communities and environmental groups. (1 yr.)

### **Environmental Law Institute**

*Washington, DC \$50,000*

To add Michigan and Minnesota to its ongoing comparison of state-level regulatory and incentive-based environmental programs. (1 yr.)

### **Friends of the Chicago River**

*Chicago, IL \$29,600*

To review current programs that monitor water quality on the Chicago River and host a meeting of other Great Lakes organizations to explore broadly useful research. (1 yr.)

### **Institute for Agriculture and Trade Policy**

*Minneapolis, MN \$185,000*

To research impacts of agriculture on the Great Lakes, with an emphasis on water quantity and water flows and on related activities such as the transport of agricultural products. (1 yr.)

### **Pollution Probe Foundation**

*Toronto, Ontario, Canada \$75,000*

To support its efforts to assist Environment Canada in the establishment of new standards governing mercury emission into the air and water of the Great Lakes. (1 yr.)

### **Rockefeller Family Fund, Inc.**

*New York, NY \$250,000*

To support the startup of the Task Force on Environmental Integrity, a new not-for-profit that would focus on the level and quality of environmental enforcement actions, and to produce a report on the respective roles of the federal and state governments in enforcing federal environmental laws in the Great Lakes states. (18 mos.)

### **Sierra Club Foundation**

*San Francisco, CA \$160,000*

For its efforts to address toxic sediments in the Great Lakes and a new effort on state-based air toxic policy. (1 yr.)

### **World Wildlife Fund, Inc.**

*Washington, DC \$150,000*

To support its Wildlife and Contaminants Program, which participates in Great Lakes basin government advisory committees relating to toxins and water quality, produces peer-reviewed research on toxins and wildlife and human health, and supports screening and testing of chemicals whose health and environmental effects are not adequately understood. (18 mos.)

## INTEGRATE ENVIRONMENT, ECONOMIC AND COMMUNITY IMPROVEMENT

### **Environmental and Energy Study Institute**

*Washington, DC \$125,000*

To brief federal and state policymakers and other stakeholders about the policy opportunities to exploit the under-tapped potential of agriculture-based renewable energy and promote rural economic development. (18 mos.)

### **Great Plains Institute for Sustainable Development**

*Minneapolis, MN \$60,000*

To develop a consensus among industry, farmers, and environmentalists on energy and agriculture strategies to be incorporated into federal energy and agriculture policies. (1 yr.)

### **Sixteenth Street Community Health Center**

*Milwaukee, WI \$500,000*

To demonstrate and document how an urban industrial brownfield can be redeveloped to link affordable homes to jobs and job training, create habitat and open space, reduce demand on urban water management systems, and reduce energy use. (2 yrs.)

## REDUCE TOXIC SUBSTANCES

### **American Farmland Trust**

*Washington, DC \$600,000*

To engage its field offices to educate farmers and the general public concerning federal farm payments and opportunities for environmental stewardship. (2 yrs.)

**Center for Rural Affairs***Walthill, NE \$300,000*

To support the Washington office of the national Sustainable Agriculture Coalition and the Midwest Sustainable Agriculture Working Group, to ensure that the values of environmentally and economically sustainable agriculture are incorporated into the next iterations of federal farm policy. (2 yrs.)

**Collaborative Research and Designs for Agriculture***Aptos, CA \$274,900*

To implement and evaluate an environmental labeling program for Wisconsin potatoes and create a framework to extend the label to other products. (2 yrs.)

**Council of State Governments***Lexington, KY \$77,000*

To develop a Policy Academy on Environmental Management Tools. (1 yr.)

**Environmental Health Fund, Inc.***Jamaica Plain, MA \$100,000*

To continue its efforts, through its Healthcare Without Harm initiative, to educate and encourage hospitals and medical supply companies to reduce use of toxic substances. (1 yr.)

**Land Stewardship Project***White Bear Lake, MN \$195,000*

To take the results of a multi-year effort to quantify environmental and other public benefits from more environmentally friendly agriculture and develop those results into policy concepts that could be implemented at the federal and state levels. (2 yrs.)

**Soil and Water Conservation Society, Inc.***Ankeny, IA \$57,336*

To conduct research on ways the federal tax code could be adjusted to provide incentives for private landowners to implement conservation and environmental enhancement measures on their property. (1 yr.)

**Taxpayers for Common Sense***Washington, DC \$105,000*

To expand its policymaker and public education activities to include agricultural subsidy programs. (17 mos.)

**University of Massachusetts Foundation, Inc.****Lowell Center for Sustainable Production***Lowell, MA \$85,000*

To research the status of innovative chemical reduction policies in northern Europe. (1 yr.)

**SUPPORT GREAT LAKES NETWORK****Biodiversity Project, Inc.***Madison, WI \$210,000*

To commission and disseminate public opinion research on attitudes toward water among decision-makers and citizens in the Great Lakes region. (1 yr.)

**Council of Michigan Foundations***Grand Haven, MI \$55,000*

To continue to help Great Lakes community foundations develop their capacity to make environmental grants. (1 yr.)

**Environmental Support Center, Inc.***Washington, DC \$75,000*

To create and maintain a Great Lakes Environmental Policy Information Exchange. (1 yr.)

**Great Lakes United***Buffalo, NY \$202,400*

To strengthen and coordinate citizen action on water quantity, diversions, and toxic pollution, and to improve its ability to communicate electronically in support of its general mission to protect and restore the Great Lakes-St. Lawrence River ecosystem. (2 yrs.)

**Hoosier Environmental Council***Indianapolis, IN \$150,000*

To support the development of a strong statewide model for individual restoration plans for Indiana water bodies, with special emphasis on the most polluted water bodies and on those in the Lake Michigan basin. (2 yrs.)

**Institutes for Journalism and Natural Resources***Potomac, MD \$135,000*

To establish the Great Waters Institute, which will brief regional and national journalists on the latest environmental issues facing the Great Lakes basin. (2 yrs.)

**Iowa Natural Heritage Foundation***Des Moines, IA \$200,000*

To support its joint effort with the Iowa Environmental Council to improve environmental regulation and water quality in Iowa. (2 yrs.)

**Lake Michigan Federation***Chicago, IL \$300,000*

For activities related to the protection and restoration of Lake Michigan, including a new Citizens Beach Advocacy Center. (2 yrs.)

**Lake Superior Alliance***Spooner, WI \$112,000*

To ensure the long-term protection of the Lake Superior basin. (2 yrs.)

### Michigan Environmental Council

Lansing, MI \$285,397

For a series of activities to protect the Great Lakes and promote a more environmentally sensitive domestic auto industry. (2 yrs.)

### Michigan Land Use Institute

Benzonia, MI \$140,000

To launch an expanded donor development program. (2 yrs.)

### University of Maryland Foundation, Inc.

Adelphi, MD \$400,000

To enable the Compliance Consortium, a network of state environmental officials, to complete a project to develop and implement more effective environmental protection programs. (2 yrs.)

### University of Michigan

#### Great Lakes Radio Consortium

Ann Arbor, MI \$200,000

For continued support of the Great Lakes Radio Consortium's coverage of Great Lakes environmental issues. (2 yrs.)

### TRANSPORTATION AND LAND USE

#### Business and Professional People for the Public Interest

Chicago, IL \$157,500

To support Partners for Environmental Transportation, aimed at improving transportation planning in northern Illinois. (2 yrs.)

#### Center for Neighborhood Technology

Chicago, IL \$500,000

To promote policies that reduce barriers to transit-oriented development and alternatives to highways. (2 yrs.)

### Detroiters Working for Environmental Justice

Detroit, MI \$100,000

To represent the needs of urban minority communities with respect to transportation investments. (1 yr.)

### Ecology Center of Ann Arbor, Inc.

Ann Arbor, MI \$300,000

To further public and private sector policy to improve the environmental performance of automobile manufacture and use. (2 yrs.)

### 1000 Friends of Wisconsin Land Use Institute, Inc.

Madison, WI \$174,900

To continue its support of a new Wisconsin law requiring communities to write and implement a land-use plan. (2 yrs.)

### Surface Transportation Policy Project

Washington, DC \$200,000

To support transportation reform activities in the region and nationally, and to develop strategies for the next iteration of federal transportation legislation in 2003. (1 yr.)

### Sustain

Chicago, IL \$275,000

To support efforts to assist Midwest transportation advocates with communications and media placement. (2 yrs.)

### OTHER

#### Alliance for the Prudent Use of Antibiotics

Boston, MA \$280,788

To develop and promote a methodology for establishing more accurate data on the use of antibiotics in farming. (2 yrs.)

### Environmental Defense, Inc.

New York, NY \$400,000

To support advocacy for policies to reduce the use of antibiotics in agriculture for nontherapeutic purposes. (2 yrs.)

### Iowa Policy Project

Mt. Vernon, IA \$157,000

To launch a program of research that would meet the needs of Iowa policy-makers. (2 yrs.)

### Mississippi River Basin Alliance

Minneapolis, MN \$150,000

To continue to bring together diverse constituencies to protect and restore the Mississippi River ecosystem. (2 yrs.)

### Union of Concerned Scientists

Cambridge, MA \$100,000

To continue its advocacy for policies to reduce the use of antibiotics in agriculture for nontherapeutic purposes. (1 yr.)

### World Resources Institute

Washington, DC \$78,750

To engage the biotechnology industry in designing principles that could anticipate possible environmental impacts before new products are developed. (9 mos.)

**Total Environment \$9,235,891**

## gun violence

### ACTIVATING MEDICAL PROFESSIONALS

#### Children's Memorial Foundation

Chicago, IL \$150,000

For continued support of the Handgun Epidemic Lowering Plan (HELP) Network in promoting a public health approach to the epidemic levels of handgun-related death and injury. (2 yrs.)

#### Physicians for Social Responsibility

Washington, DC \$100,000

To launch a public education and mobilization campaign entitled Faces of Firearms. (1 yr.)

### BUILDING COALITIONS

#### National Association of State-Based Child Advocacy Organizations

Washington, DC \$733,249

To launch a three-year project called Child Safe, designed to reduce the incidence of gun-related deaths and injuries suffered by children and their families. (3 yrs.)

#### Toledo Ecumenical Area Ministries Toledo Metropolitan Mission

Toledo, OH \$250,000

For continued support of gun violence prevention efforts and for development of the Ohio Coalition Against Gun Violence. (2 yrs.)

#### Uhlich Children's Home

Chicago, IL \$50,000

To support the Hands Without Guns Program, a public health and education campaign designed to inform youth, influence peer behavior, and change public policy. (1 yr.)

### CONSUMER PRODUCT APPROACH

#### Legal Community Against Violence

San Francisco, CA \$150,000

To provide legal guidance to local and state officials, activists, and others seeking to enact, and defend in court, sound public health regulations of firearms. (2 yrs.)

### INCREASE PUBLIC AWARENESS

#### Communication Works

San Francisco, CA \$300,000

To provide media support to the National Firearm Injury Statistics System. (2 yrs.)

### POLICY RESEARCH

#### Harvard University School of Public Health

Boston, MA \$425,000

To support the National Firearm Injury Statistics System in stimulating the establishment of a National Violent Death Reporting System. (2 yrs.)

#### Johns Hopkins University School of Hygiene and Public Health

Baltimore, MD \$600,000

For continued support of the Johns Hopkins Center for Gun Policy and Research. (2 yrs.)

#### National Academy of Sciences National Research Council

Washington, DC \$109,000

To improve research information and data on firearms. (2 yrs.)

#### University of California-Davis Violence Prevention Research Program

Sacramento, CA \$125,000

For general support and research. (18 mos.)

#### University of Pennsylvania

Philadelphia, PA \$1,200,000

To strengthen the Firearm Injury Center and to expand the Medical Professionals as Advocates Program. (3 yrs.)

**Total Gun Violence \$4,192,249**

## money and politics

### DISCLOSURE/REGULATION

#### Center for Governmental Studies

Los Angeles, CA \$150,000

To promote electronic filing and uniformly formatted disclosure standards. (2 yrs.)

#### Center for Responsive Politics

Washington, DC \$375,000

To support the Election Law Enforcement and Open Secrets Projects. (2 yrs.)

#### Democracy 21 Education Fund

Washington, DC \$170,000

To promote political reform through public education and news media outreach. (2 yrs.)

## LEGAL PROJECTS

### **William J. Brennan, Jr. Center for Justice, Inc.**

**New York University School of Law**  
*New York, NY \$300,000*

To promote campaign finance reform through legal counseling, drafting services, litigation, research, and public education. (2 yrs.)

## NEWS MEDIA

### **Alliance for Better Campaigns, Inc.**

*Washington, DC \$200,000*

To assist with public education, research, and advocacy campaign on behalf of a new federal mandate requiring broadcasters to provide free air time for candidates in the final weeks of campaigns. (2 yrs.)

## RESEARCH

### **Committee for the Study of the American Electorate**

*Washington, DC \$22,000*

To organize and staff a panel of constitutional experts and communications law specialists who would examine policy options and develop proposals for regulating televised political advertising. (1 yr.)

### **Lawyers' Committee for Civil Rights of the San Francisco Bay Area**

*San Francisco, CA \$25,000*

To support focus group research on ways of talking about and reframing the campaign finance issue for communities of color. (1 yr.)

### **University of Michigan Institute of Labor and Industrial Relations**

*Ann Arbor, MI \$45,910*

To support a longitudinal analysis, covering a 10-year period, of the relationship between campaign contributions and public-private contracts in the state of Wisconsin, with an emphasis on large capital construction projects. (1 yr.)

## STATE AND LOCAL REFORM PROJECTS

### **Citizens Policy Center**

*Cleveland, OH \$300,000*

To support an initiative that aims to strengthen Ohio's campaign finance laws through research, data collection and analysis, public education, media outreach, and policy development and advocacy. (2 yrs.)

### **Common Cause Education Fund**

*Washington, DC \$240,000*

To expand and enhance the national organization's research, public education, and outreach capabilities. (2 yrs.)

### **Illinois PIRG Education Fund**

*Chicago, IL \$35,000*

To support the Government Accountability Project, which aims to enlist the support and involvement of other public interest groups in an expanded coalition for political finance reform. (1 yr.)

### **League of Women Voters of Illinois Education Fund**

*Chicago, IL \$579,616*

To support the Illinois Campaign for Political Reform, which seeks to reform Illinois' campaign finance laws through constituency building, policy development and advocacy, and media outreach. (2 yrs.)

### **National Center for State Courts**

*Williamsburg, VA \$92,000*

To promote the Call to Action adopted at the December 2000 Summit on Improving Judicial Selection and explore constitutional strategies for regulating the campaign conduct of judicial candidates and interest groups seeking to affect judicial election outcomes. (1 yr.)

### **Northeast Action, Inc.**

*Jamaica Plain, MA \$35,000*

To protect, refine, and improve the sweeping campaign finance reforms adopted since 1996 in Maine, Arizona, Vermont, and Massachusetts through policy research and advocacy, litigation, education and training of elected officials and candidates, and news media outreach. (1 yr.)

### **Public Interest Research Group in Michigan Education Fund**

*Ann Arbor, MI \$40,000*

To expand the state's reform coalition, establish organizational beachheads in targeted communities, and produce several investigative studies on the policy effects of campaign contributions. (18 mos.)

## OTHER

### Public Campaign

*Washington, DC \$100,000*

To support development and distribution of an updated edition of *The Color of Money*, an analysis of the role played by communities of color in financing federal campaigns and the political and policy implications of their relatively low participation. (2 yrs.)

**Total Money and Politics \$2,709,526**

## *c u l t u r e*

### Chicago Association for the Performing Arts

*Chicago, IL \$100,000*

To develop a web-based marketing initiative designed for minority audience cultivation and sales. (2 yrs.)

### Chicago City Theatre Company Joel Hall Dance Center

*Chicago, IL \$25,000*

To support its marketing and audience development efforts in the African-American community. (1 yr.)

### Chicago Cultural Center Foundation

*Chicago, IL \$50,000*

To increase community involvement in the Third World Music Festival. (1 yr.)

### Chicago Historical Society

*Chicago, IL \$375,000*

For an exhibition on adolescence based on an extensive oral history effort involving a highly diverse group of young Chicagoans. (3 yrs.)

### Chicago Theatre Company

*Chicago, IL \$70,000*

For ongoing operations support and to co-produce, with another theater group, one play at a North Side location. (2 yrs.)

### Columbia College Dance Center

*Chicago, IL \$150,000*

To support the development and presentation of new work by the African-American dance troupe Urban Bush Women as part of an ongoing audience development effort. (3 yrs.)

### Hubbard Street Dance Chicago

*Chicago, IL \$86,350*

To develop and begin to implement a strategic plan for audience development that could lead to commissioning a new dance work by an African-American choreographer. (1 yr.)

### Mexican Fine Arts Center Museum

*Chicago, IL \$65,000*

To develop a business model for its newly expanded public radio station, which will be the largest such Latino-owned station in the country. (1 yr.)

### Mexican Fine Arts Center Museum

*Chicago, IL \$136,050*

To bring together artists from Mexico and Chicago in creating work to celebrate Day of the Dead, a major Mexican and Mexican-American tradition. (3 yrs.)

### Museum of Contemporary Art

*Chicago, IL \$200,000*

For exhibitions and performances highlighting the work of four young African-American artists. (2 yrs.)

### Orchestral Association

*Chicago, IL \$250,000*

For the Chicago Symphony Orchestra's community-based Musicians Residency Program. (2 yrs.)

### Parkways Foundation

*Chicago, IL \$100,000*

To assist the Chicago Park District in establishing 12 regional parks as cultural centers, offering neighborhood-based arts and cultural programming. (1 yr.)

**Total Culture \$1,607,400**

## *i n t e r - p r o g r a m*

### CULTURE/ENVIRONMENT

### Chicago Academy of Sciences

*Chicago, IL \$180,000*

To enable the Peggy Notebaert Nature Museum to develop a plan to become a regional center for environmental policy forums. (18 mos.)

**Total Inter-Program \$180,000**

## *s p e c i a l o p p o r t u n i t i e s*

### Alliance for Justice, Inc.

*Washington, DC \$75,000*

To help and encourage nonprofits in the Great Lakes region to participate more fully in the public policymaking process. (1 yr.)

### Canal Corridor Association

Chicago, IL \$50,000

To support the completion of a 50-minute documentary film, "Prairie Tides: The Making of the Illinois & Michigan Canal," for use by middle school history classes, public and cable television stations, Heritage Corridor visitor centers, historical societies, and museums. (1 yr.)

### Center for National Policy

Washington, DC \$25,000

For a marketing and communications strategy intended to increase public awareness of and financial support for completing the What Government Does database. (1 yr.)

### Center for Voting and Democracy

Takoma Park, MD \$70,000

To organize, educate, and mobilize a constituency in favor of restoring Illinois' multi-member House legislative districts. (2 yrs.)

### Citizens for a Better Environment

Milwaukee, WI \$20,000

For board development activities and professional development. (1 yr.)

### Common Cause Education Fund

Washington, DC \$25,000

To structure an inquiry into political giving by the gun lobby, and to develop a plan for monitoring and disseminating the information to inform gun policy and campaign finance reform efforts at the state and national levels. (9 mos.)

### Community Renewal Society

#### *The Chicago Reporter*

Chicago, IL \$150,000

To support *The Chicago Reporter's* investigative journalism on government and politics and for implementation of the publication's capacity-building strategy. (2 yrs.)

### Community Renewal Society

Chicago, IL \$60,000

To support LegInfo.org, an Internet-based legislative tracking and information service for Illinois community groups and nonprofits interested in child welfare, education, land use and growth management, political reform, housing, transportation, and air quality issues. (2 yrs.)

### Consumer Federation of America Foundation

Washington, DC \$25,000

To produce a video as a supplement to its three-year project on regulating guns as consumer products. (1 yr.)

### Donors Forum of Chicago

Chicago, IL \$60,000

For the development and implementation of a nonprofit public policy agenda for Illinois. (2 yrs.)

### Heartland Alliance for Human Needs and Human Rights

Chicago, IL \$75,000

To communicate the findings, data, and policy implications of the Illinois Regional Continuum of Care Roundtable's metropolitan-wide assessment of the characteristics, mobility, and service needs of homeless persons. (1 yr.)

### Illinois Tax Accountability Project

Chicago, IL \$75,000

To support research, public education, and policy development aimed at achieving fair and just tax, fiscal and spending policies in Illinois, promoting economic growth, and improving and simplifying revenue collection. (1 yr.)

### League of Women Voters of Illinois Education Fund

Chicago, IL \$20,000

To support the Illinois Campaign for Political Reform for organizational planning and board development activities. (1 yr.)

### Michigan Nonprofit Association

East Lansing, MI \$100,000

To support the Michigan Public Policy Initiative, which seeks to promote nonprofit involvement in public policy by educating policymakers on issues that impact nonprofits and building the capacity of nonprofits to participate in the governmental process. (2 yrs.)

### University of Chicago Center for the Study of Race, Politics, and Culture

Chicago, IL \$148,000

For completion of the Chicago Record for Democracy Data project; developing and testing an Internet search engine for the database; and training select community-based organizations on accessing and using the information. (2 yrs.)

### University of Michigan Gerald R. Ford School of Public Policy

Ann Arbor, MI \$39,200

To organize and sponsor a Michigan-focused conference on welfare reauthorization. (6 mos.)

### WAVE Educational Fund

Milwaukee, WI \$20,000

To assist with financial management consulting and staff training for peer mentoring activities. (1 yr.)

### Work, Welfare and Families

Chicago, IL \$20,000

To support financial management educational activities and executive coaching for its executive director. (1 yr.)

### Total Special Opportunities

\$1,057,200

## *joyce millennium initiatives*

### Muntu Dance Theater

Chicago, IL \$350,000

For construction of a permanent performance, rehearsal, and educational facility. (3 yrs.)

### Northwestern University

#### J.L. Kellogg Graduate School of Management

Evanston, IL \$760,100

For the second phase of a project to study the feasibility of the Chicago Climate Exchange<sup>™</sup>, a voluntary mid-western pilot market for the exchange of greenhouse gases, and then to design and launch such a market. (1 yr.)

### Total Joyce Millennium Initiatives

\$1,110,100

## *president's discretionary fund*

### American Association of Suicidology

Washington, DC \$20,000

To develop a three-year plan for the National Suicide by Firearms Resource Center.

### American Medical Association

Chicago, IL \$10,000

To convene key gun violence researchers and AMA leaders to discuss making gun violence prevention a primary focus for the AMA.

### Bennett College

Greensboro, NC \$10,000

For a Family Enrichment Program.

### Center for Families and Children

Cleveland, OH \$20,000

Support for a public policy and advocacy initiative to assist vulnerable families and children, and to expand the role of the current director of government affairs and advocacy.

### Center for Families and Children

Cleveland, OH \$20,000

To support an annual public policy conference with a special focus on welfare reform.

### Center for International Performance and Exhibition, Inc.

Chicago, IL \$5,000

For creation of a marketing and development plan.

### Center for Law and Social Policy

Washington, DC \$20,000

To convene key stakeholders interested in the advancement of publicly funded or transitional jobs.

### Center for Policy Alternatives

Washington, DC \$10,000

To support the 2001 Roosevelt Global Leadership Institute Pilot Program.

### Center on Juvenile and Criminal Justice

#### Justice Policy Institute

Washington, DC \$20,000

Planning grant to develop an initiative to train juvenile defenders and gun violence prevention advocates.

### Chicago Children's Museum

Chicago, IL \$15,000

To support a pilot teacher workshop series on Islam.

### Chicago Historical Society

Chicago, IL \$5,000

To support a town meeting.

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

Chicago, IL \$10,000

For legal assistance after September 11 attacks.

### Chicago State University

Chicago, IL \$20,000

To review models of technology-enriched teacher education programs.

### Children First Fund

Chicago, IL \$1,000

To support teachers professional development at Wendell Phillips Academy's Qualified Zone Academy program.

### City Colleges of Chicago

Chicago, IL \$20,000

To support WYCC-TV/Channel 20.

### Congo Square Theatre Company

Chicago, IL \$10,000

2001-2002 Production Series support.

### Crossroads Fund

Chicago, IL \$10,000

Support for local Middle Eastern communities after September 11 events.

**Donors Forum of Chicago**

*Chicago, IL \$20,000*

To support the 2002 Chicago Host Committee of the Council on Foundations.

**Dubuque County Historical Society**

*Dubuque, IA \$15,000*

For support of River Exhibit: The Invisible Industry.

**Environmental Grantmakers Association**

**Rockefeller Family Fund, Inc.**

*New York, NY \$15,000*

To educate other environmental grantmakers about issues affecting the Upper Midwest.

**Facing History and Ourselves National Foundation, Inc.**

*Chicago, IL \$10,000*

To support a national web-based curriculum for teachers to address the events of September 11.

**Friends of Fermi**

*Batavia, IL \$6,000*

To offset travel and other costs for scientists to attend a seminar on the future of Fermilab and its relevance for science training.

**Fund for Justice**

*Chicago, IL \$15,400*

For study of the financing of Cook County judicial elections.

**Genetic Alliance, Inc.**

*Washington, DC \$20,000*

Support for the Pilot Study on Genetic Privacy, Discrimination and Informed Consent.

**Georgetown University Institute for Health Care Research and Policy**

*Washington, DC \$20,000*

For support of the Health Privacy Project.

**Grantmakers in the Arts**

*Seattle, WA \$10,000*

To support a program about grantmaker support of individual artists.

**Greater Birmingham Ministries, Inc.**

*Birmingham, AL \$20,000*

For a campaign finance initiative by the Fannie Lou Hamer Project.

**John Howard Association**

*Chicago, IL \$5,000*

To provide a summary of job training and education programs in Illinois prisons, including the opportunities and challenges involved in improving job training in coordination with the prison system.

**Howard University**

*Washington, DC \$20,000*

To support the National Human Genome Center.

**International Institute for Sustainable Development**

*New York, NY \$10,000*

To support the *Earth Negotiations Bulletin*, a key environmental information resource.

**John F. Kennedy Library Foundation**

*Boston, MA \$9,850*

Funding for educational programs.

**John F. Kennedy Library Foundation**

*Boston, MA \$10,000*

To support the Joe Moakley Public Speaking Institute of the JFK Library.

**March of Dimes Birth Defects National Foundation**

*White Plains, NY \$15,000*

To support the Ethical and Social Issues in Genetic Testing Conference.

**Metropolitan Family Services**

*Chicago, IL \$20,000*

For advocacy support to reform Illinois' child support system.

**Mikva Challenge Grant Foundation, Inc.**

*Chicago, IL \$5,000*

For preliminary survey of civic education in Chicago schools.

**Mikva Challenge Grant Foundation, Inc.**

*Chicago, IL \$5,000*

For a civic education and electoral reform program for Chicago high school students.

**National Asian Pacific American Legal Consortium**

*Washington, DC \$10,000*

For legal assistance after September 11 attacks.

**National League of Cities Institute**

*Washington, DC \$10,000*

To research and outline issues the City of Chicago might wish to take under consideration as priority items during the TANF reauthorization.

**National Opinion Research Center**

*Chicago, IL \$10,000*

For a survey of U.S. citizens' understanding of environmental issues.

**National Wildlife Federation**

*Vienna, VA \$20,000*

For the Diversity Intern Outreach Initiative of the Federation's Conservation Intern Program.

**Northwestern University  
Medill Innocence Project**

*Evanston, IL \$5,000*

To support the Medill Innocence Project related to prison sentencing.

**Northwestern University  
School of Law**

*Chicago, IL \$10,000*

For 2000 Presidential Election Conference.

**Office of Community  
Partnership, Inc.**

*Boston, MA \$10,000*

To support the Literacy/Individual Development Account Project.

**Ohio State University**

**Department of History**

*Columbus, OH \$20,000*

For a website and on-line library covering interpretations of the Second Amendment.

**Project on Government  
Oversight, Inc.**

*Washington, DC \$15,000*

Support for Campaign Finance Disclosure Project.

**Teatro Vista/Theatre with a View**

*Chicago, IL \$20,000*

To develop a strategic plan and initially support a part-time managing director.

**Technical Education Research  
Centers, Inc.**

*Cambridge, MA \$20,000*

To prepare a special issue of *Educational Technology* dedicated to identifying quality programs.

**University of California-Los Angeles  
School of Public Health**

*Los Angeles, CA \$20,000*

For a meeting of gun violence researchers with a public health focus to discuss the state of the field and outstanding policy questions.

**University of Michigan**

*Ann Arbor, MI \$20,000*

Support for the State of the Black Automotive Supplier Project.

**University of Washington  
College of Education**

*Seattle, WA \$20,000*

To support a conference on small schools, race, and high school reform.

**University of Wisconsin-Madison**

*Madison, WI \$5,000*

To support research on ex-offenders.

**Urban Institute**

*Washington, DC \$20,000*

For a background paper and formal briefing on the nexus of juvenile justice policy and gun policy.

**Urban Institute**

*Washington, DC \$20,000*

For a report on job training and education programs in prisons.

**Wisconsin Institute of  
Family Medicine**

*Milwaukee, WI \$12,000*

To support a physician survey on gun violence prevention practices.

**Women's Environment and  
Development Organization**

*New York, NY \$5,000*

For support of the Women Assessing the State of the Environment Summit.

**MEMBERSHIPS**

**Council on Foundations, Inc.**

*Washington, DC \$44,600*

Membership grant. (1 yr.)

**Donors Forum of Chicago**

*Chicago, IL \$17,820*

Membership grant. (1 yr.)

**Environmental Grantmakers  
Association**

**Rockefeller Family Fund, Inc.**

*New York, NY \$5,452*

Membership grant. (1 yr.)

**Grantmakers for Education**

*Portland, OR \$6,500*

Membership grant. (1 yr.)

**Grantmakers in the Arts**

*Seattle, WA \$2,500*

Membership grant. (1 yr.)

**Grantmakers in Health**

*Washington, DC \$2,000*

Membership grant. (1 yr.)

**Independent Sector**

*Washington, DC \$10,500*

Membership grant. (1 yr.)

**Joyce Foundation**

**Employee Matching Grants Program**

*\$24,020*

Payments in 2001 to match employee contributions

**Total Discretionary and  
Memberships \$862,642**

**Total 2001 Grants \$37,540,376**

*summary of 2001 grants*

	NUMBER	APPROVED	PAID
Education	22	\$7,692,243	\$10,891,341
Employment	31	8,893,125	7,857,094
Environment	49	9,235,891	11,105,266
Gun Violence	12	4,192,249	4,560,822
Money and Politics	16	2,709,526	3,232,233
Culture	12	1,607,400	1,172,400
Inter-Program	1	180,000	150,000
Special Opportunities	18	1,057,200	1,689,515
Joyce Millennium Initiatives	2	1,110,100	1,154,923
Discretionary and Memberships	63	862,642	862,642
<b>Total 2001 Grants</b>	<b>248</b>	<b>\$37,540,376</b>	<b>\$42,676,236</b>

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# Financial Statements

*report by independent auditor*

TO THE BOARD OF DIRECTORS OF THE JOYCE FOUNDATION

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We have audited the accompanying statements of financial position of The Joyce Foundation as of December 31, 2001 and 2000 and the related statements of activities 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 U.S. 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 financial position of The Joyce Foundation as of December 31, 2001 and 2000 and the changes in its net assets and its cash flows for the years then ended in conformity with U.S. generally accepted accounting principles.

Chicago, Illinois

Altschuler, Melvoin and Glasser LLP

March 19, 2002

## *statements of financial position*

The Joyce Foundation	December 31, 2001	December 31, 2000
<b>ASSETS</b>		
Cash	\$ 484,600	\$ 2,318,618
Due from brokers for sales of securities	35,592,918	44,348,878
<b>Investments</b> (including amounts pledged under securities lending program of \$21,011,188 and \$26,105,535 for 2001 and 2000, respectively)		
Short-term money market investments	15,824,613	14,092,918
Mutual fund investments (cost: 2001 - \$0; 2000 - \$20,696,281)		20,794,091
U.S. government and corporate bonds (cost: 2001 - \$223,388,384; 2000 - \$193,922,301)	224,851,017	196,012,295
Stocks (cost: 2001 - \$411,189,364; 2000 - \$450,126,033)	403,573,155	488,258,202
Investment partnerships (equity method: 2001 - \$177,537,781; 2000 - \$219,333,470)	185,711,218	230,327,073
Program-related investments (at cost)	415,000	438,000
Real estate and mineral rights (cost: \$405,779 in 2001 and 2000)	442,761	442,761
Prepaid federal excise tax	1,212,518	2,457,518
Other assets	190,727	40,604
	<b>\$ 868,298,527</b>	<b>\$ 999,530,958</b>
<b>LIABILITIES AND NET ASSETS</b>		
<b>Current liabilities</b>		
Due to brokers for purchases of securities	\$ 89,315,631	\$ 106,132,444
Grants payable	26,089,585	31,605,445
	115,405,216	137,737,889
Net assets - unrestricted	752,893,311	861,793,069
	<b>\$ 868,298,527</b>	<b>\$ 999,530,958</b>

See accompanying notes.

## *statements of activities*

The Joyce Foundation	December 31, 2001	December 31, 2000
<b>Investment return</b>		
Gain (loss) on marketable investments		
Net realized	\$ (12,898,698)	\$ 48,436,819
Decrease in unrealized	(49,292,935)	(97,094,477)
Partnership loss	(22,901,378)	(10,856,155)
Interest income	12,390,413	11,383,383
Dividend income	7,203,281	7,723,407
Other income	240,864	145,704
	(65,258,453)	(40,261,319)
Investment expenses	1,993,255	1,951,642
	(67,251,708)	(42,212,961)
 <b>Expenditures</b>		
Grants awarded (grant payments made, net of grants returned, of \$42,375,076 in 2001 and \$39,444,080 in 2000)	36,859,216	56,064,201
Administrative expenses	4,543,834	3,901,788
Special program-related expenses		297,163
Federal excise tax	245,000	545,000
	41,648,050	60,808,152
Decrease in unrestricted net assets	(108,899,758)	(103,021,113)
 <b>Unrestricted net assets</b>		
Beginning of year	861,793,069	964,814,182
End of year	\$ 752,893,311	\$ 861,793,069

## statements of cash flows

The Joyce Foundation	December 31, 2001	December 31, 2000
<b>OPERATING ACTIVITIES</b>		
Decrease in unrestricted net assets	\$ (108,899,758)	\$ (103,021,113)
Realized (gain) loss on sales of investments	12,898,698	(48,436,819)
Decrease in market value of investments	49,292,935	97,094,477
Loss from partnerships	22,901,378	10,856,155
<b>Changes in</b>		
Other assets	(150,123)	66,667
Prepaid federal excise tax	1,245,000	(2,285,298)
Grants payable	(5,515,860)	16,620,121
Net cash used in operating activities	(28,227,730)	(29,105,810)
<b>INVESTING ACTIVITIES</b>		
Proceeds from sales of stocks and bonds	1,167,795,577	1,657,559,488
Purchases of stocks and bonds	(1,141,189,693)	(1,639,817,638)
Investments in partnerships	(6,380,600)	(10,601,940)
Distributions from partnerships	25,207,824	16,744,865
Net purchases and sales of short-term money market investments	1,731,695	(7,700,788)
Net purchases and sales of mutual fund investments	(20,794,091)	14,573,335
Sales of program-related investments	23,000	23,000
Net cash provided by investing activities	26,393,712	30,780,322
Increase (decrease) in cash	(1,834,018)	1,674,512
<b>CASH</b>		
Beginning of year	2,318,618	644,106
End of year	\$ 484,600	\$ 2,318,618

See accompanying notes.

## 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 U.S. 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.

**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 Activities.

**Securities Lending** The Foundation participates in a securities lending program administered by the Foundation’s custodian. Under this program, securities are periodically loaned to selected brokers, banks or other institutional borrowers of securities, for which collateral in the form of cash, letters of credit, or government securities may not be less than 102 percent of the market value of the loaned securities plus accrued but unpaid interest or dividends. The Foundation bears the risk that it may experience delays in the recovery or even loss of rights in the collateral should the borrower of the securities fail to meet its obligations.

**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 make additional partnership investments of \$15,484,393 at December 31, 2001 (2000 – \$21,894,603).

NOTE 4 PROGRAM-RELATED INVESTMENTS

The Foundation had three program-related investments at December 31, 2001 and 2000:

Investment	Purpose
\$115,000 (2001) \$138,000 (2000) investment in Series B2 preferred stock of the Shorebank Corporation, Chicago, Illinois	To encourage the 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 in establishing businesses to increase their 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 percent of salaries or \$30,000 per employee. Pension expense was \$284,078 for 2001 (2000 – \$215,062).

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 \$312,023 in 2001 (2000 – \$306,690). At December 31, 2001, minimum payments under this lease are as follows:

2002	\$ 129,066
2003	135,237
2004	141,407
2005	147,578
2006	153,748
Thereafter	173,288
	\$ 880,324

NOTE 7 DERIVATIVE FINANCIAL INSTRUMENTS

In connection with its investing activities, the Foundation enters into transactions involving a variety of derivative financial instruments, primarily 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 statements of financial position. 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 and the margin requirements of the individual exchanges.

The Foundation's net gains (losses) from futures contracts were \$1,167,740 in 2001 (2000 – (\$505,240)).

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# Guidelines

### *about the foundation*

The Joyce Foundation was created in 1948 by Beatrice Joyce Kean of Chicago. The Joyce family wealth, based on lumber and sawmill interests, 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 \$440 million in grants to groups working to improve the quality of life in the Great Lakes region.

*programs* Our 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, commercial ventures, direct service programs, or scholarships.

*e d u c a t i o n* 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.

Program priorities are:

**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

*e m p l o y m e n t* 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.

Program priorities are:

**IMPROVING JOB-TRAINING** and welfare-to-work policies to provide high-quality workforce preparation for low-income people

**HELPING TRANSLATE LESSONS** about successful workforce preparation strategies into policy

**MAKING 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

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

**ASSESSING 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.

*e n v i r o n m e n t* Protecting the natural environment of the Great Lakes region has been a longtime 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.

Program priorities are:

**PROTECTING AND IMPROVING** Great Lakes water quality and quantity, especially by finding and implementing solutions to environmental problems

**MAINTAINING AND STRENGTHENING THE NETWORK** of environmental groups working to improve the Great Lakes ecosystem

**REDUCING THE PRODUCTION,** use, and discharge of toxic substances in agricultural and industrial processes

**PROMOTING MORE EFFICIENT USE OF ENERGY** and increased reliance on cleaner energy sources

**ENSURING 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.

Program priorities are:

**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.

Program priorities are:

**PROMOTING CAMPAIGN FINANCE REFORMS** at the federal level and in Midwest states

**SEEKING 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

**IMPROVING FINANCIAL DISCLOSURE** of campaign finance records, increasing public access to them, and strengthening 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.

Program priorities are:

**STRESSING THE INVOLVEMENT OF COMMUNITIES** that are often overlooked

**LEADING MINORITY AUDIENCES** to identify mainstream institutions as inviting both their attendance and their collaboration in planning relevant programming

**HELPING CREATE A STABLE GROUP** of minority-based arts organizations

**ENCOURAGING 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 viable 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.

As part of this effort, the Foundation funds 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, through community involvement in the selection of artists or planning or performance of the work or other approaches. 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 its 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.

### **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

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 page 66). 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 65.) 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.

### FORMAL 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](http://www.joycefdn.org)). It should also include the information on the following page.

## *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

**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 April, July and December. Deadline dates are:

BOARD MEETING	PROPOSAL DEADLINE
April 2003	December 10, 2002
July 2003	April 14, 2003
December 2003	August 15, 2003

Applicants are strongly encouraged to plan their application and proposal submission process for the April 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 page 66.

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.

**BOARD OF DIRECTORS**

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**Vice Chairman**

Richard K. Donahue

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Roseanna Ander

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*Culture*

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**Research Analyst**

Sydney R. Sidwell

**Communications Assistant**

Venita Griffin

**Technology Assistant**

Kenny Huy Nguyen

**Grants Manager**

Chindaly Griffith

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Gloria G. Barrientos

Carol A. Donahue

Kristen Kozak

Veronica J. McCoy

Pamela H. Stauffer

Alice Taylor

Jean Westrick

Jessica Whitmer

# grant proposal cover sheet

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

## APPLICANT INFORMATION

Name of Applicant \_\_\_\_\_

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 \_\_\_\_\_

## TOTAL BUDGET AND TOTAL AMOUNT REQUESTED FROM JOYCE FOUNDATION

*(If Multi-Year Request)*

	2003	Second Year 2004	Third Year 2005	Total
Budget Total	\$ _____	\$ _____	\$ _____	\$ _____
Requested from Joyce	\$ _____	\$ _____	\$ _____	\$ _____

## 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

\_\_\_\_\_  
\_\_\_\_\_

DATE OF APPLICATION \_\_\_\_ / \_\_\_\_ / \_\_\_\_





