



**Confronting Risks  
Creating Opportunities**

→ Lower Ninth Ward,  
New Orleans,  
December 10, 2005.

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[www.rockfound.org](http://www.rockfound.org)

> Lower Ninth Ward, New Orleans,  
December 9, 2005, 102 days after  
Hurricane Katrina.





[The Rockefeller Foundation 2005 Annual Report >>](#)



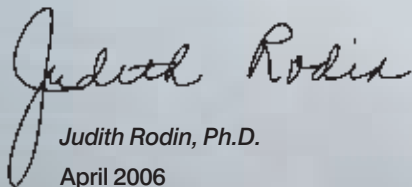
*For the Rockefeller Foundation, 2005 was a year of reflection and evaluation, a time when some long-standing commitments approached the end of their planned life cycle and others were ripe for reassessment or revision. There was nothing unprecedented about this; most foundations face the need, from time to time, to rethink the way they use their resources and to take fresh stock of the ways the world has changed. We have had many such moments of transition over the past nine decades.*

*Still, the pace of change in the world is much faster today than when John D. Rockefeller, Sr., established the Rockefeller Foundation in 1913. The velocity of information and capital flows, the gaps in the distribution of economic and political influence around the world, and the number of institutions addressing global problems are all much greater today than at the start of the last century. For foundations—in fact, for all institutions seeking to make the most of their resources—the need for these moments of self-scrutiny and adjustment may now arise more often, and require more flexibility, than ever before.*

*By the time this annual report is published, the results of our deliberation and planning will be emerging. This report is necessarily retrospective in nature. It presents an ambitious body of work in a few areas of long-standing interest: agriculture and health in developing parts of the world, human and community development in low-income communities of the United States, and creative expression and exchange across continents and cultures. It takes particular note of our concentrated regional efforts in sub-Saharan Africa and in the Greater Mekong Sub-region of Southeast Asia. Such work is of lasting importance, and will require allies, funders and attentive policymakers in coming years. Drawing the interest and commitment of those additional supporters has been a fundamental purpose of much of our grantmaking, a purpose on which the remainder of this annual report will elaborate.*

*An even more fundamental purpose—one that traces from our earliest years and has remained at the core of our approach ever since—has been combating the root causes of the world's most serious problems. The work of this Foundation is to move resources, people and policies toward our program goals: to innovate, to influence people and events, to have a meaningful impact on human affairs. In particular, it is our aim to expand opportunities for poor and vulnerable people and to help ensure that the benefits of globalization are shared more equitably.*

*This evolving challenge will lead to a tighter focusing of our priorities in 2006 and beyond. What will not change are the values, concerns and institutional strengths that underlie the work we report on here. Those are, for us, the legacy of 93 years of philanthropy, and are our most important assets. They will guide and enrich endeavors we pursue in the months and years ahead, just as they have governed the work we are pleased to present in this annual report.*



*Judith Rodin*  
Judith Rodin, Ph.D.  
April 2006

## The Year in Review

2005



→ Peter Gachanja helps his son with homework in the village of Kibera, Kenya (inset), February 2006.



Well before disaster struck New Orleans and the Mississippi Gulf Coast in the last days of August 2005, the Rockefeller Foundation had begun a series of internal discussions on how the nature of poverty has changed in a fast-moving global economy. As the pace of economic change quickens, we noted, poverty is increasingly not just a status, a chronic condition with clear boundaries, definitions, and consequences. It is also a hovering and shifting threat, a risk that shadows billions of people worldwide who, though momentarily outside the official demarcations and poverty thresholds, live at more or less constant peril of confronting devastating need. >>



→ Near Phnom Penh, Cambodia.





>> Economic downturns produce ever more precipitous losses of income and wealth; the poorer

the society, the more sheer the statistical cliff. In better times, the benefits are likewise swift and unequal: growth in wealthier societies tends to raise incomes more steeply than in poorer ones. Since 1981, the poorest three-fifths of countries have seen income per person either stagnate or fall; the richest 20 percent have had aggregate increases. Yet within these wealthier societies, inequalities have widened; even amid overall prosperity, poorer populations have faced greater risks and diminished opportunity. As economic windspeeds rise across the globe, sweeping whole industries, paths of opportunity, and labor-market assumptions before them, philanthropy has to reckon, more and more, not just with static, observable hardships, but with the dynamics of vulnerability and resilience: the proximity and risk of calamity, and the odds and means of recovery.

**Threats and Their Aftermaths** As our discussions began, the first unwelcome case study of these dynamics hit the world with gargantuan force, in the form of the Indian Ocean tsunami at the end of 2004. Scenes of incalculable destruction, injury and death in already poor and isolated locales naturally riveted the world's attention, including our own, on the profound vulnerability of less-developed societies. The ideas with which we were grappling, about poverty and risk, about economic and social upheaval, had always had important implications for Americans and other residents of industrial countries. But their applications and consequences were most apparent in the developing world, including in the shocking images arriving from Indonesia, Thailand, Sri Lanka and elsewhere, and before that, from the firsthand experience of our regional programs in sub-Saharan Africa and Southeast Asia.

Our immediate response to the tsunami, organized through our office in Thailand, included support for the creation of community-based trauma clinics in three of the hardest-hit districts of Indonesia's Aceh province. Efforts like these grew naturally from the Foundation's intertwining interest in health and community leadership in developing countries, though such interests of course became all the more urgent in the face of sudden catastrophe. Thus for various reasons, both before and after the tsunami, the prevailing images and language of our discussions had been rooted, at least in large part, in the special preoccupations of global poverty and international development.

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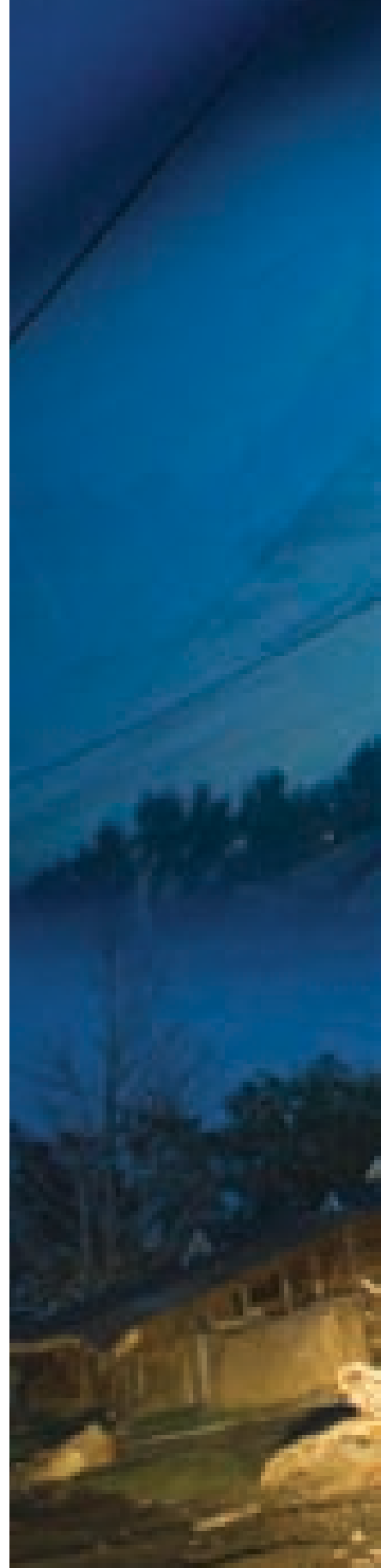
>> And then in late summer 2005, all at once, the global became local.

Here once again, in the wake of Hurricane Katrina, were overwhelming privation, brutal physical conditions, miserable governmental collapse, heartbreaking colonies of stranded refugees. And they were in the world's richest nation, centered on one of its most iconic cities. Horrific vulnerabilities lay exposed: struggling-but-working families left homeless and penniless; segregated-but-functioning communities suddenly demolished and dispersed; a vibrant-if-fragile regional economy stripped of jobs, workers, customers, even basic infrastructure. While the suffering struck every class and subgroup, it was low-income and minority communities—in this case, overwhelmingly African-American—that were hit hardest, had the scantest means of self-protection and faced the most uncertain prospects of recovery.

In one sense, this was not exactly the kind of vulnerability most economic models tend to contemplate. Katrina was initially a natural disaster, not a side effect of market forces (though, it must be said, unbridled forces in the real estate market helped deepen the Gulf Coast's environmental risks). Yet the storm's aftermath, and the grim economic, social and environmental conditions it revealed, increasingly became a story of markets, public policy and structural vulnerability. Once the flood waters had been pumped from the streets of New Orleans, the next questions became surprisingly like those that follow catastrophes of all sorts in all kinds of places:

- Would the most disadvantaged communities come back to life at all, much less come back stronger and less susceptible to the next great danger?
- Would the recovery process provide ways of remedying the long-standing neglect and inequalities that the storm had laid bare?
- Would the rebuilding effort create opportunities for the uprooted and dispossessed—a chance to help plan a better community and to share in the enterprise of reconstruction—or would it just be a replay of the pre-storm disparities, in which opportunity remained closely correlated with wealth?

To help answer these questions, the Rockefeller Foundation made a series of grants aimed primarily at longer-term planning and rebuilding. For the shorter term, we supported the Urban League of Greater New Orleans and the Greater New Orleans Foundation's Katrina Disaster Relief Fund, to help local organizations provide basic services for displaced residents. But most of our support was aimed not at immediate relief, for which contributions were pouring in from all over the world in amounts that dwarfed anything foundations like ours could contribute. >>





→ Lower Ninth Ward, New Orleans, December 2005.

→ Federal temporary housing complex for displaced people, New Iberia, Louisiana, December 2005.

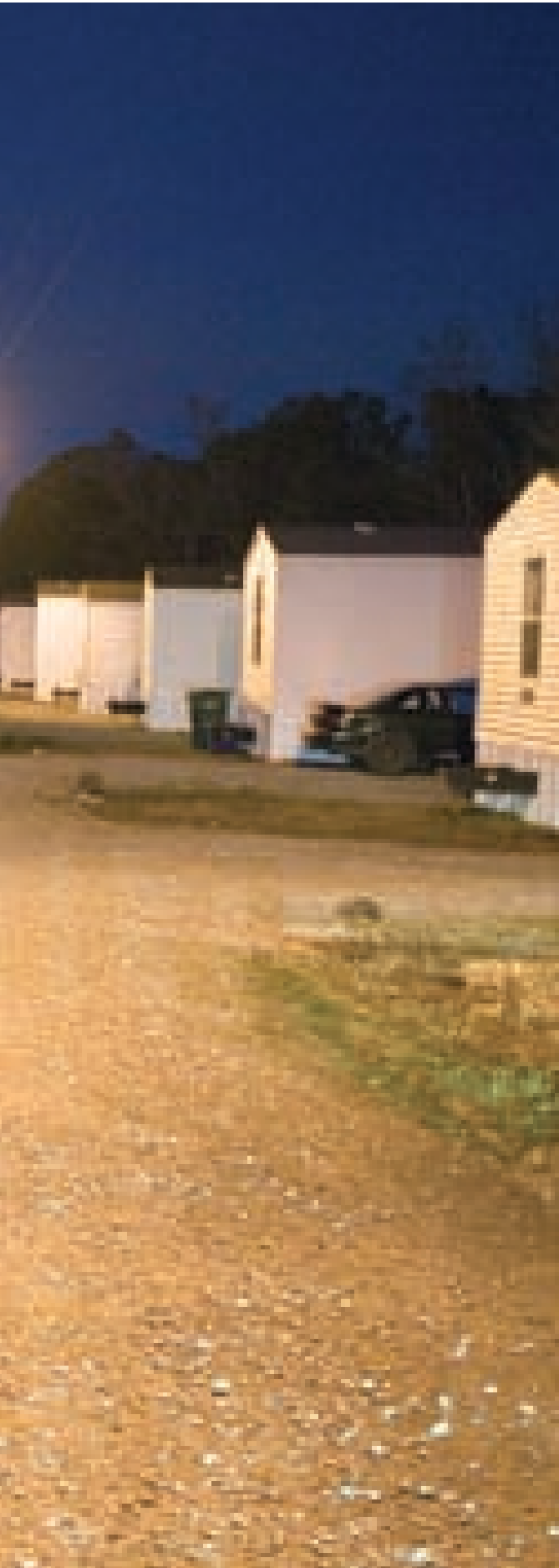


>> Instead, we concentrated mainly on the long-term challenges, addressing needs that we

knew, from experience in developing communities at home and abroad, would soon become pre-eminent.

We directed support to three proven community development and housing intermediaries: the Local Initiatives Support Corporation, the Enterprise Foundation and Habitat for Humanity. In different ways, these organizations are pursuing innovative strategies for rebuilding housing and businesses, approaches that forge partnerships between low-income residents and private industry, ensure affordability, and channel investment and opportunity into the communities that had been most susceptible to hostile forces, whether economic, natural or political. These are activities for which, we were fairly sure, resources would be chronically scarce, especially in the early months. And they are fields of work in which these three organizations are deeply expert and widely respected.

From the perspective of a whole year of Foundation activity—aimed at worldwide vulnerabilities due to hunger and disease, poverty and market failures, cultural exclusion and intellectual isolation—our response to Hurricane Katrina and its aftermath describes merely one moment of hard learning and quick response. Amid our domestic grantmaking in the United States, concentrated on employment, housing, education and urban redevelopment, the response to Katrina was an important element, but only an element, of a much broader picture. Still, it lingers in our year-end thoughts, and provides a point of departure for this annual report, partly because it offered such a close-up portrait of some of the great themes that have been preoccupying us in recent years: the deepening risks confronting huge populations around the world, the steep challenge of recovery for those who lack the safeguards of surplus economic, social and human capital, and the imperative to systematically direct innovation in a direction that benefits the poor and the vulnerable. >>



>> **Ideas as Infrastructure** In the post-hurricane Gulf, as in most places of scarcity and hardship, the immediately obvious capital shortages have tended to be literal: a lack of cash, equipment, buildings, roads and market mechanisms that might have lessened suffering and could now speed recovery. Many of our investments worldwide, like those in the Gulf, address such material needs head-on: support for more durable crops and higher yields for poor farmers in Africa and Southeast Asia; development of more robust commercial, housing and job markets in low-income American neighborhoods; investments in medicines, hospitals and clinics to prevent and treat diseases that destroy lives and undermine economies. In each of these cases, our support aims, either short or long term, at material improvements in the lives and opportunities of vulnerable populations.





But more and more, as global markets come to trade as much in ideas as in material wealth, one of the scarcer forms of capital in the world's most vulnerable places is intellectual: the indigenous power of a well-educated work force, vibrant channels of cultural and scholarly exchange, and expertly trained private and public leadership. In places where education is rare, expensive, reserved only for the privileged, or (commonly) all three, infusions of even large amounts of material capital tend to be less effective, and the consequences of any setback tend to be graver and longer-lasting. Investments in basic education—a mainstay of international development funding in the past few decades—need to be accompanied by opportunity for promising students, including low-income graduates of remote, rural schools, to pursue advanced studies in well-equipped, well-run universities. Even beyond the classroom, developing societies need ways of encouraging their most educated citizens to stay and work in their home societies, preventing the kind of intellectual capital flight that has stymied growth in many parts of the developing world. >>



→ “Smart cards” at the University of Dar Es Salaam contain students’ data in an embedded micro-processor. An Internet cafe (inset) opens Morogoro to the world, Tanzania, February 2006.



>> This year we and five other large U.S. foundations renewed our commitment to the Partnership for Higher Education in Africa for another five years. This \$200 million fund, following an earlier five-year effort of \$150 million, will support the continued progress of universities in seven African nations to improve their curricula, broaden enrollment, and expand opportunity for talented graduates to remain in Africa and contribute to further intellectual, cultural and material development there.

Among many other things, the partnership has invested some \$5 million in vastly increasing the Internet bandwidth available to a group of participating universities. In an arrangement with the satellite operator Intelsat, the universities will increase their available bandwidth by a factor of at least eight—at a cost less than one-third the rate most African universities normally pay. The result will be a level of connection with the rest of the world that universities in wealthier places take for granted, but without which even the most learned faculty operates at an insuperable disadvantage. Here, too, is an essential infrastructure that is measurable not in square feet, tonnage or kilometers, but in waves of thought and communication: the ability to obtain and share information, join networks, and participate in the collective inquiry of an intellectual sphere largely indifferent to time and place.

Yet even today, some forms of inquiry remain tightly bound up with the particularities of individual places, even as they draw from the worldwide exchange of information and learning. On one hand, knowledge and expertise are more mobile than ever, quickly transferable from more-developed to less-developed countries. But such transfers succeed only when expertise, leadership and capable institutions are simultaneously built and strengthened in the developing society. Scientific breakthroughs in the industrialized world have sometimes led to historic advances for developing countries—for example, in the Green Revolution of the 1950s, '60s and '70s. In those years, plant breeders drawn partly from the United States (prominently including scientists working within the Rockefeller Foundation) helped launch a historic improvement in crop yields across many parts of Latin America and Asia. But in that case, as in nearly all such cases, much of the success was due to diligent recruitment, training and deployment of local expertise—plant breeders, agronomists, farmers themselves—in adapting, advancing and using the new technology. >>



>> Some places, notably sub-Saharan Africa, were mostly untouched by that great wave of agricultural innovation. One important reason was that local soil and water conditions, microclimates, and gaps in infrastructure posed obstacles that were too varied and particular to be overcome by a single body of imported technology. In such circumstances, there is no substitute for resident expertise, locally trained, working closely with farmers and other participants in agricultural markets, and committed to improving life in their own societies and regions.

For example, one recent grant by the Rockefeller Foundation helped create the new African Centre for Crop Improvement at South Africa's University of KwaZulu-Natal. Among the roughly 40 doctoral candidates from a dozen African countries who have enrolled in the program so far is Chrispus Oduori, a Kenyan who has become the first person to develop hybrid varieties of finger millet. That seemingly technical achievement is significant not only because finger millet is a highly nutritious crop native to Africa, but because until now it had been of little interest to scientists anywhere else. It is a small but telling example of what happens when local minds are equipped to tackle local problems.

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-> Members of two local cassava associations—farmers' groups that pool effort and resources to process and market produce, Malawi, February 2006.



> A patient is treated for tuberculosis at Mulago Hospital, Kampala, Uganda, January 2005.



## >> **Joining Forces Against Disease** Among the most dire and unrelenting threats in

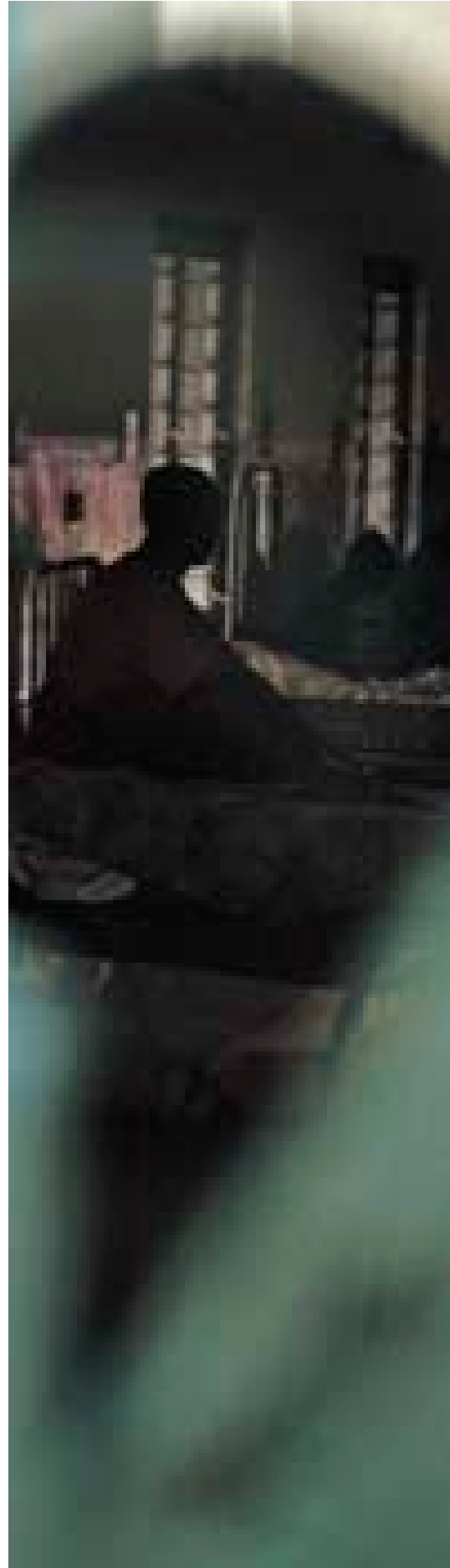


much of the developing world, and a massive obstacle to recovery and growth, is the devastation wrought from readily preventable or curable diseases. Just a decade ago, the needless suffering from treatable diseases such as malaria, tuberculosis and dengue fever, and the unbridled spread of HIV/AIDS, seemed an all but inescapable trap for poor societies. Medical and pharmaceutical companies that had the wealth and technology to tackle these problems found no way of recouping the costs of developing and supplying drugs and supplies to poor countries. Governments lacked both the resources and the skilled personnel to mount an effective response on their own. Meanwhile, the catastrophic toll of infection, suffering and death ruined families, stranded children, and produced crippling labor shortages that overwhelmed communities, governments, markets and social structures.

In 1996, the Rockefeller Foundation convened a group of experts in HIV/AIDS to explore whether it would be possible for industry, philanthropy, and various development and public health agencies to collaborate in finding an AIDS vaccine—one that, if successful, would be made affordable and widely available in the developing world. Among other things, the International AIDS Vaccine Initiative (IAVI), which resulted from those discussions, would pursue avenues of research that until then had not been well-explored by existing public and private efforts. Today, though IAVI has progressed much farther than most observers would have dreamed a decade ago, the partners are still seeking the elusive vaccine—as are many other researchers in private industry and publicly funded laboratories. IAVI's work has led to considerable enthusiasm and occasional bursts of optimism, even if its success is still far from assured. >>

>> The remarkable progress of that once-tentative idea has led, in the ensuing years, to the formation of four other Foundation-sponsored partnerships. They seek effective, affordable, easily administered treatments for malaria, tuberculosis and dengue fever and—in an especially far-reaching and promising effort—a microbicide that women could administer on their own to ward off sexually transmitted diseases. All of these partnerships have attracted far more financial and technical support than at first seemed likely. Industry partners including Bayer Healthcare, Merck & Co., and Glaxo-SmithKline Biologicals have committed major resources, including access to some of their valuable intellectual property—resources that would likely have been unavailable to other kinds of initiatives.

By now, the idea of collaborative work on diseases affecting the poor has ceased to be an eccentric, speculative prospect. In fact, the idea has become the norm for tackling





→ Mulago Hospital, Kampala, Uganda, January 2005.

diseases that require expensive research and development but where sales of the drugs would be unlikely to repay the R&D effort. A study this past year by a group at the London School of Economics showed not only the remarkable spread of this approach (the group examined 47 collaborative projects representing 75 percent of all drug-development efforts for neglected diseases), but their formidable potential: these partnerships are developing products far faster, and at much lower cost, than comparable private-sector efforts.

The work of these partnerships has far exceeded expectations, yet none of them has yet been able to test its full potential. To do that would require several times more investment, especially from government and multinational sources, than the partnerships have received thus far. The next test for these initiatives will be to determine whether their rapid progress and demonstrated promise are enough to attract the large-scale investment, well beyond the resources of foundations alone, which could carry them all the way to the finish line. >>

→ Two youths walk home near Washington Park in Milwaukee, Wisconsin. Many people in cities like Milwaukee continue to grapple with the need for decent and safe affordable housing.





## >> Assembling Solutions From Multiple Parts

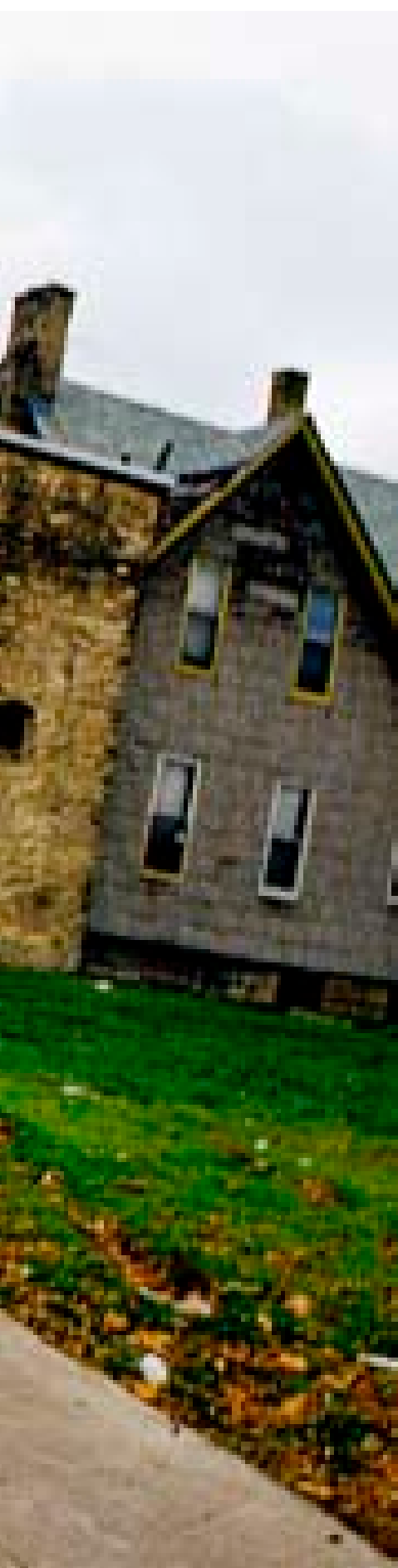
It is no coincidence that much of this essay has been taken up with discussions of partnerships—within the nonprofit sector; among industry, government and philanthropy; and between international and local sources of expertise. The problems we confront increasingly defy traditional delineations of responsibility and expertise, and often overwhelm the resources of any one institution or even any single sector. In many such cases, the challenge is not only to bring together many disparate organizations and missions into a single endeavor, but to find the right use of each kind of resource and the most productive role for each participant.

That is a particular challenge for foundations, whose resources are rarely more than a tiny fraction of the amount needed to grapple effectively with major public problems. Yet the flexibility of those resources—unconstrained by the demands of either profit or politics—can sometimes compensate for their relatively small size. That was the lesson of a partnership we helped to form this past year to support New York City's effort to develop affordable housing in the midst of one of the world's most expensive real estate markets.

In the fall of 2005, we and five other foundations joined with the City of New York in launching a \$200 million New York Acquisition Fund. The fund will combine grants and guarantees from foundations and government with below-market financing from private lenders to help small and nonprofit developers build or preserve affordable housing in the city's poorer neighborhoods. Some 30,000 homes and apartments will be created or preserved this way. But the significance of the fund goes beyond the number of housing units involved. Just as important, it focuses the attention of many disparate players on fundamental needs: acquiring land for new affordable housing and securing financing to preserve existing affordable housing in a market where other kinds of development usually have far easier access to capital and public support.

Here, as in the improvement of African farming or the treatment of tropical disease, the challenge is to aim diverse, large-scale resources at particular, place-specific tasks. Confronting the varied constraints and opportunities place by place, and forging the right relationships among sources of capital and centers of public authority, is one important mission of foundations. Though we are best known for our grants, it is not so much our assets that test our value as the way we use them—specifically the extent to which we can help find more effective solutions to chronic problems, build interest and involvement in those solutions, and draw further investment from others.

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>> **A Global Mission** This essay clearly isn't meant as a survey of the whole span of the Rockefeller Foundation's philanthropy in 2005. At best, it offers a sampling of some of the broad ideas with which we've been wrestling in the past year, and some examples of how those ideas have influenced our work. The full scope of our grantmaking—in the arts and humanities, in health and agriculture, in low-income U.S. neighborhoods and immigrant communities spanning the U.S.-Mexico border, and in regional development across Southeast Asia and sub-Saharan Africa—is laid out in the list of grants that constitutes the annual report.

That list includes scores of grants that could individually justify an essay many times this length. This year, for example, our regional program in Southeast Asia included several related efforts to cope with the migration of populations across national borders in the Greater Mekong Sub-region. In this area, as in many parts of the world, large numbers of people move across borders or live in communities that straddle national boundaries, without ever being recognized as citizens of these countries or receiving even rudimentary public services. From its base in Bangkok, our program helped form networks and centers of activity to address such issues as cross-border transmission of disease, trade and the regional integration of peoples.

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→ A rice field outside Hanoi, Vietnam, February 2006.





→ Rosa Bautista and members of her family, San Juan Mixtepec, Mexico, January 2006.



>> In the arts and humanities, the Foundation this year completed funding of a 10-year body



of work on cultural policy that examines the effects of creative activity on communities, the creation and use of cultural indicators as tools for community economic development, and connections between the arts and public policy. We also supported a network of legal and policy resource centers that work collaboratively to support artists facing an increasingly restrictive regime of intellectual property rights.

The international rules governing such rights—not only in the arts, but in sciences, engineering and practically every area of emerging technology—are still being negotiated. These deliberations tend to be dominated by wealthier societies, whose superior staffing and technical expertise tend to overwhelm those of poorer countries. The result often is agreements that severely limit the ability of poor countries to promote infant domestic industries, protect small farmers, and gain access to essential and affordable technologies. This past year, a group of grantees has worked with these countries to undertake sophisticated economic modeling, analyses of developed countries' subsidies and hidden barriers to trade, and assessments of the trade effects of developing countries' own policies.

In North America, alongside our grants in community development and employment, the Foundation has supported several organizations in tracking the consequences of a growing migrant population with homes, families and civic ties in both the United States and Latin America. Their participation in both their new and original communities, including the financial support they send back to their countries of origin, is different from that of earlier waves of immigrants. Foundation grantees are adding significantly to our understanding of how these patterns might affect social, political and economic life on both sides of the U.S. border. >>

>> In one way or another, all of these efforts address the fragility of life in a fast-changing world—especially for poor people and communities, but also for those living just beyond the boundaries of official poverty and need. Amid the vast opportunities that technology and globalization have created, there have also come greater risks for those whose resources cover only current needs, without the ability to store up reserves against unexpected change and sudden adversity. When hardship strikes, whether in the form of natural, economic, environmental or political upheaval, the lack of such emergency provisions can mean an abrupt descent into severe need and lasting crisis. As global change accelerates, these risks inevitably grow steeper and wider, affecting more and more people and societies.

For many years, the Rockefeller Foundation has followed these trends in search of ways to reduce vulnerability and increase resilience in the midst of sweeping global change. We have spent much of the past year scrutinizing this work intensively, seeking out opportunities to adjust course, re-examining our assumptions, and contemplating new avenues of exploration and possible intervention. By the time this annual report is published, some of the Foundation's priorities may have changed, new programs begun and current ones concluded. In the meantime, however, the work detailed in the following pages represents our best assessment, through the tumultuous months of 2005, of how a foundation's limited resources could be applied to a few areas of critical need, devising new methods and building networks of investment and leadership that can, in turn, accomplish things no one of us could have dreamt of on our own. ■





→ Children on Grace Jonasi's farm, where 30 people are employed, Kaseleka, Malawi, February 2006.

## The Rockefeller Foundation

The Rockefeller Foundation was established in 1913 by John D. Rockefeller, Sr., to “promote the well-being” of humanity by addressing the root causes of serious problems. With assets of more than \$3 billion, it is one of the nation’s largest private foundations. The Foundation works around the world to expand opportunities for poor and vulnerable people and to help ensure that the benefits of globalization are shared more equitably.

The work of the Foundation is managed by its president and a staff drawn from professional and scholarly disciplines, and is overseen by an independent board of trustees.

### > DATA

- \$3.4 billion endowment (December 31, 2005).
- \$109 million in grants, fellowships and programmatic investments in 2005.
- 174 employees worldwide (June 1, 2006).

### > HISTORIC WORK

- Developed the vaccine to prevent yellow fever.
- Funded the modernization of agriculture in the developing world, known as the Green Revolution.
- Provided early support in the United States for education “without distinction of sex, race or creed.”
- Established the first schools of public health.
- Supported the establishment of international cultural institutions, including Lincoln Center in New York City.

### > OFFICES

Headquarters in New York City (United States), regional offices in Bangkok (Thailand) and Nairobi (Kenya), and a conference and study center in Bellagio (Italy).

> **“The best philanthropy is constantly in search of the finalities—a search for a cause, an attempt to cure evils at their source.”—JOHN D. ROCKEFELLER, SR.**



## How We Develop Programs and Make Grants

The Rockefeller Foundation develops its programs—strategies and approaches designed to have an impact on a particular set of issues or challenges—through a consultative and collaborative process. We engage a variety of groups, including subject-matter experts, policymakers and representatives of local communities to fully understand a given challenge or opportunity, including the economic, political or social context in which it resides.

In the course of program development, the Foundation identifies and considers organizations that we believe are best positioned to implement defined components of a program. This process helps determine the organizations that the Foundation will provide grants to, and we will then request project proposals from those organizations. In order to focus and maximize the impact of our grantmaking, we rarely provide funding in response to unsolicited proposals.

**It is important to note that this annual report summarizes the programs and grants of the Foundation in 2005, many of which will change in 2006.**

To determine if your organization's project aligns with the Foundation's 2006 programmatic goals, please visit [www.rockfound.org/grantmaking](http://www.rockfound.org/grantmaking). You may want to submit a letter of inquiry via the online form available on our Web site. Inquiries can also be mailed to the director of the subject area of interest, at **The Rockefeller Foundation, 420 Fifth Avenue, New York, NY 10018.**

As a matter of policy, the Foundation does not give or lend money for personal aid to individuals or, except in rare cases, fund endowments, or contribute to building and operating funds.

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2005 Grants >>

## Food Security

### Grants, fellowships and other philanthropic investments in 2005: \$23,127,000.

**> GOAL:** To improve the lives of the rural poor through the generation of agricultural technologies, and support for institutions and policies that improve agricultural production in areas of sub-Saharan Africa and Asia bypassed by the Green Revolution.

#### > ENHANCED SOIL PRODUCTIVITY

*Supporting work to assess the fertility of poor farmers' soils and promote innovative and efficient farming practices that can increase soil nutrients and farmers' yields.*

**FARM-Africa**, London, England: \$500,000 in support of the second phase of the Maendeleo Agricultural Technology Fund's efforts to promote adoption of innovative technologies for improving agriculture, livestock and natural resource management in eastern Africa.

**Forum for Organic Resource Management and Agricultural Technologies**, Nairobi, Kenya: \$115,633 toward the costs of promoting the adoption of promising soil management technologies in Kenya.

**International Center for Tropical Agriculture**, Cali, Colombia: \$900,000 in support of its Tropical Soil Biology and Fertility Institute's programs in sub-Saharan Africa.

**International Center for Tropical Agriculture**, Cali, Colombia: \$94,000 for use by its Tropical Soil Biology and Fertility Institute for research on integrated soil fertility management for banana production in Kenya and Uganda.

**International Institute of Tropical Agriculture**, Ibadan, Nigeria: \$100,000 for use by its Eastern and Southern Africa Regional Center in support of research on integrated soil and pest management for improved banana production in Uganda, to be conducted in collaboration with Uganda's National Agricultural Research Organisation.

**International Maize and Wheat Improvement Center**, Mexico City, Mexico: \$898,725 toward the costs of the Soil Fertility Consortium for Southern Africa, which promotes collaborative research and development on integrated soil fertility management for small-scale farmers in southern Africa.

**Kenya Agricultural Research Institute**, Nairobi, Kenya: \$99,845 for use by its National Agricultural Research Laboratories in support of its Legume Research Network Project to develop low-cost and sustainable technologies for increasing crop production in Kenya.

**Lukman Nagaya Mulumba**, Kampala, Uganda: \$8,682 in support of a fellowship for advanced training in soil science leading to the Ph.D. degree at the Department of Soil Science, Ohio State University, Columbus, Ohio.

#### > IMPROVED CROP VARIETIES

*Working to increase poor farmers' productivity and income through the cultivation of improved crop varieties that have high-quality traits, including enhanced nutritional value and resistance to pests, diseases and environmental stresses such as drought.*

**African Biotechnology Stakeholders Forum**, Nairobi, Kenya: \$12,000 toward the costs of producing educational materials to inform policymakers of the accomplishments of African crop improvement research. *(Joint with Africa Regional Program.)*

**Asian Vegetable Research and Development Center**, Tainan, Taiwan: \$199,997 for use by its Regional Center for Africa to promote quality vegetable seed production and marketing to improve the livelihoods and nutrition status of farm families in East Africa.

**Birsa Agricultural University**, Jharkhand, India: \$116,287 toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with the Gramin Vikas Trust and the University of Wales.

**Boston University**, Boston, Massachusetts: \$403,882 in support of research to be conducted collaboratively with the School of Public Health at Harvard University and Ethiopian research organizations to assess the effect of maize cultivation on malaria transmission in sub-Saharan Africa. *(Joint with Health Equity and the Africa Regional Program.)*

**CAMBIA**, Black Mountain, Australia: \$500,000 in support of research on the development of a novel gene transfer method for crop improvement that will circumvent intellectual property constraints currently limiting application of this technology in subsistence crops.

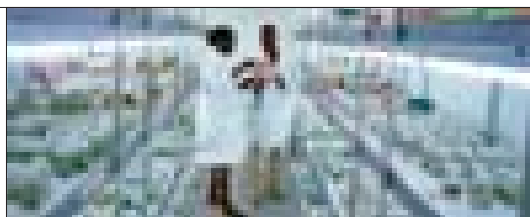
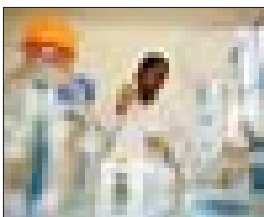
**Commonwealth Scientific and Industrial Research Organisation**, Dickson, Australia: \$132,250 in support of research on genetic engineering of cowpea to create new varieties resistant to insect pests called pod borers.

**Cornell University**, Ithaca, New York: \$434,490 toward the costs of providing technical assistance to enhance the quality of Ph.D. training for plant breeders at the University of Kwa-Zulu-Natal's African Center for Crop Improvement.

**Council for Scientific and Industrial Research**, Pretoria, South Africa: \$282,500 toward the costs of developing sorghum with improved nutritional quality.

**Egerton University**, Njoro, Kenya: \$150,000 toward the costs of establishing a biotechnology laboratory to be shared by its faculties conducting research aimed at improving food security, environmental conservation and health in Kenya.

**Forum for Organic Resource Management and Agricultural Technologies**, Nairobi, Kenya: \$81,420 toward the costs of a Web site, [www.africancrops.net](http://www.africancrops.net), aimed at improving



access to and sharing of scientific information among crop improvement scientists in sub-Saharan Africa.

**Foundation-administered project:** \$20,000 for the cost of advisers to help countries of eastern and southern Africa to implement effective regulatory regimes for new crop varieties.

**Foundation-administered project:** \$28,000 to assist in improving the food security of the rural poor by engaging an expert to develop a financial model that can help small- and medium-sized seed companies in East Africa better serve poor farmers.

**Foundation-administered project:** \$44,000 toward the costs of assessing the levels of adoption of NERICA and other improved rice varieties in Nigeria.

**Foundation-administered project:** \$50,000 toward the costs of monitoring Foundation projects in eastern and southern Africa, to improve the development of new crop varieties in the region.

**Foundation-administered project:** \$60,000 toward the costs of engaging advisers, convening small consultative gatherings and facilitating the travel of plant breeders and seed specialists to relevant meetings and training related to the development of improved crop varieties.

**Gramin Vikas Trust, Noida, India:** \$258,936 toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with Birsa Agricultural University and the University of Wales.

**Institute of Agricultural Research of Mozambique, Maputo, Mozambique:** \$300,190 in support of research and training to develop new maize varieties and seed delivery systems for smallholder farmers in Mozambique.

**International Center for Tropical Agriculture, Cali, Colombia:** \$189,800 in support of the training of young scientists from East Africa in cassava and rice breeding.

**International Center for Tropical Agriculture, Cali, Colombia:** \$287,500 in support of research on the genetic improvement of bush and climbing beans for East, central and southern Africa.

**International Center for Tropical Agriculture, Cali, Colombia:** \$18,000 in support of research on the quantitative and molecular genetic analysis of important agronomic traits in cassava, conducted by a Ugandan Ph.D. candidate.

**International Crops Research Institute for the Semi-Arid Tropics, Patancheru, India:** \$288,800 in support of research, in collaboration with the Institute of Rural Economy, on improved sorghum hybrids for Africa and methods for large-scale production of hybrid sorghum seed.

**International Crops Research Institute for the Semi-Arid Tropics, Patancheru, India:** \$226,500 in support of research on the characterization and more effective utilization of genetic diversity for sorghum improvement in eastern and central Africa.

**International Institute of Tropical Agriculture, Ibadan, Nigeria:** \$298,410 in support of collaborative research with the International Center for Tropical Agriculture on enhancement of cassava productivity in sub-Saharan Africa through characterization and combining of new sources of resistance to cassava mosaic disease.

**International Institute of Tropical Agriculture, Ibadan, Nigeria:** \$273,500 in support of research on the characterization and more effective utilization of genetic diversity for cassava improvement in eastern and central Africa.

**International Institute of Tropical Agriculture, Ibadan, Nigeria:** \$184,840 toward the costs of breeding beta-carotene-rich and drought-tolerant sweet potato varieties for drought-prone areas of Mozambique.

**International Livestock Research Institute, Nairobi, Kenya:** \$150,000 in support of efforts to strengthen the bioinformatics capacity of its center, Biosciences East and Central Africa and to use that capacity to assist crop and animal improvement programs in the region.

**International Maize and Wheat Improvement Center, Mexico City, Mexico:** \$560,000 in support of research to develop innovative biotechnology approaches to improve the drought tolerance of tropical maize.

**International Maize and Wheat Improvement Center, Mexico City, Mexico:** \$1,182,800 toward the costs of an integrated African network entitled New Seed Initiative for Maize in Southern Africa, which will deliver new drought-tolerant maize varieties to farmers in southern Africa.

**International Maize and Wheat Improvement Center, Mexico City, Mexico:** \$80,000 in support of its efforts to limit the impact of a new African strain of stem rust disease on wheat production.

**International Plant Genetic Resources Institute, Rome, Italy:** \$17,700 for use by its International Network for Improvement of Banana and Plantain toward the costs of research and training of a Ph.D. student in identification of candidate genes for weevil resistance in banana.

**International Rice Research Institute, Metro Manila, Philippines:** \$631,217 toward the costs of establishing and operating a network of Indian institutions and scientists working on development of drought-tolerant rice varieties.

**International Rice Research Institute, Metro Manila, Philippines:** \$602,200 in support of research, in collaboration with the Chinese Academy of Agricultural Sciences, to identify the genes and biochemical pathways determining drought tolerance in rice.



# Food Security

**International Rice Research Institute**, Metro Manila, Philippines: \$76,245 toward the costs of a Ph.D. fellow to study the genetics of transferring drought tolerance from African rice (*Oryza glaberrima*) to Asian rice (*Oryza sativa*).

**International Rice Research Institute**, Metro Manila, Philippines: \$50,000 in support of the participation of scientists from Africa and the Greater Mekong Sub-region in the 5th International Rice Genetics Symposium, held in Manila, the Philippines, November 2005.

**Kilimo Trust**, Kampala, Uganda: \$1,140,000 for use in support of African Agricultural Capital Limited, an investment company established to alleviate poverty and reduce food shortages by strengthening seed companies and other African agricultural businesses serving the needs of smallholder farmers in East Africa.

**Michigan State University**, East Lansing, Michigan: \$134,000 toward the costs of assessing the effectiveness of a crop-based strategy for sustainably reducing vitamin A deficiency in poor people of rural Mozambique.

**Moi University**, Eldoret, Kenya: \$155,907 toward the costs of establishing a biotechnology laboratory to be shared by its faculties conducting research aimed at improving food security, environmental conservation and health in Kenya.

**Moi University**, Eldoret, Kenya: \$99,540 toward the costs of research on development of midge-resistant sorghum varieties for East Africa.

**Narendra Deva University of Agriculture and Technology**, Faizabad, India: \$220,000 in support of a project to increase its capacity to develop and distribute drought-tolerant rice varieties to rice farming communities in the drought-prone regions of central and eastern India.

**Gertrude Night**, Kampala, Uganda: \$41,810 for the renewal of her fellowship for advanced training in entomology leading to the Ph.D. degree at the Department of Entomology, Cornell University, Ithaca, New York.

**Ohio State University**, Columbus, Ohio: \$330,498 in support of research to further develop and test transgenic cassava with less toxic roots and that degrade less rapidly following harvest.

**Regional Universities Forum for Capacity Building in Agriculture**, Kampala, Uganda: \$285,000 in support of Master of Science training in agricultural biotechnology for up to 10 students from East and southern Africa.

**Research in Innovative and Appropriate Technology for Sustainable Development**, Bangui, Central African Republic: \$11,987 toward the costs of introducing the New Rice for Africa varieties in the Central African Republic.

**Rothamsted Research**, Herts, England: \$135,000 toward the costs of an international conference entitled, Inter-Drought-II, on using advances in breeding and the genetics of drought tolerance for crop improvement, held in Rome, Italy, September 2005.

**Sokoine University of Agriculture**, Morogoro, Tanzania: \$278,775 toward the costs of providing Master of Science training in plant breeding for young scientists from the Tanzanian Ministry of Agriculture and from its University staff. (Joint with the Africa Regional Program.)

**Sustainable Agriculture Centre for Research and Development in Africa**, Nairobi, Kenya: \$58,225 in support of research to evaluate the adaptability and seed production potential of the New Rice for Africa varieties in different agro-ecologies and socioeconomic settings in western Kenya.

**Swiss Federal Institute of Technology Zürich**, Zürich, Switzerland: \$134,430 toward the costs of Ph.D. training for a Kenyan scientist who will develop skills in the use of molecular techniques for the improvement of cassava.

**Tamil Nadu Agricultural University**, Coimbatore, India: \$55,000 toward the costs of developing seed delivery systems and initiating socioeconomic assessments of new drought-tolerant rice varieties for south India.

**Texas A&M University**, College Station, Texas: \$22,717 in support of Ph.D. training in maize breeding, with emphasis on tolerance to drought and low soil nitrogen, for two students from southern Africa.

**University of Agricultural Sciences**, Bangalore, India: \$45,000 toward the costs of developing seed dissemination systems and initiating a socioeconomic impact assessment related to the adoption of new drought-tolerant rice varieties in southern India.

**University of California, San Diego**, La Jolla, California: \$200,000 in support of research to develop a strategy to control the parasitic nematodes that affect the East African Highland Banana.

**University of Georgia**, Athens, Georgia: \$10,000 for use by its College of Agricultural and Environmental Sciences to enable developing-country scientists to attend the Plant and Animal Genome XIV meeting held in San Diego, California, January 2006.

**University of KwaZulu-Natal**, KwaZulu Natal, South Africa: \$1,211,498 for use by its African Center for Crop Improvement to provide young scientists from eastern and southern Africa with Ph.D. training in modern crop breeding.

**University of Nairobi**, Nairobi, Kenya: \$8,429 in support of research assessing the likelihood of insect pests becoming resistant to insecticidal proteins produced in transgenic maize.

**University of Pretoria**, Pretoria, South Africa: \$285,103 toward the costs of establishing a crop biotechnology research laboratory and training facility for young African scientists at its Forestry and Agricultural Biotechnology Institute.

**University of Wales, Bangor**, Bangor, Wales: \$159,706 toward the costs of using farmer participatory approaches to develop and disseminate new drought-tolerant rice varieties to poor farmers in eastern India, in collaboration with Birsa Agricultural University and the Gramin Vikas Trust.



**University of Zambia**, Lusaka, Zambia: \$270,500 toward the costs of providing Master of Science training in plant breeding to National Program scientists charged with creating new crop varieties for southern Africa.

**Winrock International Institute for Agricultural Development**, Little Rock, Arkansas: \$20,000 in support of a conference to explore public/private partnerships to facilitate the development of drought-tolerant crops for poor farmers in the developing world.

#### >INTERNATIONAL PUBLIC GOODS FOR POOR FARMERS

*Ensuring that national scientists and others working on behalf of poor farmers in developing countries have access to the best knowledge, scientific tools and scientific networks available worldwide.*

**African Agricultural Technology Foundation**, Nairobi, Kenya: \$478,500 for general support of its mission to develop and implement projects for transferring proprietary technologies that meet the needs of smallholder farmers in sub-Saharan Africa.

**Cornell University**, Ithaca, New York: \$34,400 toward the costs of disseminating The Essential Electronic Agricultural Library to sub-Saharan universities and agricultural research institutions.

**Friends of Global Crop Diversity, Ltd.**, Philadelphia, Pennsylvania: \$105,000 in support of its plan to support three related activities of the Global Crop Diversity Trust: (1) building a trust fund to support global crop germplasm conservation; (2) collaborating with the East African Plant Genetic Resources Network to develop a strategy for germplasm conservation in East Africa; and (3) promoting understanding of the International Treaty on Plant Genetic Resources for Food and Agriculture, particularly in countries that are not currently parties to the Treaty. *(Joint with Africa Regional Program and Global Inclusion.)*

**International Service for the Acquisition of Agri-Biotech Applications**, Ithaca, New York: \$100,000 in support of its efforts to expand and strengthen its Global Knowledge Center for Crop Biotechnology.

**Keystone Symposia on Molecular and Cellular Biology**, Silverthorne, Colorado: \$10,000 toward the costs of travel for African scientists to attend its 2006 conference entitled, Plant Responses to Abiotic Stress, held in Copper Mountain, Colorado, April 2006.

**University of California, Davis**, Davis, California: \$912,203 in support of the development of the consortium named the Public Intellectual Property Resource for Agriculture.

#### >MARKETS TO RAISE INCOMES OF POOR FARMERS

*Supporting the development of policies and approaches to create functional and accessible markets that can help supply African farmers with the inputs they need, and offer greater opportunities to generate income from their productivity.*

**African Economic Research Consortium**, Nairobi, Kenya: \$500,000 toward the costs of the Collaborative Master of Science Program in Agricultural and Applied Economics designed to enhance the training of agricultural economists in East, central and southern Africa.

**CARE USA**, Atlanta, Georgia: \$200,000 toward the costs of assisting smallholder horticulture farmers in Kenya to meet market quality and certification requirements for export markets.

**Citizens Network for Foreign Affairs**, Washington, D.C.: \$500,000 toward the costs of building agricultural input markets in Malawi that can better serve poor farmers in disadvantaged rural areas.

**Cornell University**, Ithaca, New York: \$96,342 in support of field research in Africa conducted by an interdisciplinary cohort of Kenyan Ph.D. fellows in its African Food Security and Natural Resource Management Program.

**Egerton University**, Njoro, Kenya: \$254,771 for use by its Tegemeo Institute of Agricultural Policy and Development to help design and generate the database needed to monitor and evaluate the impact of selected interventions for agricultural development in western Kenya.

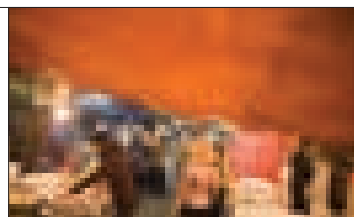
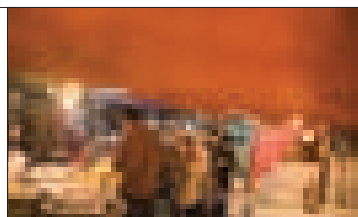
**Food and Agriculture Organization of the United Nations**, Rome, Italy: \$180,000 toward the costs of policy research on building and strengthening market linkages and supply chains in Africa and Asia.

**Foundation-administered project**: \$40,000 toward the costs of convening consultative meetings and facilitating travel to relevant meetings related to the Foundation's efforts to expand input and output markets in Africa.

**Foundation-administered project**: \$100,000 toward the costs of meetings, technical assistance and public outreach related to the African Fertilizer Summit, held in Abuja, Nigeria, June 2006.

**International Center for Tropical Agriculture**, Cali, Colombia: \$589,050 for use by its Tropical Soil Biology Fertility Institute, in collaboration with Moi University's Academic Model for the Prevention and Treatment of HIV/AIDS, to test a model for improving the food security, nutrition, health and incomes of rural populations, particularly those affected by HIV/AIDS, through the incorporation of soybeans and soybean milk into the diets of adults, children and infants. *(Joint with Health Equity.)*

**International Center for Tropical Agriculture**, Cali, Colombia: \$155,650 for use by its Tropical Soil Biology and Fertility Institute for research to expand the production and commercialization of soybeans by smallholder farmers in East Africa.



## Health Equity

**International Fertilizer Development Center**, Muscle Shoals, Alabama: \$600,000 toward the costs of the Africa Fertilizer Summit, to be held in Abuja, Nigeria, June 2006.

**International Plant Genetic Resources Institute**, Rome, Italy: \$50,000 for use by its International Network for the Improvement of Banana and Plantain toward the costs of preparing for and assuring African participation in an international workshop on the processing and development of banana-based enterprises, held in the Philippines, May 2005.

**Makerere University**, Kampala, Uganda: \$15,550 toward the costs of workshops designed to develop a strategy to strengthen its Department of Agricultural Economics.

**Makerere University**, Kampala, Uganda: \$12,510 toward the costs of a workshop to develop a strategic plan for efficient use of nitrogen fertilizers in African farming systems.

**Market Matters**, Ithaca, New York: \$363,228 toward the costs of its Seeds of Development Program to improve the effectiveness of seed markets serving poor African farmers through research, analysis and management training for local, pro-poor seed companies.

**Ministry of Agriculture and Rural Development, Mozambique**, Maputo, Mozambique: \$299,917 in support of activities to develop decentralized district-level market information systems for poor farmers.

**Sustainable Agriculture Centre for Research and Development in Africa**, Nairobi, Kenya: \$391,574 in support of a cereal banking network for collective grain storage, bulking and marketing of maize by poor farmers in western Kenya.

**Uganda Development Trust**, Kampala, Uganda: \$70,000 in support of its project to identify and strengthen viable agribusinesses as a source of markets for smallholder farmers in Uganda.

**University of Botswana**, Gaborone, Botswana: \$14,999 toward the costs of participation of African scientists at the Annual Conference and Food Exposition of the Institute of Food Technologists, held in New Orleans, Louisiana, July 2005.

**University of Malawi**, Zomba, Malawi: \$306,390 for use by its Bunda College of Agriculture to establish a market information system to improve access to market price information for smallholder farmers in Malawi.

**University of Pretoria**, Pretoria, South Africa: \$25,000 for use by its Centre for Environmental Economics and Policy in Africa toward the costs of its regional master's degree program in environmental economics and policy.

### Grants, fellowships and other philanthropic investments in 2005: \$9,502,000.

→ **GOAL:** To reduce avoidable and unfair differences in the health status of populations within and among countries.

### > DEVELOPING BETTER HEALTH PRODUCTS FOR POOR PEOPLE

*Working to accelerate the development of, and eventual access to affordable drugs and vaccines against diseases such as HIV/AIDS, tuberculosis and malaria, through support for public/private partnerships that combine business models with a social mission.*

#### **BIO Ventures for Global Health**, Washington, D.C.:

\$100,000 to explore the feasibility of building partnerships and transferring technology between pharmaceutical companies and universities in the North and in the South that will accelerate the development of new products to address diseases of the poor in developing countries.

#### **Centre for the Management of Intellectual Property in Health Research & Development**, Oxford, England:

\$200,000 for activities in collaboration with the Association of University Technology Managers, a U.S.-Canadian professional society, to improve the management of public-sector technologies and promote the development of health products for poor people in developing countries.

**Foundation-administered project:** \$390,000 to help ensure the sustainability of health product-development partnerships and to implement other recommendations resulting from the Foundation's evaluation of those partnerships.

#### **Global Forum for Health Research**, Geneva, Switzerland:

\$500,000 in general support of its mission to increase the amount of research devoted to improving the health of people in developing countries.

#### **International Partnership for Microbicides**, Silver Spring, Maryland:

\$8,000,000 in general support of its mission to prevent HIV transmission by accelerating the development and availability of safe and effective microbicides for use by women in developing countries.

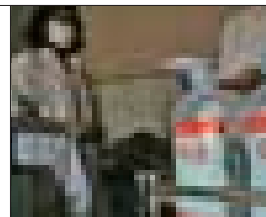
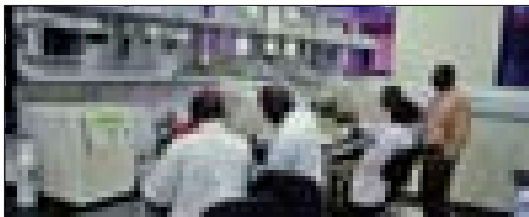
**William Alan Muraskin**, New York, New York: \$50,000 to continue documenting the role played by donors, including the Rockefeller Foundation, in the creation of public/private partnerships to develop drugs, vaccines and microbicides to address diseases of the poor in developing countries.

#### **Program for Appropriate Technology in Health**, Seattle, Washington:

\$100,000 toward the costs of evaluating the feasibility of removing intellectual property barriers to the development of malaria vaccines by "pooling" patents for the public good.

#### **Program for Appropriate Technology in Health**, Seattle, Washington:

\$170,000 toward the costs of exploring the establishment of Equity Investment Partners, L.P., a double-bottom-line venture capital fund that will invest in technologies to fight





infectious diseases and improve maternal and child health in developing countries, and a workshop on financing global health through social venture capital. (*Joint with Global Inclusion, Program Venture Experiment Fund, Creativity & Culture, and Food Security.*)

**University of Toronto**, Toronto, Canada: \$200,000 for use by its Joint Centre for Bioethics toward the costs of a study on the manufacturing capacity of biotechnology and pharmaceutical companies in developing countries, as well as local incentives and disincentives that impact their willingness and ability to address diseases of the poor.

**Wellcome Trust**, London, England: \$35,000 toward the costs of a meeting on bioethics in research that is focused on the post-clinical trial obligations of researchers and sponsors, held in Malawi, March 2005.

### > STRENGTHENING DEVELOPING-COUNTRY HEALTH SYSTEMS

*Addressing the severe shortage of health care workers in developing countries by advancing initiatives on training, employment and retention so that health systems can better address the needs of poor people.*

**AcademyHealth**, Washington, D.C.: \$62,100 toward the costs of its International Recruitment of Nurses Program, which includes a meeting at the Bellagio Study and Conference Center, Italy, July 2005.

**African Council for Sustainable Health Development**, Abuja, Nigeria: \$60,000 toward the costs of bringing African representatives from outside of Nigeria to a meeting on strengthening human resources for health in sub-Saharan Africa, held in Abuja, Nigeria, February 2005.

**African Medical and Research Foundation**, Nairobi, Kenya: \$50,000 toward the costs of a workshop on health systems delivery for African health development professionals.

**Aga Khan Foundation U.S.A.**, Washington, D.C.: \$22,020 for an assessment of the role of public/private partnerships in health insurance schemes for the poor in Tanzania.

**Aspen Institute**, Washington, D.C.: \$75,000 toward the costs of a conference in June 2005 on global women's health organized by its Ethical Globalization Initiative in collaboration with Columbia University's Mailman School of Public Health and the Council of Women World Leaders.

**Gay Men's Health Crisis**, New York, New York: \$50,000 for a conference on overcoming common barriers to scaling up anti-retroviral therapy and strengthening health care systems in developing countries most affected by HIV/AIDS, to be held in Cape Town, South Africa, January 2006.

**Global Health Council**, White River Junction, Vermont: \$150,000 toward the costs of its 2005 annual international conference, and for a meeting at the Bellagio Study and Conference Center, Italy, April 2005 entitled, UNICEF: Leading on Behalf of the World's Children.

**INDEPTH Network**, Accra, Ghana: \$450,000 toward the costs of developing, in collaboration with the University of Witwatersrand, a master's degree scholarship program in population-based field epidemiology for its staff.

**International Health Policy Program, Thailand**, Nonthaburi, Thailand: \$87,130 for a workshop on human resources for health in Asia that may result in the creation of a regional action-learning network on this subject.

**Makerere University**, Kampala, Uganda: \$500,000 for use by its Institute of Public Health toward the costs of strengthening its distance education master's in public health program. (*Joint with Africa Regional Program.*)

**New York University**, New York, New York: \$602,250 to enable its Wagner Graduate School of Public Service to coordinate the activities of a network of global institutions concerned with strengthening the work forces of national health systems, especially in developing countries.

**Physicians for Human Rights**, Cambridge, Massachusetts: \$250,000 toward the costs of strengthening human resources for health through its Health Action AIDS Campaign in sub-Saharan Africa.

**Population Association of America**, Silver Spring, Maryland: \$30,000 to enable developing-country scholars to attend its annual meeting in Los Angeles, March 2006.

**Population Council**, New York, New York: \$44,800 to enable participants from Ethiopia to attend a workshop planned in collaboration with the Navrongo Health Research Centre to inform African health officials about the evidence-based strategies used in Ghana's community-based health planning and services program.

**University of California, San Francisco**, San Francisco, California: \$74,750 for activities related to developing a franchise system to improve the delivery of TB- and AIDS-related health care to poor people in sub-Saharan Africa.

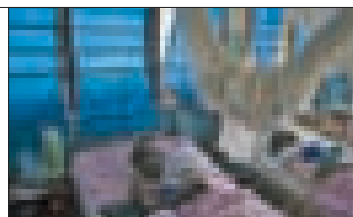
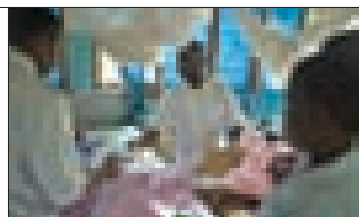
**World Health Organization**, Geneva, Switzerland: \$282,500 to help its Evidence and Information for Policy division implement recommendations made by the Joint Learning Initiative on Human Resources for Health.

### > RISING TO THE CHALLENGE OF AIDS

*Addressing inequities based on gender and social or economic status in the spread of and the response to the HIV/AIDS epidemic and to strengthen long-term clinical care in sub-Saharan Africa.*

**Africa Health and Development International**, Nairobi, Kenya: \$275,000 for development of an East African learning network on strategies to help families cope with AIDS, linked to a similar effort in the Greater Mekong Sub-region.

**AIDS ACCESS Foundation**, Bangkok, Thailand: \$280,090 toward the costs of expanding its regional training institute, which addresses prevention of HIV infection and care and support of people living with HIV/AIDS in the Greater Mekong Sub-region.



## Health Equity

**AIDS Support Organisation**, Kampala, Uganda: \$183,080 for activities designed to enhance the support it provides to community-based organizations helping families cope with the effects of AIDS and for the work of its drama groups in educating communities on household vulnerability to HIV/AIDS and the role the community can play in providing medical and socioeconomic support.

**Axios Foundation**, Cleveland, Ohio: \$150,000 for a project in collaboration with the Ministry of Health, Tanzania, to assess the impact of an integrated prevention of mother-to-child transmission of HIV program in rural Tanzania on the development of the health system.

**Cheikh Anta Diop University**, Dakar-Fann, Senegal: \$32,000 to enable the participation of 10 AIDS activists or people living with HIV/AIDS from sub-Saharan Africa at a meeting on social science research in HIV/AIDS, held in Dakar, Senegal, October, 2005.

**Foundation-administered project**: \$225,000 toward the costs of bringing together social scientists and other investigations to consider state-of-the-art research and approaches to HIV/AIDS, with attention to potential strategies for addressing health challenges in East Africa and Southeast Asia.

**Gynuity Health Projects**, New York, New York: \$45,000 toward the costs of a meeting on possible links between hormonal contraception and HIV transmission, held at the New York Academy of Sciences, May 2005.

**International Labour Organization**, Geneva, Switzerland: \$149,720 toward the costs of a feasibility study and capacity-building activities in Cambodia that explore and build the potential to introduce social protection schemes that would reduce the impact of HIV on poor households.

**Ipas**, Chapel Hill, North Carolina: \$79,900 toward the costs of a regional conference on the links between HIV/AIDS, contraception and abortion in sub-Saharan Africa.

**Johns Hopkins University**, Baltimore, Maryland: \$348,410 for use by JHPIEGO-Kenya, in collaboration with the African Population and Health Research Institute, to develop a comprehensive HIV/AIDS care model for households in poor Nairobi settlements.

**Joint Clinical Research Centre**, Kampala, Uganda: \$197,720 for activities to complete its African Dialogue on AIDS Care program, which promotes research on HIV/AIDS care and treatment in sub-Saharan Africa.

**Joint Clinical Research Centre**, Kampala, Uganda: \$550,000 for its continued participation in a multicenter clinical trial coordinated by the Medical Research Council, United Kingdom, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa.

**Khemara**, Phnom Penh, Cambodia: \$200,000 toward the costs of developing a community-based model that addresses the continuum of needs among HIV-affected households in urban Cambodia.

**Lundy Foundation**, Denver, Colorado: \$150,000 toward the costs of evaluating the development and initial impact of a community-based children's center in Tanzania on the physical and psychosocial needs of HIV/AIDS orphans and other vulnerable children.

**McMaster University**, Hamilton, Canada: \$23,000 for use by its School of Nursing for workshops covering HIV/AIDS and other global health issues facing women and children as part of an international conference held in Dhaka, Bangladesh, February 2006.

**Merlin, U.S.A.**, Lingfield, England: \$99,960 for use by its Nairobi office to identify the coping mechanisms used by HIV/AIDS-affected households in areas of Nyanza province, Kenya, that are served by NGOs and areas not receiving such services.

**Ministry of Women's Affairs, Cambodia**, Phnom Penh, Cambodia: \$135,000 in support of its efforts to raise awareness in Cambodia and in the Greater Mekong Sub-region of gender vulnerability to HIV/AIDS and to promote approaches that redress gender inequities.

**Population Communication Africa**, Nairobi, Kenya: \$96,000 for the planning phase of studies designed to examine the usefulness of a nutritional supplement taken by many people living with AIDS in sub-Saharan Africa.

**Raks Thai Foundation**, Bangkok, Thailand: \$269,820 for development of a Greater Mekong Sub-regional learning network on strategies to help families cope with AIDS, linked to a similar effort in East Africa.

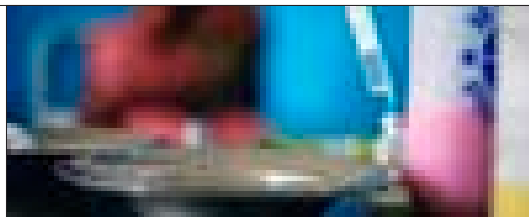
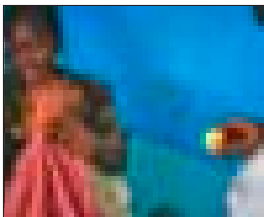
**Traditional and Modern Health Practitioners Together Against AIDS and Other Diseases**, Kampala, Uganda: \$459,320 toward the costs of strengthening partnerships among the various health systems in Uganda to improve the quality of HIV/AIDS, malaria, and tuberculosis prevention and care.

**Trust for Indigenous Culture and Health**, Nairobi, Kenya: \$195,000 for activities designed to broaden AIDS treatment options for people in sub-Saharan Africa.

**University of Zimbabwe**, Harare, Zimbabwe: \$587,310 for the continued participation of its Parirenyatwa Hospital in a multicenter clinical trial sponsored by the Medical Research Council, United Kingdom, to assess the safety and effectiveness of two strategies for the use of anti-retroviral drugs against HIV/AIDS in sub-Saharan Africa.

**Urban Sector Group**, Phnom Penh, Cambodia: \$149,060 toward the costs of demonstrating, with partners, a model of integrated health services, financing and community-empowerment programs targeting poor households vulnerable to HIV in the urban slums of Phnom Penh.

**Women's Health Advocacy Foundation**, Bangkok, Thailand: \$85,980 in continued support of its efforts to strengthen media professionals' reporting of sexual and reproductive health issues, especially as they relate to gender inequality, partner relations and HIV/AIDS.



**Grants, fellowships and other philanthropic investments in 2005: \$28,469,000.**

**> GOAL:** To enhance economic opportunity, resilience and security in areas of the United States where poverty is most concentrated.

**> ADEQUATE SCHOOL FINANCE**

*Supporting research that illuminates disparities in educational quality, as well as efforts to engage the public and policymakers on strategies and models that can help address those disparities.*

**Aspen Institute**, Washington, D.C.: \$175,000 for use by its Education and Society Program toward the costs of a conference of educators to analyze lessons learned from Organisation for Economic Co-operation and Development member countries on recruiting, training and sustaining qualified teachers, to inform the improvement of teaching and learning in the United States.

**Campaign for College Opportunity**, Oakland, California: \$75,000 in general support of its mission to ensure that the next generation of college-age students in California has the opportunity to attend college as promised by the state 1960 Master Plan for Higher Education.

**Campaign for Fiscal Equity**, New York, New York: \$100,000 toward the costs of expanding the annual conferences of its Advocacy Center for Children's Educational Success with Standards initiative to examine and raise awareness about the relationship between adequate school finance reform and the standards required by the federal No Child Left Behind Act.

**Campaign for Fiscal Equity**, New York, New York: \$500,000 in general support of its mission to reform New York State's school finance system to ensure adequate resources and the opportunity for a sound basic education for all students in New York.

**Center for Applied Linguistics**, Washington, D.C.: \$75,000 to complete research on the impact of the Sheltered Instruction Observation Protocol model on the academic performance of middle- and high-school students whose first language is not English.

**Center on Education Policy**, Washington, D.C.: \$100,000 toward the costs of disseminating findings from a comparative study of school finance issues related to state-mandated high school exit examinations.

**Education Law Center**, Newark, New Jersey: \$75,000 toward the costs of developing a set of tools, using its Abbott Indicators Project in New Jersey as a model, to enable schools and communities to generate indicators of school reform and use the data to develop an improvement agenda.

**Foundation-administered project:** \$128,000 toward the cost of external advisers to assist in the management of the Foundation's work focused on adequate school financing.

**Foundation-administered project:** \$261,300 toward the costs of (1) an evaluation of the Foundation's Adequate

School Financing area of work and (2) a comprehensive review of the Foundation's 90-year history of grantmaking in education reform.

**Institute for Wisconsin's Future**, Milwaukee, Wisconsin: \$500,000 in general support of its mission (1) to inform Wisconsin residents about issues and policies that affect their lives and (2) to increase citizen participation in public debates and decision making on those policies.

**Institute on Taxation and Economic Policy**, Washington, D.C.: \$25,000 in general support of its mission to keep policy-makers and the public informed of the effects of current and proposed tax policies on fairness, government budgets and sound economic policy.

**New York Community Trust**, New York, New York: \$150,000 toward the costs of the Donors' Education Collaborative, a joint grantmaking effort of New York-based public-education funders, to promote broad public engagement in systemic public-school reform in New York City.

**New York State School Boards Association**, Latham, New York: \$150,000 toward the costs of a research project aimed at facilitating sound planning and implementation of fiscal and academic improvement strategies in 57 small city school districts in New York State.

**New York University**, New York, New York: \$50,000 for use by its Steinhardt School of Education's Metropolitan Center for Urban Education toward the costs of a national summit to explore new strategies for improving educational outcomes for all children in the United States.

**PolicyLink**, Oakland, California: \$100,000 toward the costs of research to inform and shape policy development and advocacy strategies that promote equitable funding for public school facilities construction in California.

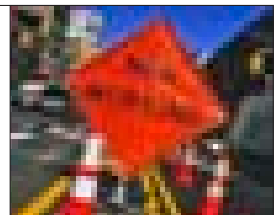
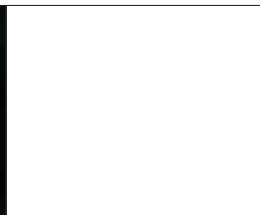
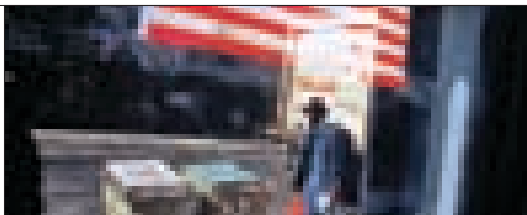
**Public Policy and Education Fund of New York**, Albany, New York: \$650,000 toward the costs of its Education Project, to expand and conduct public education, research, policy analysis and leadership training to contribute to New York State's school finance reform efforts.

**Syracuse University**, Syracuse, New York: \$100,000 for use by its Maxwell School of Citizenship and Public Affairs' Center for Policy Research to conduct research and policy analysis on key issues facing school finance reform in New York State.

**Teachers College, Columbia University**, New York, New York: \$100,000 for use by its Gottesman Libraries to complete and field-test its comprehensive digital archive of documents related to school finance reform activities in New York State.

**University of California, Santa Cruz**, Santa Cruz, California: \$100,000 for use by its New Teacher Center to study the implementation and impact of New York City's new teacher induction initiative and develop recommendations based on the lessons learned.

**University of Wisconsin-Madison**, Madison, Wisconsin: \$500,000 for use by its Wisconsin Center for Education Research toward the costs of research and policy analysis on key issues in school finance reform in the state of Wisconsin and in the United States.



## Working Communities

### >BUILDING MIXED-INCOME COMMUNITIES

*Working to increase the supply of affordable housing through investments in nonprofit community development corporations, and through research, advocacy and public/private partnerships.*

**Association for Neighborhood & Housing Development**, New York, New York: \$250,000 in general support of its mission to ensure decent housing and neighborhoods for the people of New York City, especially the poor and working class.

**Brookings Institution**, Washington, D.C.: \$100,000 for use by its Urban Markets Initiative toward the costs of managing the development of a Web-based tool to facilitate direct electronic access to community-level statistics from nationwide data sources.

**Brookings Institution**, Washington, D.C.: \$333,000 for use by its Metropolitan Policy Program toward the costs of its Urban Markets Initiative, an information tool used to measure economic power within and around inner-city communities and create knowledge about new investment opportunities in those communities.

**Calvert Foundation**, Bethesda, Maryland: \$300,000 toward the costs of its Calvert Community Investment Note program, which finances nonprofit affordable housing developers, community development corporations and community development financial institutions serving low-income families.

**CEOs for Cities**, Chicago, Illinois: \$250,000 toward further investigation and dissemination of the findings of its Changing Dynamics of Urban America project, which aims to keep cities economically competitive and elevate urban issues in national policy debates.

**Columbia University**, New York, New York: \$125,000 for use by its Institute for Social and Economic Research and Policy toward the costs of: (1) a longitudinal study that examines the social conditions of housing and inequality in Chicago resulting from changes to the city's public housing system and (2) the distribution of a documentary, "Dislocation," chronicling the relocation experiences of families from those communities.

**Columbia University**, New York, New York: \$88,000 for use by its Earth Institute toward the costs of activities related to World Habitat Day and a workshop on Achieving the Millennium Development Goals aimed at identifying innovative ways for middle-income countries and their cities to improve housing in low-income communities.

**Common Ground**, New York, New York: \$125,000 toward the costs of a collaborative multicity initiative to develop and implement new and more effective strategies to end chronic urban homelessness in up to 50 communities across the country.

**Corporation for Supportive Housing**, New York, New York: \$725,000 in general support of its mission to help communities create permanent housing with services to prevent and to end chronic homelessness.

**East Baltimore Development Inc.**, Baltimore, Maryland: \$100,000 in general support of its mission to facilitate and redevelop East Baltimore's waterfront and industrial communities by expanding economic, housing and human service opportunities in the area.

**Enterprise Foundation**, Columbia, Maryland: \$250,000 in general support of its mission to enable all low-income people in the United States to have the opportunity for decent and affordable housing and to move up and out of poverty.

**Enterprise Foundation**, Columbia, Maryland: \$500,000 toward the start-up costs of the Community Recovery Fund, a partnership with the Local Initiatives Support Corporation, that will provide funding and technical assistance to, and advocate for, areas affected by Hurricane Katrina.

**Foundation-administered project**: \$100,000 toward the costs associated with the establishment of the New York City Affordable Housing Loan and Guarantee Fund, a new public/private partnership.

**Foundation-administered project**: \$100,000 toward the costs ongoing consultations with Foundation grantees, scholars and practitioners to review existing strategies to increase affordable housing, encourage economic resilience and improve education financing in the United States.

**Funders' Network for Smart Growth and Livable Communities**, Coral Gables, Florida: \$250,000 in general support of its mission to strengthen and expand philanthropic funders' abilities to support organizations working to build more livable communities through smarter growth policies and practices.

**Greater New Orleans Foundation**, New Orleans, Louisiana: \$250,000 in support of its Rebuild New Orleans Fund designated for the relief, recovery and improvement of communities and their infrastructures in areas affected by Hurricane Katrina.

**Habitat for Humanity International**, Americus, Georgia: \$150,000 toward the costs of developing a five-year organizational strategic plan focusing on scaling up services to those in need of decent and affordable housing.

**Habitat for Humanity International**, Americus, Georgia: \$500,000 toward the costs of its Hurricane Katrina response project, Operation Home Delivery.

**Harvard University**, Cambridge, Massachusetts: \$175,950 for use by its Joint Center for Housing Studies in support of the development of a global network business plan to mobilize domestic finance capital for housing in low-income communities in developing countries.

**Harvard University**, Cambridge, Massachusetts: \$250,000 for use by its John F. Kennedy School of Government toward the costs of a research initiative to identify new strategies that build societal cohesion, enhance economic equality, and connect diverse communities on local and national levels.

**Interfaith Worker Justice**, Chicago, Illinois: \$200,000 in general support of its mission to educate, organize and mobilize the religious community in the United States to improve wages, benefits and working conditions, especially for low-wage workers.

**Jacobs Center for Neighborhood Innovation**, San Diego, California: \$60,000 toward the costs of evaluating the community ownership strategy for its project, Market Creek Plaza, a community complex planned, designed and built with and for low-income residents in a distressed neighborhood of San Diego, California.



**Living Cities, Inc.: The National Community Development Initiative**, New York, New York: \$2,166,000 for continued support of the second 10-year phase of the National Community Development Initiative.

**Local Initiatives Support Corporation**, New York, New York: \$100,000 for use by its Twin Cities office toward the costs of the Payne-Lake Community Partners Initiative, an initiative to connect people and place in the neighborhoods surrounding two aging commercial corridors in Minneapolis and St. Paul, Minnesota.

**Local Initiatives Support Corporation**, New York, New York: \$250,000 in general support of its mission to assist community development corporations in their efforts to transform distressed urban neighborhoods into healthy and working communities.

**Local Initiatives Support Corporation**, New York, New York: \$500,000 toward the start-up costs of the Community Recovery Fund, a partnership with the Enterprise Foundation, that will provide funding and technical assistance to, and advocate for, areas affected by Hurricane Katrina.

**Mercy Housing**, Denver, Colorado: \$240,000 toward the costs associated with the potential merger of a national affordable housing provider with a supportive housing agency in metropolitan Chicago and documenting the lessons learned to develop a framework for similar mergers.

**National Alliance to End Homelessness**, Washington, D.C.: \$150,000 in general support of its mission to mobilize the nonprofit, public and private sectors of society in an alliance to end homelessness in the United States.

**National Community Reinvestment Coalition**, Washington, D.C.: \$75,000 in general support of its mission to increase fair and equal access to credit, capital, and banking services and products by providing tools and strategies to build economic well-being in underserved communities in the United States.

**National Housing Institute**, Montclair, New Jersey: \$200,000 in general support of its mission to examine key issues affecting affordable housing and economic opportunities for residents of low- to moderate-income neighborhoods.

**National Housing Law Project**, Oakland, California: \$200,000 in general support of its mission to advance housing justice for low-income people.

**National Law Center on Homelessness & Poverty**, Washington, D.C.: \$150,000 in general support of its mission to serve as the legal arm of the national movement to prevent and end homelessness.

**National Low Income Housing Coalition**, Washington, D.C.: \$300,000 in general support of its mission to end the affordable housing crisis in the United States.

**National Trust for Historic Preservation**, Washington, D.C.: \$250,000 for use by its Department of Community Revitalization toward the costs of restructuring its work to use preservation-based community development as a means of restoring cities and neighborhoods.

**Neighborhood Funders Group**, Washington, D.C.: \$25,000 toward the costs of establishing an association of grantmakers who use program-related and other investments to support community-based efforts to improve the economic and social fabric of low- and moderate-income urban neighborhoods.

**NeighborWorks® America**, Washington, D.C.: \$100,000 toward the start-up costs for nationwide implementation of its Success Measures initiative, an integrated system of training and technology support that helps community-development organizations evaluate the results of affordable housing, community building and economic development efforts.

**Next American City**, New Haven, Connecticut: \$50,000 in support of publishing two issues of its magazine aimed at community development field practitioners, the first on the future of integration and segregation in America and the second on new approaches to transportation.

**Pacific Community Ventures**, San Francisco, California: \$150,000 toward the costs of (1) measuring the social return on its venture capital investment in low-income communities across California and (2) developing a strategy to disseminate the findings nationally to economic, workforce and community development organizations.

**PolicyLink**, Oakland, California: \$490,000 in general support of its mission to inform, from the wisdom, voice and experience of local constituencies, a new generation of policies that achieve social and economic equity, expand opportunity and build strong, organized communities.

**Regional Plan Association**, New York, New York: \$200,000 toward the costs of an initiative to identify strategies for sustainable and equitable development in the New York City metropolitan area.

**Texas Low Income Housing Information Service**, Austin, Texas: \$200,000 in general support of its mission to aid low-income Texans' efforts to achieve the American dream of a decent, affordable home in a quality neighborhood.

**University of Texas at Austin**, Austin, Texas: \$200,000 for use by its School of Architecture's Partnership for Quality Growth and Preservation in support of its Texas Housing Research Consortium.

**Urban Institute**, Washington, D.C.: \$100,000 toward the costs of the final phase of a research initiative that examines the impact of three U.S. Department of Housing and Urban Development projects that tested different strategies to transform public housing in several urban cities.

**Urban Institute**, Washington, D.C.: \$200,000 in continued support of an analysis of the effects on participating families of the federal Moving to Opportunity program, which moved public housing residents out of distressed neighborhoods by using housing vouchers.

**Urban Institute**, Washington, D.C.: \$210,000 toward continued support of a longitudinal study to assess how the HOPE VI program, in which distressed developments are being demolished and replaced with mixed-income housing, is affecting the health and well-being of original, displaced residents.



## Working Communities

**Urban Institute**, Washington, D.C.: \$25,000 toward the costs of a series of policy essays on best practices in housing, employment, education and transportation that aims to inform the rebuilding effort in New Orleans following Hurricane Katrina.

**Urban Institute**, Washington, D.C.: \$50,000 in support of a comprehensive review of the existing research literature on the benefits and costs of racial, ethnic and economic diversity for children, adults and communities.

**Urban League of Greater New Orleans**, New Orleans, Louisiana: \$250,000 toward the costs of its Katrina Relief and Rebuilding New Orleans Initiatives that aim to ensure full participation and equity for all citizens in rebuilding the city of New Orleans, Louisiana.

### > CALIFORNIA WORKS FOR BETTER HEALTH

*A joint initiative of the California Endowment and the Rockefeller Foundation that is working to improve the health of California residents living in low-income communities.*

**The California Endowment**, Woodland Hills, California: \$2,000,000 in support of the second phase of its California Works for Better Health project, which is designed to improve the health and economic opportunity of residents of the Fresno, Los Angeles, Sacramento and San Diego, California, regions.

### > ENCOURAGING ECONOMIC RESILIENCE

*Supporting research and policy engagement to better understand the challenges faced by low-wage workers, and to identify approaches at the state and national levels that can assist them in entering the economic mainstream.*

**Advancement Project**, Washington, D.C.: \$150,000 in general support of its mission to advance the field of racial justice by using law, public policy and strategic communications to increase universal opportunity, equity and access in America.

**Asian Pacific American Legal Center of Southern California**, Los Angeles, California: \$150,000 in general support of its mission to provide multilingual, culturally sensitive legal services, education and civil rights support to southern California's growing Asian Pacific American population.

**Brandon Roberts and Associates**, Chevy Chase, Maryland: \$125,000 toward the costs of its Working Poor Families project that assesses state efforts to assist the working poor to achieve economic self-sufficiency.

**California Partnership for Working Families**, Los Angeles, California: \$550,000 in general support of its mission to ensure that community benefits and good jobs are a priority of local economic development efforts in California and nationwide.

**Center for Community Change**, Washington, D.C.: \$400,000 in general support of its mission to help low-income people build powerful, effective organizations through which they can change their communities and improve public policies that adversely affect their lives.

**Center for Economic and Policy Research**, Washington, D.C.: \$200,000 in general support of its mission to promote informed debate on critical economic and social issues that affect people's lives.

**Center for Labor and Community Research**, Chicago, Illinois: \$75,000 in continued support of its Food Chicago program, which operates a skills-based training and placement program for food manufacturers in the Chicago region and promotes better regionally-based public and private workforce investment practices.

**Center for Law and Social Policy**, Washington, D.C.: \$300,000 in general support of its mission to undertake research, policy analysis, public education and technical assistance to advance the economic security, education and workforce prospects of low-income working families.

**Center for Public Policy Priorities**, Austin, Texas: \$200,000 in general support of its mission to improve public policies and private practices in Texas to better address the economic and social needs of low- and moderate-income Texans.

**Center on Budget and Policy Priorities**, Washington, D.C.: \$550,000 in general support of its mission to improve federal and state policies affecting low- and moderate-income families and individuals.

**Chicago Jobs Council**, Chicago, Illinois: \$100,000 in general support of its mission to ensure access to employment and career-advancement opportunities for low-income and disadvantaged job seekers and low-wage workers.

**Children's Defense Fund**, Washington, D.C.: \$250,000 in general support of its mission to improve the lives of low-income children and families in the United States.

**City Futures**, New York, New York: \$100,000 in general support of its mission to improve the overall economic health of New York City and create job opportunities for low-income and working-class New Yorkers.

**City University of New York**, New York, New York: \$75,000 for use by its Joseph S. Murphy Institute for Worker Education and Labor Studies in support of a project aimed at building labor and community coalitions in New York City to advance public policy solutions.

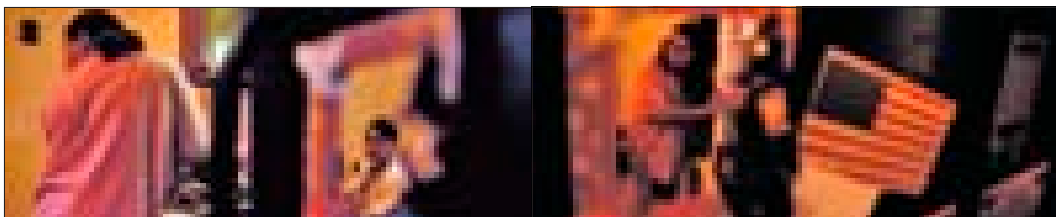
**Community Service Society of New York**, New York, New York: \$80,000 toward the costs of a research project, *The Unheard Third*, to survey and publish data on the economic and community concerns of low-income residents in New York City.

**Community Voices Heard**, New York, New York: \$190,000 in general support of its mission to expand economic opportunity, jobs and access to education, and training for low-income people in New York City.

**Economic Policy Institute**, Washington, D.C.: \$350,000 in general support of its mission to provide high-quality economic research and education in order to promote a prosperous, fair and sustainable economy in the United States.

**Fiscal Policy Institute**, Latham, New York: \$150,000 in general support of its mission to increase public and governmental understanding of issues related to the fairness of New York state's tax system and the stability and adequacy of state and local public services.

**Fund for the City of New York**, New York, New York: \$50,000 for use by its Agenda for Children Tomorrow's One City



Strategy project, which promotes neighborhood-based integration of public and private workforce development and social services to poor families in five New York City neighborhoods.

**Fund for the City of New York**, New York, New York: \$90,000 toward the costs of its project, the New York City Employment and Training Coalition, which helps employment service providers increase access to high-quality employment and training for low-income New Yorkers with employment barriers.

**Good Jobs First**, Washington, D.C.: \$275,000 in general support of its mission to assist constituency-based organizations and policymakers who seek to make state and local economic development policies more transparent and responsive to the public.

**Heartland Alliance**, Chicago, Illinois: \$100,000 toward the costs of expanding the National Transitional Jobs Network, a coalition of independently operated programs and policy centers, which aims to help low-skilled individuals gain access to the supports and training experience necessary to get and keep quality jobs.

**Institute on Taxation and Economic Policy**, Washington, D.C.: \$150,000 in general support of its mission to keep policymakers and the public informed of the effects of current and proposed tax policies on tax fairness, government budgets and sound economic policy.

**Jobs for the Future**, Boston, Massachusetts: \$400,000 in general support of its mission to develop and implement effective strategies for expanding economic opportunity for the urban working poor.

**Lawyers' Committee for Civil Rights Under Law**, Washington, D.C.: \$100,000 in general support of its mission to ensure equal opportunity for minorities by addressing, through the law, factors that contribute to racial justice and economic opportunity.

**Leadership Conference on Civil Rights Education Fund**, Washington, D.C.: \$100,000 in general support of its mission to use research and education to promote an understanding of the need for national policies that support civil rights and social and economic justice.

**MDCRC**, New York, New York: \$200,000 in continued support of a U.S.-U.K. learning exchange on demonstration projects in order to strengthen the evidence base for policies that improve the well-being of low-income people and for an exploration of opportunities for similar international initiatives.

**MDCRC**, New York, New York: \$254,730 toward the costs of (1) an impact evaluation in three sites that implemented its Jobs Plus demonstration model and (2) dissemination of the evaluation lessons to better replicate the program elsewhere.

**MDCRC**, New York, New York: \$250,000 toward the costs of its Work Advancement and Support Center demonstration project that seeks to affect the earning power of low-wage workers, the quality of life of their families and the capacity of public systems to help such workers stabilize their incomes and advance in the labor market.

**Massachusetts Workforce Alliance**, Somerville, Massachusetts: \$35,000 toward the costs of its Policy Education,

Engagement and Response project that provides technical support to workforce development practitioners serving low-income and low-wage workers in Massachusetts.

**Mexican American Legal Defense and Educational Fund**, Los Angeles, California: \$500,000 in general support of its mission to protect and defend the civil rights of the more than 43 million Latinos living in the United States and its territories.

**NAACP Legal Defense and Educational Fund**, New York, New York: \$150,000 in general support of its mission to secure racial and social justice for all Americans.

**National Asian Pacific American Legal Consortium**, Washington, D.C.: \$140,000 in general support of its mission to advance the human and civil rights of Asian Americans through advocacy, public policy, public education and litigation.

**National Council of La Raza**, Washington, D.C.: \$150,000 toward the costs of its Policy Analysis Center, which conducts research, policy analysis and outreach activities to improve the socioeconomic status of Latinos in the United States.

**National Employment Law Project**, New York, New York: \$250,000 in general support of its mission to promote enforcement and expansion of employment protections for low-income and unemployed workers.

**Native American Rights Fund**, Boulder, Colorado: \$150,000 in general support of its mission to preserve, protect and promote the rights of Native Americans.

**New America Foundation**, Washington, D.C.: \$100,000 for a series of articles on the new interdependencies and risks embedded in global production networks, as part of its Global Commodities Project.

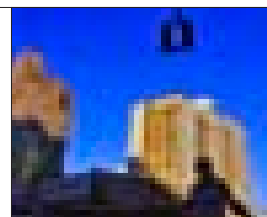
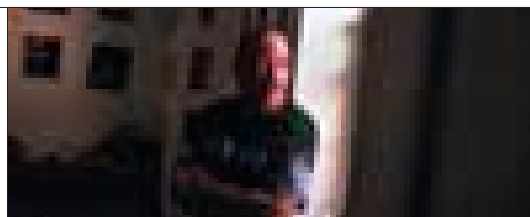
**New Hope Project**, Milwaukee, Wisconsin: \$27,000 toward the costs of an international conference, in collaboration with the University of Wisconsin's Institute for Research on Poverty, to compare lessons learned about implementing a work-based system of welfare reform in the United Kingdom and the United States.

**New York Community Trust**, New York, New York: \$125,000 toward the costs of its New York City Workforce Development Funders Group's New York City Sectors Initiative, which helps low-income job seekers gain access to skills and employment in the health care and aviation industries.

**New York Unemployment Project**, New York, New York: \$125,000 to coordinate the New York Unemployment Insurance Access and Expansion Collaborative, whose aim is to improve access to Unemployment Insurance in immigrant communities in New York City.

**Pratt Institute**, Brooklyn, New York: \$400,000 for use by its Center for Community and Environmental Development in support of a collaboration aimed at advancing accountable economic development in New York City, establishing broad-based community coalitions and improving leadership skills among local community organizations.

**Progressive Technology Project**, Minneapolis, Minnesota: \$150,000 in general support of its mission to elevate the use of information and communication technology by community-based organizations.



## Working Communities

**Puerto Rican Legal Defense and Education Fund**, New York, New York: \$125,000 in general support of its mission to secure, promote and protect the civil and human rights of the Latino community.

**Strategic Concepts in Organizing and Policy Education**, Los Angeles, California: \$225,000 in general support of its mission to develop initiatives that reduce or eliminate structural barriers to economic opportunities for individuals living in disadvantaged communities in Los Angeles and the state of California.

**University of Illinois at Chicago**, Chicago, Illinois: \$325,000 for use by its Center for Urban Economic Development to conduct economic and policy research and provide technical assistance to community groups to improve conditions in economically distressed areas and among marginalized groups. (*Joint with North America Regional Program.*)

**University of Texas at Austin**, Austin, Texas: \$100,000 for use by its Lyndon B. Johnson School of Public Affairs' Ray Marshall Center for the Study of Human Resources toward the costs of implementing the Central Texas Workforce demonstration initiative, a pilot project aimed at increasing training and advancement opportunities for low-income residents interested in careers in nursing and medical-technician fields.

**University of Texas at Austin**, Austin, Texas: \$250,000 for use by its Harry Ransom Humanities Research Center toward the costs of acquiring and maintaining for public access the Watergate Archive, the combined papers of The Washington Post reporters who first reported the story.

**University of Washington**, Seattle, Washington: \$150,000 toward the costs of a research study to examine and analyze the role of global retail firms in shaping the distribution of manufacturing jobs globally.

**Urban Institute**, Washington, D.C.: \$400,000 in support of a longitudinal study in Texas on the challenges facing prisoners upon release and reintegration into society, with a focus on informing re-entry policies at the local, state and national levels.

**Washington Area Women's Foundation**, Washington, D.C.: \$250,000 toward the costs of its Women and Families Financial Independence Initiative to build long-term economic security and financial independence for low-income, women-headed families in the Washington, D.C., metropolitan area.

**William J. Brennan Jr. Center for Justice**, New York, New York: \$150,000 in support of its Economic Justice Project, which uses research and analysis to promote policies that provide New Yorkers, particularly immigrants and people of color, with access to good jobs while encouraging long-term, sustainable economic growth.

**Women's Fund of Miami-Dade County**, Miami, Florida: \$450,000 toward the costs of establishing the Social Justice Institute, which will support accountable development initiatives in South Florida and explore ways to support statewide social change efforts.

## Creativity & Culture

### Grants, fellowships and other philanthropic investments in 2005: \$14,114,000.

**GOAL:** To support the creative work of cultural organizations, artists and humanists that contribute to a diverse cultural landscape and help people and their communities cope in an increasingly global world.

#### > SUPPORT FOR INDIVIDUAL ARTISTS

*Supporting American artists in the performing and media arts fields.*

**Creative Capital Foundation**, New York, New York: \$5,500,000 toward the costs of the Multi-Arts Production Fund, a program that supports the creation of new work in the performing arts.

**Creative Capital Foundation**, New York, New York: \$175,000 toward the costs of enhancing its fund-raising capacity and re-evaluation of its business model for the Professional Development Program, a program that introduces artists to tools for self-management.

**National Video Resources**, New York, New York: \$4,850,000 toward the costs of the Program for Media Artists, a program that supports film, video and multimedia artists.

#### > THE ROLE OF CREATIVITY IN SOCIETY

*Supporting research and other explorations that examine and foster increased understanding of the role of artistic and creative activity within societies.*

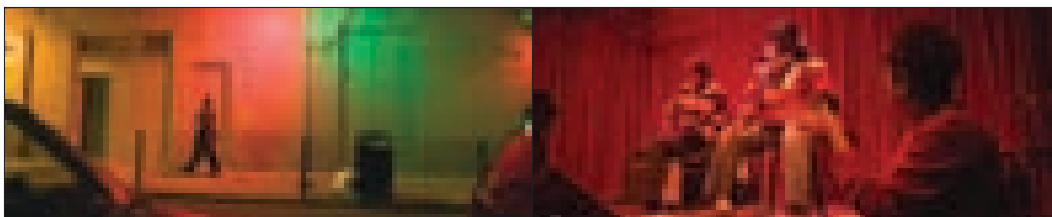
**Aaron Davis Hall, Inc.**, New York, New York: \$200,000 toward the costs of developing and documenting a project aimed at strengthening its work at the nexus between artistic excellence and community and economic development in Harlem, New York.

**American University**, Washington, D.C.: \$100,000 for use by its Center for Social Media toward the costs of research on intellectual property rights issues facing documentary filmmakers.

**American University**, Washington, D.C.: \$158,807 for use by its Center for Social Media to implement its Filmmakers' Statement of Best Practices in Fair Use, develop curricular materials related to the Statement and train lawyers and legal service providers about fair use and copyright.

**Brooklyn Academy of Music**, Brooklyn, New York: \$100,000 toward the costs of the planning phase of a community-engagement program that will enhance the institution's service to the local area.

**City Futures**, New York, New York: \$150,000 for use by its Center for an Urban Future toward the costs of a public education program to launch the report Creative New York, an analysis of the role New York City's creative sector plays in community and economic development.





**Creative Commons**, San Francisco, California: \$250,000 toward the costs of its organizational sustainability assessment and *Remarking the Public Domain*, a project that will help clarify the bounds of the public domain to the creative sector.

**Foundation-administered project:** \$23,000 toward the costs of publishing materials on fellowships opportunities for the final year of the Humanities Residency Program.

**Foundation-administered project:** \$400,000 toward the costs of an assessment and synthesis of the Urban Institute's program on cultural indicators and cultural engagement, and the dissemination of its findings to relevant policymakers and practitioners.

**Grantmakers in the Arts**, Seattle, Washington: \$15,000 toward general operating support of its mission to strengthen the field of private-sector arts and culture grantmaking.

**Leveraging Investments in Creativity**, Boston, Massachusetts: \$100,000 toward the costs of development of its National Information Network for the Arts.

**National Association of Latino Arts and Culture**, San Antonio, Texas: \$25,000 toward the costs of a planning meeting on the future of Latino arts and culture in the changing demographic environment of the United States.

**National Association of Latino Independent Producers**, Santa Monica, California: \$200,000 toward the costs of a strategic planning retreat and three of its signature programs, the Latino Writers Lab, the Latino Producers Academy and the Latino Media Resource Guide, which seek to increase Latino presence in all aspects of media production.

**National Video Resources**, New York, New York: \$15,000 for the ongoing activities of Grantmakers in Film and Electronic Media.

**Public Knowledge**, Washington, D.C.: \$150,000 toward the costs of its project to provide a reliable and innovative information resource on copyright law and communications policy that ensures copyright and communications policies address the creative sector's access to copyrighted works and new digital technologies.

**Urban Institute**, Washington, D.C.: \$550,000 toward the costs of the Arts and Culture Indicators Project's strategy to make arts and culture indicators more useful to policymakers with the goal of including the role of the creative sector as an asset in community building.

**William J. Brennan Jr. Center for Justice**, New York, New York: \$100,000 toward the costs of its Free Expression Policy Project's Fair Use Empowerment Initiative, which seeks to educate the creative community about intellectual property rights in relation to fair use and freedom of expression.

**>REGIONAL PROGRAMMING**

*Supporting arts and humanities programs in Africa and Southeast Asia that reflect the interests and perspectives of poor or marginalized groups, and promote greater appreciation for and tolerance of cultural diversity.*

**Amrita Performing Arts**, Oakland, California: \$231,000 toward the costs of activities to increase opportunities for performing artists and arts groups in Cambodia, such as commissioning new works, researching traditional repertoires and carrying out artists' exchanges.

**African Studies Association (Rutgers)**, New Brunswick, New Jersey: \$12,195 toward the costs of bringing three African scholars to its annual meeting, November 2006.

**Federation for the Development of the Book Sector in Cambodia**, Phnom Penh, Cambodia: \$90,000 toward the costs of a series of promotional, networking and communications activities designed to develop and strengthen a book publishing culture in Cambodia.

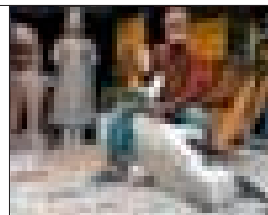
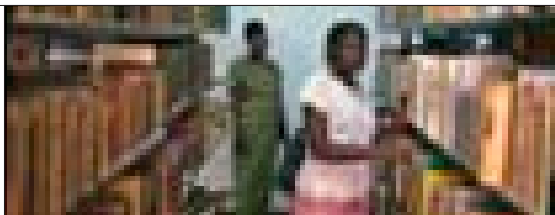
**Feminist Press**, New York, New York: \$132,500 toward the costs of distributing "Women Writing Africa" to university libraries, teacher education and women's studies programs in Africa.

**Foundation-administered project:** \$225,000 toward the costs of a research project that will survey current approaches to arts funding, outline opportunities for new models of support in the cultural sector and suggest possible interventions.

**Harare International Festival of the Arts**, Harare, Zimbabwe: \$35,000 toward the costs of organizing a pan-African festival for the performing and visual arts in 2005.

**Independent Television Service**, San Francisco, California: \$75,000 toward the costs of travel grants to support global representation at INPUT 2005, a media summit committed to the notion of independent media as a critical tool for civic dialogue and democracy.

**Reyum**, Phnom Penh, Cambodia: \$251,480 toward research, public education and outreach activities to encourage understanding of Cambodian cultural forms and toward the organization's stabilization efforts.



## Global Inclusion

### Grants, fellowships and other philanthropic investments in 2005: \$6,635,000.

> **GOAL:** To help broaden the benefits and reduce the negative impacts of globalization on vulnerable communities, families and individuals.

#### > BUILDING SUPPORT FOR GLOBAL AND REGIONAL POLICIES TO BENEFIT THE POOR

*Working to enable developing countries and nongovernmental organizations representing the interests of poor people to more effectively participate in global and regional debates on trade, technology and intellectual property.*

**Advocates Coalition for Development and Environment**, Kampala, Uganda: \$200,000 toward the costs of a project to examine national and global policy processes and how they can be implemented to reduce poverty, stimulate production and conserve genetic resources in rural Uganda, Kenya and Tanzania. *(Joint with Food Security.)*

**Bread for the World Institute**, Washington, D.C.: \$200,000 in general support of its mission to reduce poverty and hunger through research and public education.

**CAMBIA**, Black Mountain, Australia: \$1,675,000 toward the costs of a project to develop, promote, implement and validate a new model for managing intellectual property, stimulating innovation and delivering useful biological technologies based on the principles of open source, collaborative peer research and development. *(Joint with Creativity & Culture, Food Security and Health Equity.)*

**Center for International Environmental Law**, Washington, D.C.: \$150,000 toward the costs of a project to enhance the participation and influence of developing countries in regional and bilateral intellectual property negotiations. *(Joint with Creativity & Culture, Food Security and Health Equity.)*

**Centre for the Management of Intellectual Property in Health Research & Development**, Oxford, England: \$210,000 toward the costs of an electronic version of a handbook on the best practices for management of intellectual property in health and agriculture. *(Joint with Creativity & Culture, Food Security and Health Equity.)*

**Foundation-administered project:** \$225,000 toward the costs of two global meetings addressing policies on intellectual property and for an assessment and synthesis of lessons learned from the Foundation's IP grantmaking. *(Joint with Creativity & Culture, Food Security and Health Equity.)*

**German Marshall Fund of the United States**, Washington, D.C.: \$225,000 to promote understanding, partnerships and policies between the European Union and the United States on food, trade and development, particularly as they relate to Africa.

**Intellectual Property Watch**, Geneva, Switzerland: \$200,000 toward the costs of producing its *Monthly Reporter*, a newsletter that provides in-depth reporting on the factors that influence the design and implementation of intellectual property policies. *(Joint with Creativity & Culture, Food Security and Health Equity.)*

**International Centre for Trade and Sustainable Development**, Geneva, Switzerland: \$614,604 toward the costs of a program to address developing countries' sustainable development concerns in intellectual property discussions at the bilateral and multilateral level. *(Joint with Creativity &*

*Culture, Food Security and Health Equity.)*

**International Institute for Environment and Development**, London, England: \$100,000 for the costs of a joint initiative with the Foundation for International Environmental Law and Development to examine the effect on developing countries of international trade, intellectual property and biosafety policies. *(Joint with Food Security.)*

**Panos Institute**, London, England: \$100,000 toward the costs of a project to support media participation in the debate on genetically modified organisms. *(Joint with Food Security.)*

**Public Interest Intellectual Property Advisors, Inc.**, Washington, D.C.: \$149,625 for the costs of a project to provide pro bono counsel on intellectual property policy to developing-country governments, consumers and researchers, including Foundation grantees, to help them gain access to and secure the benefits of knowledge and technologies beneficial to poor people. *(Joint with Creativity & Culture, Food Security and Health Equity.)*

#### > RESEARCH ON GLOBAL TRENDS

*Helping to strengthen the effectiveness of development work, including the Foundation's, by enhancing understanding of and responsiveness to global trends and their impacts on poor people.*

**Foundation-administered project:** \$123,362 for costs of underwriting The Philanthropy Workshop/West, a donor education program jointly funded by the Hewlett, Rockefeller and TOSA foundations.

**Foundation-administered project:** \$350,000 toward the costs of expert panels, facilitated discussions and commissioned papers to support the Foundation's long-term program strategy development.

**George Washington University**, Washington, D.C.: \$99,997 toward the costs of completing research and writing a book on the emergence of self-organizing knowledge networks and how they can benefit developing countries.

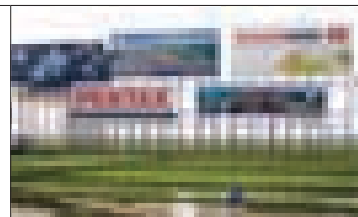
**German Marshall Fund of the United States**, Washington, D.C.: \$950,000 for the costs of designing, planning and facilitating a Bellagio Dialogue on Integration, a monthlong series of activities at the Bellagio Study and Conference Center, Italy, June and July 2006, to examine issues surrounding the adaption and integration of migrants in the United States and Europe in ways that respect cultural diversity and accommodate social cohesion.

**Institute of Development Studies**, Brighton, England: \$199,024 for the costs of developing a network of natural and social scientists and policymakers from the private and non-profit sectors to generate new thinking on how science and technology can play a more effective role in reducing poverty in developing countries.

**Institute of Development Studies**, Brighton, England: \$75,000 for the costs of a workshop to examine newly emerging economies in Asia and their impact on developing countries.

**openDemocracy**, London, England: \$288,400 toward the costs of a Web-based network for coverage of and debate on global issues.

**SciDev.Net**, London, England: \$450,000 in general support of its mission to enhance the provision of reliable and authoritative information on science- and technology-related issues that have an impact on the economic and social development of developing countries.



# Regional Programs

## Africa Regional Program

**Grants, fellowships and other philanthropic investments in 2005: \$11,311,000.**

**> GOAL:** To contribute to the revitalization of sub-Saharan Africa by strengthening the capacity of people and institutions to advance Africa's development, and increasing critical information and knowledge that will promote effective approaches to the challenges facing poor communities.

### >TRANSFORMING AFRICAN UNIVERSITIES

*Strengthening African universities' contributions to economic and social progress in their nations, by investing in their efforts to train leadership, foster new knowledge and innovation, and improve public service delivery and governance.*

**African Virtual University**, Nairobi, Kenya: \$1,269,627 toward the costs of implementing a pilot bandwidth buying consortium to negotiate a volume discount for 12 higher-education institutions in Africa.

**Association of African Universities**, Accra-North, Ghana: \$15,000 toward the costs of a project to examine its role in enhancing bandwidth access for higher-education institutions in Africa.

**Foundation-administered project:** \$176,080 toward the costs of seminars, publications, public outreach and evaluations associated with the Partnership for Higher Education in Africa.

**Kenya Education Network Trust**, Nairobi, Kenya: \$105,000 in support of a project to acquire and provide effective management of faster and more affordable bandwidth to a consortium of public and private universities in Kenya.

**Makerere University**, Kampala, Uganda: \$2,000,000 toward the costs of its revitalization as an institution that can nourish Uganda's social, economic and political transformation in the 21<sup>st</sup> century and address the human capacity and research needs of decentralization.

**National Council for Higher Education**, Kampala, Uganda: \$25,540 in support of its activities to establish a protocol for cooperation among the higher-education regulatory agencies in Kenya, Tanzania and Uganda.

**Tertiary Education Network**, Rondebosch, South Africa: \$156,100 toward the costs of implementing a training program to improve bandwidth management capacities in selected African universities.

### >IMPROVING ACCESS TO AND QUALITY OF PRIMARY EDUCATION

*Working to increase literacy and reduce the barriers to access and retention of female students, through improved teaching methods and more effective classroom materials within African primary school education.*

**Egerton University**, Njoro, Kenya: \$60,000 toward the costs of a collaborative project with Maseno University to produce reading materials on growing up and sexual maturation for school children in Kenya, and to produce two scholarly books on the same topic.

### **Forum for African Women Educationalists, Kenya**

**Chapter**, Nairobi, Kenya: \$155,000 toward the costs of implementing phase three of its project to create awareness among stakeholders about the impact of sexual maturation on school attendance and performance in the Nairobi and Bondo districts of Kenya, and to scale up interventions tested in phases one and two.

### **Forum for African Women Educators, Zimbabwe Chapter**

**Harare**, Zimbabwe: \$29,535 toward the costs of a project that will address psychosocial needs of orphans and vulnerable children in primary schools in Zimbabwe.

### **Forum for Organic Resource Management and Agricultural Technologies**

**Nairobi**, Kenya: \$20,960 toward the costs of improving a Web site, [www.questafrica.org](http://www.questafrica.org), that provides access to information on primary education in Africa and offers opportunities for information sharing among partners of the Quality Education for Social Transformation program in Kenya, Uganda and Zimbabwe.

**Foundation-administered project:** \$78,000 toward the costs of compiling and synthesizing curriculum materials on English proficiency for education publishers in Zimbabwe.

**Foundation-administered project:** \$238,228 toward the costs of synthesizing research and scholarly materials on girls' education for a series of books for policymakers and educators in Kenya and Uganda.

**Jacaranda Designs Limited**, Nairobi, Kenya: \$600,000 toward the costs of its project to publish a monthly educational newspaper for upper-primary pupils and out-of-school children in Kenya, Uganda, Tanzania and southern Sudan.

**Kenyatta University**, Nairobi, Kenya: \$578,616 toward the costs of its project to improve the quality of primary education through the promotion of English literacy interventions in Kenya.

**Makerere University**, Kampala, Uganda: \$29,480 toward the costs of disseminating the findings of a study on literacy practices in primary schools in Uganda.

**Makerere University**, Kampala, Uganda: \$855,446 for use by its Makerere Institute of Social Research toward the costs of a project to improve the quality of primary education in Uganda through increased retention, improved literacy and learner-friendly schools.

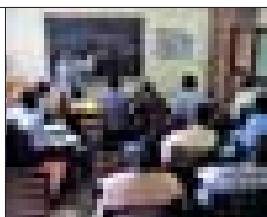
**Makerere University**, Kampala, Uganda: \$65,000 for use by its Margaret Trowell School of Industrial and Fine Arts toward the continuing costs of a project that will document skills and methods for training children in reading and writing at the lower primary school level in Uganda.

### **Uganda Rural Development and Training Programme**

**Kampala**, Uganda: \$265,185 toward the costs of its project on education and communication for social transformation—an approach to poverty eradication and women's empowerment in Kibaale District, Uganda.

### **United Nations Educational, Scientific and Cultural**

**Organization**, Paris, France: \$100,000 toward the costs of the activities of the Association for the Development of Education in Africa, which promotes information exchange, mutual learning and cooperation between African ministries of education and donor organizations.



## Regional Programs

### >INFORMATION FOR DEVELOPMENT

*Helping to improve the efficiency and quality of public services and policies addressing agriculture, health and education by generating more and better data on which policy and budgetary decisions are made.*

**AfriAfya**, Nairobi, Kenya: \$250,000 toward the costs of strengthening health management information systems by ensuring linkages to community-based information to improve health care provision in Kenya.

**African Medical and Research Foundation**, Nairobi, Kenya: \$258,310 in support of a project to develop a functional model for an improved and sustainable community-based health management information system in the Kitui and Makueni districts of Kenya.

**African Population and Health Research Centre**, Nairobi, Kenya: \$479,600 in support of a project to assess the social, health and economic contexts of HIV/AIDS in two poor urban communities in Nairobi, Kenya, by strengthening the Nairobi Urban Demographic and Health Surveillance System.

**Aga Khan Foundation U.S.A.**, Washington, D.C.: \$502,565 toward the costs of phase two of a project to replicate, in three districts of Coast Province, Kenya, a reliable, efficient and standardized health management information system—already in use in four districts of Coast Province—which will strengthen its potential of being adopted as a prototype for the entire country.

**Aga Khan Foundation U.S.A.**, Washington, D.C.: \$60,300 toward the costs of a study to develop an understanding of the factors that contribute to the design and operation of a viable micro-finance model that has the potential to impact poverty in East Africa.

**INDEPTH Network**, Accra, Ghana: \$62,100 toward the costs of developing a generic resources kit for its demographic surveillance sites, which are set up in resource-constrained countries to gain a better understanding of population dynamics.

**INDEPTH Network**, Accra, Ghana: \$500,000 toward the costs of designing and implementing a process, through a multidimensional platform, to enhance the evaluation of its research on health interventions and to inform policymakers.

**International Livestock Research Institute**, Nairobi, Kenya: \$250,000 toward the costs of a project that will demonstrate the effective use of poverty maps in designing and targeting pro-poor interventions across different sectors in East Africa.

**International Livestock Research Institute**, Nairobi, Kenya: \$70,000 toward the costs of a project to develop training resources for effective teaching of biometry at universities in sub-Saharan Africa.

**Link Community Development**, London, United Kingdom: \$380,000 in support of its project to develop and implement a system of information management in education in Uganda.

**Makerere University**, Kampala, Uganda: \$300,000 for use by its Institute of Public Health toward the costs of building capacity for evidence-based planning and management at the district level to foster a better and more accurate understanding of a total population's health, thus allowing resources to be allocated where needs are greatest.

**Moi University**, Eldoret, Kenya: \$450,000 toward the costs of a joint project with Indiana University and the World Health Organization to implement the Academic Model for the Prevention and Treatment of HIV/AIDS electronic medical records system in six sites in Tanzania and Uganda to test its applicability as a critical tool for the scale-up of patient care and follow-up in the battle against HIV/AIDS in these countries.

**Tropical Institute of Community Health and Development in Africa**, Kisumu, Kenya: \$173,500 in support of a project to develop and test models for improved district health systems in Kenya.

### >EXPLORATIONS AND OTHER

**Foundation-administered project:** \$111,964 toward the costs of commissioned papers, meetings and publications aimed at developing a better understanding of the drivers and emerging problems, opportunities and implications of urbanization in Africa.

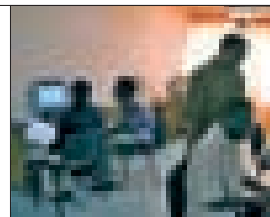
**Foundation-administered project:** \$54,000 toward devising strategies to expand ways that private-sector resources can be leveraged to enhance livelihoods in eastern Africa, specifically (1) to identify opportunities in Kenya and Uganda to engage the private sector to further these goals in a financially sustainable manner and (2) to provide advice to the Foundation's officers on the management of existing and potential investments. *(Joint with the Program Venture Experiment Fund.)*

**Foundation-administered project:** \$40,000 toward the costs of devising strategies to expand ways that private-sector resources could be leveraged to enhance livelihoods in sub-Saharan Africa, specifically: (1) to identify opportunities in sub-Saharan Africa for the Foundation to work with the private sector to further these goals in a financially sustainable manner, and (2) to provide advice to the Foundation's officers on the management of existing and potential investments.

**Kenya National Academy of Sciences**, Nairobi, Kenya: \$16,500 toward the costs of a national workshop on the role of science and technology capacity in achieving the Millennium Development Goals, held in Nairobi, October 2005.

**Regional Universities Forum for Capacity Building in Agriculture**, Kampala, Uganda: \$59,500 toward the costs of enhancing its capacity to broaden its funding base by developing new programs and marketing initiatives.

**World Agroforestry Centre**, Nairobi, Kenya: \$470,000 in support of a fellowship program designed to build the scientific and leadership skills of African women scientists in the national agricultural research institutes of Kenya, Uganda and Tanzania. *(Joint with Food Security.)*



## North America Regional Program

**Grants, fellowships and other philanthropic investments in 2005: \$2,952,000.**

**>GOAL:** To inform public policies and private initiatives in sending and receiving communities in the United States and Mexico in ways that improve understanding of the various dimensions of migration, and that can offer poor migrants and their families better livelihood choices.

### >NORTH AMERICA TRANSNATIONAL COMMUNITIES

*Supporting research and dialogue to better understand the effects of new cultural, social and economic relationships affecting families and communities with lives on both sides of the U.S.-Mexico border.*

**American Friends Service Committee**, Philadelphia, Pennsylvania: \$200,000 for use by its Pan Valley Institute toward the costs of a project to expand the work of its Tamejavi Cultural Exchange Project, a series of regional cultural exchanges, training sessions and creative productions to deepen understanding about civic participation among immigrants in California's Central Valley. *(Joint with Creativity & Culture, Global Inclusion and Working Communities.)*

**Autonomous Metropolitan University, Iztapalapa**, Iztapalapa, Mexico: \$210,000 in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the Mixteca region of the state of Oaxaca.

**Autonomous University of Zacatecas**, Zacatecas, Mexico: \$190,000 in support of its project to create a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the Zacatecas region.

**Baruch College, City University of New York**, New York, New York: \$188,600 toward the costs of a survey to determine what roles community-based organizations, associations and social service providers play in the lives of new immigrants in New York City.

**Center for Research and Advanced Studies in Social Anthropology**, Mexico City, Mexico: \$95,000 in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the Veracruz region.

**Cornell University**, Ithaca, New York: \$30,000 for use by Cornell University Press toward the costs of the publication of "Beyond Borders: Transnational Working Communities," a photographic and oral history of working communities in Mexico, Guatemala and the United States, by David Bacon.

**Federación de Clubes Zacatecanos del Sur de California/ Zacatecan Federation of Southern California**, Los Angeles, California: \$200,000 toward the costs of building its capacity to promote and sustain philanthropic investment in the state of Zacatecas, Mexico, and of involving immigrant groups in the United States in binational development projects.

**Foundation-administered project**: \$380,000 for the costs of a Web-based knowledge management system, program evaluation and external dissemination of research and project work focused on U.S.-Mexico transmigration.

**Harvard University**, Cambridge, Massachusetts: \$71,730 toward the costs of a workshop on transnational arts and culture in three immigrant communities in New York—Latino, Asian and African—to be held in Cambridge, Massachusetts, fall 2006.

**Heartland Alliance**, Chicago, Illinois: \$160,000 toward the costs of its Enlaces America project to build the capacity of immigrant community leaders in advancing a sustainable development agenda in their communities of origin.

**International Migration and Development Network**, Zacatecas, Mexico: \$140,000 toward the costs of research, international exchanges and knowledge dissemination to inform policies and the link between migration and development in countries with high emigration.

**National Immigration Law Center**, Los Angeles, California: \$150,000 for general support of its mission to protect and promote the rights and opportunities of low-income immigrants and their families. *(Joint with Creativity & Culture, Global Inclusion and Working Communities.)*

**Population Council**, New York, New York: \$150,000 toward the costs of a review and analysis of research and health interventions focused on the impacts of Mexico-U.S. migration on the spread of HIV/AIDS, especially to rural areas of Mexico. *(Joint with Health Equity.)*

**Rodolfo Morales Cultural Foundation**, Oaxaca, Mexico: \$203,000 toward the costs of disseminating the outcomes of research on socioeconomic and cultural dynamics in high-migration communities in rural Mexico and of facilitating a series of dialogues at which these communities can discuss future scenarios should current migratory trends persist.

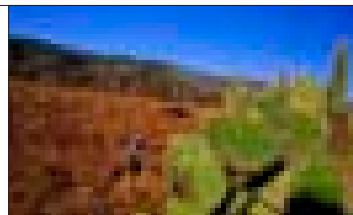
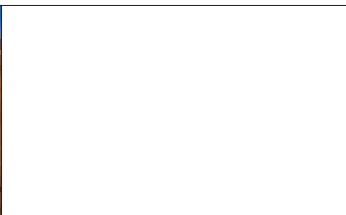
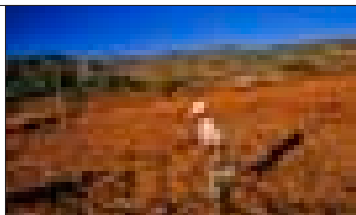
**Technological Institute of Oaxaca**, Oaxaca, Mexico: \$60,000 in support of the second and final phase of its project to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the indigenous Oaxaca region.

**Universidad Iberoamericana, Puebla, de la Comunidad Universitaria del Golfo Centro A.C.**, Puebla, Mexico: \$195,000 in support of its project to generate a knowledge platform to understand better the dynamics of transnational communities resulting from massive migration from Mexico to the United States, focused in particular on the state of Puebla.

**University of California, Los Angeles**, Los Angeles, California: \$120,000 in support of a joint research project with New York University and the University of Illinois at Chicago on the prevalence of workplace violations in New York City, Chicago and Los Angeles.

**University of California, Santa Cruz**, Santa Cruz, California: \$98,340 toward the costs of research papers and a workshop on Mexican migrant civil society in the United States and its implications for public policies in both countries, held in October 2005. *(Joint with Creativity & Culture, Global Inclusion and Working Communities.)*

**University of Notre Dame**, Notre Dame, Indiana: \$110,000 toward the costs of an exhibition and educational activities focused on raising awareness of, and creating a public forum around, new artistic interpretations of Mexican migration to the United States.



## Regional Programs

### Southeast Asia Regional Program

**Grants, fellowships and other philanthropic investments in 2005: \$7,457,000.**

**>GOAL:** To contribute to more equitable development in the Greater Mekong Sub-region of Southeast Asia by addressing the impacts of rapid regional integration on society, culture and vulnerable groups.

#### >LEARNING ACROSS BOUNDARIES

*Helping nations and organizations anticipate and respond to challenges arising from regional integration by strengthening educational and training institutions and supporting organizations representing vulnerable and ethnic communities.*

**Cambodia Development Resource Institute**, Phnom Penh, Cambodia: \$450,000 in support of a project to enhance the study of emerging regional trends in the Greater Mekong Sub-region through research collaboration among institutions in Cambodia, Lao PDR, Thailand, Vietnam and Yunnan Province, China.

**Chiang Mai University**, Chiang Mai, Thailand: \$141,063 for use by its Social Research Institute toward the costs of the second phase of a collaborative study of the tourism industry in the Greater Mekong Sub-region and its multiple impacts on socioeconomic development, culture and the environment.

**Chiang Mai University**, Chiang Mai, Thailand: \$20,000 toward the costs of the participation of Southeast Asian artists, curators, critics and public arts activists in the international symposium, Public Art In(ter)vention, which considers the interface of contemporary visual arts and social issues affecting disadvantaged communities in the Mekong Sub-region, held in Chiang Mai, February 2005.

**Chulalongkorn University**, Bangkok, Thailand: \$64,090 for use by its Asian Research Center for Migration to study the social protection needs and to improve the working conditions of Burmese, Cambodian and Laotian migrant workers in Thailand.

**Foundation-administered project:** \$190,000 toward the costs of commissioned studies, public workshops and engaging external experts on Foundation initiatives addressing cross-border dynamics in the Greater Mekong Sub-region of Southeast Asia.

**Fund for Reconciliation and Development**, New York, New York: \$100,000 toward the costs of a series of consultations and publications to promote cooperation and understanding between the United States and Cambodia, Lao PDR and Vietnam, as well as within the Indochina Sub-region.

**Institute for Social Development Studies**, Hanoi, Vietnam: \$99,720 in support of a project to enhance knowledge and public awareness of the social protection needs of migrant workers in and from Vietnam through studies, publications, workshops and educational campaigns.

**IPS Inter Press Service International Association**, Rome, Italy: \$369,618 for use by its Regional Office for Asia-Pacific in Thailand toward the costs of Imaging Our Mekong, a joint media fellowship program with the Probe Media Foundation, designed to address cross-border and cross-cultural issues in the Greater Mekong Sub-region.

**National Institute of Development Administration**, Bangkok, Thailand: \$100,000 in support of a program to build the capacity of young scholars from the Greater Mekong Sub-region through the study of regional development and its impact on Thailand and the Sub-region.

**Northern Illinois University**, DeKalb, Illinois: \$50,000 for use by its Center for Southeast Asian Studies toward the costs of the participation of scholars from Thailand and other Mekong countries in a series of panels on cross-border and cross-cultural issues at the Ninth International Conference on Thai Studies, held at the University, April 2005.

**Probe Media Foundation**, Quezon City, Philippines: \$391,430 toward the costs of Imaging Our Mekong, a joint media fellowship program with the IPS Inter Press Service International Association, designed to address cross-border and cross-cultural issues in the Greater Mekong Sub-region.

**Ubon Ratchathani University**, Ubon Ratchathani, Thailand: \$170,000 for use by its Faculty of Liberal Arts to strengthen a new resource center focused on the Greater Mekong Sub-region and to establish a Mekong regional studies program.

#### >BRIDGING DIVERSITY

*To enhance recognition and appreciation for the region's religious and ethnic diversity, while aiming to blunt discrimination and exclusion that often emerge during the process of regional integration.*

**Center for Advanced Study**, Phnom Penh, Cambodia: \$100,000 in support of research to assess changes over the last decade in the social and cultural status of ethnic communities in Cambodia.

**Center for Community Development Studies**, Yunnan, China: \$100,000 in support of a project to produce an analytic review and annotated bibliography of social transformations experienced by ethnic minority groups in Yunnan Province, China, and related groups in Vietnam, Lao PDR and Thailand.

**Mirror Foundation**, Chiangrai, Thailand: \$200,000 in support of its project, the Virtual Hilltribe Museum, and of related research and documentary and media activities to encourage better public understanding of, and challenges faced by ethnic minority groups in the uplands of northern Thailand.

**Princess Maha Chakri Sirindhorn Anthropology Centre**, Bangkok, Thailand: \$210,630 toward the costs of a collaborative effort to develop local capacity in researching and presenting the cultural heritage of diverse ethnic communities in the Greater Mekong Sub-region.



**Vietnam Museum of Ethnology, Vietnamese Academy for Social Sciences**, Hanoi, Vietnam: \$450,000 in continued support of a capacity-building initiative among museums and cultural institutions in the Greater Mekong Sub-region to promote, through research and exhibits, greater public understanding of the challenges facing cross-border ethnic communities in the region.

**Vietnam Museum of Ethnology, Vietnamese Academy for Social Sciences**, Hanoi, Vietnam: \$96,660 for use by its Institute for Southeast Asian Studies to examine social, cultural and economic change among ethnic Vietnamese migrant communities (Viet Kieu) in Lao PDR, in collaboration with the Lao Institute of Cultural Research.

**Women's Media Centre of Cambodia**, Phnom Penh, Cambodia: \$200,600 toward the costs of the development, production and dissemination of a series of documentary films on the lives of women in ethnic minority communities in Cambodia.

**>CROSS-BORDER HEALTH**

*To stem the cross-border flow of diseases, especially AIDS, TB, malaria, dengue fever and, more recently, SARS and avian flu, while enabling protection of vulnerable mobile and ethnic populations.*

**Center for Community Health and Development**, Hanoi, Vietnam: \$181,400 in support of the development of a multi-sectoral program to reduce HIV/AIDS vulnerability among ethnic and mobile populations in Lang Son Province, northern Vietnam.

**EMPOWER Foundation**, Nonthaburi, Thailand: \$99,770 in support of a project to share strategies to reduce vulnerability and HIV risk among ethnic and mobile women in emerging entertainment settings in Yunnan Province of China and Lao PDR.

**Federation of Family Planning Associations, Malaysia**, Selangor Darul Ehsan, Malaysia: \$100,000 toward the costs of participants from the Greater Mekong Sub-region in, and other activities of, the Third Asia Pacific Conference on Reproductive and Sexual Health, held in Malaysia, November 2005.

**Gadjah Mada University**, Yogyakarta, Indonesia: \$100,000 for use by its Population and Policy Study Centre for comparative research on male mobility and behavior implicated in the spread of sexually transmitted diseases throughout Southeast Asia.

**Hanoi Medical University**, Hanoi, Vietnam: \$180,300 for use by its Faculty of Public Health to undertake the second phase of research—with the involvement of local communities—to understand and address risk and vulnerability to STIs and HIV along transnational roadway networks in Vietnam.

**Kunming Medical College**, Kunming, China: \$30,200 for use by its Department of Social Sciences toward the costs of a study to assess equity, efficiency and accountability of the rural health care insurance program, especially as it relates to ethnic populations in Yunnan Province, China.

**Kunming Medical College**, Kunming, China: \$345,000 for use by its Institute for Health Sciences toward the costs of strengthening its regional presence as a research and training institute focusing on HIV/AIDS and other health challenges in the Greater Mekong Sub-region.

**Mahidol University**, Nakhon Pathom, Thailand: \$156,856 for longitudinal analysis of demographic, social and health trends and the impact of comprehensive health and social interventions on ethnic and marginalized communities in western Thailand.

**Ministry of Health, Cambodia**, Phnom Penh, Cambodia: \$78,270 for use by its National Institute of Public Health toward the costs of a planning process, in collaboration with public health institutions in Thailand, Vietnam and the Philippines, leading to the establishment by 2010 of the first government-supported Master of Public Health program in Cambodia.

**Ministry of Health, P.R. China**, Beijing, China: \$200,000 for use by its Foreign Loan Office to conduct an intervention study in Yunnan Province to make rural health services more responsive to the needs of ethnic women.

**Ministry of Health, Vietnam**, Hanoi, Vietnam: \$60,000 for use by its Health Policy Unit to strengthen surveillance, prevention and control of avian flu, in coordination with its Department of Preventive Medicine and the Mekong Basin Disease Surveillance Network.

**National University of Laos**, Vientiane, Lao PDR: \$242,000 for use by its Faculty of Medical Sciences, in collaboration with leading public health institutions in Thailand and Vietnam, to establish the first-ever Master of Public Health Program in Lao PDR.

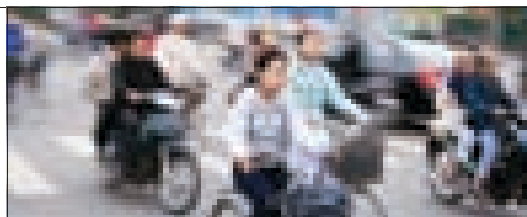
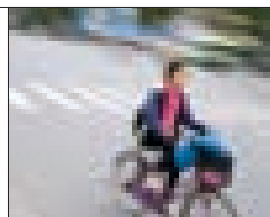
**Pattanak Foundation**, Chachoengsao, Thailand: \$190,000 for continued support for a project to develop experimental models to improve the health and livelihoods of marginalized cross-border ethnic communities in Kanchanaburi, Thailand.

**Prince of Songkla University**, Hat Yai, Thailand: \$148,710 for use by its Epidemiology Unit to collaborate with national and regional partners, in the development of curriculum guidelines for five health care disciplines sensitive to the increasing cultural diversity of the Greater Mekong Sub-region.

**Southeast Asian Ministers of Education Organization**, Bangkok, Thailand: \$319,200 for use by its Regional Tropical Medicine and Public Health Network to develop technical and analytic capacity of health professionals to strengthen regional disease prevention and control programs in the Greater Mekong Sub-region.

**STDs/HIV/AIDS Prevention Center**, Hanoi, Vietnam: \$99,800 in support of the second phase of its project to reduce the vulnerability and strengthen the health and social support systems of ethnic minority communities in the Vietnam-Lao PDR border area, especially in relation to HIV/AIDS.

**Thai Nguyen University**, Thai Nguyen City, Vietnam: \$96,900 for use by its Medical College to upgrade the knowledge and skills of local health care personnel in order to address the inequitable health status of ethnic minorities in the mountainous and border provinces of northern Vietnam.



## Regional Programs

### >ADVANCING AGRICULTURAL PRODUCTION IN UPLAND COMMUNITIES

To increase agricultural production in upland, ethnic communities to improve their livelihoods and foster access to regional markets.

**Centre for Research and Development of Ethno-Medicinal Plants**, Hanoi, Vietnam: \$99,660 in support of a project to introduce experimental models for marketing local products thereby increasing the income level of selected upland communities in border areas of Vietnam, Lao PDR and Yunnan Province, China.

**Centre for Sustainable Development in Mountainous Areas**, Hanoi, Vietnam: \$120,000 in support of a project aiming to strengthen agricultural and veterinary extension services in upland communities that border Vietnam, Lao PDR and the Yunnan Province of China, in order to improve agricultural practices and enhance control of animal epidemics, especially avian flu.

**Chiang Mai University**, Chiang Mai, Thailand: \$150,000 for use by its Faculty of Agriculture to develop, in collaboration with other institutions in the Greater Mekong Sub-region, curriculum guidelines for interdisciplinary short course programs in upland agriculture.

**Cuu Long Delta Rice Research Institute**, Can Tho City, Vietnam: \$200,000 toward a collaborative effort among institutes in Cambodia, Lao PDR and Vietnam to transfer and apply new technologies to the development of crop varieties and to the improvement of farming practices that suit the specific ecological environment of upland areas in the Greater Mekong Sub-region.

**Foundation-administered project**: \$48,000 for the costs of advisers to assist Foundation grantees working to address agricultural production in the upland areas of the Greater Mekong Sub-region of Southeast Asia.

**Hanoi Agricultural University**, Hanoi, Vietnam: \$149,000 for use by its Center for Agricultural Research and Ecological Studies to develop a trans-border watershed management plan for the Nam Nern/Ca River basin across Vietnam and Lao PDR, in collaboration with institutions in those countries.

**Ministry of Agriculture and Forestry, Lao PDR**, Vientiane, Lao PDR: \$60,000 for use by its Department of Livestock and Fisheries to continue collaborating with agricultural organizations in Thailand and Vietnam in a project to transfer and adapt fisheries-development models appropriate to upland areas from those countries to Lao PDR.

**Vietnam Museum of Ethnology, Vietnamese Academy for Social Sciences**, Hanoi, Vietnam: \$73,340 for use by its Institute of Anthropology to undertake, in collaboration with institutes in Lao PDR, a study of coping mechanisms for seasonal food shortages of ethnic upland communities living across Vietnam and Lao PDR.

**Yunnan Academy of Agricultural Sciences**, Yunnan, China: \$100,000 toward the costs of developing new high-yielding, drought-tolerant aerobic rice varieties suitable to the specific uplands environment of the Yunnan Province of China, taking into account the socioeconomic impacts of the increasing integration of regional markets.

### >OTHER

**Association for Women's Rights in Development**, Toronto, Canada: \$75,000 toward the costs of enabling participants from Southeast Asia and sub-Saharan Africa to attend its International Forum on Women's Rights in Development, held in Bangkok, Thailand, October 2005. (*Joint with Global Inclusion.*)

**Indonesian Planned Parenthood Association**, Jakarta, Indonesia: \$250,000 toward the costs of re-establishing community health services in three rural subdistricts in Aceh Province following the December 2004 tsunami.





## Other Programs

### Grants, fellowships and other philanthropic investments in 2005: \$5,129,000.

Includes the Bellagio Study and Conference Center, PROVENEX (Program Related Investments in Companies and Organizations), and support for Philanthropic Organizations and Other Initiatives.

### Bellagio Study and Conference Center

*The Bellagio Study and Conference Center offers a place for scholars, scientists, public affairs professionals, writers, artists and others to engage in critical thinking about, and creative responses to some of the most pressing issues of our time. The Center serves as host to more than 140 residents and 40 conferences each year.*

**Global Health Council**, White River Junction, Vermont: \$15,000 toward the costs of travel for 11 individuals from developing countries to participate in the conference, Optimizing the Contribution of Faith-Based Organizations to the Prevention, Care and Treatment of HIV/AIDS, held at the Bellagio Study and Conference Center, Italy, September 2005.

**Institute of Development Studies**, Brighton, England: \$6,300 toward the costs of travel for four individuals from developing countries to participate in the conference, Rights, Representation and the Poor: Latin America and India, held at the Bellagio Study and Conference Center, Italy, July 2005.

**International Center for Transitional Justice, Inc.**, New York, New York: \$7,200 toward the costs of travel for five individuals from developing countries to participate in the conference, Gender and Transitional Justice, held at the Bellagio Study and Conference Center, Italy, March 2005.

**International Society of Nephrology**, Brussels, Belgium: \$20,000 toward the costs of travel for 11 individuals from developing countries to participate in the conference, Prevention of Vascular Diseases in the Emerging World, held at the Bellagio Study and Conference Center, Italy, December 2005.

**Liverpool School of Tropical Medicine, University of Liverpool**, Liverpool, England: \$18,000 toward the costs of travel for nine individuals from developing countries to participate in the conference, TB and Poverty: Are We Doing Enough? held at the Bellagio Study and Conference Center, Italy, December 2005.

**National Center for Genetic Engineering and Biotechnology**, Pathumthani, Thailand: \$7,900 toward the costs of travel for six individuals from developing countries to participate in the conference, Applications of Transfection Technology for Drug Screening and Immunological Studies in Tropical Parasitic Diseases, held at the Bellagio Study and Conference Center, Italy, August 2005.

**Michel Rosenfeld**, New York, New York: \$4,650 toward the costs of travel for four individuals from developing countries to participate in the conference, Terrorism, Globalism and the Rule of Law, held at the Bellagio Study and Conference Center, Italy, July 2005.

**Godber Tumushabe**, Kampala, Uganda: \$5,133 toward the costs of travel for three individuals from Africa to participate in the conference, Biotechnology and Law in Africa, held at the Bellagio Study and Conference Center, Italy, July 2005.

**University of California, Los Angeles**, Los Angeles, California: \$14,500 toward the costs of travel for 10 individuals from developing countries to participate in the conference, The Regional Question in Economic Development, held at the Bellagio Study and Conference Center, Italy, August 2005.

**University of Pretoria**, Pretoria, South Africa: \$17,680 toward the costs of travel for 12 individuals from Africa to participate in the conference, Institutions, Markets and Policies for African Agriculture, held at the Bellagio Study and Conference Center, Italy, July 2005.

**University of Toronto**, Toronto, Canada: \$5,820 toward the costs of travel for four individuals from developing countries to participate in the meeting, The Scope of Labor Law: Redrawing the Boundaries of Protection, held at the Bellagio Study and Conference Center, Italy, May 2005.

**University of Wyoming**, Laramie, Wyoming: \$11,100 toward the costs of travel for eight individuals from Africa to participate in the conference, Girl Mothers in Fighting Forces and Their Post-War Reintegration in Southern and Western Africa, held at the Bellagio Study and Conference Center, Italy, April 2005.

**Washington University**, St. Louis, Missouri: \$9,160 toward the costs of travel for 10 individuals from developing countries to participate in the conference, Negotiating a New National Narrative in Georgia, held at the Bellagio Study and Conference Center, Italy, August 2005.

### >2005 CONFERENCES AND TEAMS

#### MEETINGS

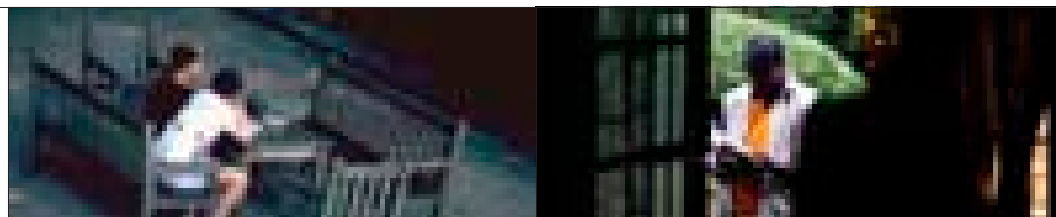
**Applying the World Health Organization Roadmap for End-of-Life Care in Diverse Health Care Systems**—David J. Casarett, M.D., Assistant Professor of Geriatrics, University of Pennsylvania, Philadelphia, Pennsylvania, and Dr. Irene J. Higginson, Professor of Palliative Care and Policy, King's College London, London, England (March 18 to 22).

**Biotechnology and Law in Africa**—Godber Wilson Tumushabe, Executive Director, Advocates Coalition for Development and Environment, Kampala, Uganda (July 4 to 17).

**Building Sustainable Enterprises for the Poor: Best Practices and Lessons for the Field**—Dr. Jacqueline Novogratz, Chief Executive Officer, Acumen Fund, New York, New York (July 25 to 29).

**The Construction of Gender in Educational Policies: Latin American Cross-National Perspectives**—Dr. Nelly Peñaloza Stromquist, Professor of Education, University of Southern California, Los Angeles, California (February 1 to 6).

**Cooperation Across Ideological Lines in the Middle East**—Dr. Janine Astrid Clark, Associate Professor of Political Science, University of Guelph, Guelph, Ontario, Canada, and Dr. Jillian Marie Schwedler, Assistant Professor of Government, University of Maryland at College Park, College Park, Maryland (August 8 to 13).



## Other Programs

**Development of Applications of Genomics in Discovery of Drugs for Tropical Diseases**—Dr. Sumalee Kamchonwongpaisan, Researcher, and Dr. Chairat Uthaipibull, both of the National Science and Technology Development Agency, Pathumthani, Thailand (August 3 to 9).

**Dissemination of New Technologies for Small-Holder Farmers in the Developing World**—Dr. Pamela Anderson, Deputy Director General for Research, International Potato Center, Lima, Peru, and Dr. Debbie Delmer, Associate Director for Food Security, Rockefeller Foundation, New York, New York (September 13 to 17).

**Editorial/Dissemination Team: Cambridge General Economic Survey of Africa**—Dr. Robert H. Bates, Eaton Professor of the Science of Government, Harvard University, Cambridge, Massachusetts (October 18 to 26).

**Editorial Team of "The Correspondence of Samuel Beckett"**—Dr. Lois Ellen More Overbeck, Research Associate and Editor, "The Correspondence of Samuel Beckett," Emory University, Atlanta, Georgia (May 11 to 21).

**Empire and Modern Political Thought**—Dr. Sankar Muthu, Assistant Professor of Politics, Princeton University, Princeton, New Jersey (June 8 to 14).

**Ethics Meets the Marketplace: "Best Practices" in Public-Private Partnerships to Adapt Animal and Agricultural Biotechnology to the Needs and Conditions of the Developing World**—Dr. Cynthia Perrin Schneider, Distinguished Professor in the Practice of Diplomacy, Georgetown University, Washington, D.C., and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (October 3 to 7).

**An Exploratory Executive Session on Technological Development and Health Care in Europe**—Dr. Alberto Holly Setton, Professor of Economics, University of Lausanne, Lausanne, Switzerland (May 31 to June 3).

**Forging a Transatlantic Consensus on the Legal Rules and Institutions Governing the Use of Force by Nation States**—Marc Weller, Assistant Director of Studies, University of Cambridge, Cambridge, England (August 29 to September 3).

**Genetics Knowledge for Population Health**—Dr. Ronald Leslie Zimmern, Director, Public Health Genetics Unit, Cambridge, England; Wylie G. Burke, Professor, University of Washington, Seattle, Washington; and Dr. Muin J. Khoury, Director, Office of Genomics and Disease Prevention, Centers for Disease Control and Prevention, Atlanta, Georgia (April 14 to 20).

**Girl Mothers in Fighting Forces and Their Post-War Reintegration in Southern and Western Africa**—Malia A. Robinson, Psychosocial Adviser, International Rescue Committee—Uganda, Kampala, Uganda (April 12 to 18).

**Global Dialogue Series on Intellectual Property: Open Source Models for Collaborative Innovation in the Life Sciences**—Todd Barker, Partner and Senior Mediator,

Meridian Institute, Jericho, Vermont; Steve Hughes, Exeter University, Exeter, Devon, England; Joe Karaganis, Program Officer Culture, Social Science Research Council, New York, New York; and Jacob Werksman, Senior Adviser, Global Inclusion, Rockefeller Foundation, New York, New York (September 6 to 10).

**Global Dialogue Series on Intellectual Property: Revising the Agenda in a New Context**—David Vivas Eugui, Program Manager on Intellectual Property, Technology and Services, International Centre for Trade and Sustainable Development, Chatelaine, Geneva, Switzerland, and Jacob Werksman, Senior Adviser, Global Inclusion, Rockefeller Foundation, New York, New York (October 24 to 28).

**Global Dialogue Series on the Muslim World: The Challenge of Arab Reform—Whose Agenda?**—Clifford Chanin, President, The Legacy Project, Brooklyn, New York (September 29 to October 3).

**Global Dialogue Series on the Muslim World: Islam at the Periphery—Visions of the Muslim Future From Southeast Asia and Sub-Saharan Africa**—Clifford Chanin, President, The Legacy Project, Brooklyn, New York (November 11 to 15).

**Global Dialogue Series on Transitional Justice: Transitional Justice and Gender**—Vasuki Nesiiah, Senior Associate, International Center for Transitional Justice, New York, New York (March 17 to 21).

**Global Dialogue Series on Transitional Justice: Vetting and Excluding Abusive Officials—Developing Another Approach to Transnational Justice**—Dr. Pablo de Greiff, Director, Research Unit, International Center for Transitional Justice, New York, New York (April 7 to 10).

**Globalization and Equity: The Case of International Recruitment of Nurses**—Dr. Patricia M. Pittman, Director, AcademyHealth, Washington, D.C. (July 5 to 10).

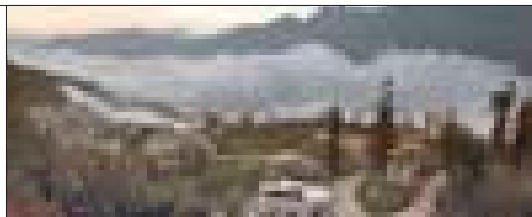
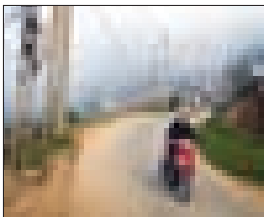
**Global to Local, Local to Global: Why Protecting and Improving the Public's Health Needs New Alliances and Paradigms**—Dr. Allan G. Hill, Andelot Professor of Demography, Harvard University, Cambridge, Massachusetts (September 19 to 24).

**Global Women's Action Network for Children: Maternal Mortality and Girls' Education**—Marian Wright Edelman, Founder and CEO, Children's Defense Fund, Washington, D.C. (May 3 to 7).

**Health Innovations Systems in Developing Countries to Address Diseases of the Poor**—Dr. Charles A. Gardner, Associate Director, Health Equity, Rockefeller Foundation, New York, New York (April 25 to 29).

**HIV/AIDS and Social Science Research**—Dr. Richard G. Parker, Professor, Department of Sociomedical Sciences, Columbia University, New York, New York; and George F. Brown, M.D., Director, Health Equity, Rockefeller Foundation, New York, New York (June 17 to 21).

**Identity, Community and Economic Policy for Poverty Alleviation**—Dr. Christopher B. Barrett, Associate Professor, Cornell University, Ithaca, New York, and Dr. Andrew D. Foster,



Professor of Economics, Brown University, Providence, Rhode Island (March 29 to April 2).

**Institutions, Markets and Policies for African Agriculture**

—Dr. Johann Frederick Kirsten, Professor of Agricultural Economics, University of Pretoria, Pretoria, South Africa (July 6 to 15).

**Leading on Behalf of the World's Children: Twenty Years After the Child Survival Revolution**

—Dr. Nils M. Daulaire, President and CEO, The Global Health Council, White River Junction, Vermont, and Dr. George F. Brown, Director, Health Equity, Rockefeller Foundation, New York, New York (April 26 to 30).

**Making Agricultural Biotechnology Work for Human Development**

—Sakiko Fukuda-Parr, Research Fellow, and Nina Dudnik, both of Harvard University, Cambridge, Massachusetts; and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (May 30 to June 3).

**More Than Shelter: Mobilizing Housing Finance for Economic and Social Development**

—Dr. Pamela Baldwin, Deputy Director, Joint Center for Housing Studies, Harvard University, Cambridge, Massachusetts, and Darren Walker, Director, Working Communities, Rockefeller Foundation, New York, New York (May 9 to 14).

**Negotiating a New National Narrative in Georgia**

—Dr. James V. Wertsch, Professor, Washington University, St. Louis, Missouri, and Dr. Zurab Karumidze, Communications Officer, New Movement Public Organization, Tbilisi, Republic of Georgia (August 1 to 5).

**North America Transnational Communities Workshop**

—Dr. Ruben Puentes, Associate Vice President, Knowledge Management, and Dr. Katherine McFate, Deputy Director, Working Communities, both of the Rockefeller Foundation, New York, New York (October 13 to 17).

**Optimizing the Contribution of Faith-Based Organizations to the Prevention, Care and Treatment of HIV/AIDS**

—Dr. Karin E. Ringheim, Director, Global Health Council, Washington, D.C. (September 8 to 16).

**Partnership on Higher Education in Africa**

—Dr. Joyce L. Moock, Associate Vice President, Rockefeller Foundation, New York, New York (October 6 to 10).

**Perceived AIDS Stigma: A Multinational African Study**

—Dr. Leana Ria Uys, Deputy Vice Chancellor, University of KwaZulu-Natal, Durban, South Africa (March 8 to 14).

**Poverty, Democracy and Clientelism**

—Dr. Alberto Diaz-Cayeros and Dr. Beatriz Magaloni, both Assistant Professors of Political Science, Stanford University, Stanford, California (November 28 to December 2).

**Practical Steps to Strengthen Global Civil Society**

—David Mephram, Associate Director and Head, International Programme, Institute for Public Policy Research, London, England (July 1 to 3).

**Prevention of Vascular Diseases in the Emerging World: A Multidisciplinary Approach to Global Health Equity**

—Dr. John Herbert Dirks, Chair, International Society of Nephrology, Massey College, Toronto, Ontario, Canada (December 12 to 16).

**The Regional Question in Economic Development**

—Allen J. Scott, Professor, University of California, Los Angeles, Los Angeles, California (August 30 to September 5).

**Rights, Representation and the Poor: Latin America and India**

—John Charles Harriss, Professor of Development Studies, London School of Economics and Political Science, London, England (July 18 to 31).

**RoKS Competition 2003–04 Workshop on Understanding the Social and Public Policy Dimensions of Transformative Technologies in the South**

—Jean Woo, Research Officer, and Paul Dufour, both of the International Development Research Centre, Ottawa, Ontario, Canada; and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (February 7 to 11).

**Sanskrit Knowledge Systems on the Eve of Colonialism IV**

—Christopher Z. Minkowski, Professor of Asian Studies and Classics, Cornell University, Ithaca, New York (June 28 to July 2).

**The Scope of Labor Law: Re-Drawing the Boundaries of Protection**

—Dr. Guy Davidov, Lecturer, University of Haifa, Haifa, Israel, and Mark R. Freedland, Professor, Oxford University, Oxford, England (May 23 to 27).

**TB and Poverty: Are We Doing Enough?**

—Stephen Bertel Squire, M.D., Senior Lecturer in Clinical Tropical Medicine, Liverpool School of Tropical Medicine, Liverpool, England (December 5 to 9).

**Terrorism, Globalism and the Rule of Law**

—Dr. Michel Rosenfeld, Justice Sydney L. Robins Professor of Human Rights, Yeshiva University, New York, New York (July 18 to 22).

**Toward Food Security Among People Dependent on Millet- and Sorghum-Based Systems in West Africa**

—Dr. Robert M. Goodman, McKnight Foundation (March 31 to April 4).

**Transnational Migration: Foreign Labor and Its Impact in the Gulf**

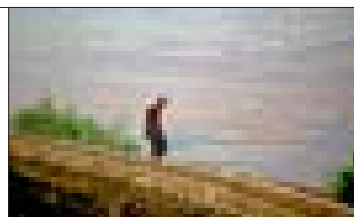
—Dr. Michael E. Bonine, Professor of Geography, and Andrew M. Gardner, Teaching Assistant, both of the University of Arizona, Tucson, Arizona; and Dr. Sharon Nagy, Assistant Professor of Anthropology and International Studies, DePaul University, Chicago, Illinois (June 20 to 25).

**Unprecedented Conversations: Broadening Notions of AIDS Treatment and Care**

—George F. Brown, M.D., Director, Health Equity, Rockefeller Foundation, New York, New York, and Dr. Pathmanathan Naidoo, Associate Director, Health Equity, Rockefeller Foundation, Nairobi, Kenya (April 5 to 9).

**Van Lennep Subsidies Initiative—The World Trade Organization and Subsidies: Bridging the North-South Divide**

—David A. Boyer, Associate, International Institute for Sustainable Development, Geneva, Switzerland, and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (February 28 to March 3).



## Other Programs

### Volume 4 Handbook of Agricultural Economics—

Dr. T. Paul Schultz, Professor of Economics, Yale University, New Haven, Connecticut (May 2 to 6).

### Vulnerability to Climate Change in the Developing World

—Dr. Neil A. Leary, Science Director, Assessments of Impacts and Adaptations to Climate Change, International START Secretariat, Washington, D.C. (March 7 to 14).

### War and Politics in Medieval and Early Modern Italian City States

—Frances McCall Rosenbluth, Professor of Political Science, Yale University, New Haven, Connecticut (December 13 to 16).

**Wet**—Anne LeBaron, Professor of Music Composition, California Institute of the Arts, Valencia, California (February 1 to 13).

**Women Writing Africa: Northern Region**—Florence Howe, Emerita Professor, Graduate Center, City University of New York, New York, New York (February 2 to 15).

**Yearbook Seminar on Economic and Social Rights**—Dr. Marlies Ellen Glasius, Director, London School of Economics and Political Science, London, England, and Janet Maughan, Deputy Director, Global Inclusion, Rockefeller Foundation, New York, New York (February 22 to 26).

### >2005 RESIDENTS

**Dr. Mona Abaza (Germany)**, Associate Professor, American University in Cairo, Cairo, Arab Republic of Egypt—a manuscript, “Consumer Culture and Cairo’s Urban Reshaping: Public Spaces, Public Sphere and Democratizing Effects.”

**Mr. Lourens W. H. Ackermann (South Africa)**, Retired Justice, South African Constitutional Court, Cape Town, South Africa—a monograph, “The Significance of Dignity for Equality Jurisprudence and Transformation Under the South African Constitution: A Comparative Study With Canada and Germany.”

**Dr. Marilyn McCord Adams (United States)**, Regius Professor of Divinity, Oxford University, Oxford, England—a manuscript, “The Coherence of Christology: God, Enmattered and Enmattering.”

**Dr. Yevgenia Mark Albats (Russian Federation)**, Professor of Political Science, Moscow Higher School of Economics, Moscow, Russian Federation—a manuscript, “Bureaucrats and Russian Transition: The Politics of Accommodation.”

**Dr. April Alliston (United States)**, Professor of Comparative Literature, Princeton University, Princeton, New Jersey—a manuscript, “Character and Plausibility: Gender and the Genres of Historical Narrative (1650–1850 and beyond).”

**Dr. Warwick H. Anderson, M.D. (Australia)**, Robert Turell Professor of Medical History and Population Health and Professor of the History of Science Chair, University of Wisconsin-Madison, Madison, Wisconsin—a research project, “Medicines and Globalization: Historical and Cultural Analysis” (with Adele E. Clarke).

**Dr. Jon H. Appleton (United States)**, Arthur R. Virgin Professor of Music, Dartmouth College, Hanover, New Hampshire—a performance piece, “Appleton Syntonic Menagerie.”

**Dr. Ariel C. Armony (Argentina)**, Associate Professor, Department of Government, Colby College, Waterville, Maine—a study, “Civil Society in Cuba: Realities and Possibilities” (with Margaret E. Crahan).

**Dr. Tridib Banerjee (United States)**, Professor and James Irvine Chair of Urban and Regional Planning, University of Southern California, Los Angeles, California—a manuscript, “Images of Development: City Design in the Third World.”

**Dr. Ann M. Banfield (United States)**, Professor of English, University of California, Berkeley, Berkeley, California—a manuscript, “‘Tattered Syntaxes’: Samuel Beckett, the Mother Tongue and the Revolution of the Syntacticon.”

**Mr. Peter Franklin Barnes (United States)**, Senior Fellow, Tomales Bay Institute, Point Reyes Station, California—a manuscript, “Commons and Markets: Capitalism’s Tragic Flaws and How to Fix Them.”

**Dr. Ronald Bayer (United States)**, Professor of Public Health, Columbia University, New York, New York—a manuscript, “Shattered Dream? An Oral History of AIDS in South Africa” (with Gerald M. Oppenheimer).

**Dr. Michael C. Beard (United States)**, Chester Fritz Distinguished Professor of English and Peace Studies, University of North Dakota, Grand Forks, North Dakota—translation of the Mihyar poems by Adonis (Ali Ahmad Sa’id) (with Adnan Fuad Haydar).

**Dr. Karol Berger (United States)**, Professor of Music, Stanford University, Stanford, California—a manuscript, “Time’s Arrow and the Advent of Musical Modernity.”

**Mr. Mark Berger (United States)**, Professor of Law, University of Missouri-Kansas City, Kansas City, Missouri—a study, “Comparative Perspectives on the Right to Silence.”

**Dr. Amy J. Binder (United States)**, Associate Professor, University of California, San Diego, La Jolla, California—a manuscript, “Educated in Self-Sufficiency: The Work of Supportive Direct Services in the American Welfare State.”

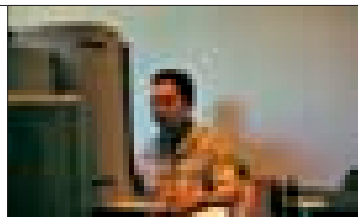
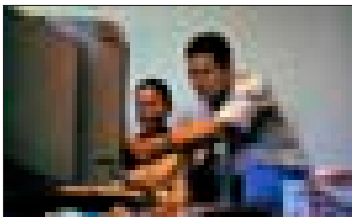
**Mr. Hisham M. Bizri (United States)**, Assistant Professor, University of Minnesota, Minneapolis, Minnesota—a screenplay, “Al-Qahera” (“Cairo”).

**Dr. James G. Blight (United States)**, Professor of International Relations, Brown University, Providence, Rhode Island—a monograph, “Kennedy, Johnson, and Vietnam: The Impact of the Presidential Transition and Its Lessons for U.S. Foreign and Defense Policy” (with David A. Welch).

**Dr. Alexander Lionel Boraine (South Africa)**, President, International Center for Transitional Justice, Cape Town, South Africa—a study, “Transitional Justice: A Holistic Interpretation.”

**Dr. Stephen J. Brooke (Canada)**, Associate Professor of History, York University, Toronto, Ontario, Canada—a manuscript, “Sexual Politics: Gender, Sexuality and the British Labour Party, 1920s to 1990s.”

**Mr. David Darius Brubeck (United States)**, Professor of Jazz Studies, University of KwaZulu-Natal, Durban, South Africa—music composition for jazz orchestra and vocal ensemble.



**Ms. Abena P. A. Busia (United Kingdom)**, Associate Professor of English Literatures, Rutgers, The State University of New Jersey, New Brunswick, New Jersey—a manuscript, "At Territorial Borders: Essays on Gender, Race, Exile and Community."

**Dr. Rudolph P. Byrd (United States)**, Associate Professor of American Studies, Emory University, Atlanta, Georgia—a manuscript, "The Collected Writings of James Weldon Johnson."

**Dr. Judith A. Carney (United States)**, Professor of Geography, University of California, Los Angeles, Los Angeles, California—a manuscript, "Africa's Botanical Legacy in the Atlantic World."

**Ms. Yanira H. Castro (United States)**, Director and Choreographer, New York, New York—research for a dance installation, "Center of Sleep."

**Dr. Mary Ann Caws (United States)**, Distinguished Professor of English, French and Comparative Literature, The Graduate Center of The City University of New York, New York, New York—a manuscript, "Ten Extraordinary Women."

**Ms. Anita Ching-Tzu Cheng (United States)**, Choreographer and Artistic Director, Anita Cheng Dance, Brooklyn, New York—a new performance piece (with Ronaldo Kiel).

**Ms. Marilyn Mei Ling Chin (United States)**, Professor of English, San Diego State University, San Diego, California—a collection of poems, "Love Sanctuary."

**Ms. Lee J. Chinalai (United States)**, Owner and Vice President, Chinalai Tribal Antiques, Ltd., Shoreham, New York—a bilingual book in Thai and English, "Yantra: Magical Talismanic Cloths and Charms" (with Vichai Chinalai).

**Mr. Vichai Chinalai (United States)**, Proprietor and President, Chinalai Tribal Antiques, Ltd., Shoreham, New York—a bilingual book in Thai and English, "Yantra: Magical Talismanic Cloths and Charms" (with Lee J. Chinalai).

**Dr. Adele E. Clarke (United States)**, Professor of Sociology and Adjunct Professor of History of Health Sciences, University of California, San Francisco, San Francisco, California—a research project, "Medicines and Globalization: Historical and Cultural Analysis" (with Warwick H. Anderson).

**Mr. William Taylor Cleveland (United States)**, Director, Center for the Study of Art and Community, Bainbridge Island, Washington—a manuscript, "Art and Upheaval: Artists Working on the World's Frontlines."

**Dr. Frances E. Contreras (United States)**, Assistant Professor, University of Washington, Seattle, Washington—a manuscript, "Understanding the Latino Education Gap: Why Latinos Don't Go to College" (with Patricia C. Gándara).

**Mr. William V. Costanzo (United States)**, Professor of English and Film, Westchester Community College, Valhalla, New York—a study, "New Trends in Global Cinema."

**Dr. Margaret E. Crahan (United States)**, Dorothy Epstein Professor of History, Hunter College, City University of New York, New York, New York—a study, "Civil Society in Cuba: Realities and Possibilities" (with Ariel C. Armony).

**Dr. Vidya J. Dehejia (United States)**, Professor of Indian Art, Columbia University, New York, New York—a manuscript, "The Body Adorned: Sacred and Profane."

**Mr. Daryl G. Dellora (Australia)**, Film Director, Film Art Doco Pty Ltd., Collingwood, Victoria, Australia—a film script, "Crimes of War: The Defeat of Impunity" (with John F. Hocking).

**Ms. Elena Del Rivero (United States)**, Visual Artist, New York, New York—a multimedia installation, "[Swi:t] Home: A Chant."

**Mr. Francisco Diez (Argentina)**, Special Consultant for Democratic Dialogue in Latin America, United Nations Development Programme, Buenos Aires, Argentina—a manuscript, "International Mediation in Venezuela, 2002–2004" (with Jennifer Lynn McCoy).

**Dr. Vasanta Duggirala (India)**, Associate Professor, Osmania University, Hyderabad, Andhra Pradesh, India—a technical report, "Linguistic Awareness Training in Telugu: An Instruction Manual for Parents and Teachers of Hearing Impaired Children."

**Dr. Barbara Alpern Engel (United States)**, Professor of History, University of Colorado at Boulder, Boulder, Colorado—a manuscript, "A Family Affair: Marriage, Its Discontents and the State in Russia, 1881–1914."

**Dr. John Farley (Canada)**, Professor (retired), Dalhousie University, Halifax, Nova Scotia, Canada—a biography, "Magic Bullets and the Cold War: Brock Chisholm and the World Health Organization (1946–1953)"

**Dr. Richard Festinger (United States)**, Professor of Music Composition, San Francisco State University, San Francisco, California—a new string quartet for the 20th anniversary season of the Earplay Ensemble.

**Dr. Harriet Friedmann (Canada)**, Professor of Sociology, University of Toronto, Toronto, Ontario, Canada—a manuscript, "Midas' Feast: Turning Food into Gold, 1846–2005."

**Dr. Curt D. Furberg (United States)**, Senior Adviser to the Dean for Health Services Research and Health Policy, Wake Forest University, Winston-Salem, North Carolina—a study, "Increasing Efficiency and Global Equity in Health Care."

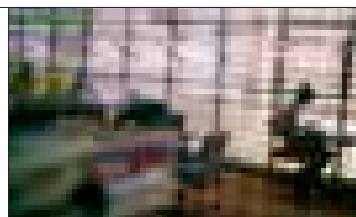
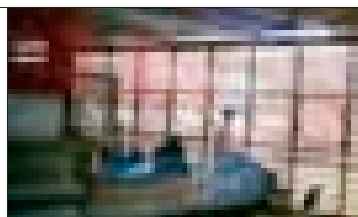
**Dr. Patricia C. Gándara (United States)**, Professor of Education, University of California, Davis, Davis, California—a manuscript, "Understanding the Latino Education Gap: Why Latinos Don't Go to College" (with Frances E. Contreras).

**Dr. John Price Gaventa (United Kingdom)**, Professor, University of Sussex, Brighton, England—a manuscript, "Claiming Citizenship: Rights, Participation and Accountability."

**Dr. Peter Gena (United States)**, Professor of Art and Technology Studies, School of the Art Institute of Chicago, Chicago, Illinois—a music/sound installation, "DNA."

**Dr. Katherine D. Gibson (Australia)**, Professor of Human Geography, Australian National University, Canberra, Australian Capital Territory, Australia—a monograph, "Rethinking Economy and Economic Development" (with Julie A. Graham).

**Ms. Namita Rajiv Gokhale (India)**, Writer, New Delhi, India—a manuscript, "In Search of Sita" (with Malashri Lal).



## Other Programs

**Ms. Patricia Gossman (United States)**, Project Director, Afghanistan Justice Project, Open Society Institute, Amman, Jordan—a manuscript, "Impunity, Stability and Justice in Afghanistan."

**Dr. Julie A. Graham (United States)**, Professor of Geography, University of Massachusetts Amherst, Amherst, Massachusetts—a monograph, "Rethinking Economy and Economic Development" (with Katherine D. Gibson).

**Mr. Sam Green (United States)**, Documentary Filmmaker, San Francisco, California—a feature-length documentary, "The Universal Language."

**Dr. Merilee S. Grindle (United States)**, Edward S. Mason Professor of International Development, Harvard University, Cambridge, Massachusetts—a book manuscript and two policy-relevant briefs, "Going Local: Decentralization, Democratization, and the Promise of Good Governance."

**Dr. Sarah Guri-Rosenblit (Israel)**, Associate Professor of Education, Open University of Israel, Raanana, Israel—a manuscript, "Digital Technologies in Higher Education: Sweeping Expectations and Moderate Effects."

**Mr. Charles A. Gute (United States)**, Visual Artist, Brooklyn, New York—a photographic and digital media project, "Epigraphic."

**Ms. Lonnée Eileen Hamilton (United States)**, Screenwriter, Pasadena, California—a screenplay, "Burnt Lands."

**Ms. Karen S. Hartman (United States)**, Playwright, New York, New York—a new play, "Goliath."

**Mr. Michael E. Hartmann (United States)**, International Prosecutor, United Nations Mission in Kosovo, New York, New York—a policy paper, "Our Lessons Learned: Practitioners' Proposed Rules of Engagement for Successfully Internationalizing Courts in Peacekeeping Missions" (with Agnieszka Marie Klonowiecka-Milart).

**Ms. Graciela Viviana Hasper (Argentina)**, Visual Artist, Federal Capital, Argentina—a manuscript about the conceptual foundations of her work and development of drawings in small scale.

**Dr. Adnan Fuad Haydar (United States)**, Professor of Arabic and Comparative Literature, University of Arkansas, Fayetteville, Arkansas—translation of the Mihyar poems by Adonis (Ali Ahmad Sa'ïd) (with Michael C. Beard).

**Mr. Fred S. Hersch (United States)**, Composer, New York, New York—music composition, "The Baron in the Trees."

**Dr. Elizabeth Starr Higginbotham (United States)**, Professor of Sociology, University of Delaware, Newark, Delaware—a manuscript, "Black Professional Women in the United States: A Historical and Theoretical Perspective."

**Ms. Arnell Josephine Hinkle (United States)**, Executive Director, California Adolescent Nutrition and Fitness Program, Berkeley, California—an article, "California Adolescent Nutrition and Fitness: Lessons Learned."

**Mr. John F. Hocking (Australia)**, Deputy Registrar, International Criminal Tribunal for the Former Yugoslavia, United

Nations, The Hague, Netherlands—a film script, "Crimes of War: The Defeat of Impunity" (with Daryl G. Dellora).

**Dr. Lincoln Steffens Hollister (United States)**, Professor of Geosciences, Princeton University, Princeton, New Jersey—an article, "New Insights on the Origin of Continental Crust."

**Dr. Robinson G. Hollister (United States)**, Joseph Wharton Professor of Economics, Swarthmore College, Swarthmore, Pennsylvania—a manuscript, "Nectar of the Gods: Social Policy Experiments and Their Flawed Alternatives."

**Dr. Karla F. C. Holloway (United States)**, William Rand Kenan Jr. Professor of English, Duke University, Durham, North Carolina—a manuscript, "BookMarks: Reading a Writer's Life."

**Mr. Garrett Hongo (United States)**, Distinguished Professor of Arts and Sciences, University of Oregon, Eugene, Oregon—a novel, "The North Shore."

**Dr. John Howard (United States)**, Professor of American Studies, University of London, London, England—a manuscript, "Unnatural but Not Un-American: Concentration Camps in the South."

**Dr. Frederick E. Hoxie (United States)**, Swanlund Endowed Chair and Professor of History, University of Illinois at Urbana-Champaign, Urbana, Illinois—a manuscript, "Challenging the State: American Indians and the 'Empire of Liberty,' 1800–2000."

**Dr. Goran Hyden (Sweden)**, Professor of Political Science, University of Florida, Gainesville, Florida—a manuscript, "The Economy of Affection: The Role of Informal Institutions in a Global Setting."

**Mr. Denis Johnson (United States)**, Writer, Eastport, Idaho—a novel, "Tree of Smoke."

**Dr. Kellie E. Jones (United States)**, Assistant Professor of the History of Art and African American Studies, Yale University, New Haven, Connecticut—a manuscript, "Taming the Freeway and Other Acts of Urban HIP-notism: African American Artists in Los Angeles in the 1960s and 1970s."

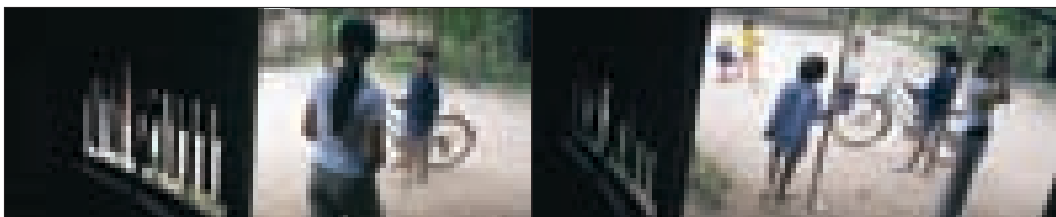
**Ms. Sushma Joshi (Nepal)**, Staff Writer, Nation Weekly Magazine, Kathmandu, Nepal—a manuscript, "Cheli-Beti: Discourses of Trafficking, Gender and Citizenship in Modern Nepal."

**Dr. George A. Kaplan (United States)**, Thomas Francis Collegiate Professor of Public Health, University of Michigan, Ann Arbor, Ann Arbor, Michigan—a monograph, "Upstream Determinants of Population Health and Health Disparities."

**Prof. Malavika Kapur (India)**, Honorary Professor of Clinical Psychology, India Institute of Science, Bangalore, India—a manuscript, "Where There Are Few Teachers."

**Dr. Ruth Kartun-Blum (Israel)**, Professor and Head, Department of Literature, Hebrew University, Jerusalem, Israel—a manuscript, "Reading the Scriptures in Hebrew and Israeli Literature."

**Mr. Ronaldo Kiel (Brazil)**, Assistant Professor of Digital Art, Brooklyn College, City University of New York, Brooklyn, New York—a new performance piece (with Anita Ching-Tzu Cheng).



**Dr. Young Jak Kim (South Korea)**, Director, Institute of Japanese Studies, Kookmin University, Seoul, South Korea—a study, "How to Promote Regional Cooperation of East Asia in Democratization and Globalization: Opportunities and Responsibilities for Japan and the Republic of Korea" (with Hideo Otake).

**Ms. Patricia A. King (United States)**, Carmack Waterhouse Professor of Law, Medicine, Ethics and Public Policy, Georgetown University, Washington, D.C.—a study, "The Use of Race in Research."

**Mr. Jerome Kitzke (United States)**, Composer, New York, New York—music composition, "Prairie Erth (deep map)."

**The Hon. Agnieszka Marie Klonowiecka-Milart (Poland)**, International Judge, Supreme Court, United Nations Mission in Kosovo, AUCON KFOR, Austria—a policy paper, "Our Lessons Learned: Practitioners' Proposed Rules of Engagement for Successfully Internationalizing Courts in Peacekeeping Missions" (with Michael E. Hartmann).

**Dr. Leszek Koczanowicz (Poland)**, Professor of Psychology, University of Lower Silesia of the Association for the Advancement of Education in Wrocław, Wrocław, Poland—a manuscript, "The Modes of Dialogue: Comparison of American Pragmatism with Russian Semiology and Psychology."

**Dr. Kevin Richard Kopelson (United States)**, Professor of English, University of Iowa, Iowa City, Iowa—a manuscript, "Modern Satire."

**Ms. Katharine M. Kuharic (United States)**, Assistant Professor of Painting, Washington University in St. Louis, St. Louis, Missouri—artwork, "The World Brought Low: Devastated Consumer Goods, Stylization and Perversity in Painting."

**Dr. Malashri Lal (India)**, Director, Women's Studies and Development Center, University of Delhi, Delhi, India—a manuscript, "In Search of Sita" (with Namita Rajiv Gokhale).

**Dr. Cornelia-Magda Lazarovici (Romania)**, Researcher, Institute of Archaeology, Iasi, Romania—a manuscript, "Neolithic-Chalcolithic Architecture in Romania and Its Connections with Neighboring Areas in Central Europe" (with Gheorghe Corneliu Lazarovici).

**Dr. Gheorghe Corneliu Lazarovici (Romania)**, Researcher and Professor, Historical National Museum of Transylvania, Cluj-Napoca, Romania—a manuscript, "Neolithic-Chalcolithic Architecture in Romania and Its Connections with Neighboring Areas in Central Europe" (with Cornelia-Magda Lazarovici).

**Dr. Marnia Lazreg (United States)**, Professor of Sociology, Hunter College, City University of New York, New York, New York—a study, "Routinizing Terror: Torture, Identity, and Memory in Algeria."

**Dr. Uri Leron (Israel)**, Professor of Science Education, Technion—Israel Institute of Technology, Haifa, Israel—a study, "Mathematical Cognition and Human Nature: Consonance and Conflict."

**Dr. Sanford Levinson (United States)**, Professor of Law, University of Texas at Austin, Austin, Texas—a manuscript, "The Iron Cage of the United States Constitution."

**Mr. Hugh Lewin (South Africa)**, Writer, Johannesburg, South Africa—a personal study, "Dealing with Demons."

**Ms. Laura B. Martorelli Lio (Argentina)**, Artist, Madrid, Spain—artwork, "The Purest of White Threads."

**The Rev. Deborah W. Little Wyman (United States)**, Founder/Director, Ecclesia Ministries/Common Cathedral, Boston, Massachusetts—a book of stories about the experience of community in the third world of the United States, "Street Stories."

**Mr. Michael P. MacDonald (United States)**, Author and Lecturer, Brooklyn, New York—narrative nonfiction, "Rise Above: Anguish, Exile and Resiliency in the Aftermath of Trauma."

**Mr. James H. Mann (United States)**, Writer in Residence, Johns Hopkins University, Washington, D.C.—a manuscript, "Words at the Wall: The End of the Cold War and the Rhetoric of Ronald Reagan."

**Dr. Elaine Tyler May (United States)**, Professor of American Studies and History and Fesler-Lampert Professor of Humanities, University of Minnesota, Minneapolis, Minnesota—a manuscript, "Gimme Shelter: The Legacy of the Cold War at Home."

**Dr. Jennifer Lynn McCoy (United States)**, Associate Professor of Political Science, Georgia State University, Atlanta, Georgia—a manuscript, "International Mediation in Venezuela, 2002–2004" (with Francisco Diez).

**Mr. James McGarrell (United States)**, Professor Emeritus of Art, Washington University, St. Louis, Missouri—artwork exploring the relationship between mythological narrative and motifs in Mediterranean landscape.

**Dr. John Joseph McGrath (Australia)**, Professor of Epidemiology and Developmental Neurobiology, University of Queensland, Wacol, Queensland, Australia—a manuscript, "Building the Ramshackle Brain: Evolutionary Developmental Biology as a Tool to Explore Psychotic Disorders."

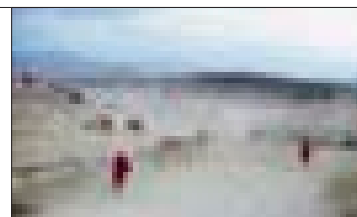
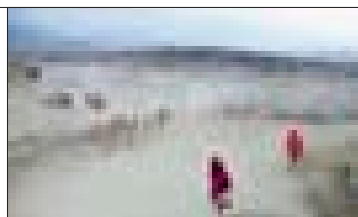
**Mr. Wesley C. McNair (United States)**, Poet, Retired Director of Creative Writing, University of Maine at Farmington, Farmington, Maine—a poetry manuscript, "The Ghosts of You and Me."

**Dr. Toril Moi (Norway)**, James B. Duke Professor of Literature and Romance Studies, Duke University, Durham, North Carolina—a manuscript, "Ibsen's Modernism."

**Ms. Honor Moore (United States)**, Faculty, Graduate Writing Program, New School University, New York, New York—a memoir, "The Bishop's Daughter."

**Dr. Dulcie A. Mulholland (South Africa)**, Professor of Organic Chemistry, University of KwaZulu-Natal, Durban, South Africa—a review article on the chemistry and ethnobotany of the Hyacinthaceae.

**Dr. Constance A. Nathanson (United States)**, Professor of Clinical Sociomedical Sciences, Columbia University, New York, New York—a manuscript, "Disease Prevention as Social Change: Society, Politics and Public Health in the United States, Canada, Great Britain and France."



## Other Programs

**Dr. Frederick Neuhouser (United States)**, Professor of Philosophy and Viola Manderfeld Professor of German, Columbia University, New York, New York—a manuscript, "Jean Jacques Rousseau: The Dangers and Promise of Self-Love" ("L'amour proper").

**Dr. Ronald Kim Oates (Australia)**, Professor of Paediatrics and Chief Executive Officer, Children's Hospital at Westmead, Westmead, New South Wales, Australia—two manuscripts on "The Abused Child and the Legal System: Help or Hindrance"—one for legal professionals and one for those who work with abused children.

**Dr. Melvin L. Oliver (United States)**, Professor of Sociology, University of California, Santa Barbara, Santa Barbara, California—a 10<sup>th</sup> anniversary edition of "Black Wealth/White Wealth: A New Perspective on Racial Inequality" (with Thomas M. Shapiro).

**Dr. Massaud Omar (Nigeria)**, Senior Lecturer in Local Government Studies, Ahmadu Bello University, Zaria, Nigeria—a study, "Governance and Primary Health Care Delivery in Nigeria."

**Dr. Gerald M. Oppenheimer (United States)**, Professor, Brooklyn College, City University of New York, Brooklyn, New York—a manuscript, "Shattered Dream? An Oral History of AIDS in South Africa" (with Ronald Bayer).

**Mr. Hideo Otake (Japan)**, Professor of Political Science, Kyoto University, Kyoto, Japan—a study, "How to Promote Regional Cooperation of East Asia in Democratization and Globalization: Opportunities and Responsibilities for Japan and the Republic of Korea" (with Young Jak Kim).

**Mr. Raul C. Pangalangan (Philippines)**, Professor of Law, University of the Philippines, Quezon City, Manila, Philippines—an essay, "Global Justice, Native Peace: Internationalized Norms, Politicized Institutions."

**Ms. Polly Pen (United States)**, Composer and Author, New York, New York—a musical theater work, "My Mother and Umm Kulthum."

**Ms. M. Nourbese Philip (Trinidad and Tobago)**, Poet/Writer, Canada—a poetry manuscript, "Zong!"

**Mr. David J. Roussève (United States)**, Professor of Choreography, University of California, Los Angeles, Los Angeles, California—a dance-theater work, "Bittersweet 2."

**Mr. Benardo Ruiz (United States)**, Writer and Media Maker, Brooklyn, New York—a screenplay, "Bury Me/Entierrame."

**Dr. Lidia Ivanovna Sazonova (Russian Federation)**, Main Researcher, Institute of World Literature, Russian Academy of Sciences, Moscow, Russian Federation—a chapter, "Eastern Slavic Baroque Poetry in the European Context," for her manuscript, "Poetics of Russian Baroque Poetry."

**Dr. John R. Scheffer (Canada)**, Professor of Chemistry, University of British Columbia, Vancouver, British Columbia, Canada—a review article on recent research in solid state organic photochemistry

**Dr. Thomas M. Shapiro (United States)**, Pokross Professor of Law and Social Policy, Brandeis University, Waltham, Massachusetts—a 10<sup>th</sup> anniversary edition of "Black Wealth/White Wealth: A New Perspective on Racial Inequality" (with Melvin L. Oliver).

**Mr. Yuyutsu R. D. Sharma (India)**, Poet, Kathmandu, Nepal—a manuscript, "Annapurna Poems."

**Dr. Carla Jo Shatz (United States)**, Professor of Neurobiology, Harvard University, Boston, Massachusetts—a manuscript, "Brain Genes and Brain Wiring: Dynamic Interplay Between Nature and Nurture."

**Dr. Jane Shaw (United Kingdom)**, Dean of Divinity, Oxford University, Oxford, England—a manuscript, "The Visitation: The Story of a Modern Female Prophet and Her Followers."

**Dr. Bruce Gordon Simons-Morton (United States)**, Chief, Prevention Research Branch, National Institutes of Child Health, Bethesda, Maryland—a study, "The Case for Authoritative Parenting of Adolescents."

**Mr. Alvin Singleton (United States)**, Composer, Atlanta, Georgia—a music composition, "Sojourner Truth Choral Ballet."

**Dr. Carl S. Smith (United States)**, Franklyn Bliss Snyder Professor of English and American Studies and Professor of History, Northwestern University, Evanston, Illinois—a manuscript, "City Water, City Life: A Cultural History of Water in 19th-Century Urbanizing America."

**Ms. Ellen R. Spiro (United States)**, Filmmaker/Associate Professor, University of Texas at Austin, Austin, Texas—a documentary film, "In Good Faith."

**Dr. Stephen C. Stearns (United States)**, Professor and Chair, Department of Ecology and Evolutionary Biology, Yale University, New Haven, Connecticut—a manuscript, "Hierarchical Selection and the Human Condition."

**Mr. David I. Steinberg (United States)**, Distinguished Professor and Director, Georgetown University, Washington, D.C.—a manuscript, "Turmoil in Burma: Contested Legitimacies in Myanmar."

**Mr. Peter L. Strauss (United States)**, Betts Professor of Law, Columbia University, New York, New York—a monograph, "Rulemaking in the Ages of Globalization and Information."

**Dr. José Teixeira Coelho (Brazil)**, Professor, School of Communications and Arts, University of São Paulo, São Paulo, Brazil—a study in fiction and nonfiction, "A Natural History of Dictatorship."

**Mr. Rick Tejada-Flores (United States)**, Producer/Director, Alturas Films, Berkeley, California—a video documentary, "The Road to Chulumani."

**Dr. Jennifer Ann Thomson (South Africa)**, Professor, University of Cape Town, Cape Town, South Africa—a manuscript, "Genes for the Environment: The Impact of Genetically Modified Crops on the Environment."





**Ms. Jackie Tileston (United States)**, Assistant Professor of Art, University of Pennsylvania, Philadelphia, Pennsylvania—artwork, “Heterotopia.”

**Dr. Nasaruddin Umar (Indonesia)**, Professor of Islamic Studies, State Islamic University, Ciputat, Indonesia—a manuscript, “Gender Biases in the Qua’anic Interpretation.”

**Mr. Thomas Patrick de Waal (United States)**, Caucasus Editor and Project Manager, Institute for War and Peace Reporting, London, England—a manuscript, “The Black Sea: Diaspora, Diversity and Empire.”

**Dr. David A. Welch (Canada)**, George Ignatieff Chair of Peace and Conflict Studies, University of Toronto, Toronto, Ontario, Canada—a monograph, “Kennedy, Johnson, and Vietnam: The Impact of the Presidential Transition and Its Lessons for U.S. Foreign and Defense Policy” (with James G. Blight).

**Heiner Westphal M.D. (United States)**, Chief, Intramural Research—Labs and Branches, National Institute of Child Health and Development, National Institutes of Health, Bethesda, Maryland—an article, “International Considerations of Human Embryonic Stem Cell Research.”

**Dr. Roger W. Wilkins (United States)**, C. J. Robinson Professor of History and American Culture, George Mason University, Fairfax, Virginia—a study, “Comprehensive School-Community Service Programs.”

**Dr. Stuart A. Wright (United States)**, Professor of Sociology, Lamar University, Beaumont, Texas—a study, “Analysis of a Burgeoning Proto-Fascist Transnational Network.”

**Ms. Alla Aleksandra Yaroshinskaya (Russian Federation)**, President, Center for Ecological Studies and Education, Moscow, Russian Federation—a manuscript, “Chernobyl 20 Years Later: Big Lie.”

**Dr. Ruth Bernard Yeazell (United States)**, Chace Family Professor of English, Yale University, New Haven, Connecticut—a manuscript, “Dutch Painting and the Realist Novel in Britain and France.”

**Dr. Yirmiyahu Yovel (Israel)**, Schulman Professor, Emeritus, Hebrew University, Jerusalem, Israel—a manuscript, “Modernity and the History of the Will.”

## Program Venture Experiment

*The Program Venture Experiment makes investments in companies and organizations whose missions align with the Foundation’s philanthropic goals. These investments are expected to return invested capital and to generate both financial and social returns.*

**Calvert Foundation**, Bethesda, Maryland: \$450,000 as a Program Related Investment in support of its efforts to expand the flow of private capital to low-income communities across the United States by enlarging the community investment marketplace.

**Centenary Rural Development Bank**, Kampala, Uganda: \$500,000 as a Program Related Investment in support of its efforts to raise the incomes of poor smallholder farmers in Uganda who grow bananas and other cash crops, by improving their access to financial capital.

**Uganda Development Trust**, Kampala, Uganda: \$500,000 as a Program Related Investment in support of efforts to improve viable agribusinesses as a source of markets for smallholder farmers in Uganda.

## Supporting Core Philanthropic Organizations

*Foundation support to core philanthropic organizations and other special initiatives.*

**Council on Foundations**, Washington, D.C.: \$44,600 toward general operating expenses in 2005.

**Council on Foundations**, Washington, D.C.: \$35,438 toward the costs of strengthening its access to and ability to engage policymakers on issues impacting the field of philanthropy.

**Foundation-administered project**: \$137,000 to engage a series of experts and external advisers to help integrate program learning and evaluation mechanisms into the Foundation’s areas of work.

**Foundation-administered project**: \$100,000 toward the costs of engaging external advisers to assist the Foundation in its long-term strategic planning process.

**Independent Sector**, Washington, D.C.: \$35,000 toward the costs of an initiative to strengthen its capacity to provide leadership on issues of ethics and accountability within the nonprofit sector.

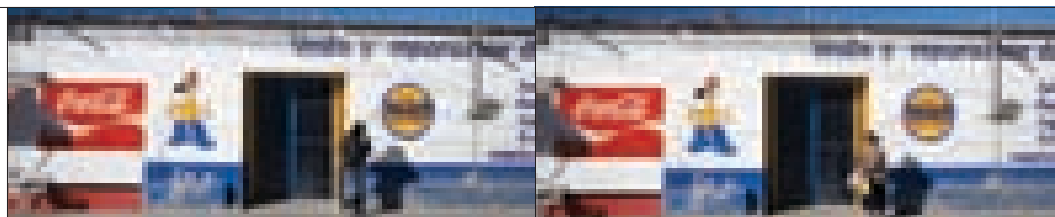
**Independent Sector**, Washington, D.C.: \$12,200 in general support of its mission to advance the common good by leading, strengthening and mobilizing the independent sector.

**New York Regional Association of Grantmakers**, New York, New York: \$15,450 in general support of its mission to strengthen philanthropy by offering programs and resources that support effective, strategic grantmaking, facilitating collaboration and knowledge sharing, and communicating the value of the philanthropic sector in our society.

**Rockefeller Foundation Matching Gift Program**: \$2,000,000 toward the costs of the Rockefeller Foundation Matching Gift Program.

**Rockefeller University**, New York, New York: \$900,099 to cover operating costs associated with the preservation and continuing use of Foundation records deposited at the Rockefeller Archive Center.

**William J. Clinton Foundation**, New York, New York: \$250,000 toward the costs of the inaugural meeting of the Clinton Global Initiative, a nonpartisan conference dedicated to identifying immediate and pragmatic solutions to some of the world’s most pressing problems.



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## Treasurer's Letter

The Rockefeller Foundation's endowment portfolio returned 11.4 percent after fees for the year, benefiting from a significant commitment to international equities and strong performance of hedge funds, real estate and private equity investments. For the three-year period ending in December 2005, the Foundation's portfolio generated an average annual return of 16.0 percent after fees. As of December 31, 2005, the market value of the portfolio was \$3.4 billion.

The concept of generational neutrality—maintaining the long-term purchasing power of the endowment to ensure the Foundation's robust grantmaking ability over the long term—remains a touchstone for the Foundation. The original corpus, which was fully funded by 1929, was worth \$2.8 billion in 2005 dollars compared to its \$3.4 billion value today. With the benefit of compounding investment returns, the Foundation has been able to make approximately \$14 billion (2005 dollars) in grants over the years while maintaining the value of the endowment in real dollars. This approach has allowed the Foundation to maintain its grantmaking that is still benefiting the world today.

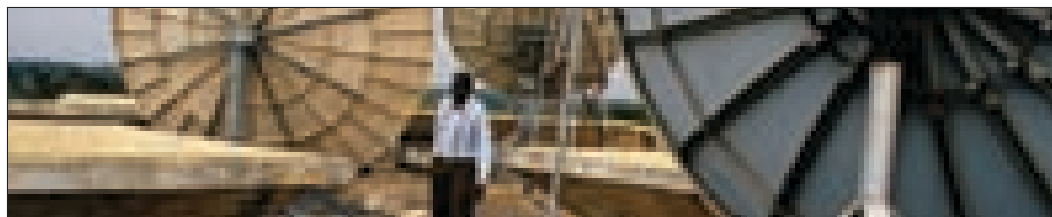
### > EVOLUTION OF INVESTMENT STRATEGY

In the past, an endowment's financial objectives could be achieved by allocating funds among traditional asset classes, primarily in the public markets. Success was measured by the amount of incremental return generated above a market index or benchmark. In recent years, institutional investors have adopted new models. The collapse of equity markets during 2000–2002 was a painful illustration of the need to seek positive absolute returns rather than returns relative to a benchmark. In addition, the high valuations in almost all sectors today suggest that future returns on traditional asset classes may not be sufficient to meet endowment objectives.

The Foundation has adopted a strategic framework that focuses on a core of assets that have higher potential to generate returns in excess of market indices with lower correlations to public markets. The "alpha core" includes hedge funds/distressed debt, real assets and private equity. The overall portfolio can therefore be thought of in three major categories—public equities, fixed income and the alpha core.

The process of building the alpha core takes time. Investors in these asset classes must make long-term commitments. Therefore, the Foundation strives to invest only with the highest caliber partners and conducts extensive due diligence prior to making a commitment. The following table shows the Foundation's historical allocations to these three categories of investment and illustrates the increase in the alpha core and the corresponding reductions in public equities and fixed income. The trend of increasing the alpha core with corresponding reductions in public equities and fixed income will continue, as the alpha core is currently targeted to reach 41 percent and will further increase as opportunities are identified.

| YEAR      | ALPHA CORE % | PUBLIC EQUITIES % | FIXED INCOME % |
|-----------|--------------|-------------------|----------------|
| 1998      | 12.5%        | 62.0%             | 25.5%          |
| 2004      | 23.4%        | 56.6%             | 20.0%          |
| 3/31/2006 | 33.7%        | 50.7%             | 15.6%          |



## > PORTFOLIO OVERSIGHT

In providing oversight of the Rockefeller Foundation's endowment, the board of trustees strives to balance two long-term objectives—maximizing funds for current programs and maintaining generational neutrality—through policies on spending rate and asset allocation of the investment portfolio. The Foundation's long-term target for annual spending is 5.5 percent of the market value of the endowment.

Asset allocation policy is reviewed annually by the Foundation's Finance Committee, which establishes a target allocation for each asset class. The combination of an equity bias and broad diversification among equity-oriented asset classes provides a powerful underpinning for a long-term institutional portfolio. As discussed above, the Foundation is implementing a plan to reduce investments in marketable securities and increase commitments to the alpha core. The long-term asset allocation targets are:

| ASSET CLASS             | PERCENT |
|-------------------------|---------|
| Global Equity           | 10      |
| U.S. Equity             | 19      |
| Developed International | 9       |
| Emerging Markets        | 6       |
| Hedge Funds/Distressed  | 18      |
| Real Assets             | 12      |
| Private Equity          | 11      |
| Fixed Income            | 14      |
| Cash                    | 1       |

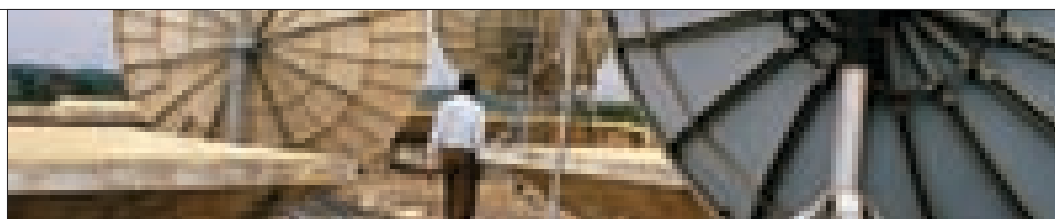
The Foundation's investment staff develops overall strategy, recommends investment managers, and oversees their performance and adherence to guidelines. Staff also researches new investment opportunities and monitors and controls portfolio risks. In selecting outside managers, the Foundation seeks firms that, in addition to strong track records, have the people, management structure, disciplined process, fundamental research and operational controls to deliver superior results.

## > PORTFOLIO STRUCTURE

The Foundation's U.S. equity portfolio is allocated among 10 active managers. Each manager has a distinct investment approach and can add significant value through sector and security selection. In most cases, this results in portfolios that are concentrated in a relatively small number of securities. Hedge strategies with a significant long bias are included in U.S. equities.

The Foundation's international equity portfolio has four active managers with EAFE benchmarks. In addition, there are two managers that specialize in Japan. At year-end 2005, 7 percent of the endowment was also invested with three specialist emerging markets managers. One of these managers focuses solely on the Asian markets outside of Japan.

In addition to U.S. and international equities, the Foundation has an allocation to global managers who have the discretion to hold U.S. and international securities. The Treasurer's Office believes that increasing worldwide economic integration requires that investment managers are thoughtful about the relative attractiveness of regions and are able to identify the best companies in global industries. It is difficult to find advisers with true global capacity. To date, the Foundation has three managers in this asset class, which is expected to grow over time.



The fixed income portfolio emphasizes exposure to high-quality, U.S. government securities. Approximately 40 percent of this asset class is invested in passively managed index funds that hold intermediate-maturity Treasury bonds and Treasury Inflation Protected Securities (TIPS). Another segment of the fixed income portfolio is invested with three managers that achieve exposure to Treasury securities using futures and overlay this exposure with opportunistic investments in a variety of market sectors. This “portable alpha” approach preserves the Foundation’s exposure to Treasury securities but gives the managers the potential to generate higher excess returns.

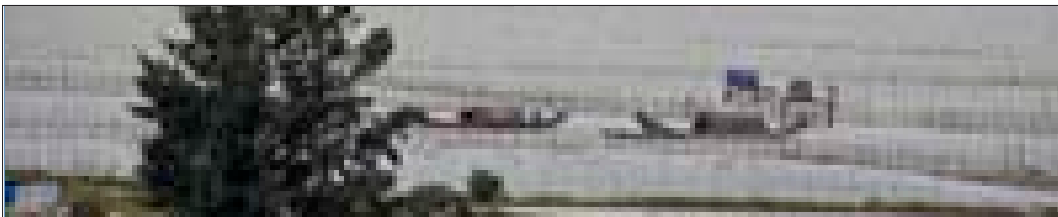
The hedge fund/distressed asset class includes investments in event-driven strategies, long/short equity strategies, and distressed debt. These investments are expected to provide equity-like returns that are not highly correlated with the public equity and fixed-income markets. As of December 31, 2005, the hedge fund/distressed asset class was 15 percent of the endowment and was invested with 15 managers.

The Foundation makes investments in private equity and real assets through limited partnerships. The inefficiency of private markets offers long-term institutional investors, who can tolerate illiquidity, the opportunity to benefit from experienced partners who have consistently added value to their portfolio companies. Our strategy is to build relationships with leading firms with whom we can invest in a series of funds over time and to structure partnerships that align our interests with those of our partners.

In private equity, the Foundation has ongoing relationships with over 30 venture and buyout partners. During the past two years, the Foundation has been able to establish relationships with a number of new, high-quality private equity partners including investments in rapidly growing emerging markets. These commitments will be funded over time as the partnerships identify investment opportunities.

The real assets portfolio includes investments in public and private real estate, energy and timber. The Foundation has ongoing relationships with 16 partners that invest privately in commercial real estate. Sales in older partnerships continued to exceed capital calls during 2005 as advisers took advantage of the opportunity to sell property at premium prices. Energy investments include natural resource funds as well as private equity funds that invest in companies in the energy sector. The natural resource funds are primarily engaged in acquiring existing properties and enhancing their production capacity and operating efficiency. The Foundation has made one timber investment in a fund with strong environmental values that often pursues joint ventures with conservation entities.

Building a portfolio that respects the abiding principles of diversification and alignment of sponsor/manager interests, but takes advantage of new approaches and unexplored territory, requires a careful balancing of creativity and discipline. The Foundation’s investment staff strives to exercise the creativity to push the bounds of traditional asset allocation and find exceptional partners in new places, while maintaining the discipline to underwrite investments with care and to rigorously evaluate risk/return trade-offs.



## Independent Auditors' Report

The Board of Trustees of The Rockefeller Foundation:

We have audited the accompanying statements of financial position of The Rockefeller Foundation (the "Foundation") as of December 31, 2005 and 2004, and the related statements of activities and 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.

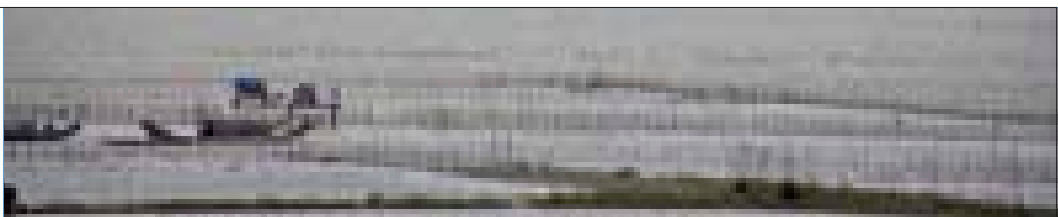
We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for purposes of expressing an opinion on the effectiveness of the Foundation's internal control over financial reporting. Accordingly, we express no such opinion. An audit also 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 Rockefeller Foundation at December 31, 2005 and 2004, and the changes in its net assets and cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

*Deloitte & Touche LLP*

Deloitte & Touche LLP  
New York, New York

May 18, 2006



## Statements of Financial Position

As of December 31, 2005 and 2004  
(Amounts in thousands)

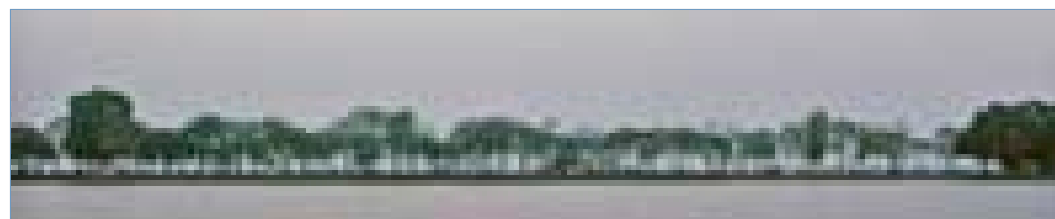
|   | 2005               | 2004                |
|---|--------------------|---------------------|
| <b>ASSETS</b>   |                    |                     |
| Cash and cash equivalents, including restricted bond funds of \$610 and \$629, respectively (Notes 2 and 7)     | \$ 3,590           | \$ 6,851            |
| Collateral held for securities on loan, including \$0 and \$5,800 received as securities, respectively (Note 3) | 278,669            | 283,190             |
| Dividends, interest and other receivables   | 3,805              | 4,693               |
| Investments, including securities on loan of \$268,746 and \$274,204, respectively (Notes 2, 3 and 4)           | 3,356,330          | 3,173,102           |
| Property—Net of accumulated depreciation and amortization (Note 5)  | 21,298             | 22,069              |
| Prepaid pension cost and other assets (Notes 6 and 7)   | 54,474             | 57,156              |
| <b>Total</b>  | <b>\$3,718,166</b> | <b>\$ 3,547,061</b> |

### LIABILITIES AND NET ASSETS

#### Liabilities:

|   |                    |                     |
|---|--------------------|---------------------|
| Accounts payable and accrued liabilities  | \$ 10,260          | \$ 18,295           |
| Payable for return of collateral on loaned securities (Note 3)  | 278,669            | 283,190             |
| Grants approved for specific grantees/purposes but not yet paid (Note 8)                                      | 82,317             | 86,967              |
| Bonds payable, net of unamortized discount totaling \$215 and \$228, respectively (Note 7)                    | 22,750             | 23,497              |
| Federal excise tax payable  | 345                | 192                 |
| Deferred Federal excise tax (Note 2)  | 6,750              | 6,515               |
| Accrued post-retirement benefits (Note 6)   | 18,988             | 19,034              |
| <b>Total liabilities</b>  | <b>420,079</b>     | <b>437,690</b>      |
| Commitments (Notes 3 and 6)   |                    |                     |
| Unrestricted net assets, including Board-designated amounts of \$182,553 and \$185,662, respectively (Note 8) | 3,298,087          | 3,109,371           |
| <b>Total</b>  | <b>\$3,718,166</b> | <b>\$ 3,547,061</b> |

See notes to financial statements.



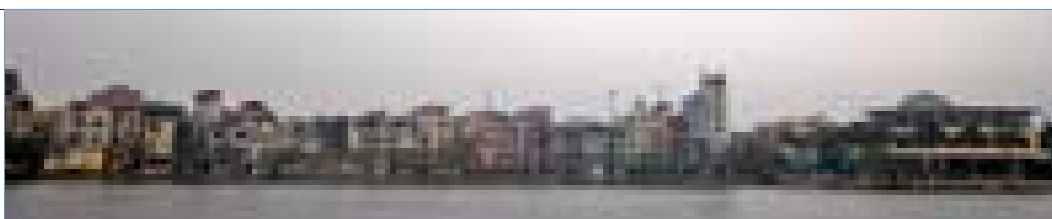


# Statements of Activities

For the Years Ended December 31, 2005 and 2004  
(Amounts in thousands)

|  | 2005               | 2004         |
|--|--------------------|--------------|
| <b>CHANGES IN NET ASSETS</b>   |                    |              |
| Investment return:   |                    |              |
| Realized and change in unrealized gain on investments—net                  | <b>\$ 266,141</b>  | \$ 311,753   |
| Dividend and interest income (Note 2)                                      | <b>96,256</b>      | 74,067       |
| Other investment income  | <b>1,271</b>       | 1,428        |
|  | <b>363,668</b>     | 387,248      |
| Investment expenses  | <b>19,821</b>      | 18,987       |
| Net investment return  | <b>343,847</b>     | 368,261      |
| Other Expenses:  |                    |              |
| Approved grants and program costs  | <b>111,607</b>     | 125,177      |
| Program administrative expenses  | <b>18,037</b>      | 17,177       |
| General administrative expenses  | <b>15,902</b>      | 13,789       |
| Provision for Federal excise and unrelated business income taxes (Note 2): |                    |              |
| Current  | <b>9,350</b>       | 3,344        |
| Deferred   | <b>235</b>         | 2,039        |
|  | <b>155,131</b>     | 161,526      |
| Increase in unrestricted net assets  | <b>188,716</b>     | 206,735      |
| Unrestricted net assets:   |                    |              |
| Beginning of year  | <b>3,109,371</b>   | 2,902,636    |
| End of year  | <b>\$3,298,087</b> | \$ 3,109,371 |

See notes to financial statements.

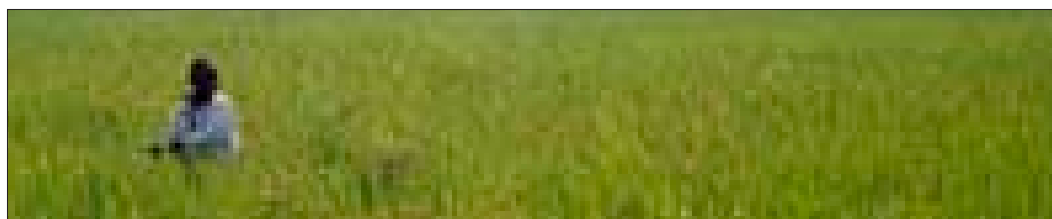


## Statements of Cash Flows

For the Years Ended December 31, 2005 and 2004  
(Amounts in thousands)

|  | 2005        | 2004        |
|--|-------------|-------------|
| <b>CASH FLOWS FROM OPERATING ACTIVITIES</b>  |             |             |
| Increase in net assets   | \$ 188,716  | \$ 206,735  |
| Adjustments to reconcile increase in net assets to cash used in operating activities:                |             |             |
| Depreciation and amortization  | 925         | 1,235       |
| Deferred federal excise tax  | 235         | 2,038       |
| Net unrealized gain on investments   | (14,215)    | (99,000)    |
| Net realized gain on investments   | (251,926)   | (212,753)   |
| Changes in operating assets and liabilities:   |             |             |
| Dividends, interest and other receivables  | 888         | 1,886       |
| Prepaid pension cost and other assets  | 2,673       | (1,002)     |
| Accounts payable, accrued liabilities and taxes payable  | (7,882)     | 861         |
| Grants approved for specific grantees/purposes but not yet paid (Note 8)                             | (4,650)     | (16,655)    |
| Accrued post-retirement benefits   | (46)        | 111         |
| Net cash used in operating activities  | (85,282)    | (116,544)   |
| <b>CASH FLOWS FROM INVESTING ACTIVITIES</b>  |             |             |
| Sales of investments   | 5,202,389   | 6,221,412   |
| Purchases of investments   | (5,119,476) | (6,101,483) |
| Property additions   | (132)       | (29)        |
| Net cash provided by investing activities  | 82,781      | 119,900     |
| <b>CASH FLOWS FROM FINANCING ACTIVITIES</b>  |             |             |
| Repayments of bonds payable  | (760)       | (725)       |
| Net cash used in financing activities  | (760)       | (725)       |
| Net increase (decrease) in cash and cash equivalents, excluding amounts held in investment portfolio | (3,261)     | 2,631       |
| Cash and cash equivalents:   |             |             |
| Beginning of year  | 6,851       | 4,220       |
| End of year  | \$ 3,590    | \$ 6,851    |
| <b>SUPPLEMENTAL INFORMATION</b>  |             |             |
| Cash paid for bond interest  | \$ 1,257    | \$ 1,292    |

See notes to financial statements.



# Notes to Financial Statements

## As of and for the years ended December 31, 2005 and 2004

### > 1. ORGANIZATION

The Rockefeller Foundation (the "Foundation"), chartered in 1913 "to promote the well-being of mankind throughout the world," is a knowledge-based global foundation with a commitment to enrich and sustain the lives and livelihoods of poor and excluded people throughout the world. Grantmaking is organized around thematic lines of work: Creativity and Culture, Food Security, Health Equity, Working Communities, a cross theme of Global Inclusion and a number of regional and specialty programs. In managing the endowment, the Foundation has two primary objectives: to maximize the funds available for current funding and to preserve the value of the endowment. These objectives are achieved through a diversified investment portfolio and spending policies.

The Foundation qualifies as a tax-exempt organization under Section 501 (c)(3) of the Internal Revenue Code and, accordingly, is not subject to Federal income tax (Note 2).

### > 2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

**Cash and Cash Equivalents**—Cash and cash equivalents consists of cash and investments with maturities of less than 90 days from the time of purchase. Cash and cash equivalents held by the Foundation's investment managers awaiting investment in various investment asset classes are included as Investments.

**Investments**—Investments in marketable securities are stated at fair value. Fair value is determined using daily closing prices, where available, for any tradable instruments on any global stock exchange. Interest income and related expenses are accounted for on the accrual basis on trade date. Dividend income and related expenses are recognized on ex-date, net of withholding taxes where applicable. Realized gains and losses on investments in securities are calculated based on the specific identification method, based on trade date.

Limited partnership investments and similar interests are stated at estimated fair value. Values for these partnerships, which may include investments in both nonmarketable and market-traded securities, are provided by the general partner and reviewed by the Foundation's management. Values may be based on historical cost, appraisals, fair values discounted for concentration of ownership or other estimates that require varying degrees of judgment. The financial statements of the limited partnerships are audited annually by independent auditors.

Programmatic investments are philanthropically driven, nonmarketable investments in and loans to businesses that further the Foundation's mission. These investments and loans are made under the Foundation's Program Venture Experiment ("ProVenEx"). Programmatic investments are stated at estimated fair value, which may be based on historical cost, financing events or material changes in the business.

Transactions in other currencies are translated into U.S. dollars at the exchange rates in effect at the date of the transactions. Monetary assets and liabilities denominated in non-U.S. currency are reported at the exchange rates in effect at the dates of the statements of financial position. Any gain or loss arising from a change in exchange rates subsequent to the date of the transaction is included in realized and change in unrealized gain on investments—net, in the statements of activities. For the years ended December 31, 2005 and 2004, the realized and change in unrealized gain (loss)—net, resulting from foreign exchange was approximately \$(54) million and \$22.5 million, respectively.

**Derivatives**—The Foundation records its derivatives at fair value. The fair value of futures and forwards is reflected in investments in the statement of financial position. Each of these financial instruments contains varying degrees of risk whereby changes in the fair value of the securities underlying the financial instruments or the cost of satisfying the Foundation's obligations may exceed the amount recognized in the statements of financial position. Changes in the fair value of derivatives are included in the statements of activities as part of the realized and change in unrealized gain on investments—net.

**Property**—Property is stated at cost at the date of acquisition. Depreciation is provided on a straight-line method over the assets' estimated useful lives, which range from 45 years for condominium and condominium improvements, to 10 years for furniture and fixtures, and to five years for equipment.

**Financial Instruments**—The Foundation has estimated, where practicable, the fair value of its financial instruments by using appropriate valuation methodologies. Except where noted otherwise, the Foundation determined that the differences between the carrying values and fair values of its financial assets and liabilities are not material.

## Notes to Financial Statements

**Federal Excise and Unrelated Business Income Taxes**—The Foundation is classified as a private foundation. It is subject to a Federal excise tax of 1 percent or 2 percent on investment income (its principal source of revenue) less investment expenses, and on net realized taxable gains on securities transactions. In accordance with Section 4940(e) of the Internal Revenue Code, for the year ended December 31, 2005, the Foundation did not meet the specified distribution requirements and, therefore, was subject to a Federal excise tax of 2 percent; for the year ended December 31, 2004, the Foundation met the specified distribution requirements and, therefore, was subject to a Federal excise tax of 1 percent. Additionally, the Foundation's investments in certain private equity and real estate partnerships give rise to unrelated business income tax liabilities.

Deferred Federal excise tax arises from temporary differences between financial and tax reporting related to investment income and the difference between the cost basis and fair value of marketable securities. Deferred taxes are calculated using the full 2 percent excise tax rate.

**Use of Estimates**—The preparation of financial statements in conformity with accounting principles generally accepted in the United States requires management to make estimates and assumptions that affect the amounts reported in the financial statements and accompanying notes. Management believes that the estimates utilized in preparing its financial statements are reasonable and prudent. Actual results could differ from these estimates.

**Restatement of Cash Flows**—The 2004 statement of cash flows was restated to reflect the gross purchases of investments and sales of investments. These amounts had previously been reported net in the statement of cash flows.

### > 3. INVESTMENTS

The Foundation's investment portfolio consists of the following:

|  | December 31  |                 |              |                 |
|--|--------------|-----------------|--------------|-----------------|
|  | 2005 Cost    | 2005 Fair Value | 2004 Cost    | 2004 Fair Value |
| (In thousands)                                 |              |                 |              |                 |
| Marketable securities:                         |              |                 |              |                 |
| Money market funds                             | \$ 166,533   | \$ 166,467      | \$ 154,314   | \$ 154,314      |
| Foreign currency—short-term                    |              | (185)           |              | (2,686)         |
| U.S. and other government obligations          | 132,123      | 132,041         | 186,961      | 190,320         |
| Corporate obligations                          | 64,020       | 62,875          | 141,374      | 132,887         |
| Common stock (including REITs)                 | 1,582,282    | 1,928,518       | 1,639,289    | 2,010,418       |
| Other investments                              | 7,548        | 8,385           | 9,934        | 11,625          |
| Subtotal                                       | 1,952,506    | 2,298,101       | 2,131,872    | 2,496,878       |
| Alternative investments and similar interests: |              |                 |              |                 |
| Hedge funds                                    | 514,062      | 591,120         | 236,872      | 280,688         |
| Real assets                                    | 166,815      | 196,190         | 138,495      | 175,782         |
| Private equity                                 | 403,415      | 291,578         | 343,500      | 226,693         |
| Subtotal                                       | 1,084,292    | 1,078,888       | 718,867      | 683,163         |
| Programmatic investments                       | 4,850        | 3,177           | 8,614        | 3,704           |
| Pending securities transactions—net            | (23,829)     | (23,836)        | (10,547)     | (10,643)        |
| Total  | \$ 3,017,819 | \$ 3,356,330    | \$ 2,848,806 | \$ 3,173,102    |

In 2001, the Foundation began investing in hedge funds. Hedge funds focus on long/short, event-driven and distressed investments. These investments are held in the form of limited partnerships.

As of December 31, 2005, under the terms of various private equity, real assets and other limited partnership agreements, the Foundation has commitments to contribute approximately \$711 million in additional capital over the next 10 to 15 years.

The Foundation has two investment custodians. Both of these custodians maintained securities lending programs during 2005 and 2004. Collateral is in the form of cash and securities and was held by the custodians at all times in excess of the value of the securities on loan. The collateral is limited to being held in cash or invested in government securities. Investment of this collateral is in accordance with specified guidelines. Interest earned on

these transactions is included with other investment income in the statements of activities. The fair value of securities on loan at December 31, 2005 and 2004, was approximately \$268.7 million and \$274.2 million, respectively. In exchange, collateral was provided to the custodians of \$278.7 million and \$283.2 million as of December 31, 2005 and 2004, respectively, of which \$278.7 million and \$277.4 million was received in cash and \$0 million and \$5.8 million was received in securities. In accordance with SFAS 140, *Accounting for Transfers and Servicing of Financial Assets and Extinguishments of Liabilities*, the collateral is shown as both an asset and a liability on the Statements of Financial Position.

#### > 4. DERIVATIVE FINANCIAL INSTRUMENTS

Derivatives are tools used to maintain asset mix or adjust portfolio risk exposure. The Foundation invests in futures on the S&P 500 Index and U.S. Treasury bonds, and foreign currency forward contracts. The S&P 500 Index and U.S. Treasury futures are purchased or sold at minimum transaction cost to adjust desired asset mix. Currency forward contracts are utilized by certain specialist investment managers to manage foreign currency exposure in the Foundation's international equity portfolio.

Within the Foundation's limited partnership investments, managers may create additional exposure for the Foundation through short sales of securities, and trading in futures and forward contracts, options, swaps and other derivatives products.

The full market risk and credit risk of derivative financial instruments are associated with their underlying contract amounts or "notional values" in addition to their fair values. Market risk represents potential loss from the decrease in the value of these financial instruments. Credit risk represents potential loss from possible nonperformance by obligors and counterparties on the terms of their contracts.

Assets and liabilities represent the derivative contracts purchased and sold by the Foundation. The fair value of such positions represents the net unrealized gains and losses and, consequently, the net receivables and payables at December 31, 2005 and 2004. Fair values of the Foundation's derivative financial instruments generally are determined by either quoted market prices or third-party pricing models. Pricing models utilize a series of market inputs to determine the present value of future cash flows, with adjustments, as required, for credit risk, liquidity risk and ongoing costs.

Fair values of the Foundation's derivative financial instruments at December 31, 2005 and 2004, are summarized below. This table excludes exposures relating to derivatives held indirectly through partnership investments.

|   | December 31    |         |
|---|----------------|---------|
|   | 2005           | 2004    |
|   | (In thousands) |         |
| Fixed income contracts to manage portfolio duration, asset mix and interest rate risk—futures contracts:        |                |         |
| Assets  | \$ 2           | \$ 61   |
| Liabilities   | (73)           | (24)    |
| Foreign currency contracts to manage foreign exchange exposure in non-U.S. dollar securities—forward contracts: |                |         |
| Assets  | 238            | 5,920   |
| Liabilities   | (340)          | (8,606) |

Of the above contracts, approximately \$.6 million at December 31, 2005, and \$14.5 million at December 31, 2004, related to over-the-counter ("OTC") contracts and are included in investments as foreign currency—short term. The remaining contracts of approximately \$75,000 at December 31, 2005, and \$85,000 at December 31, 2004, related to exchange-traded contracts for futures and are included in investments as part of U.S. and other government obligations or corporate obligations. The Foundation uses financial futures contracts for the purpose of hedging the risk on existing securities, rebalancing, or to take active trading positions. Upon entering into a contract, the Foundation deposits and maintains as collateral such initial margin as required by the exchange on which the transaction is effected. Pursuant to the contract, the Foundation is to receive from or pay to the broker an amount of cash equal to the daily fluctuation in the value of the contract, also known as the variation margin. The Foundation records daily fluctuations in the variation margin account as realized gains and losses.

## Notes to Financial Statements

At December 31, 2005 and 2004, \$6.2 million and \$2.7 million, respectively, was on deposit with the brokers as collateral for margin requirements on futures. This amount is included in investments as either U.S. and other government obligations or corporate obligations.

Counterparties to the Foundation's OTC derivative products are high credit quality institutions, which are primarily banks, securities firms and investment companies. Management does not anticipate that losses, if any, resulting from credit or market risk, would materially affect the Foundation's financial position.

### > 5. PROPERTY

Expenditures for capital items currently in use are included in the property account and depreciated on a straight-line basis over the lives of the respective assets. At December 31, 2005 and 2004, the property account included the following:

|  | 2005             | 2004      |
|--|------------------|-----------|
|  | (In thousands)   |           |
| Condominium interest in 420 Fifth Avenue       | <b>\$ 16,555</b> | \$ 16,555 |
| Condominium improvements                       | <b>11,777</b>    | 14,145    |
| Furniture, fixtures and equipment              | <b>649</b>       | 2,778     |
|  | <b>28,981</b>    | 33,478    |
| Less accumulated depreciation and amortization | <b>7,683</b>     | 11,409    |
| Property—net                                   | <b>\$ 21,298</b> | \$ 22,069 |

Write-offs of fully-depreciated assets totaled \$4,628,000 and \$89,000 in 2005 and 2004, respectively.

### > 6. PENSIONS AND OTHER POST-RETIREMENT BENEFITS

The Foundation maintains a defined benefit pension plan (the "Plan") for regular salaried employees who were at least 21 years old and have completed one year of service or had attained the age of 40 prior to July 1, 2000. As of July 1, 2000, the Plan was closed to new employees and also to those employees hired prior to July 1, 2000, who did not meet the eligibility requirements. The Plan provides retirement benefits based on years of service and final average pay, with benefits after retirement subject to increase under a cost-of-living augmentation formula. The Foundation makes annual contributions to the Plan, as needed, based on actuarial calculations, in amounts sufficient to meet the minimum funding requirements pursuant to the Employee Retirement Income Security Act of 1974. Plan assets are invested in a diversified portfolio of equities and fixed income securities.

In 2000, the Foundation enhanced its 401(k) plan to create the Retirement Savings Plan (formerly, the Trusteed Savings Plan). Foundation contributions are now made to equal 13 percent of compensation plus a dollar-for-dollar match of up to an additional 2 percent of compensation contributed on a pretax basis by employees up to the compensation cap of \$210,000. Current members of the Plan had the option of remaining in the combined retirement plan consisting of the defined benefit pension plan and the former 401(k) Trusteed Savings Plan or moving to the new Retirement Savings Plan. Employees can make additional unmatched pretax contributions which, when combined with employee contributions that are matched, cannot exceed the maximum pretax contribution limit of \$14,000. All contributions are credited to the participants' accounts. The Foundation's contributions to the Plans were \$1,524,000 and \$1,457,000 in 2005 and 2004, respectively.

Locally hired staff in the Foundation's foreign offices participate in retirement plans and/or provident funds that conform to local customs, conditions or law.

The Foundation provides certain health care and life insurance benefits ("Other Benefits") for retired employees. Employees are eligible for these benefits when they meet the criteria for retirement under the Foundation's pension plan. The plans are noncontributory and there are no cost sharing features. The Foundation accrues the expected cost of providing post-retirement benefits over the years that employees render service and pays the cost of retiree health care benefits with excess pension plan assets under the applicable provisions of the Internal Revenue Code.

The Medicare Prescription Drug, Improvement and Modernization Act of 2003 introduces a prescription drug benefit under Medicare, as well as a federal subsidy to sponsors of retiree medical benefit plans that provide a benefit that is similar to Medicare. In accordance with Financial Accounting Standards Board Staff Position ("FSP") No. 106-1, *Medicare Prescription Drug, Improvement and Modernization Act of 2003*, the Foundation had elected to defer recognizing the effects of the Act on its accounting of retiree medical benefits until such time that specific authoritative guidance was issued. FSP 106-2, issued in May 2004 and which superseded FSP 106-1, was effective for the Foundation's year beginning January 1, 2005.

A Medicare Part D Retiree Drug Subsidy (RDS) analysis has been prepared to assist the Foundation in applying for the subsidy beginning January 1, 2006. The Foundation passed both the gross and net value tests as specified by the Medicare Modernization Act. Accordingly, in 2005, the Foundation commenced accounting for the effect of the subsidy (a net reduction in the Foundation's share of plan costs) as an actuarial experience gain in accordance with FSP 106-2.

| <b>Obligations and Funded Status at December 31</b> |                         |           |                       |             |
|---|-------------------------|-----------|-----------------------|-------------|
|   | <b>Pension Benefits</b> |           | <b>Other Benefits</b> |             |
|   | <b>2005</b>             | 2004      | <b>2005</b>           | 2004        |
| (In thousands)                                      |                         |           |                       |             |
| Change in Projected Benefit Obligation (PBO):       |                         |           |                       |             |
| Projected Benefit Obligation—beginning of year      | <b>\$ 67,668</b>        | \$ 63,022 | <b>\$ 17,887</b>      | \$ 16,744   |
| Service cost  | <b>571</b>              | 618       | <b>339</b>            | 381         |
| Interest cost                                       | <b>3,891</b>            | 3,837     | <b>924</b>            | 1,008       |
| Actuarial loss (gain)                               | <b>3,602</b>            | 3,620     | <b>(1,166)</b>        | 919         |
| Benefits and expenses paid                          | <b>(3,502)</b>          | (3,429)   | <b>(1,192)</b>        | (1,165)     |
| Projected Benefit Obligation—end of year            | <b>72,230</b>           | 67,668    | <b>16,792</b>         | 17,887      |
| Change in plan assets:                              |                         |           |                       |             |
| Fair value of plan assets—beginning of year         | <b>94,434</b>           | 90,471    |                       |             |
| Actual return on plan assets                        | <b>5,691</b>            | 8,330     |                       |             |
| Employer contributions                              |                         |           | <b>1,192</b>          | 1,165       |
| Benefits and expenses paid                          | <b>(3,502)</b>          | (3,429)   | <b>(1,192)</b>        | (1,165)     |
| 401(h) transfer                                     | <b>(914)</b>            | (938)     |                       |             |
| Fair value of plan assets—end of year               | <b>95,709</b>           | 94,434    | —                     | —           |
| Funded status                                       | <b>23,479</b>           | 26,767    | <b>(16,792)</b>       | (17,887)    |
| Unrecognized net actuarial loss (gain)              | <b>30,730</b>           | 26,853    | <b>(2,198)</b>        | (1,175)     |
| Unrecognized prior service cost                     | <b>123</b>              | 161       | <b>2</b>              | 28          |
| Net amount recognized                               | <b>\$ 54,332</b>        | \$ 53,781 | <b>\$ (18,988)</b>    | \$ (19,034) |

Amounts recognized in the statement of financial position consist of:

|                       | <b>Pension Benefits</b> |           | <b>Other Benefits</b> |             |
|-----------------------|-------------------------|-----------|-----------------------|-------------|
|                       | <b>2005</b>             | 2004      | <b>2005</b>           | 2004        |
| (In thousands)        |                         |           |                       |             |
| Prepaid benefit cost  | <b>\$ 54,332</b>        | \$ 53,781 | <b>\$ —</b>           | \$ —        |
| Accrued benefit cost  | —                       | —         | <b>(18,988)</b>       | (19,034)    |
| Net amount recognized | <b>\$ 54,332</b>        | \$ 53,781 | <b>\$ (18,988)</b>    | \$ (19,034) |

The accumulated benefit obligation for the defined benefit pension plan was \$68,737,000 and \$65,146,000 at December 31, 2005 and 2004, respectively. The accumulated post-retirement benefit obligation for medical and life insurance was \$16,263,000 and \$16,310,000 at December 31, 2005 and 2004, respectively.

## Notes to Financial Statements

| Components of Net Periodic Benefit Cost | Pension Benefits |          | Other Benefits |          |
|---|------------------|----------|----------------|----------|
|   | 2005             | 2004     | 2005           | 2004     |
|   | (In thousands)   |          |                |          |
| Service cost                            | \$ 571           | \$ 618   | \$ 339         | \$ 381   |
| Interest cost                           | 3,891            | 3,837    | 924            | 1,008    |
| Expected return on plan assets          | (7,871)          | (7,755)  |                |          |
| Amortization of prior service cost      | 39               | 39       | 26             | 26       |
| Amortization of net (gain) loss         | 2,820            | 2,394    | (143)          | (139)    |
| Net periodic benefit cost               | \$ (550)         | \$ (867) | \$ 1,146       | \$ 1,276 |

| Assumptions   |                  |       |                |       |
|---|------------------|-------|----------------|-------|
| Weighted-average assumptions used to determine benefit obligations at December 31 |                  |       |                |       |
|   | Pension Benefits |       | Other Benefits |       |
|   | 2005             | 2004  | 2005           | 2004  |
| Discount rate   | 5.50%            | 5.75% | 5.50%          | 5.75% |
| Rate of compensation increase   | 6.00%            | 4.00% | 6.00%          | 4.00% |

| Weighted-average assumptions used to determine net periodic benefit cost for years ending December 31 |                  |       |                |       |
|---|------------------|-------|----------------|-------|
|   | Pension Benefits |       | Other Benefits |       |
|   | 2005             | 2004  | 2005           | 2004  |
| Discount rate   | 5.75%            | 6.25% | 5.75%          | 6.25% |
| Expected long-term return on plan assets  | 8.50             | 8.75  | N/A            | N/A   |
| Rate of compensation increase   | 6.00             | 4.50  | 6.00           | 4.50  |

The overall expected long-term rate of return on assets assumption was determined based on historical returns (without adjustment) for each asset class.

| Assumed health care cost trend rates at December 31                               |      |      |  |
|---|------|------|--|
|   | 2005 | 2004 |  |
| Health care cost trend rate assumed for next year                                 | 10%  | 7%   |  |
| Rate to which the cost trend rate is assumed to decline (the ultimate trend rate) | 5    | 5    |  |
| Year that the rate reaches the ultimate trend rate                                | 2010 | 2006 |  |

Assumed health care cost trend rates have a significant effect on the amounts reported for the health care plans. A one-percentage-point change in assumed health care cost trend rates would have the following effects:

|   | 1-Percentage-Point Increase | 1-Percentage-Point Decrease |
|---|-----------------------------|-----------------------------|
|   | (In thousands)              |                             |
| Effect on total of service and interest costs | \$ 177                      | \$ (138)                    |
| Effect on post-retirement benefit obligation  | 1,998                       | (1,668)                     |

| Plan Assets             | At December 31 |       |
|-------------------------|----------------|-------|
|                         | 2005           | 2004  |
| U.S. equities           | 53.8%          | 55.0% |
| International equities  | 15.4           | 14.5  |
| Fixed income securities | 30.8           | 30.5  |
| Total                   | 100%           | 100%  |

The Plan is diversified among three asset classes: U.S. equity, international equity and fixed income with weighted-average target asset allocations of 50 percent, 15 percent and 35 percent, respectively. The Plan's investment managers have been selected from among the endowment's managers to achieve savings on asset based management fees and to garner the benefits of consolidated risk management and oversight.



## Cash Flows:

**Contributions**—The Rockefeller Foundation does not expect to need to make any contributions to its pension plan in 2006; it expects to contribute approximately \$1.1 million toward other post-retirement medical and life insurance plans, most of which will be offset by a 401(h) transfer from excess pension plan assets.

**Estimated Future Benefit Payments**—The following benefit payments, which reflect expected future service, as appropriate, are expected to be paid:

|                 | Pension Benefits | Other Benefits |
|-----------------|------------------|----------------|
| 2006            | \$ 3,889         | \$ 1,072       |
| 2007            | 4,103            | 1,122          |
| 2008            | 4,257            | 1,184          |
| 2009            | 4,383            | 1,193          |
| 2010            | 4,515            | 1,193          |
| Years 2011–2015 | 24,528           | 6,110          |

## > 7. BONDS PAYABLE

During fiscal 1993, the Foundation issued \$20,445,000 in tax-exempt term bonds and \$9,815,000 in tax-exempt serial bonds to fund the acquisition, construction and furnishing of a new office facility (the “Facility”). The bond proceeds and related investment income earned were held by a trustee (the “Trustee”) and have been disbursed at the direction of the Foundation to fund allowable Facility-related costs.

Deferred charges pertaining to underwriter’s fees total \$142,000 and \$151,000 at December 31, 2005 and 2004, respectively, and are included in the statement of financial position as prepaid pension costs and other assets. The underwriter’s fees are being amortized over the life of the bonds. At December 31, 2004, deferred interest costs of \$3,224,000, representing the difference between the amount of interest paid on the bonds and the effect of the cumulative interest expense allocated to operating expenses on a straight-line basis over the life of the bonds, were included in prepaid pension costs and other assets. This deferred charge was expensed in 2005.

The bonds are rated Aaa by Moody’s and AAA by Standard & Poor’s and are backed by the general assets of the Foundation. In addition, the bonds are secured by the Foundation’s ownership interest in the Facility, a leasehold interest in the Facility, and insurance proceeds with respect to the Facility. The nominal interest rates on the serial bonds range from 5.0 percent to 5.1 percent. The nominal interest rates attributable to the term bonds are 5.3 percent and 5.4 percent. The serial bonds mature in various amounts, ranging from \$800,000 to \$880,000 per year, through 2008. The term bonds are due in 2013 (\$5,140,000) and 2023 (\$15,305,000). Bond maturities are shown to the right (in thousands):

| Fiscal Year Ending December 31 |           |
|--------------------------------|-----------|
| 2006                           | \$ 800    |
| 2007                           | 840       |
| 2008                           | 880       |
| 2009                           | —         |
| 2010                           | —         |
| Thereafter                     | 20,445    |
|                                | \$ 22,965 |

## > 8. APPROPRIATIONS AND EXPENDITURES

Appropriations by the Trustees are considered to be obligations when grants are approved (awarded) for specific grantees; appropriations not released for specific grantees and the appropriation for the budget for the next year are considered as Board-designated net assets.

Appropriations and expenditures for the year are summarized as follows:

|  | Appropriated for Specific Grantees/Purposes | Appropriated for Allocation and Next Year’s Budget | Total Appropriated |
|--|---|--|--------------------|
| Balance—December 31, 2003                            | \$ 103,622                                  | \$ 183,735   | \$ 287,357         |
| Approved grants and program and administrative costs | 150,943                                     | (150,943)  | —                  |
| Lapses and refunds                                   | (2,800)                                     | 870  | (1,930)            |
| Expenditures for grants and operations               | (172,798)                                   |  | (172,798)          |
| 2005 budget  | 8,000                                       | 152,000  | 160,000            |
| Balance—December 31, 2004                            | 86,967                                      | 185,662  | 272,629            |
| Approved grants and program and administrative costs | 147,631                                     | (145,822)  | 1,809              |
| Lapses and refunds                                   | (2,085)                                     | (14,287)   | (16,372)           |
| Expenditures for grants and operations               | (150,196)                                   |  | (150,196)          |
| 2006 budget  |   | 157,000  | 157,000            |
| Balance—December 31, 2005                            | \$ 82,317                                   | \$ 182,553   | \$ 264,870         |

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On the cover: In the fall of 2005, the house where Louise Marie Johnson and her husband had lived for 46 years was inundated by floodwaters for six weeks.

## Acknowledgements >>

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