

Come Together



The Joyce Foundation



1998 Annual Report



It is with profound pride, gratitude and thrill of creative challenge that I assume the position of President of the Joyce Foundation. This year's annual report is but one reflection of how fortunate I am to be joining such a rich flow of accomplishment and action on behalf of the greatest public good.

I wish Deborah Leff the most fulfilling success in her new role, and assure the greater community of my full commitment to continue, expand and further the inspired and inspiring work of the Joyce Foundation in the years to come.

Paula DiPerna, April 1999

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



Turning around failing schools, stopping gun deaths, reforming politics, protecting the Great Lakes: such tasks are overwhelming.



Individual citizens, acting alone, may feel powerless to do much about them. But when people come together and pool their ideas, resources, and hard work, that's when things start to change.



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## Foundations can be meeting points

for unlikely characters. They're not viewed that way, of course. They're viewed as rigid, stuffy, and inflexible, a land of elites where the status quo is what really makes things comfy. That's an image that the Joyce Foundation tries hard to counter.

We're attracted by the unusual. Sure, we're interested, very interested, in what the experts have to say. We listen to them, and we take their ideas seriously. But as Albert Einstein pointed out, "Imagination is more important than knowledge." We find that when people come together — people with different points of view, different backgrounds, different plans of attack, but a common commitment to bringing about change that will improve policies and lives — new ways of doing things emerge. Those new directions become thoroughfares that enable people to move through barriers and beyond impediments into action.

There is something wonderful about the free and uninhibited exchange of ideas. Ideas may spring from one source, but they flourish and grow in healthy — and sometimes unexpected — directions when nourished by the resources of others.

I write this at a time of personal change. Early in 1999, I left the Joyce Foundation to become president and ceo of Second Harvest, the nation's largest hunger relief organization. My tenure at Joyce has given me almost seven of the best years of my life. Far from being rigid or stuffy, work at the Foundation has been an endless adventure. I have been nourished by unlikely suspects and seemingly impossible ideas.

Some of those ideas resulted in substantial policy and social changes, changes that would have seemed unreachable in the early 1990s. Chicago Public Schools, instead of being shunned and mocked, are now viewed as a promising model of reform. Campaign finance reform, once at the bottom of almost everyone's agenda, keeps surfacing at the state and federal level, and people are coming together to push for needed changes. Litigation is changing how America looks at guns. Guns are now increasingly viewed as consumer products, which, if designed and regulated

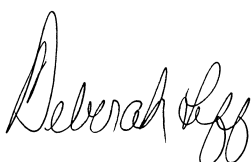
differently, could be far less dangerous. The environment remains a major public concern, and Americans understand that both corporations and citizens will have to change their behavior and work together to preserve a vibrant, sustainable world. Our cultural institutions more and more reflect the richness and innovation that cross all segments of America's population. Increasingly, the cry is not just for welfare reform at any cost but rather for jobs that move people out of poverty. And Joyce grantees have long been leaders in looking for ways out of poverty and finding paths that lead toward a better, fairer, and brighter future.

When I chose to join a nonprofit this year, I was surprised by the questions. "Why are you doing this?" people asked. "Why would you want to cross the fence and work on the other side?"

I was surprised because to me, I was staying on the same side, just contributing in a different way. Looking for ways out of poverty, encouraging people to combine resources in the hope of ending hunger — an intolerable condition in the world's richest country — those are the types of goals long supported by the Foundation, its grantees, and its staff. Joyce has pursued such goals in different ways, from different perspectives, and with unlikely combinations of talents. And what has resulted is not always what was initially expected. But they represent serious and often successful attempts, by people with ideas, energy, and creativity, to make things better.

With new leadership at Joyce will come change, and I suspect pleasant surprises and improvements. But some lessons I hope will hold. Seek out the unexpected. Work together — with the unlikely and the likely suspects — to make things better. Don't be constricted by rigid methodologies and conventional approaches. What is new can be wonderful. New ideas and new partnerships can make a difference in ways that the old, respected practices sometimes can't.

The Joyce Foundation is about encouraging imagination, supporting creative partnerships, and making possible the translation of good ideas into policies and approaches that improve lives. How some of the people Joyce works with — both the likely and the unlikely characters — are working together to bring that about is the subject of this annual report.

A handwritten signature in black ink, appearing to read "Deborah Leff". The signature is fluid and cursive, with a large initial 'D' and 'L'.

Deborah Leff, President (1992—1999)



*Betty Smith*  
*Coordinator,*  
*Milwaukee Catalyst*

# finding commo

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*Tenora Cottrell Pitts*  
*Executive Director,*  
*POWER*

# n ground



*Tameka Haynes*  
*Student*

*Making city schools work takes effort, energy and ideas from a broad range of people — even people who sometimes don't see eye to eye.*

What will it take to make sure that all Milwaukee's children get a good education?

Answers to that question in recent years have been fragmentary, divided, sometimes bitterly at odds. Some groups have advocated on behalf of particular communities or groups of children. Others have pushed specific programs, such as enforcing standards or connecting school and work. Then there's the debate between those who want to fix the public schools and those who want to give the resources to parents, in the form of vouchers, to attend private schools. There's not even agreement on the actual state of the schools; data on key indicators are enmeshed in controversy.

But Milwaukee Catalyst, in its first year of operation, has pulled off a minor miracle by creating a citywide grassroots research and advocacy coalition that has pro- and

anti-voucher advocates talking to one another about ways to improve the city's schools.

Making that happen has required several shifts in focus, says Betty Smith, the coordinator hired last year to get the coalition off the ground. People who support vouchers need to be seen as advocates for parents and children inside and outside the public schools. And people opposed to vouchers need to understand that opposition alone won't fix anything, adds Smith. "Nothing is going to improve the public schools except working to improve them. They won't just automatically change. We have to try to understand their problems and address them."

**facts first** Milwaukee Catalyst started by trying to get the facts straight about the state of the schools. Its July 1998 research report, "Act on the Facts," assembled key data, profiled successful schools, suggested steps to improve performance, and packaged the information in a format that parents could readily understand. The purpose: build a common understanding of the state of the schools to serve as a basis for drawing up plans for change.

Since then, Smith and other Catalyst members have distributed more than five thousand copies of "Act on the Facts" at workshops and community meetings around the city. They have raised their issues at back-to-school fairs and during school board elections. "We are trying to move beyond the narrow self-interests that adults so often bring to discussions of school reform," says Smith. "We want to shift the focus to issues that will actually improve education for children."

Key issues include reading scores, dropout rates, and suspensions. About 40 percent of Milwaukee fourth graders test at "proficient" or "advanced" levels in reading, school district data show — but by eighth grade only 27 percent are doing as well. Poor reading ability can translate into truancy and dropout problems, Smith argues; by high school, about a quarter of students are absent on any given day. Even more dramatic are the suspensions: nearly 51,000 were issued during the 1996-97 school year, affecting nearly half of middle school students and a third of high school students. "The very high suspension rate shows that something is fundamentally wrong with the schools," says Smith. "But before we can address that, we must first confront the barriers that the school system puts in the way of change."

The suspension issue is a top concern for one of Catalyst's leading community members, power (People Organized Working for Educational Revolution). The two-year-old grassroots group wants to empower families to have a voice in educational decisions, says executive director Tenora Cottrell Pitts. So far it has worked with some



500 students and parents. Its initial organizing work with students identified suspensions as a disturbing trend, says Cottrell Pitts. “We did focus groups around the city with young people who were community leaders, and we found that a lot of them had been suspended. When Catalyst came in with their report, we honed in on those suspension rates, which were astronomical. That’s why we got involved. It seemed an issue we could mobilize young people around.”

As advocates for students and parents, power supports parental choice. “We want parents to have options, if they decide the Milwaukee public schools are too big, or whatever else, for their children to have a successful education,” says Cottrell Pitts. “We’re working for parents and students. We can’t make the choice for them — we need to be a voice for everyone.”

That stance isn’t incompatible with joining Catalyst’s struggle to improve the public schools, she adds: “Just because people are looking at options doesn’t mean they’re enemies of the public schools.” Joining Milwaukee Catalyst gives her allies in challenging public school suspension policies, she points out. And it has connected her in turn to other Catalyst allies, including the National Coalition of Advocates for Students, whose resources have proved helpful in the parent training classes power runs at local schools.

Also allied with Catalyst in its first year was the business group, Greater Milwaukee Education Trust (since disbanded). Business leaders are very supportive of vouchers, but they’re also keenly interested in school governance issues, says the group’s former executive director Debra Kenner. The Trust worked with Catalyst, says Kenner, because “they do a good job of translating some difficult concepts in education for people whose children are in the schools. Far too often policies and decisions are made without input from the people who are most affected. Catalyst is a vehicle through which that can happen at the grassroots level.”

**who’s accountable** Increasing accountability for student performance by teachers and principals is an area where parents and business leaders, public school reformers and voucher advocates, can join forces. Accountability is not just an issue for public schools. Milwaukee offers a broad array of choices, including publicly funded vouchers for private school tuition and opportunities for private schools to get public funding as charter schools. “It comes down to needing a community consensus for how we want to measure student achievement, regardless of whether it’s in public, religious, charter or choice schools,” argues Milwaukee Public Schools Deputy Superintendent

Tom McGinnity. “So far there’s been no consensus. Each group comes up with its own categories, but there’s no specific agreement on what effective learning looks like.”

Although he questions some of Catalyst’s data on the schools, McGinnity adds that the coalition can help build the consensus for accountability across the board, and help focus on the “tough questions”: “Where does learning really happen consistently for all urban kids?” But building such a consensus remains a tough task, says William Randall, chairman emeritus of US Bank Wisconsin and former chairman of the Greater Milwaukee Education Trust. “The politics of education reform in Milwaukee is like a continuously bubbling cauldron,” says Randall. “Getting consensus on strategies is never easy. Catalyst adds an important ingredient, but I’m still not sure whether a broad community-wide consensus will emerge.”

Which means that Betty Smith has a big task before her, with no guarantee of success. But she already knows that. Turning around the schools, she believes, “will take a solid plan, with solid backing from parents and the community, one that doesn’t change every time there’s a school board election or a new superintendent. It will take strong public support for changes at the district level and at the school level. It will have to include giving parents more authority to make decisions about their children’s education, including decisions about how the money is spent.”

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The fact that the list is daunting is all the more reason people need to join forces, Smith says. “We’ve had people sit across the table from one another who don’t believe in what the folks on the other side believe in. We’ve had to make an environment where they can work together and find some common ground.”

# g t h e l i n k

*Willie Walker  
Director,  
Employment and  
Training Department,  
City of Detroit*



*Greg Handel  
Director,  
Business Education/  
Training Alliance*



*Nothing moves low-income workers out of poverty more effectively than connecting them with decent jobs.*

“There are no jobs in my neighborhood,” says Lesa McGee. “All there is is one store and two churches. I can take a bus to Seven Mile, but they’re closing stores there.” A longer bus ride takes her to an area with a supermarket and a Kmart. “But they’re not hiring. I’ve been there.” Under pressure because of Michigan’s welfare reform, McGee, who has been getting public assistance for raising the daughter of her murdered sister,

took the only job she could find: making donuts on the midnight shift two nights a week. That didn't last, because McGee had to travel too long by bus to get there.

An estimated 168,000 Detroiters, says Jim Petty, the city's chief of planning for employment and training, are "disaffiliated from the workforce." They are people with few skills, living in neighborhoods with few jobs except for the ubiquitous fast food restaurants, where the pay is low and turnover high.

Meanwhile, not far away, good jobs are going begging. "Unemployment in Southeast Michigan is at an historic low," says Greg Handel, director of the Business Education/Training Alliance (beta), an affiliate of the Detroit regional chamber of commerce. He hears complaints about labor shortages from the chamber's 12,000 members, and he cites studies showing that the greatest limit on economic growth in the region is the supply of labor. "In the current employment environment, it's difficult to find qualified people," says Sarah Preisinger, vice president and staffing manager for National City Bank. "The best candidates don't walk in the door any more."

**links lacking** Why the disconnect? Part of the problem is transportation, says Lyke Thompson of Wayne State University, especially in the Motor City, which has notoriously poor public transportation. But it's more than that: "People in the city don't have the social networks that connect them with good job opportunities," says Thompson. "The informal job ladder of extended families and neighborhood networks that lets people know about jobs has broken down, especially in Detroit."

Now Thompson, along with the business group and the city, has come up with a simple but ingenious scheme to put that job ladder back together. And Lesa McGee is on the first rung, ready to climb.

The idea is to create formal links between low-paying jobs in one industry and higher-paying jobs in another. Employers in "Tier 1" are mostly fast-food and other entry-level jobs. One is Pitney Bowes, the office services firm that hired McGee last August to work in the mail room it runs for General Motors in central Detroit. Tier 1 employers hire entry-level workers and agree to track them over nine months. If the workers perform satisfactorily, they enter a pool of candidates for hire by Tier 2 employers, who have job openings paying at least \$8 an hour plus benefits — places like Preisinger's National City Bank and the Henry Ford Health System.

Everyone benefits, or at least that's the theory. Job seekers who have been dubious about taking fast-food jobs ("there's nothing wrong with them when you're 22, but if you're older and you've got a family to feed you can't make it on fast-food jobs,"

says McGee) suddenly have an incentive to do so: the promise of a better paying job down the line. (As Greg Handel points out, many middle-class teens start their careers with such work because they see it as a beginning, not a dead-end. “I’m not the only person whose first job was making pizza,” says Handel.)

Perhaps surprisingly, Tier 1 employers find the promise of employees staying nine months an advantage, since the average turnover in such jobs is three months, according to Handel. Lesa McGee confirms that many people jump from one fast-food job to another for “the almighty quarter” — a raise from \$6 to \$6.25 an hour — and thus end up with spotty job records. “With the Job Ladder, it’s not worth taking another job,” she says; it makes more sense to stick it out and wait for the better job at the end of the line.

Attitudes like that translate into motivated employees. That’s something that Tier 2 employers are looking for, says Jennifer Davis of the City’s Employment and Training Department. Higher-rung employers have traditionally been reluctant to hire inner-city residents, Davis says, but with the job market tight they’re taking a second look. Through the Job Ladder project “we can vouch for their resume, their work experience. We can say all those things that a neighbor or relative used to say that helps people get that first good job.”

National City Bank’s Preisinger says, “We’re looking for people who have been working, have shown good attendance and a good attitude.” The bank has teller positions ready to offer those who have finished Tier 1. And Preisinger is not shy about hiring former burger-flippers, noting that they’ve had experience handling people and money: “The bank needs anyone who can take care of those customers waiting in line staring at you,” she says. Success at teller jobs can lead to other, higher-paying jobs inside the bank, she adds.

The Job Ladder project is a joint effort of beta, the civic Metropolitan Affairs Coalition, the city’s Employment and Training Department under Director Willie Walker, and Mayor Dennis Archer’s Office. It began in summer 1998 as a voluntary pilot project organized by Educational Data Services, which contracts with the city to find jobs for people coming off welfare. eds lined up the Pitney Bowes position for Lesa McGee, one of 40 to join the pilot project. Those numbers had declined substantially by the time the group was getting ready to move to Tier 2 jobs. But Greg Handel stresses that the pilot project is very much an experiment, and project organizers are learning as they go along. Last fall they secured a \$195,200 Joyce grant to track the first round of employees, help place them in Tier 2 jobs, and expand the

program to at least 200 job-seekers over two years. A project director hired in spring 1999 began enrolling new candidates to fill the pipeline.

Part of the funding will make possible an evaluation by Thompson and his colleagues at Wayne State. Organizers hope that the lessons learned from that evaluation will help them improve the model and pass it on to other communities facing the same “broken” job ladders. “I would like to see the state institute this as a guideline for anybody running a job program,” says Handel, “whether it’s welfare-to-work or a church program, whatever. I’d like to see five or ten or fifteen consortiums throughout the state like this.”

*just jobs* Although welfare recipients may have access to some services through their case managers, the Job Ladder project, for now, concentrates just on jobs, not services. That’s partly because Handel’s organization, he stresses, is made up of corporations, not social service agencies. Besides, he argues, there’s virtue in keeping things simple: “We’re just trying to emulate what happens in the labor market for most people anyway. For some people, that process has broken down. We’re just trying to reestablish it, that’s all. We’re not trying to push water uphill.”

Meanwhile, Lesa McGee is ready to work her way up. Her job delivering mail takes her through several departments at General Motors, and she’s been watching what jobs in those areas look like. So far, she says she’d like to work in the Job Placement section, which handles transfers for gm employees. “I like to work with people,” she says. “I’d like to make it work 100 percent for folks.”





*Howard Learner  
Executive Director,  
Environmental Law and Policy  
Center of the Midwest*

# breakin the box



*Scott Bernstein  
President, Center for  
Neighborhood Technology*



# g out of



*John Rowe  
Chairman, President,  
and CEO, Unicom*

*Electric utilities face a brave new world of competition — and their old environmental adversaries are eager to help them win customers by cleaning up their act.*

The ground has been shifting for electric utilities nationwide — and no, it's not one of the big nuclear plants going Chernobyl.

Once companies thought building more plants was the only way to meet ever-rising power needs. Today, the idea is not to use more electricity, but to use electricity more efficiently. Where once engineers put their hopes in huge nuclear facilities, today they're building smaller plants fired by environmentally friendly natural gas or using renewable sources, such as wind or solar power. And while electric companies were once considered natural monopolies, now they're following airlines and communications into the brave new world of deregulation.

The changes are even catching up with Commonwealth Edison, the Illinois utility that has for decades been a favorite target of environmentalists and consumer advocates. ComEd (now part of Unicom) persisted with the nation's biggest nuclear building program long after other electric companies backed off. When other utilities were giving away energy-efficient light bulbs, ComEd was pushing the old-fashioned power-hungry kind. When others were scrapping expensive building projects and passing the savings on to customers, ComEd was charging the highest rates in the country.

And when other utilities, like New England Electric System, were working with environmental groups on strategies for conserving energy and developing cleaner power, ComEd was drawing fierce criticism from Chicago environmentalists like Scott Bernstein

and Howard Learner. Yet today, in a move that would have been unthinkable just a couple of years ago, Bernstein and Learner are sitting down with ComEd's new ceo, John Rowe, himself a utility pioneer at New England Electric, and talking.

Why? Bernstein and Learner say it's because ComEd is finally willing to listen — as Learner puts it, Rowe, hired in 1998, brings to the utility “a refreshing openness to new ideas.” Rowe says he's willing to listen because the two critics “represent a set of public concerns” that utilities increasingly must take into account.

Bernstein is president of the environment- and economic development-oriented Center for Neighborhood Technology. Learner, a lawyer, runs the Environmental Law and Policy Center of the Midwest. Both groups, with Joyce funding, focus on the environmental costs of power, especially air pollution from coal-burning plants. Both advocate using electricity more efficiently and developing “greener” sources. When ComEd was struggling to meet power needs in the blisteringly hot summer of 1998, Learner helped Rowe's engineers devise short-term steps to reduce demand. Now, as Rowe sets out to restructure the huge utility, he's listening with interest to innovative decentralization strategies being advanced by Bernstein.

All three insist that the discussions are preliminary — Learner is eager to dispell any notion that ComEd is becoming a “green utility,” while Rowe insists that he will only pursue environmental strategies that help his bottom line.

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But the conversations illustrate dramatic changes, in Chicago and nationally, in how Americans get their electricity and how the environmental costs are reckoned.

Ralph Cavanagh, who has pioneered utility strategies in his 20 years with the Natural Resources Defense Council, another Joyce grantee, points out what's at stake. Nationally, Cavanagh says, “generating electricity accounts for two-thirds of the sulfur dioxide emissions, one-third of the nitrogen oxides that are responsible for urban ozone problems, one-third of the carbon dioxide (a greenhouse gas), and one-third of the mercury emissions. It makes sense to come up with a way to deliver that power at a lower environmental cost. The environmental community has had some success in changing the way communities think of utilities and the way utilities think about themselves.”

The biggest change, however, is competition. Since early in this century, electric utilities have been huge vertically integrated monopolies. They generated, sold, and transmitted power throughout their territory, with no market rivals. Some are publicly owned, but for private firms like ComEd, the only check has been state public utility commissions, which the politically muscular utilities found easy to dominate.

But now utilities are being deregulated. Illinois' deregulation bill, which went into effect in January 1998, will eventually allow all residents and businesses to choose among

competing sources of power, from traditional utilities with their huge coal and nuclear plants to smaller companies using new generation technologies.

Environmentally, Bernstein says, the good news is that the new technologies are almost all cleaner than the old ways of generating electricity. The bad news, as Learner points out, is that the law changes the economics of investing in conservation and development of renewable energy sources. While under the old regulations utilities could pass the cost of such investments on to customers, now they will no longer be able to do so. And many fear that given a choice, customers will opt for the cheapest power, which may give old, dirty, but cheap coal-burning plants a new lease on life.

Learner is trying to make sure that doesn't happen. His group won a requirement in the Illinois law that electric bills disclose the sources of the power customers are getting. He cites polls showing that the public wants greener power. "In order to thrive, successful electric utilities will have to give customers what they want," Learner says.

Rowe seems inclined to agree. In a move that surprised many, he announced last year that he would sell off the company's coal-burning plants, and this spring accepted an offer of \$4.8 billion. The price was right; but, Rowe adds, "We think continuing environmental pressures on coal will be greater than some other folks do, and we acted accordingly."

Rowe is working to bring the troubled nuclear plants, with their poor safety records, up to par. But he has also made it clear that he will stick with the company's \$9.5 billion nuclear fleet only if it makes sense economically. Meanwhile, he is betting on other aspects of the company's business: transmitting and distributing power to customers and offering related energy services. Down the road, he envisages not one big utility, but four or five separate businesses, some regulated, some not, but all putting a much greater emphasis on serving customers effectively.

**community power** That's where Bernstein's ideas come in. Long an advocate of small-scale solutions to economic and social needs, Bernstein is urging ComEd to improve infrastructure and customer service by decentralizing down to the level of the substation (roughly the equivalent of a city neighborhood). Managers at that level would work with communities to improve reliability and overall service, pursue conservation and manage local power needs, taking only what they need from the central grid. Consumers, meanwhile, would organize buying clubs to buy power cheap and use it efficiently (an idea ComEd is exploring with the help of a \$235,118 Joyce grant). And communities or local entrepreneurs could create their own small-scale generators. Community members would "invest in energy efficiency together, purchase energy together, keep score on emissions together," Bernstein says, while

“the central company does what it does best: raise capital, maintain the transmission network, provide the backup power and the engineering expertise to help us get the job done.”

It sounds visionary, but Rowe is listening. In spring 1999 ComEd and cnt announced a partnership to plan and test the community network model. “The industry has started to experiment with these kinds of approaches on a limited basis,” notes Rowe. “The technology of power management has changed sufficiently that community utility networks look more attractive.” He adds that he will only pursue strategies that he believes are economically feasible: “Scott has bold concepts,” he says, “but I have a prudent purse.”

On the other hand, he’s more resistant to the environmental measures Learner is urging, notably utility-funded public investments in conservation and renewable energy. California has a \$2.5 billion pot for such investments, funded by setting aside three percent of each electric bill. In Illinois, “ComEd and Illinois Power [a downstate utility] killed the type of smart energy-efficiency funds that have been approved in other states,” says Learner. Only \$50 million over ten years was allocated for renewables, an amount Learner calls “modest in the extreme.” He is urging the Illinois Legislature to boost that amount.

Rowe counters that “the virtues of energy conservation and renewables are large indeed. But deciding who should pay for them is a different question.” He is interested in reducing peak demand for power (e.g., on hot summer days) to avoid building new plants. But for the rest, Rowe says, since they can’t pass the costs on to customers, utilities have no incentive to invest in conservation unless it’s part of some broader deal. The same goes for developing renewables (although here he agrees with Learner that, given a choice, customers may choose greener power, and smart utilities will be prepared to sell it).

Nationally, the same issues are being fought out as Congress struggles to craft a federal deregulation bill. nrdc’s Cavanagh is trying to build support for an environmental agenda that includes investment funds like those in California, disclosure requirements similar to those Learner won in Illinois, changing incentives for utilities to invest in conservation, and creating uniform standards for reducing pollution (rather than grandfathering in older, dirtier plants while holding new sources to higher standards).

Meanwhile, ComEd and its historic antagonists continue to talk. Learner and Bernstein say they’re looking for concrete evidence the utility is really changing direction. Rowe is considering the options, looking for “bargains that have both environmental and economic utility.” He adds that both sides can learn from each other: “We tend to think in boxes, and that’s not all bad. They think better outside boxes. There’s some value in that too. But making something happen will require some imagination, both by us and by them.”





*Frank Jewell  
Violence Prevention Coordinator,  
St. Louis County,  
Minnesota*

# readac for



*Dr. Mary Braddock  
Medical Director for Community  
Health and Preventive Medicine,  
Children's Hospitals and Clinics,  
St. Paul, Minnesota*

# hinging allies

*Tanya Ham  
Project Assis  
Minnesota I  
of Public He*



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*Though often at odds, doctors, policymakers, and ordinary citizens — including some gun owners — are joining forces to prevent the tragedy of gun violence.*

Like many Minnesotans (among them recently elected Governor Jesse Ventura), Jill Heins is a gun owner. She also has a degree in public health. And she's heading up the effort by the Minnesota Institute of Public Health to find broad public support, from everyone from health care organizations to hunters, for policies to reduce gun violence in Minnesota.

It won't be easy. Veterans of such efforts wearily talk of legislative gridlock, with gun enthusiasts and gun control advocates ready to demolish any proposals the other

side puts forward. And in a state whose biggest city has been showing alarmingly high murder rates, where nearly half of the households have a gun, and where airport security checkpoints have signs instructing hunters where to check their firearms, emotions on both sides can run high.

But the Institute has tackled other high-voltage issues — drugs, gambling, motorcycle helmets, teen sex — and it has a pocketful of tactics for calming things down. Start with solid information on the nature of the problem, says the Institute's director, Gerald Jaker. Try to figure out what has worked elsewhere in tackling it, and who has promising new ideas. And then bring people together — including people who disagree with each other — to find common ground. With Joyce funding, they're working on all three.

Jaker starts with the numbers. Research shows that gun violence is approaching the level of traffic accidents as the leading cause of injury death in Minnesota, as it is in other states. The state averages one gun death per day. Nearly three-quarters of those are suicides, or, as Jaker puts it, "We kill ourselves more than we kill others." But that breaks down by race: the vast majority of white people who die of gunshot wounds are suicides; among blacks and Native Americans, homicide is more prevalent than suicide. Homicide is also more common in younger age groups, while for people over age 25 suicide deaths outnumber homicides by nearly four to one. And about four percent of firearm deaths are unintentional.

*seeking best practices* In looking for ways to tackle these problems, the Institute turned to the Health Care Coalition on Violence, a group of health care organizations, public health agencies, and medical professionals from around the state, staffed by Heins, that works on domestic violence and related issues. The group's research committee is combing the literature looking for best practices for preventing gun violence, especially suicide. Heins laments the absence of solid research — the kind of research that Congress, under pressure from the gun lobby, has prevented the Centers for Disease Control from conducting. "It would be good to know if gun buyback programs work, or if screening for suicide can help," says Heins. "We're not finding that much research on gun violence prevention out there. A lot of what we find is opinion pieces." The Institute is also hoping to commission papers from "people who don't think like we do," says Jaker, "who can maybe come up with some ideas that are outside the box."

Meanwhile, members of the Health Care Coalition are taking steps on their



own to promote gun safety. Public health nurses have distributed trigger locks during home visits, and one city handed out free trigger locks and cable locks. One of the health systems is considering suing gun manufacturers to recover the costs of treating gunshot wounds, Heins says, pointing out that Blue Cross and Blue Shield of Minnesota joined the state in its pioneering suit against the tobacco industry some years ago.

At Children's Hospitals and Clinics in the Twin Cities, pediatricians ask about guns in the home when parents bring small children in for routine checkups, says Dr. Mary Braddock, Medical Director for Community Health and Preventive Medicine. "The most common risks of mortality for children are injuries, falls, poisonings, and gun violence," says Dr. Braddock, "and they're all preventable." For adolescent patients, the concern is suicide. "It's helpful clinically for physicians and nurses to talk to families about risk. People think guns offer protection. They don't look at the unintended consequences. But in suicide attempts, and also in domestic violence, lethality increases when there's a gun around."

Children's has taken the case to the general public, sponsoring a series of commercials on local television on the dangers guns pose to children. The health care group also hosted a press conference late last year launching a safe storage campaign for Ramsey County (St. Paul). That press conference featured St. Paul's police chief and a local city councilman along with Dr. Braddock and the head of trauma at the local trauma center. "More than half of the state's gun owners don't safely lock their firearms away from others, including their own children and grandchildren," Dr. Braddock said at the press conference. "Doctors and nurses can't always fix what gun owners failed to prevent. Today I'm calling on parents and grandparents to [store their guns safely]. If you absolutely must keep a firearm in your home, it is the very least you can do for the children you love." To back up the campaign, Tanya Hamre of the Minnesota Institute has put together media kits for groups around the state promoting safe storage.

*involving gun owners* Outside the Twin Cities, the politics surrounding gun issues look very different. In Duluth — or "gun heaven," as Frank Jewell of Violence Free Duluth calls it — guns are a way of life, and he argues that no effort will succeed that does not start by acknowledging that. "We work not just with people concerned about domestic violence but also the gun shop owners and members of the National Rifle Association," says Jewell. "By doing so, we get beyond finger-pointing and rhetoric to focus on solutions." The group decided to take on gun violence after a

1994 tragedy in which a high school senior left a drinking party, went home to get his father's gun, and returned to kill three other youths.

They started with “a lot of talk. If it hadn't been for the willingness of five or six people to just keep talking, we'd never get anyplace,” says Jewell. “And we had to clearly identify some places we wouldn't go — for example, if we were to begin any conversation about doing something to ban guns, we'd simply fracture.” Instead, discussions centered on responsible gun ownership and safety. More recently, the group commissioned a detailed study of all gun incidents within the municipal boundaries in 1997, a total of 93. With help from the Minnesota Institute of Public Health, the Duluth group hopes to track the outcomes of those incidents in both the health care and criminal justice systems. Says Jewell: “We thought, if we look at just Duluth, and get factual information about what happens here, everybody in our group would be willing to do something about it — rather than taking on the whole nation.”

Jewell's approach has been instructive for others around the state, including Shirley Pierce and Rev. Devin Miller, who are leaders of the Ramsey County Gun Violence Action Team. Pierce, who is Family Violence Specialist for Ramsey County, says that past efforts to develop policies on guns have been “one huge struggle between legislators from the metro area and those from Greater Minnesota. It's almost as though they're from two entirely different countries.” But watching the process in Duluth “has taught us to think in much more common sense ways, such as promoting safe storage, rather than going out on a limb and trying to get legislation out of a deeply divided legislature.” For his part, Rev. Miller, who chairs the action team, is still interested in legislation, including a proposal to limit gun sales to one per month. But effective policy must be based on solid information, he adds. He cites research in Ramsey County and St. Louis County (Duluth) to code and track all gun injuries, keeping track of the severity of the wounds and the length of hospital stays. “We're going to look at the information we've gathered and ask, how can we crack this to create better public policies?”

If there's any hope of moving forward, says the Minnesota Institute's Gerald Jaker, it will come about through clear-eyed analysis and a willingness to listen to each other. “If we take a public health approach, we can avoid the ‘who-can-out-yell-who’ situation. We can have this driven by research rather than by hot tempers,” he says. “And we need to listen to people who don't see the issue like we do. Otherwise we're just entertaining each other with messages.”



*Laura Yeomans  
Research Director,  
Citizens Policy Center*



bu

coalit

*Terry McCoy  
State Legislative Director,  
Ohio League of Women Vo*



# Building Solutions



*John Green  
Director,  
Ray C. Bliss Institute  
of Applied Politics,  
University of Akron*

*It takes good ideas — and often unlikely allies — to clean up politics.*

Nobody ever said campaign finance reform would be easy. Public support is certainly there: polls consistently show public distaste for the current system, and, given a chance, voters in state after state have passed reform referenda. But the barriers to reform are formidable. Most elected officials are reluctant to change the rules of a game they've already mastered. Interest groups, ranging from railroad enthusiasts to right-to-lifers, worry about losing influence. Political scientists warn against constitutional hurdles and unintended consequences. Reform activists themselves often can't agree how

to fix a system they all know is broken. Whatever reforms are proposed must be bipartisan; one party can't rewrite the rules and expect the other party to go along. And they must anticipate and adjust for political ingenuity that will exploit every loophole in the search for money and power.

All of which adds up to an extremely complex political equation — one that many reform groups have found difficult to solve.

Laura Yeomans, of Ohio's Citizens Policy Center, is giving it her best shot.

Yeomans and her colleagues are collaborating with professors at several of her state's top universities to help the Center understand the nitty-gritty of campaign finance, track the results of earlier reforms, and craft new recommendations for change. They're hoping that the collaboration can untangle the notorious intricacies of law and politics to come up with solutions that will really work for Ohio. And at the same time they're reaching out to build a broader coalition from around the state to move from ideas to action.

They're off to a strong start. The Center's database of campaign contributions to candidates for the General Assembly, funded by Joyce, went online in November 1997, well before the Ohio Secretary of State managed to pull off the same feat. Local journalists have praised the Center's database as not just quicker off the mark but better and cheaper as well.

*ask the experts* That, says Yeomans, is because her group put it together with expert help, notably from Professors John Green, director of the Ray C. Bliss Institute of Applied Politics at the University of Akron, and Jim Neff of Ohio State University's Kiplinger Public Affairs Reporting Program. Also providing help was the Washington, D.C.-based Center for Responsive Politics. "We wanted to have a final product that reporters and public officials would take seriously," says Yeomans. "We're not statisticians, we're organizers. So we consulted with the experts who know more than we do."

According to Yeomans, Neff helped design the database to make it useful for reporters, and he arranged for the Center to train fifty Associated Press journalists from around the Midwest in how to use it. Green suggested ways to track individual donors' contributions over several election cycles, and he suggested adding information (for example, whether races involved incumbents or open seats) that makes possible detailed analysis of the flow of money.

With those tools in place, Green is now helping the reformers think through what to do next. Green started by using the database to analyze the effects of Ohio's

to fix a system they all know is broken. Whatever reforms are proposed must be bipartisan; one party can't rewrite the rules and expect the other party to go along. And they must anticipate and adjust for political ingenuity that will exploit every loophole in the search for money and power.

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last campaign reform effort, in 1995. That law set limits on the amounts individuals, political action committees and parties can contribute to candidates. Green's before-and-after comparison of the 1994 and 1996 elections showed that the contribution limits were having some effect. The average size of donations went down, and smaller donors made up a bigger percentage of those contributing. Balancing that was a jump in contributions by political action committees and "in-kind" spending by parties on behalf of candidates.

From that data, Green drew up a list of reform options. They center on refinements of the contribution limits and limited public financing of campaigns — for example, publicizing and expanding the already existing tax credit for small donations, or circulating nonpartisan voting guides to inform voters about candidates and issues. He also suggested a set of "values" that should underlie reform: improving public participation in politics, making elections more competitive so that voters have a real choice, making candidates accountable to the public, and fostering equality — or, as Green put it, "keeping concentrations of wealth in the private economy from directly becoming concentrations of power in the public realm."

Translating principles into action takes more than professorial recommendations, however. Green presented his ideas at a January seminar in Columbus organized by the Citizens Policy Center, which drew representatives from such groups as realtors, the chamber of commerce, law firms, environmental groups and labor unions, as well as the Secretary of State's office. "We wanted to bring together potential supporters and opponents of proposed reforms, in order to gain insight into likely reactions to his proposals," says Yeomans. "We want to develop recommendations that are achievable." Conversations with different interest groups can help identify the potential impacts of various proposals and identify which they might support. "We hope there will be some common ground," says Yeomans. "But we need more work to develop what that is."

*looking for support* Meanwhile, the Center is working with the League of Women Voters of Ohio, another Joyce grantee, to mobilize a network of civic and grassroots groups to build pressure for reform. The League held its own statewide forum in February to consider Green's recommendations, and participants are now planning "to move forward as a loosely formed coalition" in collaboration with Citizens Policy Center, says Terry McCoy, the League's state legislative director. McCoy says she's looking for support from groups such as churches, environmental and educational groups, and others. "When you talk about a lot of other issues, you find that behind them lies



campaign finance: special interests giving money and getting special access. You start to discover natural affinities” that can be the basis of a successful coalition.

And on another front, the Center has built a working relationship with Republican State Representative Ron Amstutz, chairman of the House Elections and Technology Committee. Amstutz is sponsoring legislation requiring electronic filing of campaign reports, to be posted on the Internet by the Secretary of State’s office. Amstutz says his bill, which has the backing of Secretary of State Kenneth Blackwell, is a “win” for the public, for candidates, and for the government: it will cut costs, improve the flow of information, and make it easier for candidates and the Secretary of State to comply with existing disclosure requirements, he argues.

While the Citizens Policy Center’s parent group, Ohio Citizen Action, has been at odds with Amstutz on other issues, both sides say they had no problem collaborating on this one. Yeomans testified before a committee hearing in support of an earlier version of the bill, and Amstutz has worked closely with Yeomans in refining it. Says Amstutz: “I didn’t pick everything off the list [of Citizens Policy Center proposals]. I took the things I thought fit together, that were more doable, maybe less controversial. We’ve worked together well. They understood I’m not going to do everything they wanted.” Of other proposals reform advocates are getting ready to put forward, Amstutz says “I’ll look at them on a case-by-case basis.”

It all amounts to classic coalition politics: figure out who wants what, build alliances, look for the common ground where action is possible. If it works — if meaningful reforms manage to draw broad support in Ohio — there’s still no guarantee of success.

Michael Malbin, who tracked efforts to clean up politics at the state level in a book he co-authored entitled *The Day After Reform*, also spoke to the January seminar in Columbus. Malbin, director of legislative and political studies at the Rockefeller Institute at the State University of New York at Albany, laid out a long and mostly sorry history of failed policies, ingenious dodges, and unintended consequences resulting from other state reform efforts.

Asked what Ohio reformers could learn from such experiences, Malbin said, in essence, work smarter the next time. Laura Yeomans and her colleagues are patiently putting together the pieces to enable Ohioans to do just that.



# sharin stre



*sharin Lopez*  
*sharin*

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*Bert Vescolani  
Vice President of  
Education and Programs,  
Shedd Aquarium*



*Lucy Gome,  
Coordinator,  
Junior Earth  
Humboldt*

*When people come together with common goals and mutual respect, great things can happen.*

Fittingly, the first meeting between representatives of Chicago's Shedd Aquarium and people from Margate Park, in Uptown on the city's north lakefront, started out with talk about water. But not the kind of water you'd expect.

Facilitator Jody Kretzmann held up a glass of water, piped in from nearby Lake Michigan, and asked the old question: half full or half empty? With that he began an effort to change the way the city's priceless downtown cultural institutions (like Shedd) and its poorer neighborhoods (like Uptown) see each other.

In the past, the assumption has been that the cultural institutions were "full glasses," overflowing with programs and resources to deliver to the city's people. Inner-city neighborhoods were mostly empty vessels, whose role was to take what's offered. But an innovative project linking parks, communities, and three of Chicago's cultural giants — the Aquarium, the Art Institute of Chicago, and the Goodman Theatre — starts from

the premise that both sides have a lot to offer. Poor neighborhoods may lack some resources — their glasses may be half-empty — Kretzmann told the first meeting at Margate. But they also have considerable assets (the half-full glass), just as the cultural institutions do. And the most enduring results come when people sit down together as equals, build on each other's strengths, and compensate for each other's weaknesses.

The initial conversations last spring, funded by a \$36,000 Joyce planning grant to the Park District's Parkways Foundation, brought representatives of the cultural institutions together with three neighborhoods and the parks that serve them. Besides Margate, they include Humboldt Park, in a largely Latino neighborhood on the Northwest Side, and Douglas Park, which borders African-American and Latino communities on the West Side.

The talks started slowly. At one park, community members raised skeptical questions, while at another "people at first were tentative and quiet, not real open to saying anything, good, bad or indifferent," recalls a participant. But over time, a level of mutual commitment from all parties built up that impressed everyone.

"People met here on Friday nights, about twenty people each time," recalls Lucy Gomez of Humboldt Park. "It was really energizing to see people continuing to come back, to see their enthusiasm." And it was also encouraging to watch the Shedd's involvement grow, she adds. "Often times groups come in from the outside and you feel that they're obligated to do this. That was not the case here. All the parties here are committed, not to do something for the sake of doing it, but to create something that has meaning." The conversations led to plans for ambitious collaborative projects at all three parks. Implementation efforts are being supported by another Joyce grant of \$125,000.

**nature's classroom** Shedd is working with groups at both Humboldt and Margate. Humboldt, a magnificent 120-year-old park designed by William LeBaron Jenney and Jens Jensen, has a nine-acre lagoon that draws fishermen in warm months and ice skaters in the winter. It's an intensively used park, especially in the summer, when it hosts baseball leagues, picnickers, families using the playground, customers lining up to buy savory *pastellios* and *alcapurias* from streetside vendors. People who attended the planning meetings "value the beauty of the park, and they think it can be a classroom for learning about nature," says Gomez, who runs Humboldt's youth environmental group, the Junior Earth Team (jet).

That idea sounded right on target for Shedd. "The community has the kids, the park has the facilities and the lagoon, we've got the resources — it was easy to create an aquatic program," says Bert Vescolani, Shedd's vice president of education and programs.

The planning group came up with the idea of having the young people study the lagoon, with help from Shedd scientists, and then create a guided nature trail around it, with signage written and designed by the students with assistance from the Shedd's exhibits department. Research and production will take place this summer, and the teens will unveil their model in September and solicit community reaction before moving into construction next year.

"You're going to see that, over two years, there are people here working to make this park better," says Gomez, "especially young people who care about the environment. A lot of people think young people don't have anything to offer. But they're from the community, they have families and friends who will come to see what they do. I asked them what kind of image they want the community to see. They said they want people to think of the jets as experts in local ecology and history." Out of that vision came further ideas, still under development, for a newsletter, library presentations, and a resource center at the field house where the jets would serve as "the experts" on Humboldt Park.

**lakeside learning** Margate Park is also planning an environmental resource center, says park supervisor John Davidson. It would feature hands-on exhibits and be a place where the jet group and other young people can hang out and help neighbors learn about Lake Michigan. "People take the lake for granted," says Davidson. "This is an opportunity to learn about the Lake Michigan ecosystem and appreciate its worth."

Students have taken treks to the lakeshore to study wind speeds, learn how to use a compass, and identify local birds. Next they'll study lighthouses and shipwrecks. A highlight was a trip to the Shedd, where students visited the kitchen to watch as biologists prepared food for the hundreds of varieties of aquatic animals.

"I liked it when we went on field trips to the Dunes, and to see wetlands, and to the Aquarium," says James McCoy, a student at nearby Arai School and a planning team member. "We got a behind-the-scenes tour. We got to see how they treat the animals, and we got to touch some fish. And we learned about different kinds of whales." Asked what else he likes to do, McCoy says he "loves teaching people about different things," which is why the resource center appeals to him. A true 14-year-old boy, he adds: "I'd also like to cut open some frogs and see their tiny little hearts."

**neighborhood culture** At Douglas Park, meanwhile, people have been more interested in dissecting plays than frogs.

Community planning efforts at the Douglas Park Cultural and Community Center

had earlier identified a strong desire for cultural programming to build a sense of neighborhood cultural identity. A strategic vision emerged that stresses revitalized park cultural programming that respects community cultures, builds community awareness, and promotes economic vitality. The Joyce-funded project brought to the table two of Chicago's cultural giants, the Goodman Theatre and the Art Institute, to support the effort.

That role is important, says Steve Scott, associate producer at the Goodman. "I've been called by other organizations that are doing community theater, and they want us to come in and direct," says Scott. "At Douglas Park, they're starting an ongoing theater program, but they made it very clear they didn't want us to direct it or oversee the process. They wanted our advice in making decisions, they asked us to point to literature or people who might be helpful. They saw us as one support system they have — not as, 'well, they know theater so they should do this for us.' It was very refreshing."

Out of the planning process came a six-month program, launched in December 1998, that has included slide presentations on African art, planned field trips to the Art Institute and the Goodman, a Latino art contest, and play readings (including the traditional Goodman holiday favorite, "A Christmas Carol") by Goodman artists with discussion moderated by community leaders. "The actors come out to our theater and read excerpts of one of their season's plays," explains Efé McWorter, special projects coordinator for the Chicago Park District. "Then we have a discussion that connects the play to real issues that affect residents of the Lawndale community."

Victor Velez, an artist who teaches at Douglas Park, has brought his classes on field trips to the Art Institute and taken advantage of the museum's slide collections and books to help supplement his own much smaller collection. Many of his students had never been to the Art Institute, Velez says. "I hope that through exposing them to different styles of art, they'll learn to appreciate art. But sometimes it seems like a difficult journey."

Building relationships between art institutions and minority communities is of course the point of the whole project. And, like other relationships, there are ups and downs, and not all of them work. But at a personal level at least, there are signs of progress. The Humboldt Park folks like to tell about the time the Shedd Aquarium's Bert Vescolani got a call during one of the Friday night meetings reporting that his wife was going into labor. "People started cheering, slapping me on the back, they were so happy for me, so excited to be part of it," recalls Vescolani. Says Gomez, "Everybody reached in their wallets to throw money on the table to buy him a gift. It was a signal to us of new birth." Adds Vescolani: "That never would have happened [on other projects]. But at Humboldt, we're all part of the family."





Come Together



Good intentions, brilliant ideas,  
great leadership: by themselves,  
these are not enough.



In a democracy, people need to come  
together to make change happen.

The people profiled in these pages,  
and the groups listed in the pages  
that follow, have joined forces to tackle  
some of our region's most difficult problems.



They may disagree, they may not  
get all they want, they may even fail.  
But their efforts offer real hope, and  
the promise of real community.





chicago and illinois

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

Chicago, Illinois

Amount: \$151,930 Duration: 2 years  
*To monitor federal, state, and local compliance with federal Title I requirements for assessing the educational progress of Chicago's low-income public school students and providing assistance to improve school performance*

**Chicago Panel on School Policy**

Chicago, Illinois

Amount: \$250,000 Duration: 2 years  
*For continued efforts to report on Chicago public school reform initiatives, to involve parents in school activities, and to disseminate its research findings to a wider audience*

**Coalition for Improved Education in South Shore**

Chicago, Illinois

Amount: \$125,000 Duration: 1 year  
*For general operating support*

**Commercial Club Foundation**

Chicago, Illinois

Amount: \$200,000 Duration: 2 years  
*To develop a new teacher recruitment initiative that will assist the Chicago Public Schools in designing strategies for recruiting, screening, and matching applicants with schools*

**Metropolitan Planning Council**

Chicago, Illinois

Amount: \$100,000 Duration: 2 years  
*To promote the adoption of school finance reforms designed to ensure greater equity among districts in Illinois and reduce their reliance on property taxes as a funding source*

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

Evanston, Illinois

Amount: \$60,000 Duration: 1 year  
*To evaluate the impact of proposed school finance strategies in Illinois*

**Teachers' Task Force**

Chicago, Illinois

Amount: \$50,000 Duration: 1 year  
*Support for leadership and professional development programs*

**University of California, Los Angeles, National Center for Research on Evaluation, Standards, and Student Testing**

Los Angeles, California

Amount: \$175,000 Duration: 16 months  
*To train Chicago public school faculties to collect and analyze data in order to measure educational progress and prepare school improvement plans*

**The University of Chicago, School of Social Service Administration**

Chicago, Illinois

Amount: \$150,000 Duration: 16 months  
*To examine the effects of the Chicago Public Schools' new "no social promotion" policy on students, parents, teachers, and on the way instruction is delivered*

**The University of Chicago, Department of Education**

Chicago, Illinois

Amount: \$482,000 Duration: 2 years  
*For the Center for School Improvement's development of a new program for principals and veteran teachers to share information about strategies that improve student achievement*

**University of Illinois at Urbana-Champaign, College of Education**

Champaign, Illinois

Amount: \$123,371 Duration: 1 year  
*To convene a statewide task force on minority teacher recruitment*

cleveland and ohio

**Children's Defense Fund-Ohio**

Columbus, Ohio

Amount: \$349,000 Duration: 3 years  
*For work to improve public education for Ohio's disadvantaged children*

**Citizens League Research Institute**

Cleveland, Ohio

Amount: \$100,000 Duration: 1 year  
*To promote accountability to the public for progress on reforming the Cleveland Public Schools*

**Cuyahoga Community College**

Cleveland, Ohio

Amount: \$100,427 Duration: 1 year  
*To assist the educational technology office of the Cleveland Public Schools in training teachers in grades six through nine to use an Internet-based science and mathematics curriculum*

**Greater Cleveland Roundtable**

Cleveland, Ohio

Amount: \$226,470 Duration: 1 year  
*For activities of the Cleveland Summit on Education to assist the Cleveland Public Schools in implementing decentralization, training central office staff, and developing a communications strategy*

milwaukee and wisconsin

Carroll College

Waukesha, Wisconsin

Amount: \$78,827 Duration: 1 year

*To support the establishment of Milwaukee Catalyst, a new citywide school reform advocacy coalition*

Family Service of Milwaukee

Milwaukee, Wisconsin

Amount: \$50,000 Duration: 1 year

*For project of the Kids First Coalition to assist the Milwaukee Public Schools in developing and implementing training for school councils recently mandated by the school district*

National Coalition of Advocates for Students

Boston, Massachusetts

Amount: \$100,000 Duration: 1 year

*To assist leaders of a Milwaukee educational reform advocacy organization in their efforts to restructure public schools in Milwaukee*

Public Policy Forum, Inc.

Researching Community Issues

Milwaukee, Wisconsin

Amount: \$246,000 Duration: 2 years

*To evaluate the performance of charter and choice schools in Milwaukee*

University of Wisconsin-Madison,

Wisconsin Center for Education Research

Madison, Wisconsin

Amount: \$870,000 Duration: 2 years

*To conduct a comprehensive assessment of reform initiatives in Milwaukee Public Schools and to develop data on student achievement for the school district, state and local policymakers, school reformers, the business community, and parents*

multi-state

Benton Foundation

Washington, D.C.

Amount: \$251,110 Duration: 1 year

*To study the effectiveness of a new federal program designed to help urban and technology-poor school districts gain access to the Internet and other telecommunications services through discounts based on need*

Center for Law and Education, Inc.

Washington, D.C.

Amount: \$200,000 Duration: 2 years

*For work with Chicago and Milwaukee school districts to improve implementation of federal Title I education programs for low-income children*

Center on Education Policy

Washington, D.C.

Amount: \$150,000 Duration: 18 months

*To organize and lead a series of dialogues with policymakers, educators, and parents in Chicago, Cleveland, Detroit, and Milwaukee on issues facing schools and forge a consensus among them on strategies for improving student achievement*

Leadership for Quality Education

Chicago, Illinois

Amount: \$149,050 Duration: 18 months

*To assist in the recruitment, startup, and operation of charter schools in Chicago; to evaluate the need for a similar approach in the Chicago metropolitan region; and to assist charter school proponents in Cleveland*

Marquette University,

Institute for the Transformation of Learning

Milwaukee, Wisconsin

Amount: \$354,000 Duration: 2 years

*To promote systemic school restructuring in urban areas and school-community partnerships that focus on improving student achievement*

The Public Agenda Foundation

New York, New York

Amount: \$195,000 Duration: 1 year

*For a project to explore the possibilities of taking a regional or metropolitan perspective when attempting to improve public education in large urban areas*

Recruiting New Teachers, Inc.

Belmont, Massachusetts

Amount: \$300,000 Duration: 2 years

*To address teacher recruitment and diversity issues in Chicago, Cleveland, Detroit, and Milwaukee public schools*

Rethinking Schools, Ltd.

Milwaukee, Wisconsin

Amount: \$444,120 Duration: 3 years

*For publications examining the changing role of teachers' unions in American education and the issues of literacy, language, and student achievement; and for project to train teachers to write newspaper and magazine articles describing classroom practices that offer promise of improving student achievement*

University of Wisconsin-Milwaukee,

Department of Exceptional Education

Milwaukee, Wisconsin

Amount: \$104,837 Duration: 1 year

*To bring together faculty and administrators from teacher training programs in Chicago, Cleveland, Detroit, and Milwaukee to study training programs in order to improve the quality of urban teaching*

Education Total

\$6,136,142

workforce preparation

**Business Education/Training Alliance**

Detroit, Michigan  
Amount: \$195,200 Duration: 2 years  
*To develop and test the Job Ladder project, an effort to help workers in low-wage, entry-level jobs move into higher-wage jobs*

**Chicago Association of Neighborhood Development Organizations (CANDO)**

Chicago, Illinois  
Amount: \$80,000 Duration: 2 years  
*To advocate in Illinois for better policies and programs to provide job skills training to low-income workers and welfare recipients*

**Economic Policy Institute**

Washington, D.C.  
Amount: \$100,000 Duration: 2 years  
*For research, outreach, and dissemination to document the conditions faced by low-wage workers and welfare recipients as they enter the labor market*

**House of Mercy**

Des Moines, Iowa  
Amount: \$174,358 Duration: 2 years  
*For project to determine the effectiveness of job training and placement services for low-income women and incorporate lessons learned into state policy*

**Indianapolis Private Industry Council**

Indianapolis, Indiana  
Amount: \$243,323 Duration: 2 years  
*To determine the most effective ways to help young adults with few job skills to enter and stay in the workforce*

**Jane Addams Resource Corporation**

Chicago, Illinois  
Amount: \$150,000 Duration: 2 years  
*To work with six other job training and placement programs to develop and test new approaches for helping inexperienced job seekers develop non-technical skills necessary to succeed in the workplace*

**Michigan State University,  
Department of Economics**

East Lansing, Michigan  
Amount: \$139,700 Duration: 1 year  
*To survey employers in Chicago, Cleveland, and Milwaukee about the factors they consider in filling entry-level jobs and what kinds of incentives might lead them to hire more welfare recipients*

**National Clearinghouse for Legal Services, Inc.**

Chicago, Illinois  
Amount: \$555,000 Duration: 3 years  
*To develop recommendations and advocate for Illinois policies to help low-income job seekers, including welfare recipients, obtain skills and jobs that can move them out of poverty*

**Training, Inc. National Association**

Indianapolis, Indiana  
Amount: \$272,212 Duration: 2 years  
*To determine the most effective ways to enhance job retention and advancement for low-skilled persons*

**Twin Cities Rise!**

Minneapolis, Minnesota  
Amount: \$300,000 Duration: 3 years  
*To test new approaches for helping low-income people obtain education and skills for jobs that pay a living wage*

**University of Wisconsin-Madison,  
Center on Wisconsin Strategy**

Madison, Wisconsin  
Amount: \$150,000 Duration: 2 years  
*For the Dane County, Wisconsin Jobs With a Future project, to help low-wage workers advance into better jobs and to disseminate lessons learned from the project to policymakers, community groups, and labor unions*

welfare reform

**Center on Budget and Policy Priorities**

Washington, D.C.  
Amount: \$180,735 Duration: 16 months  
*To help develop state policies to increase employment among low-income fathers of children on welfare and to help develop publicly-supported jobs for the hardest-to-place welfare recipients*

Indiana Coalition on Housing  
and Homeless Issues, Inc.

Indianapolis, Indiana

Amount: \$120,000 Duration: 2 years

*To monitor and analyze the implementation of state policies related to welfare reform and workforce development*

Indiana University,  
School of Public and Environmental Affairs

Indianapolis, Indiana

Amount: \$300,000 Duration: 2 years

*To assess responses to state welfare reform policies by Indiana welfare recipients, nonprofit agencies, and local governments*

The Institute for Wisconsin's Future, Inc.

Milwaukee, Wisconsin

Amount: \$95,000 Duration: 2 years

*To compile and disseminate research findings on Wisconsin's welfare policy reforms and to help social service providers in Milwaukee collect and analyze information from the people they serve in order to understand how those families are affected by welfare policy changes*

Manpower Demonstration  
Research Corporation

New York, New York

Amount: \$600,000 Duration: 3 years

*To study the implementation of Wisconsin's welfare reforms in Milwaukee and assess how the reforms are affecting welfare recipients*

Ohio University,  
Institute for Local Government  
Administration and Rural Development

Athens, Ohio

Amount: \$150,000 Duration: 2 years

*To study the impacts of welfare reform in poor rural areas with a focus on the 29 counties of Appalachian Ohio*

The University of Chicago,  
Chapin Hall Center for Children

Chicago, Illinois

Amount: \$100,039 Duration: 1 year

*To analyze the effects of welfare-to-work programs in Illinois*

The University of Michigan,  
School of Social Work

Ann Arbor, Michigan

Amount: \$400,000 Duration: 26 months

*To collect extensive information on welfare recipients' job skills, work histories, health status, and family functioning; to evaluate how these factors change in response to welfare reform; and to suggest how welfare programs might be modified to better serve the most disadvantaged recipients*

University of Wisconsin-Madison,  
Institute for Research on Poverty

Madison, Wisconsin

Amount: \$405,000 Duration: 3 years

*To survey families in Wisconsin who leave the welfare caseload in order to assess why they left and their economic and family well-being*

University of Wisconsin-Madison,  
School of Human Ecology

Madison, Wisconsin

Amount: \$168,106 Duration: 1 year

*To organize a variety of forums to enable county-level welfare officials to share innovative approaches to implementing welfare reform programs*

Wisconsin Council on Children and Families

Madison, Wisconsin

Amount: \$600,000 Duration: 3 years

*For policy analysis and advocacy to improve Wisconsin Works, the statewide welfare program, by increasing access to jobs, training, education, and other supports necessary to help families out of poverty*

other

Community Centers of Indianapolis, Inc.,  
John H. Boner Community Center

Indianapolis, Indiana

Amount: \$200,000 Duration: 2 years

*To participate in a national demonstration project to test whether Individual Development Accounts are an effective policy approach for helping families save and move out of poverty*

Employment Total

\$5,678,673

great lakes water quality

**The Delta Institute**

Chicago, Illinois

Amount: \$155,000 Duration: 18 months

*To provide information to Great Lakes environmental advocates and policymakers about toxic chemicals that settle into the Great Lakes from the air*

**Fox-Wolf Basin 2000, Inc.**

Appleton, Wisconsin

Amount: \$66,294 Duration: 1 year

*To develop an innovative water pollution control project for the Wisconsin Fox-Wolf Rivers basin and to create the institutional infrastructure to facilitate similar projects elsewhere*

**Inform, Inc.**

New York, New York

Amount: \$100,000 Duration: 1 year

*To produce a report on the kinds of facilities and manufacturing processes in the Midwest that use materials that are toxic, persist in the environment, and tend to build up in human and animal tissue*

**National Wildlife Federation,**

**Great Lakes Natural Resource Center**

Ann Arbor, Michigan

Amount: \$280,449 Duration: 2 years

*For activities to protect and restore the Great Lakes ecosystem, particularly to seek policies that will protect the Lakes from toxic air pollution*

**Northeast-Midwest Institute**

Washington, D.C.

Amount: \$300,000 Duration: 2 years

*For support of congressional activity to restore and protect the Great Lakes and to develop an approach for valuing economic benefits of Great Lakes restoration activities*

**The Sierra Club Foundation**

San Francisco, California

Amount: \$100,000 Duration: 1 year

*To work toward reducing toxic air pollution that affects Great Lakes water quality*

**World Wildlife Fund, Inc.**

Washington, D.C.

Amount: \$200,000 Duration: 2 years

*For work to protect Great Lakes water quality particularly from chemicals that mimic or interfere with hormones*

support great lakes network

**Council of Michigan Foundations**

Grand Haven, Michigan

Amount: \$125,000 Duration: 2 years

*To help Great Lakes community foundations develop funding and leadership to support environmental activities*

**Earth Appeal—The Environment Fund for Ontario**

Toronto, Ontario, Canada

Amount: \$60,000 Duration: 2 years

*To implement and evaluate workplace giving campaigns for environmental groups in Ontario*

**Great Lakes United**

Buffalo, New York

Amount: \$95,000 Duration: 1 year

*To strengthen and coordinate citizen action focused on making the water quality of the Great Lakes a priority with policymakers and on preserving the Great Lakes Water Quality Agreement*

**Lake Michigan Federation**

Chicago, Illinois

Amount: \$100,000 Duration: 1 year

*To provide leadership on environmental issues in the Lake Michigan region and support to affiliated groups*

**Ohio Environmental Council**

Columbus, Ohio

Amount: \$122,416 Duration: 16 months

*For activities designed to reduce toxic chemical discharges into the Lake Erie basin*

**Resources for the Future, Inc.**

Washington, D.C.

Amount: \$95,068 Duration: 1 year

*For analysis of public involvement in environmental decision-making in the Great Lakes region with the goal of improving the effectiveness of public participation*

**The University of Maryland Foundation, Inc.**

College Park, Maryland

Amount: \$150,000 Duration: 2 years

*To bring together state environmental policymakers to develop better ways of identifying polluting activity and to improve methods for measuring and communicating environmental quality*

reduce toxic substances

**Center for Rural Affairs**

Walthill, Nebraska

Amount: \$349,741 Duration: 2 years

*For work to ensure that the conservation titles of the 1996 federal farm bill are successfully implemented, helping farmers reduce the environmental impacts of agriculture*

**Institute for Agriculture and Trade Policy**

Minneapolis, Minnesota

Amount: \$175,000 Duration: 20 months

*To test its system to measure reductions in pesticide use and to identify ways farmers can benefit economically by reducing their chemical use*

**Land Stewardship Project**

White Bear Lake, Minnesota

Amount: \$29,300 Duration: 1 year

*To plan a study assessing the costs and benefits, both economic and environmental, of standard and alternative agricultural production strategies*

**Minnesota Center for Environmental Advocacy**

St. Paul, Minnesota

Amount: \$137,970 Duration: 2 years

*For work to reduce the presence of toxic substances in the state, primarily by advocating the systematic collection of data on the use of pesticides*

**National Pollution Prevention Roundtable**

Washington, D.C.

Amount: \$145,000 Duration: 18 months

*For case studies of manufacturing plants that use toxic chemicals in an effort to identify opportunities to improve the environmental performance of such facilities*

**Natural Resources Council of America, Inc.**

Washington, D.C.

Amount: \$298,551 Duration: 3 years

*To develop a self-sustaining fund to insure farmers against the risk of partial crop losses caused by adopting new practices and technologies that are environmentally friendly*

**Natural Resources Defense Council, Inc.**

New York, New York

Amount: \$200,000 Duration: 1 year

*To work with other environmental groups on the implementation of a federal law that would protect human and environmental health from toxic chemicals used in agriculture*

**Tellus Institute**

Boston, Massachusetts

Amount: \$125,000 Duration: 2 years

*To help state environmental protection agencies integrate prevention-based approaches to industrial pollution throughout their programs*

**Wisconsin's Environmental Decade Institute, Inc.**

Madison, Wisconsin

Amount: \$143,000 Duration: 2 years

*To promote options to require the reporting of pesticide use in Wisconsin*

energy production and use

**American Council for an Energy-Efficient Economy**

Washington, D.C.

Amount: \$135,000 Duration: 2 years

*For advancing energy efficiency through national policy initiatives and for expanding its efforts to engage organizations and individuals in the Midwest on energy-efficiency initiatives*

**Center for Neighborhood Technology**

Chicago, Illinois

Amount: \$235,118 Duration: 16 months

*To study what economic incentives and systems might stimulate consumers and organizations to reduce the air pollution their energy demands create*

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

Indianapolis, Indiana

Amount: \$100,000 Duration: 20 months

*To advocate for environmental protections in electricity production, energy efficiency, and the use of renewable sources of energy*

**Environmental and Energy Study Institute**

Washington, D.C.

Amount: \$100,000 Duration: 2 years

*For its efforts to advance the use of energy efficiency and renewable energy resources for electric energy production*



**Environmental Law and Policy Center of the Midwest**

Chicago, Illinois  
Amount: \$550,000 Duration: 2 years  
*To foster a regional transition from the current fuel sources used for energy production to less polluting sources and to promote more efficient use of energy*

**Environmental Law Institute**

Washington, D.C.  
Amount: \$143,500 Duration: 2 years  
*For its work with Resources for the Future to identify the environmental benefits, and the technical and economic feasibility, of having electricity-generating facilities switch from coal to natural gas*

**Minnesotans for an Energy-Efficient Economy**

St. Paul, Minnesota  
Amount: \$200,000 Duration: 2 years  
*For work on tax policies that will discourage air pollution and encourage renewable energy*

**Natural Resources Defense Council, Inc.**

New York, New York  
Amount: \$250,000 Duration: 2 years  
*For support of its initiative to consider the air pollution aspects of any federal electric utility industry restructuring legislation and for enhancing connections with the Midwest on these issues*

**Northeast-Midwest Institute**

Washington, D.C.  
Amount: \$50,000 Duration: 1 year  
*For support of a project to promote energy efficiency in the industrial sector and particularly for connecting the project with Midwest organizations and individuals*

**Union of Concerned Scientists**

Cambridge, Massachusetts  
Amount: \$166,667 Duration: 20 months  
*For work in the Midwest to encourage the creation of a market for electricity produced from renewable sources*

**Izaak Walton League of America, Inc.**

St. Paul, Minnesota  
Amount: \$926,425 Duration: 2 years  
*For collaborative efforts with the Clean Air Task Force; Citizens Action Coalition Education Fund; the Hoosier, Michigan, and Ohio Environmental Councils; the Pollution Probe Foundation; and the Wisconsin Environmental Decade Institute to seek to reduce the pollution created when coal is burned to produce electric energy*

transportation and land use

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

Chicago, Illinois  
Amount: \$120,000 Duration: 2 years  
*To work with other public interest groups to encourage Illinois transportation officials to adopt measures that reduce demand for new roads, preserving air quality and open space*

**Center for Neighborhood Technology**

Chicago, Illinois  
Amount: \$410,000 Duration: 28 months  
*To work on regional transportation and air quality policy, linking environmental improvements to new economic opportunities for the region*

**Citizens for a Better Environment**

Milwaukee, Wisconsin  
Amount: \$175,000 Duration: 16 months  
*For programs to reform transportation planning and land use in Wisconsin and to advocate for high-speed rail development in the Midwest*

**Environmental Law and Policy Center of the Midwest**

Chicago, Illinois  
Amount: \$360,000 Duration: 2 years  
*To work toward better transportation and land-use planning in Illinois, Indiana, Michigan, and Wisconsin and the development of high-speed rail corridors throughout the region*

**Metropolitan Planning Council**

Chicago, Illinois  
Amount: \$250,000 Duration: 2 years  
*To promote regional transportation policies that address environmental concerns and meet the needs of businesses and communities*

**Michigan Land Use Institute**

Benonia, Michigan  
Amount: \$279,300 Duration: 2 years  
*For work with the Surface Transportation Policy Project to reform transportation decision-making in Michigan to prevent air and water pollution and the loss of natural areas and irreplaceable farmland*

### Surface Transportation Policy Project

Washington, D.C.

Amount: \$300,000 Duration: 2 years

*To educate decision-makers in the Great Lakes region about how auto-centered transportation affects the environment and people's quality of life*

### Sustain

Chicago, Illinois

Amount: \$250,000 Duration: 2 years

*To support the media and public education efforts of national and regional groups working to promote transportation reform policies in Illinois, Indiana, Michigan, and Wisconsin*

integrate environmental, economic and community improvements

### American Council for an Energy-Efficient Economy

Washington, D.C.

Amount: \$204,000 Duration: 2 years

*To seek ways to create a stronger market for fuel-efficient vehicles and enhance the U.S. auto industry's competitiveness in that market*

### West Michigan Environmental Action Council Educational Foundation

Grand Rapids, Michigan

Amount: \$58,000 Duration: 1 year

*To support its work with businesses in the Grand Rapids area that are working together to make the region more environmentally, economically, and socially healthy*

### World Resources Institute

Washington, D.C.

Amount: \$250,000 Duration: 2 years

*To work with a group of large corporations to develop the business and financial case for considering environmental and social impacts in corporate decision-making*

### other

#### American Rivers, Inc.

Washington, D.C.

Amount: \$166,000 Duration: 1 year

*To work with the Environmental Defense Fund to analyze, publicize, and reform inefficiencies in the federal river shipping system that subsidize environmentally harmful projects*

#### Environmental Support Center, Inc.

Washington, D.C.

Amount: \$30,000 Duration: 2 years

*To strengthen state environmental councils in the Midwest Great Lakes region*

#### Mississippi River Basin Alliance

Minneapolis, Minnesota

Amount: \$60,000 Duration: 18 months

*To coordinate efforts to build public support for more environmentally sound management of shipping on the Upper Mississippi River*

#### Tides Center,

#### Environmental Working Group

Washington, D.C.

Amount: \$1,000,000 Duration: 2 years

*To expand its capacity to collaborate with state-based organizations and to develop information, educate the public, and inform the media about environmental concerns of particular importance to the Upper Midwest region*

#### Union of Concerned Scientists

Cambridge, Massachusetts

Amount: \$110,000 Duration: 1 year

*To explore public health and environmental concerns related to the use of antibiotics in large-scale beef, hog, and chicken farms*

#### University of Wisconsin-Madison, Robert M. La Follette Institute of Public Affairs

Madison, Wisconsin

Amount: \$340,916 Duration: 2 years

*To identify the critical policy questions that arise as responsibility for environmental quality is shifted from the federal to the state level*

### Environment Total

\$10,772,715

activating medical professionals

University of Pennsylvania  
Philadelphia, Pennsylvania  
Amount: \$600,000 Duration: 3 years  
*To launch a program in three medium-sized Midwest cities to activate trauma surgeons in the effort to reduce gun injuries and deaths*

building coalitions

Boston University,  
School of Public Health  
Boston, Massachusetts  
Amount: \$50,000 Duration: 6 months  
*Planning grant to enable its Join Together organization to explore ways to strengthen the gun violence prevention movement*

Boston University,  
School of Public Health  
Boston, Massachusetts  
Amount: \$160,000 Duration: 19 months  
*For expansion of the Join Together Online Gun Violence web site*

HELP for Survivors  
Chicago, Illinois  
Amount: \$180,476 Duration: 20 months  
*To educate policymakers, the media, and the public about the effects of gun violence through the stories of survivors*

Iowans for the Prevention of Gun Violence  
Iowa City, Iowa  
Amount: \$100,000 Duration: 2 years  
*To coordinate efforts with state and voluntary agencies to reduce firearm deaths and injuries in Iowa*

Michigan Partnership to Prevent  
Gun Violence  
East Lansing, Michigan  
Amount: \$345,000 Duration: 32 months  
*To expand its work in conducting survey research and promoting state policies designed to reduce gun violence*

Minnesota Institute of Public Health  
Anoka, Minnesota  
Amount: \$251,844 Duration: 2 years  
*For continued efforts on policy work designed to reduce and prevent gun violence in Minnesota*

consumer product approach

Fund for Independent Publishing, Inc.,  
The New Press  
New York, New York  
Amount: \$27,200 Duration: 1 year  
*To publicize Making A Killing, a 1999 book studying America's gun industry*

policy research

Cease Fire, Inc.  
Washington, D.C.  
Amount: \$100,000 Duration: 1 year  
*To evaluate the efficacy of a public service announcement campaign designed to raise awareness about gun violence and its prevention*

Harvard University,  
School of Public Health  
Boston, Massachusetts  
Amount: \$600,000 Duration: 3 years  
*For work on the development of a national firearm injury reporting system*

Johns Hopkins University,  
School of Hygiene and Public Health  
Baltimore, Maryland  
Amount: \$819,476 Duration: 28 months  
*General support for the Center for Gun Policy and Research*

Medical College of Wisconsin,  
Department of Emergency Medicine  
Milwaukee, Wisconsin  
Amount: \$95,912 Duration: 1 year  
*To expand its eight-county firearm injury reporting system to a statewide system*

National Opinion Research Center  
Chicago, Illinois  
Amount: \$183,038 Duration: 1 year  
*For the fourth annual survey of public attitudes on gun policy issues*

University of California-Davis,  
Violence Prevention Research Program  
Sacramento, California  
Amount: \$80,707 Duration: 1 year  
*To study whether handgun buyers face an increased risk of firearms-related death*

Violence Policy Center  
Washington, D.C.  
Amount: \$360,000 Duration: 2 years  
*To expand its research and public education activities to reduce and prevent gun injuries*

Gun Violence Total  
\$3,953,653

disclosure/regulation

California Voter Foundation

Sacramento, California

Amount: \$60,000 Duration: 1 year

*To expand its nationwide campaign to promote electronic filing of and Internet access to political finance disclosure records at all levels of government*

The Center for Public Integrity

Washington, D.C.

Amount: \$200,000 Duration: 30 months

*To assess the seriousness of state legislative conflicts of interest by examining and developing a database of lawmakers' financial disclosure statements, committee assignments, key votes, and campaign contributions*

Democracy 21 Education Fund

Washington, D.C.

Amount: \$85,000 Duration: 1 year

*For nationwide education campaign on the problems and dangers of soft money, the unlimited and unregulated contributions made to national and state party organizations by labor unions, corporations, and wealthy individuals*

legal projects

Brennan Center for Justice

New York, New York

Amount: \$65,000 Duration: 1 year

*For research and data analysis in connection with the legal defense of the Federal Election Commission's regulation of political parties' use of soft money contributions*

The Brookings Institution

Washington, D.C.

Amount: \$176,000 Duration: 2 years

*To update and expand its sourcebook of primary and secondary campaign finance reform documents and to publish it in both electronic and print forms*

National Voting Rights Institute

Boston, Massachusetts

Amount: \$250,000 Duration: 2 years

*For a litigation and public education program to give legislatures increased authority under the Constitution to regulate campaign finance practices*

research

University of Maryland,

Department of Government and Politics

College Park, Maryland

Amount: \$70,620 Duration: 1 year

*To complete a study on the motives, attitudes, and behavior of major donors to congressional candidates*

state/local reform projects

Citizen Advocacy Center

Elmhurst, Illinois

Amount: \$130,192 Duration: 2 years

*To analyze the role of campaign contributions in the awarding of local and county contracts in DuPage County, Illinois*

League of Women Voters Education Fund

Washington, D.C.

Amount: \$50,000 Duration: 18 months

*For inclusion of Minnesota in project to build the capacity of state and local Leagues in the Midwest to promote campaign finance reform*

Minnesota Alliance for Progressive Action Education Fund

St. Paul, Minnesota

Amount: \$150,000 Duration: 2 years

*To develop, in concert with other organizations, a comprehensive campaign finance reform agenda for Minnesota and to promote its adoption through research, public education, community organizing, and communications*

Money & Politics Iowa

West Des Moines, Iowa

Amount: \$130,000 Duration: 18 months

*To develop a campaign finance database, create a web site, and publish analyses of political contributions and expenditures*

Protestants for the Common Good

Chicago, Illinois

Amount: \$174,734 Duration: 2 years

*To educate the Illinois religious community about campaign finance reform issues and to mobilize support among church activists on behalf of needed reforms*

Money and Politics Total

\$1,541,546

culture

**Black Ensemble Theater Corporation**  
Chicago, Illinois  
Amount: \$70,000 Duration: 2 years  
*To increase the audience and build the financial stability of African-American theater company*

**Chicago Sinfonietta, Inc.**  
Chicago, Illinois  
Amount: \$80,000 Duration: 16 months  
*To continue to increase the audience and improve the organizational strength of this multi-ethnic classical music organization*

**Chicago Theatre Company**  
Chicago, Illinois  
Amount: \$35,000 Duration: 1 year  
*To support financial planning, board development and other organizational issues, as laid out in the strategic plan of African-American theater company*

**Muntu Dance Theatre**  
Chicago, Illinois  
Amount: \$87,000 Duration: 16 months  
*To support space planning and financial and board development to raise the profile and increase the stability of group specializing in traditional and contemporary African dance*

**Museum of Contemporary Art**  
Chicago, Illinois  
Amount: \$60,000 Duration: 1 year  
*To present the work of three minority performing artists and to implement a series of related activities designed to increase the diversity of the Museum's audience*

**Old Town School of Folk Music**  
Chicago, Illinois  
Amount: \$175,000 Duration: 2 years  
*To increase minority participation in music education programs*

**Parkways Foundation**  
Chicago, Illinois  
Amount: \$50,000 Duration: 1 year  
*Continued support to link downtown museums with new audiences by providing neighborhood-based programs in nine Park District buildings throughout Chicago*

**Parkways Foundation**  
Chicago, Illinois  
Amount: \$125,000 Duration: 2 years  
*To implement community-controlled cultural programs that would establish sustainable connections between people in three diverse Chicago neighborhoods and three major cultural institutions*

**Ravinia Festival Association**  
Highland Park, Illinois  
Amount: \$150,000 Duration: 2 years  
*To build participation in its programs among residents of the Chicago neighborhood of North Lawndale*

**YMCA of Metropolitan Chicago, Duncan YMCA Chernin's Center for the Arts**  
Chicago, Illinois  
Amount: \$25,000 Duration: 1 year  
*To assist in the organizational development of cultural center serving residents of the near west side of Chicago*

**Culture Total**  
\$857,000

52

special opportunities

**Alliance for Justice**  
Washington, D.C.  
Amount: \$150,000 Duration: 2 years  
*Support for its Nonprofit Advocacy Project, an initiative designed to increase the capacity of nonprofit organizations to participate more fully in the policymaking process*

**Council on Foundations, Inc.**  
Washington, D.C.  
Amount: \$39,600 Duration: 1 year  
*Membership support*

**Donors Forum of Chicago**  
Chicago, Illinois  
Amount: \$17,820 Duration: 1 year  
*Membership support*

**Environmental Grantmakers Association, Rockefeller Family Fund, Inc.**  
New York, New York  
Amount: \$2,305 Duration: 1 year  
*Membership support*

**Independent Sector**  
Washington, D.C.  
Amount: \$10,250 Duration: 1 year  
*Membership support*

**The Joyce Foundation Employees Matching Grants Program**  
Amount: \$22,348  
*1998 matching payments*

**Special Opportunities Total**  
\$242,323

president's discretionary fund

Jane Addams Resource Corporation

Chicago, Illinois  
Amount: \$20,000

*To analyze systems that track the progress of participants in employment training programs and to improve the effectiveness of staff who help low-income job-seekers into new or better jobs*

American Bar Association  
Fund for Justice and Education

Washington, D.C.  
Amount: \$20,000

*For 1999 conference on firearms litigation*

American Medical Association

Chicago, Illinois  
Amount: \$10,000

*Funding for the 11th World Conference on Tobacco OR Health*

The Art Institute of Chicago

Chicago, Illinois  
Amount: \$15,000

*For a one-year series of programs celebrating African-American contributions to the arts in America*

Association of Black Foundation Executives

Washington, D.C.  
Amount: \$2,000

*Support for Professional Development Institute activities focusing on violence as a public health issue*

Association of the Bar of the City of New York Fund, Inc.

New York, New York  
Amount: \$5,000

*For conference to review state and local campaign finance reform activities and develop policy recommendations*

Bank Street College of Education

New York, New York  
Amount: \$18,800

*To work with three national institutions concerned about the quality of teaching in designing training approaches to assist new teachers*

Black Ensemble Theater Corporation

Chicago, Illinois  
Amount: \$7,500

*For one-week festival to promote black dance, theater and music in Chicago*

The Brookings Institution

Washington, D.C.  
Amount: \$19,080

*To support a panel of experts to determine the feasibility and value of establishing a national commission on campaign finance*

Business and Professional People for the Public Interest

Chicago, Illinois  
Amount: \$5,000

*For leadership meeting to celebrate ten years of school reform in Chicago*

Center for Community Change

Washington, D.C.  
Amount: \$10,000

*To support the Funders' Committee for Citizen Participation*

Chicago Theatre Company

Chicago, Illinois  
Amount: \$3,000

*General support*

Child and Family Policy Center

Des Moines, Iowa  
Amount: \$9,500

*To conduct a survey of Iowa employers to foster greater business participation in welfare reform*

Columbia College,  
Office of Community Arts Partnerships

Chicago, Illinois  
Amount: \$10,000

*Support for the startup of the Youth Theater Coalition*

Community Media Workshop

Chicago, Illinois  
Amount: \$20,000

*To support activities of the Chicago Successful Schools Project to increase public awareness about local school reform efforts*

Community Renewal Society

Chicago, Illinois  
Amount: \$18,500

*For survey on efficacy of teacher recruitment efforts, with findings to be reported in a special issue of its Catalyst publication*

Deeply Rooted Productions

Chicago, Illinois  
Amount: \$5,000

*To strengthen administrative and financial operations of new African-American dance troupe*

The Educational Fund to End Handgun Violence

Washington, D.C.  
Amount: \$10,000

*To help support the Fifth Annual Citizens' Conference to Stop Gun Violence*

Environmental Support Center, Inc.

Washington, D.C.  
Amount: \$9,000

*To identify local, state and regional environmental groups in the Midwest serving people of color primarily in urban areas*

president's discretionary fund

Georgetown University,  
Department of Government  
Washington, D.C.  
Amount: \$12,130  
*To complete and publicize the results of a study focusing on the motives, attitudes and behavior of congressional campaign contributors*

Georgetown University,  
Public Policy Institute  
Washington, D.C.  
Amount: \$15,000  
*To examine the potential effect that policy interventions have on gun-related injuries, using the Brady Law as a case study*

Governors State University Foundation  
University Park, Illinois  
Amount: \$20,000  
*For research on student assessment in public schools*

Grantmakers in the Arts  
Seattle, Washington  
Amount: \$5,000  
*For 1998 annual conference of arts funders in Chicago focusing on the long-range outcomes of youth-oriented arts programming*

Health and Medicine Policy Research Group  
Chicago, Illinois  
Amount: \$20,000  
*To support efforts by the Illinois Public Health Advocate to mobilize individuals and organizations around issues affecting the health of Illinois residents and communities*

Hispanics in Philanthropy  
Berkeley, California  
Amount: \$5,000  
*General support*

Illinois Environmental Council Education Fund  
Springfield, Illinois  
Amount: \$17,325  
*To develop a resource guide for regional environmental advocacy organizations*

Illinois PIRG Education Fund  
Chicago, Illinois  
Amount: \$3,000  
*For non-partisan public education initiative on campaign finance reform in selected Illinois communities*

Information Technology Resource Center  
Chicago, Illinois  
Amount: \$20,000  
*To help Chicago-area nonprofit organizations respond to the year 2000 computer problem*

National Network of Grantmakers  
San Diego, California  
Amount: \$3,000  
*For Midwest conference*

Institute on Taxation and Economic Policy  
Washington, D.C.  
Amount: \$20,000  
*To work with the Minnesota Alliance for Progressive Action to analyze the number and quality of jobs created by companies receiving economic development subsidies from the state of Minnesota*

Iowa Citizen Action Network  
Education Foundation  
Des Moines, Iowa  
Amount: \$12,000  
*To support planning for project to make campaign finance reform a prominent issue during the 1999-2000 presidential nominating process in Iowa and New Hampshire*

Thomas Jefferson Institute for  
Crop Diversification  
Columbia, Missouri  
Amount: \$15,750  
*To develop and promote the diversification of agricultural cropping systems used by farmers in an effort to improve soil quality and reduce the use of pesticides*

Joint Center for Political and  
Economic Studies, Inc.  
Washington, D.C.  
Amount: \$10,000  
*To develop new electronic communications capacities for improved dissemination of policy findings*

John F. Kennedy Library Foundation  
Boston, Massachusetts  
Amount: \$9,850  
*For educational programs*

John F. Kennedy Library Foundation  
Boston, Massachusetts  
Amount: \$20,000  
*For educational programs*

Korean American Scholarship Foundation  
Vienna, Virginia  
Amount: \$7,500  
*For the endowment of a special scholarship fund*

Maine Citizen Leadership Fund  
Portland, Maine  
Amount: \$20,000  
*For legal defense of the Maine Clean Election Act*

The Michigan Prospect for  
Renewed Citizenship  
Okemos, Michigan  
Amount: \$19,300  
*To encourage increased coordination and strategic planning among campaign finance reform groups in Michigan*

National Voting Rights Institute  
Boston, Massachusetts  
Amount: \$20,000  
*To support legal defense of mandatory campaign spending limits for mayoral and city council candidates in Albuquerque, New Mexico*

New York Academy of Medicine  
New York, New York  
Amount: \$20,000  
*Planning grant to discuss the role of physicians in reducing the epidemic of handgun violence*

Physicians for Social Responsibility  
Washington, D.C.  
Amount: \$15,750  
*To organize activities of regional and national environmental organizations in conjunction with the United Nations Environment Programme's negotiations to eliminate the 12 most toxic persistent organic pollutants*

Project on Government Oversight, Inc.  
Washington, D.C.  
Amount: \$15,000  
*To analyze flaws in the reporting of campaign contribution data by the Federal Election Commission and to recommend steps for improving the agency's record-keeping procedures*

Roosevelt University,  
College of Education  
Chicago, Illinois  
Amount: \$20,000  
*Planning grant to convene national and local education experts to work with Chicago policy-makers in developing a long-range technology plan for the Chicago Public Schools*

Roosevelt University,  
College of Education  
Chicago, Illinois  
Amount: \$6,000  
*To study different strategies for improving failing schools in urban areas*

Sound Portraits Productions, Inc.  
New York, New York  
Amount: \$10,000  
*For innovative radio documentaries about Americans whose voices are often neglected*

Southern Illinois University,  
Public Policy Institute  
Carbondale, Illinois  
Amount: \$10,000  
*To develop proposals for reforming Illinois' parole system*

The Thoracic Surgery Foundation for  
Research and Education  
Chicago, Illinois  
Amount: \$10,000  
*General support*

The Tides Center,  
Grantmakers for Education  
Washington, D.C.  
Amount: \$5,000  
*General support*

The Tides Foundation,  
Social Venture Network  
San Francisco, California  
Amount: \$750  
*Membership grant*

U.S. Public Interest Research Group  
Education Fund, Inc.  
Washington, D.C.  
Amount: \$15,000  
*To support legal defense of Montana law prohibiting the use of corporate funds in statewide ballot campaigns*

U.S. Public Interest Research Group  
Education Fund, Inc.  
Washington, D.C.  
Amount: \$15,000  
*To plan campaign to build broad-based support for revising the Supreme Court's decision in Buckley v. Valeo in ways that more fully reflect problems associated with raising and spending political money*

University of Akron,  
Ray C. Bliss Institute of Applied Politics  
Akron, Ohio  
Amount: \$15,422  
*To analyze the effects of Ohio's 1995 campaign finance reform law and develop policy options for further improvements*

University of Minnesota - Twin Cities,  
Center for Urban and Regional Affairs  
Minneapolis, Minnesota  
Amount: \$20,000  
*To assess when and why Minneapolis area welfare recipients choose to use job search and training programs*

YMCA of Metropolitan Chicago,  
Duncan YMCA Chermín's Center for the Arts  
Chicago, Illinois  
Amount: \$7,500  
*To support a collaborative project with the African-American theater group Onyx Theater Ensemble*

YMCA of Metropolitan Chicago,  
Duncan YMCA Chermín's Center for the Arts  
Chicago, Illinois  
Amount: \$3,000  
*To support activities with the African Grove Institute for the Arts and the National Black Theater Summit to strengthen black theater in Chicago*

President's Discretionary Fund Total  
\$680,657



summary of 1998 grants

	Grants Approved		Grants Paid
	<i>Number</i>	<i>Amount</i>	
education	29	\$6,136,142	\$8,551,895
employment	23	5,678,673	6,068,345
environment	51	10,772,715	8,680,646
gun violence	15	3,953,653	2,862,191
money and politics	12	1,541,546	2,713,524
culture	10	857,000	765,500
special opportunities	6	242,323	334,823
president's discretionary fund	55	680,657	680,657
<i>total</i>	201	\$29,862,709	\$30,657,581



## Independent Auditors' Report

To the Board of Directors of the Joyce Foundation We have audited the statement of financial position of the Joyce Foundation as of December 31, 1998 and 1997 and the statements of activities and of cash flows for the years then ended. The financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on the financial statements based on our audits.

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

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Joyce Foundation as of December 31, 1998 and 1997 and its activities and cash flows for the years then ended in conformity with generally accepted accounting principles.

Altschuler, Melvoin and Glasser LLP  
Chicago, Illinois  
March 22, 1999

statement of financial position

<i>The Joyce Foundation</i>	<i>Years Ended December 31</i>	
	1998	1997
<i>assets</i>		
Cash	\$ 1,932,483	\$ 520,544
Due from Brokers for Sales of Securities	23,499,884	31,547,512
<i>Investments</i>		
Short-term Money Market Investments	14,692,190	36,026,370
Mutual Fund Investments (cost: 1998, \$8,214,892; 1997, \$4,414,703)	7,988,774	4,312,126
U.S. Government and Corporate Bonds (cost: 1998, \$165,531,016; 1997, \$177,462,286)	167,562,271	179,884,915
Stocks (cost: 1998, \$393,424,350; 1997, \$293,165,314)	516,181,868	382,608,728
Investment Partnerships (cost under the equity method: 1998, \$200,844,405; 1997, \$189,865,271—Note 3)	213,530,461	199,020,567
Program-related Investments (at cost—Note 4)	515,028	584,028
Real Estate and Mineral Rights (cost: \$405,779 at 1998 and 1997)	442,761	442,761
Other Assets	324,796	158,945
Prepaid Federal Excise Tax	400,606	83,200
<b>Total Assets</b>	<b>\$ 947,071,122</b>	<b>\$ 835,189,696</b>
<i>liabilities and net assets</i>		
<i>Liabilities</i>		
Due to Brokers for Purchases of Securities	\$ 50,240,538	\$ 59,380,707
Grants Payable (Note 1)	16,844,397	17,639,269
<b>Total Liabilities</b>	<b>67,084,935</b>	<b>77,019,976</b>
Unrestricted Net Assets	879,986,187	758,169,720
<b>Total Liabilities and Net Assets</b>	<b>\$ 947,071,122</b>	<b>\$ 835,189,696</b>

*The accompanying notes are an integral part of this statement.*

statement of activities

<i>The Joyce Foundation</i>	<i>Years Ended December 31</i>	
	1998	1997
<b>Income</b>		
Dividends	\$ 8,055,458	\$ 6,721,127
Interest	10,491,486	9,313,868
Partnership income	48,174,585	39,001,055
Other income	160,280	507,870
	<u>66,881,809</u>	<u>55,543,920</u>
<b>Expenditures</b>		
Grants paid (Note 1)	30,657,581	26,502,264
Change in grants payable, net of grants returned	(1,024,185)	8,570,109
Administrative expenses	2,478,441	2,213,487
Investment expenses	2,157,966	1,892,566
Special program-related expenses	28,155	23,310
Federal excise tax (Note 5)	2,414,000	2,817,000
	<u>36,711,958</u>	<u>42,018,736</u>
<b>Income in Excess of Expenditures</b>	<u>30,169,851</u>	<u>13,525,184</u>
<b>Net Gains on Investments (Notes 1 and 2)</b>		
Realized	56,275,618	87,548,316
Increase in market value of investments	36,329,949	8,194,460
	<u>92,605,567</u>	<u>95,742,776</u>
<b>Increase in Net Assets before New Office Expenses</b>	122,775,418	109,267,960
<b>Costs Incurred in Moving to New Office (Note 7)</b>	958,951	105,723
<b>Net Increase in Net Assets</b>	121,816,467	109,162,237
<b>Unrestricted Net Assets, Beginning of Year</b>	758,169,720	649,007,483
<b>Unrestricted Net Assets, End of Year</b>	<u>\$ 879,986,187</u>	<u>\$ 758,169,720</u>

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*The accompanying notes are an integral part of this statement.*

statement of cash flows

<i>The Joyce Foundation</i>	<i>Years Ended December 31</i>	
	1998	1997
<i>cash flows from operating activities</i>		
Net increase in net assets	\$ 121,816,467	\$ 109,162,237
<b>Adjustments to reconcile net increase in net assets to cash used in operating activities</b>		
Amortization of bond premiums	145,571	92,937
Realized gains on sales of investments	(56,275,618)	(87,548,316)
Increase in market value of investments	(36,329,949)	(8,194,460)
Income from partnerships	(48,174,585)	(39,001,055)
<b>Changes in assets and liabilities</b>		
Increase in other assets	(165,851)	(151,838)
Increase in prepaid federal excise tax	(317,406)	(83,200)
Increase (Decrease) in grants payable	(794,872)	8,870,798
Decrease in federal excise tax payable	0	(146,000)
<b>Net Cash Used in Operating Activities</b>	<b>(20,096,243)</b>	<b>(16,998,897)</b>
<i>cash flows from investing activities</i>		
Proceeds from sales of stocks and bonds	867,312,571	838,977,830
Purchases of stocks and bonds	(903,184,488)	(785,295,625)
Investments in partnerships	(6,629,430)	(40,292,371)
Distributions from partnerships	46,406,538	19,895,088
(Increase) Decrease in short-term money market investments	21,334,180	(17,713,432)
(Increase) Decrease in mutual fund investments	(3,800,189)	1,692,855
Decrease in program-related investments	69,000	85,000
<b>Net Cash Provided by Investing Activities</b>	<b>21,508,182</b>	<b>17,349,345</b>
<b>Net Increase in Cash</b>	<b>1,411,939</b>	<b>350,448</b>
Cash, Beginning of Year	520,544	170,096
<b>Cash, End of Year</b>	<b>\$ 1,932,483</b>	<b>\$ 520,544</b>

*The accompanying notes are an integral part of this statement.*

**1. Significant Accounting Principles** The financial statements have been prepared on the accrual basis of accounting, except that dividend and interest income are recorded when received rather than when earned and the cost of leasehold improvements, furniture and equipment is charged to expense in the year they are acquired rather than being capitalized. Neither of these policies has a material effect on the financial statements.

Investments and futures contracts are reflected at market value, using quoted prices in an active market. Changes in market value are reflected in the Statement of Activities as increases or decreases in the market value of investments.

Grants specifically committed to designated grantees, but not yet paid, are accrued as liabilities. Actual grant payments in 1998 and 1997 amounted to \$30,657,581 and \$26,502,264.

Effective in 1998, the Foundation adopted *Statement of Financial Accounting Standards No. 133, Accounting for Derivative Investments and Hedging Activities*. Adopting this pronouncement had no effect on the financial statements.

Although the preparation of financial statements often requires estimating certain information, significant estimates were not utilized in preparing these financial statements.

**2. Futures Contracts** In connection with its investing activities, the Foundation enters into trading transactions in a variety of derivative financial instruments, principally financial futures contracts. These contracts provide for the delayed delivery or purchase of financial instruments at a specified future date at a specified price or yield.

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

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

At December 31, 1998, the Foundation held open positions on futures contracts for the purchase of U.S. Government securities and eurodollars to occur in 1999 through 2001. The notional value of the securities and eurodollars was \$89,900,000.

At December 31, 1997, the Foundation held open positions on futures contracts for the purchase of U.S. Government securities to occur in 1998. The notional value of the securities was \$33,100,000. The Foundation realized gains from futures contracts of \$1,282,406 and \$1,912,700 in 1998 and 1997, respectively.

**3. Investment Partnerships** The Foundation holds limited partnership interests in various partnerships which invest in and trade marketable securities and futures contracts. The partnerships reflect the securities and contracts at market value. The Foundation's share of their net assets and income or losses is reflected in the financial statements using the equity method of accounting. The Foundation had open commitments to purchase additional partnership investments of \$14,750,410 at December 31, 1998 (1997 — \$11,379,860).

**4. Program-related Investments** The Foundation had four program-related investments at December 31, 1998 and 1997:

<b>Investment</b>	<b>Purpose</b>
\$184,000 (1998); \$207,000 (1997) investment in Series B2 preferred stock of the Shorebank Corporation, Chicago, Illinois	To encourage the economic revitalization of the Austin community of Chicago
\$75,000 callable loan to the Women's Self-Employment Project, Inc., Chicago, Illinois (interest at 3 percent per year)	To capitalize revolving loan fund to assist low-income women establish businesses to increase their economic self-sufficiency based on the Bangladesh Grameen Bank model
\$225,000 investment in Series E preferred stock of the Shorebank Corporation, Chicago, Illinois	To support rural economic development involving expert technical assistance, venture investing and small business lending to expand economic opportunities of low-income people in the Upper Peninsula of Michigan
\$31,028 (1998); \$77,028 (1997) loan to the Council for Adult and Experiential Learning, Chicago, Illinois (interest at 4 percent per year; principal due in 1999)	To expand worker education programs into other Great Lakes states and to work with policymakers and other nonprofits in the application of program principles especially related to low-income populations

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

**6. Pension Plan** The Foundation maintains a defined contribution pension plan for eligible employees. Employer contributions are discretionary and are calculated as a percentage of salaries as determined by the board of directors. Total employer and employee contributions may not exceed the lesser of 25 percent of salaries or \$30,000 per employee. Pension expense was \$166,738 for 1998 (1997 — \$138,368).



7. **Commitments** The Foundation occupied its offices under a lease which expired in August 1998. In February 1998, the Foundation moved to a new facility and entered into a new lease expiring in 2008 which provides for monthly base rentals of \$10,284. Additional rentals will be paid to reflect a proportionate share of the cost of operating the property. A rent abatement is in effect through March 31, 2000. Rent expense totaled \$134,776 in 1998 (1997 — \$201,393). The remaining payments of \$134,371 under the old lease were charged to expense during 1998.

Minimum payments required under the new lease are to be as follows:

1999	\$	0
2000		92,557
2001		123,410
2002		129,066
2003		135,237
Thereafter		616,021
total		<u>\$ 1,096,291</u>

Costs incurred in the move to the new office space consisted of leasehold improvements, architectural and engineering fees and furniture.



## our mission

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

## programs

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

## about the foundation

The Foundation was created in 1948 by Beatrice Joyce Kean of Chicago. The Joyce family wealth was based on lumber and sawmill interests and was left to the Foundation when Mrs. Kean died in 1972. Over the years, the Foundation has continued to respond to changing social needs, contributing \$310 million in grants to groups working to improve the quality of life in the Great Lakes region.

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

Recognizing that each city's schools are unique, the Foundation looks for proposals that support specific reform priorities in each district as identified by the Foundation and address one or more of the following program interests:

**equitable allocation of resources** to meet the needs of urban school districts, including efforts to guarantee all children access to promising educational technologies;

**quality teaching**, including measures to recruit and retain good teachers and efforts to foster the growth of innovative, high-quality learning environments;

**improved measures** to assess student performance, evaluate reform strategies, and hold schools accountable for student progress; and

**community engagement**, including efforts to involve parents in the education of their children, build public understanding of school reform, and expand the capacity of and connections among community-based school reform groups in the Midwest.

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

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

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

help translate lessons about successful workforce preparation strategies into policy;

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

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

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

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

It supports work that promises to:

**protect and improve** Great Lakes water quality, especially by finding and implementing solutions to environmental problems;

**maintain a strong network** of environmental groups working to improve the Great Lakes ecosystem;

**reduce the production,** use, and discharge of toxic substances in agricultural and industrial processes;

**promote more efficient use** of energy and increased reliance on cleaner energy sources; and

**ensure that government decision-making** on transportation and land use, especially at the state level, takes the environment into account.

We are especially interested in projects that:

**address root problems** and promote pollution prevention rather than control or cleanup of existing pollution;

**promise broad environmental benefits** rather than solving one problem by creating another;

**take into account** all relevant perspectives and all aspects of the region's ecosystem, including community and economic well-being, and build effective partnerships for solving problems;

**identify market** or other economic mechanisms to further environmental goals; and

**develop incentives** to encourage environmentally responsible decisions in the private sector.

*Gun violence takes the lives of 32,000 Americans each year and injures thousands more. The Joyce Foundation seeks to reduce that toll by addressing gun violence as a public health problem, with strategies that emphasize prevention rather than relying solely on punishment.*

The Foundation will consider proposals aimed at:

**strengthening public policies** that deal with gun violence as a public health issue;

**supporting institutions** that develop, coordinate, and disseminate policy research that collects and analyzes gun violence data from a public health perspective and examines prevention strategies;

**supporting efforts** that lead to the treatment and regulation of guns as a consumer product;

**supporting Midwest-based coalitions** that address gun violence as a public health issue and promote policies that reflect that view; and

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

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

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

**promote federal and state-level** (Midwest) campaign finance reforms;

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

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

**improve news media coverage** of money and politics.

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

We look for efforts that:

stress the involvement of communities that are often overlooked;

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

help create a stable group of minority-based arts organizations; and

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

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

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

actively involve the community the group is trying to reach or are designed by the community itself; and

include a strong evaluation plan.

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

Applicants must meet high artistic and presentation standards.



## other grants

### special opportunities

The Foundation makes a few grants each year to projects outside of the primary program areas. Preference is given to projects that encourage debate on public policy issues, reflect concern for social equity or regional cooperation, or explore connections among the Foundation's programs. Included in this category are grants that help fulfill the Foundation's commitment to the philanthropic sector.

### president's discretionary fund

The President's Discretionary Fund is used to make small, expeditious grants for projects related to the Foundation's priorities, and occasionally to support other important initiatives. The Fund's budget is small, and competition for support is very high.

### grants to individuals

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

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## how to apply

The Joyce Foundation accepts grant inquiries throughout the year.

### letters of inquiry

Before submitting a formal proposal to the Foundation, prospective applicants should write a two- or three-page letter of inquiry outlining the proposed project to the appropriate staff person (see list on page 74). The letter should describe the project's goals, how it relates to the Foundation's interests, the target audience and beneficiaries, the estimated budget and duration, and plans for evaluation and dissemination of findings.

Letters of inquiry are reviewed by a program officer. The program officer will inform the applicant whether the project falls within the program guidelines and should be developed into a formal grant proposal.

The letter of inquiry should be submitted at least four to six weeks before the proposal deadline.

### formal proposals

If the program officer determines, after reviewing the letter of inquiry, that a formal proposal should be submitted, the proposal should include the application cover sheet at the back of this annual report and the following information:

**executive summary** or overview (1-2 pages).

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

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

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

**names and qualifications** of people involved in the project.

**organizational expenses and income** for previous, current, and coming fiscal years.

**board members**, their titles, outside affiliations, and telephone numbers.

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

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

If a grant is awarded, the recipient will be expected to provide regular reports to the Foundation on the project's progress and the expenditure of grant funds. The directors of the Foundation have requested that they not be contacted individually regarding proposals.

proposal deadlines

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

april 15, 1999 for the July meeting

august 16, 1999 for the December meeting

december 8, 1999 for the March 2000 meeting

Applicants are strongly encouraged to submit their proposals for the March or July meetings, since most grant funds will be distributed at those times.

If you wish to discuss your application, please contact one of the following program officers:

education

Warren Chapman  
Reginald Lewis  
Peter Mich

employment

Kara Kellahe Mikulich  
Unmi Song

environment

Margaret O'Dell  
James Seidita

gun violence

Roseanna Ander

money and politics

Lawrence Hansen

culture

Ellen Alberding

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

**Applicant Information**

Name of Applicant		Application Date	
Address			
City		State	Zip
Telephone (     )		Fax (     )	
Electronic Mail		Web Address	
Contact Person			
Title			
Date Organization Began Operations			
Number of Staff	Full-time	Part-time	
Total Operating Expenses <i>(for most recently completed fiscal year 19     )</i>		\$	
Estimated Duration Dates of Project		Beginning	Ending

**Total Budget and Amount Requested from Joyce Foundation in this Proposal**

*(If Multi-Year Request)*

	19     or 20	20	20
		Second Year	Third Year
Budget Total	\$	\$	\$
Requested from Joyce	\$	\$	\$

**Brief Description of Project**

**Geographic Area Served by Project**

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



## Directors and Staff

### The Joyce Foundation

Three First National Plaza  
70 West Madison Street Suite 2750  
Chicago, Illinois 60602  
312 782 2464 Telephone  
312 782 4160 Facsimile  
info@joycefdn.org  
www.joycefdn.org

### Board of Directors

John T. Anderson  
*Chairman*

Richard K. Donahue  
*Vice Chairman*

Robert G. Bottoms

Carin A. Clauss

Charles U. Daly

Paula DiPerna

Anthony S. Earl

Roger R. Fross

Carlton L. Guthrie

Marion T. Hall

Barack Obama

Paula Wolff

### Staff

Ellen S. Alberding  
*Program Officer/  
Investment Officer*

Roseanna Ander  
*Program Officer*

Gloria G. Barrientos  
*Staff Assistant*

Warren K. Chapman  
*Program Officer*

Paula DiPerna  
*President,  
effective July 1999*

Carol A. Donahue  
*Communications Assistant/  
Staff Assistant*

Lawrence N. Hansen  
*Vice President*

Delores Hogues  
*Receptionist*

Angela Kovatch  
*Staff Assistant*

Deborah Leff  
*President, 1992-1999*

Reginald Lewis  
*Program Officer*

Peter T. Mich  
*Technology Officer/  
Program Officer*

Kara Kellaher Mikulich  
*Program Officer*

Mary M. O'Connell  
*Communications Officer*

Margaret H. O'Dell  
*Program Officer*

Linda K. Schelinski  
*Vice President of  
Administration*

James Seidita  
*Program Officer*

Unmi Song  
*Program Officer*

Pamela H. Stauffer  
*Staff Assistant*

Sherry A. Woolfolk  
*Accountant*

