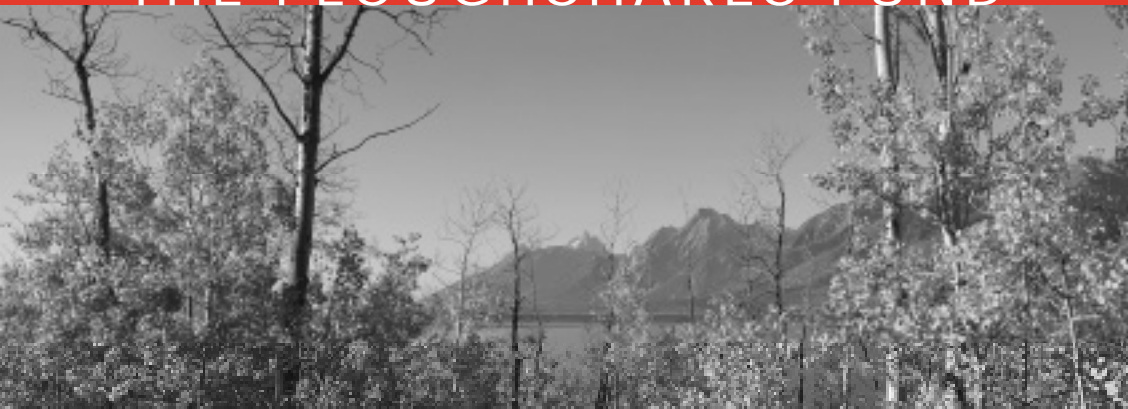


# THE PLOUGHSHARES FUND



“We are in a race between  
cooperation and catastrophe.”

—SAM NUNN



2001/02



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**THE PLOUGHSHARES FUND** SEEKS TO PREVENT THE SPREAD AND USE OF NUCLEAR, CHEMICAL, BIOLOGICAL AND OTHER WEAPONS OF WAR AND TO PREVENT CONFLICTS THAT COULD LEAD TO THE USE OF WEAPONS OF MASS DESTRUCTION.



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## LETTER FROM THE PRESIDENT AND EXECUTIVE DIRECTOR

Dear Friends,

In the months that followed the worst terrorist act in U.S. history, government leaders and individual citizens were reawakened to the horrors of weapons of mass destruction. From the anthrax scares in the U.S. to accounts of al Qaeda's attempts to gain a nuclear weapon, the world came to the grim realization that the threat of a nuclear, biological or chemical attack had not faded with the end of the Cold War. Instead, the possibility of the spread of materials and know-how to individuals, groups and nations had produced a new and imminent danger.



At the Ploughshares Fund our response to these events was to deepen our resolve. We sought out new programs to assess U.S. vulnerability to nuclear terrorism and supported several initiatives aimed at strengthening security at nuclear installations. We increased funding to well-established, credible institutions that have earned a reputation for tracking and monitoring the development of weapons of mass destruction in proliferant states. And we redoubled our commitment to groups in Russia, Europe and the U.S. working to downsize the Russian nuclear weapons complex and to secure the vulnerable materials that reside there.

As you will read in the following pages, we not only focused on the former Soviet Union, but we awarded strategic grants in key geographic regions such as Iran, North Korea, China and South Asia. In fact, our grants went to individuals and organizations in fourteen different nations – a record for the Ploughshares Fund.

Speaking of records, we were able to raise and give away more than at any other time in our twenty-one year history – \$4,453,614 to be exact. And still our operating expenses are completely paid for by the Fund's Board of Directors and a small draw from our endowment, meaning that donors' contributions go directly to the grants we award, with nothing subtracted for administrative overhead.

The majority of those grants – some 70% – supported innovative efforts to reduce the threat posed by weapons of mass destruction, including advocacy here and abroad for new nuclear and security policies. (As a public foundation, the Ploughshares Fund is allowed to allocate a percentage of our budget to support direct lobbying in Washington.) But you will also read in this report about organizations that investigate and expose small arms trafficking, and others that monitor the use and impact of landmines. This year, especially, when the policies emanating from our nation's capitol have eschewed international cooperation and the rule of law, Ploughshares Fund grants have supported organizations promoting multilateral, diplomatic approaches to conflict prevention and a strengthened role for UN peace operations.

In assessing all of these efforts, we seek answers to key strategic questions: Does the project have the potential to affect policy? Will it shed light on the technical, analytical or political aspects of international security in this new strategic environment? Does the project promote bold solutions and new leadership to create change? Our due diligence gives donors confidence that their contributions, pooled with others, will help support the smartest people with the best ideas for stopping the spread and use of weapons of war. This was our promise at our birth twenty-one years ago, and we are even more committed today, in a world that has been shaped by the events of September 11th.

Yours with determination,



Sally Lilienthal, President

Naila Bolus, Executive Director



## PREVENTING THE SPREAD OF NUCLEAR, BIOLOGICAL AND CHEMICAL WEAPONS AND THEIR DELIVERY SYSTEMS



This year marked the first time that two nuclear-armed rivals faced off across a common border in a conflict that threatened to escalate into the unthinkable. When India and Pakistan subsequently backed away from the brink of war, they did so with their arsenals and enmity intact. The persistent crisis in South Asia amplifies the urgency of non-proliferation – the need to stem the diffusion of nuclear weapons, materials and know-how, and to devalue their political currency.

The task requires scientific knowledge untainted by political pressures on one hand, and the ability, on the other, to implement multilateral solutions. The Ploughshares Fund supported an initiative this year aimed at derailing Iran's nuclear weapons ambitions while there is still time, by engaging Russians at the highest levels to address their country's nuclear assistance to Teheran. Another program is aimed at expanding the pool of Chinese scientists who are knowledgeable about and committed to

nuclear non-proliferation. Many of our grants are addressing the most pressing need of all, closing down the so-called “candy store” of weapon-usable materials contained in poorly secured nuclear facilities all over Russia.

Compared with nuclear and even chemical weapons, biological weapons are relatively easy to produce and even easier to conceal, a fact that has made negotiations around an international treaty particularly acrimonious, and thus far unsuccessful. The Ploughshares Fund increased its support this year for scientists and organizations tracking the development of biological weapons and pursuing alternative methods of monitoring the production of chemicals and diseases as weapons of war and terror.

**PLOUGHSHARES FUND  
BOARD MEMBER  
DAVID HOLLOWAY**



"The War Game," a documentary produced by the BBC in the late 1960s, offered a graphic and alarming view of a Soviet nuclear attack on a small town in England.

It also triggered David Holloway's interest in the issues surrounding nuclear weapons and their use. One of the world's leading experts on the history of Soviet nuclear weapons, David is director of the Institute for International Studies at Stanford University, and professor of political science and history. He has served on the Ploughshares Fund Board of Directors for over ten years.

"What Ploughshares does so well," he says, "is to operate close to the ground. We're open to new groups with new ideas, and we're nimble enough that we can respond quickly when an individual or an organization wants to get something started." He cites, for example, the grants Ploughshares has made to

groups in Russia working on the critical environmental issues at nuclear sites.

The huge nuclear complex in the states of the former Soviet Union, without the network of security that existed during the Soviet era; the animosity between India and Pakistan; the continuing spread of nuclear weapons to Iraq and North Korea – these are the most dangerous situations on earth today. "We are very lucky that the Cold War did not result in a nuclear war. But will our luck hold?" David wonders. "And how do we manage nuclear weapons in a world where war is endemic?"

As the questions keep taking new forms, he suggests, we continually need new ways of looking at the same issues. "This is where Ploughshares really makes a difference. It's been a great honor to be part of such a good organization that is devoted to this work."

## GRANTS JULY 2001-2002



**Analytical Center for  
Non-Proliferation  
Sarov, Russia**

To engage former weapons designers in non-proliferation research and analysis at a three-year-old center based in Sarov, formerly Arzamas-16. **\$30,000**

**Center for Arms Control, Energy  
and Environmental Studies  
Moscow, Russia**

For a Russian-English web site that provides information and analysis about the status of nuclear weapons reductions. **\$25,000**

**Center for Strategic and  
International Studies  
Washington, DC**

To support a high-level dialogue among Russians and Americans to forge an agreement addressing Russian assistance to Iran on nuclear and ballistic missile capacity. **\$50,000**

**Avner Cohen  
Silver Spring, MD**

Two grants to support travel expenses for research on Israel's weapons of mass destruction programs. **\$8,500**

**Committee of Scientists  
for Global Security  
and Arms Control  
Moscow, Russia**

To support research and joint discussions with the Center for International Security and Cooperation at Stanford University to examine the impact of current U.S.-Russian relations on strategic stability. **\$35,000**

**Committee to Bridge the Gap  
Santa Cruz, CA**

For a project to prevent nuclear terrorism by strengthening the regulations governing security at nuclear installations. **\$50,000**

**Institute for Science and  
International Security  
Washington, DC**

For technical analysis of non-proliferation issues, including tracking the development of weapons of mass destruction programs in proliferant states, and for the annual Nuclear Non-Proliferation Verification Institute. **\$75,000**

**IUPAC  
Research Triangle Park, NC**

For a technical workshop in advance of the first review conference of the Chemical Weapons Convention. **\$15,000**

**Jungmin Kang  
Seoul, South Korea**

For independent research and efforts to establish a nuclear non-proliferation research center at Seoul National University. **\$20,000**

**Landau Network-Centro Volta  
Como, Italy**

To support the establishment of a program to direct more European money into the downsizing and reshaping of the Russian nuclear weapons complex. **\$30,000**

**Bin Li  
Beijing, China**

To support an independent arms control research program based at Tsinghua University. **\$20,000 (two years)**

For a joint project with the Monterey Institute of International Studies to conduct a training workshop for junior-level Chinese professionals and graduate students in non-proliferation policy. **\$25,000**



RUSSIA HAS 40,000 METRIC TONS OF CHEMICAL WEAPON AGENTS  
LOCATED AT SEVEN SITES IN SIX DIFFERENT REGIONS.

**Monterey Institute of  
International Studies  
Washington, DC**

For a workshop to prepare for a challenge inspection under the Chemical Weapons Convention. **\$35,000**

**Peace Action New Mexico  
Santa Fe, NM**

For public education and advocacy to oppose the establishment of a bio-safety Level 3 facility at Los Alamos National Laboratory. **\$15,000**

**Programme for Promoting  
Nuclear Non-Proliferation  
Southampton, UK**

For a meeting of government officials and experts to strengthen arms control initiatives and global norms governing missile proliferation. **\$35,000**

**Programme for Strategic and  
International Security Studies  
Geneva, Switzerland**

Two grants for the Geneva Forum, a civil society monitoring network for the Biological Weapons Convention. **\$45,000**

**Project on Government  
Oversight  
Washington, DC**

For the Nuclear Terrorism Prevention Project aimed at rectifying lapses in U.S. Department of Energy security systems around nuclear sites. **\$20,000**

**Russian-American Nuclear  
Security Advisory Council  
Princeton, NJ**

To support the development of U.S.-Russian cooperative initiatives to address nuclear security and proliferation challenges in Russia. **\$60,000**

**Search for Common Ground  
Washington, DC**

For Track II dialogue among security experts from the Middle East to explore the possibilities of controlling weapons of mass destruction in the region. **\$40,000**

**20/20 Vision  
Washington, DC**

For an emergency campaign to generate public awareness and commentary on the Biological Weapons Convention. **\$20,000**  
To support public education and grassroots lobbying on biological weapons issues. **\$25,000**

**Union of Concerned Scientists  
Washington, DC**

To support the start-up phase of a new program to educate policymakers and the public about biological weapons. **\$40,000**

**University of Georgia  
Athens, GA**

For research and policy advocacy to strengthen export controls in India and Pakistan. **\$40,000**

**VERTIC  
London, UK**

For a survey of national implementation legislation for the Biological Weapons Convention. **\$40,000**

## ENDING THE DEVELOPMENT AND PRODUCTION OF NUCLEAR WEAPONS AND WEAPON-USABLE MATERIALS



The countries and groups, including al Qaeda, that seek to develop nuclear weapons are faced with a significant obstacle: the difficulty in acquiring the requisite amount of weapon-usable material – plutonium or highly-enriched uranium (HEU). Not much is needed, less than eight kilograms of plutonium, or about three times as much HEU. Russia is not the only place where such materials reside; at least twelve countries possess significant amounts of separated weapon-usable plutonium in their civilian nuclear programs, and HEU is widespread in research reactors around the world.

In Russia, Japan and the U.S., Ploughshares Fund grants are supporting national think tanks and grassroots organizations alike that are assessing the proliferation, public health and environmental risks associated with the production and management of weapon-usable materials and proposing solutions for safe and secure storage. It is no accident that

many of the most effective Russian activists hail from the Ural mountain region, where citizens must cope with the legacy of radioactive waste dumping, and with new high-risk proposals for storing and reprocessing imported spent fuel and converting excess weapons plutonium to fuel for commercial reactors. Activists in the Southeastern U.S. and elsewhere around the world understand that if the plan to produce such mixed-oxide fuel, or MOX, takes hold, and the widespread use, trade and shipment of plutonium become common, the proliferation risks from stolen or misplaced weapon-usable material could increase multifold.

## GRANTS JULY 2001-2002



**Alliance for Nuclear  
Accountability  
Seattle, WA**

To provide technical and organizational support to a network of organizations addressing environmental, health and security issues related to Department of Energy nuclear weapons production facilities. **\$30,000**

**Blue Ridge Environmental  
Defense League  
Glendale Springs, NC**

For the Southern Anti-Plutonium Campaign, a regional project to educate the public and build opposition to plans to utilize plutonium as a nuclear reactor fuel. **\$20,000**

**Center for Russian  
Environmental Policy  
Moscow, Russia**

To provide information on the technical, political and legislative aspects of nuclear issues to non-governmental organizations in the former Soviet Union. **\$20,000**

**Citizens' Center on Nuclear  
Non-Proliferation  
Krasnoyarsk, Russia**

To support a public campaign opposing the production of mixed-oxide fuel (MOX) and the construction of a storage facility for spent nuclear fuel in Krasnoyarsk. **\$27,919**

**Citizens' Nuclear  
Information Center  
Tokyo, Japan**

For research, public education and advocacy to oppose the use, production, reprocessing and stockpiling of plutonium fuel for civilian energy production in Japan. **\$30,000**

**Ecodefense!  
Kaliningrad, Russia**

For grassroots organizing and campaigning aimed at preventing the import and reprocessing of spent nuclear fuel. **\$25,000**

**Government Accountability  
Project, Washington, DC and  
Seattle, WA**

To support whistleblowers at the nation's nuclear weapons facilities and to provide analyses of the health and environmental impacts of weapons production at the Hanford Nuclear Reservation. **\$30,000**

A discretionary grant to purchase technical equipment for Russian organizations conducting environmental assessments at nuclear weapon sites. **\$8,000**

**Green Action  
Kyoto, Japan**

For a grassroots campaign to oppose Japan's plutonium program. **\$35,000**

**Institute for Energy and  
Environmental Research  
Takoma Park, MD**

To provide technical support and training for grassroots groups addressing issues related to nuclear weapons production and cleanup, and to oppose the MOX fuel program. **\$75,000**

**Movement for Nuclear Safety  
Chelyabinsk, Russia**

For legal research, public education and grassroots campaigning on the dangers of spent nuclear fuel imports into Russia. **\$15,000**

An emergency grant to provide technical equipment to the office following a break-in. **\$1,500**

**Nuclear Control Institute  
Washington, DC**

For technical research and policy advocacy to eliminate weapon-usable materials from civilian power and research programs. **\$35,000**

## GRANTS JULY 2001-2002

THERE ARE MORE THAN 300 CIVILIAN RESEARCH FACILITIES AROUND THE WORLD FUELED WITH HIGHLY ENRICHED URANIUM – THE EASIEST MATERIAL FOR TERRORISTS TO MAKE INTO A NUCLEAR BOMB.



### **Nuclear Information and Resource Service Washington, DC**

To oppose the use of MOX fuel in civilian nuclear reactors by challenging commercial nuclear utilities that plan to be part of the program. **\$25,000**

### **Nuclear Watch of New Mexico Santa Fe, NM**

For support of the Weapons Watch Project to conduct research and monitor nuclear weapons activities at the Los Alamos National Laboratory. **\$27,500**

### **Oak Ridge Environmental Peace Alliance Oak Ridge, TN**

To support the Stop the Bombs campaign to oppose expanded nuclear weapons work at the Y-12 nuclear weapons facility. **\$20,000**

### **Snake River Alliance Education Fund Pocatello, ID**

For research, education and community advocacy to ensure that nuclear materials and waste at the Idaho National Engineering and Environmental Laboratory are properly managed. **\$20,000**

### **Tri-Valley CAREs Livermore, CA**

To support research, public education and grassroots advocacy to monitor nuclear weapons activities at the Lawrence Livermore National Laboratory. **\$25,000**

*Ploughshares Fund Program Officer Paul Carroll serves on the Board of Directors of this organization. Please see Conflict-of-Interest Policy, page 32.*

### **James Werner Washington, DC**

To examine U.S. policy regarding the management of nuclear materials. **\$25,000**

### **Western States Legal Foundation Oakland, CA**

For research, public education and advocacy to stop the development of new nuclear weapons. **\$25,000**

**PLOUGHSHARES FUND  
GRANTEE JUNGMIN KANG**



Jungmin Kang is not just a scientist, proficient in the technical intricacies of the nuclear fuel cycle. He's also an activist. And in his native South Korea, where "public interest scientists" are rare, that is something special. Kang's "conversion" came while studying the management of nuclear materials in Tokyo. In his opinion, Japan's growing stockpile of excess plutonium presented a clear and present danger to neighboring countries, his own included. So he began to publish articles in popular papers and to collaborate with like-minded colleagues in Japan, China and the United States.

Now, at 37, Kang has returned to South Korea and is well on his way to establishing a first-of-its-kind Center for Nuclear Non-Proliferation at Seoul National University. He hopes it will be a forum for cutting-edge independent research, education and regional collaboration. Clearly a first order of priority will be to address the

ongoing and escalating dilemma of North Korea's nuclear program. But Kang is an optimist. He doesn't believe that there will be war on the Korean peninsula and he sees the current crisis as the best opportunity to solve the nuclear question once and for all.

Do scientists have a role to play in the formulation of public policy in South Korea? Kang's answer is an emphatic "yes." With a modest grant from the Ploughshares Fund, Kang is working "at least sixty hours a week" conducting relevant research, giving lectures and publishing op-ed articles in local papers, which he believes can "directly impact South Korean policymakers."

## BUILDING NATIONAL AND GLOBAL SUPPORT FOR NEW SECURITY POLICIES

THE 2002 TREATY OF MOSCOW, WHICH CALLS ON THE U.S. AND RUSSIA TO REDUCE THEIR NUCLEAR ARSENALS TO BETWEEN 1,700 AND 2,200 NUCLEAR WEAPONS, DOES NOT REQUIRE THE ELIMINATION OF A SINGLE WARHEAD, MISSILE, SUBMARINE, BOMBER OR ANY NUCLEAR MATERIAL.



The response by Ploughshares Fund grantees to the Bush Administration's Nuclear Posture Review (NPR) last March was immediate and unequivocal. "The NPR reinvigorates the role of nuclear weapons and makes their use more likely than at any time since the height of the Cold War," wrote one. "They are no longer the weapon of last resort but weapons of first choice."

The administration's proposal for the future of nuclear weapons included targeting non-nuclear weapons states with nuclear weapons, producing smaller and more usable nuclear weapons and ending the decade-long moratorium on nuclear testing in order to test new nuclear weapons designs. Concluded another grantee, "these matters are far too important for the administration to decide on its own. There must be a full public debate...on the future of our nuclear deterrent and the nuclear non-proliferation regime."

Reaching out to policymakers and to citizens of all ages, that debate is being influenced by the scientists, lobbyists and other experts the Ploughshares Fund supports. Calls by the administration to develop a new "bunker busting" nuclear warhead that could penetrate deep into the earth with little collateral damage were met immediately by an eminent physicist's analysis that "the explosion would blow out a massive crater of radioactive dirt, which would rain down on the local region with an especially intense and radioactive fallout." Congress and the media took notice. And as the potential role of outer space in U.S. military strategy grows with the demise of the Anti-Ballistic Missile Treaty, Ploughshares Fund grantees are articulating the stark choice before the world: U.S. dominance of outer space as a venue for war-fighting and weapons, or the preservation of space as a sanctuary for exploration and communication for the benefit of life on earth.

**PLOUGHSHARES FUND  
GRANTEE VLADIMIR  
IVANOVICH MIKHEEV**



Vladimir Mikheev became an underground hero in the waning days of the Soviet Union, a time when speaking out on any aspect of nuclear weapons was illegal. “Before perestroika, few people knew what was happening ‘behind the iron curtain’ at the Mining-Chemical Combine at Krasnoyarsk-26,” one of Russia’s formerly closed nuclear cities. Built underground in 1950 by Gulag prisoners, the plant was one of Russia’s most important sites for the production of plutonium for nuclear weapons.

In the first-ever independent environmental newspaper published in the Soviet Union, Vladimir began to alert residents of central Siberia about plutonium’s deadly effects. “I understood that the so-called ‘peaceful’ atom had tremendous destructive power,” says Vladimir, an environmental engineer for Krasnoyarsk’s regional government and formerly a member of the region’s Council of Deputies.

His fledgling organization was soon operating openly to make information available to the public about the future of the cash-strapped Mining-Chemical Combine. His efforts have paid off. There is overwhelming public opposition to plans by Minatom, Russia’s ministry of atomic energy, to build a new reprocessing facility designed to extract plutonium from spent nuclear fuel, and to import spent fuel for storage and possible reprocessing. “We understand that all of this is a direct threat to nuclear non-proliferation,” he says. As the government’s propaganda campaign has heated up – the streets of Krasnoyarsk are plastered with signs reading, “Spent Nuclear Fuel is Our Country’s Reserve!” – Vladimir and his Citizens’ Center on Nuclear Non-Proliferation are responding with a nationwide campaign of their own, using the Internet. “Clearly,” observes Vladimir, “opposition to Minatom’s plans can only increase.”

## GRANTS JULY 2001-2002

### **Acronym Institute London, UK**

To support research, the publication of papers, travel and participation in meetings, with the purpose of developing a multilateral strategy to address the weaponization of space. **\$50,000**

### **Arms Control Association Washington, DC**

For the media program that includes direct contact with journalists, press conferences and briefings, and publication and dissemination of the journal *Arms Control Today*. **\$25,000**

### **Back from the Brink Washington, DC**

For a public education and advocacy campaign calling for the de-alerting of nuclear weapons. **\$35,000**

### **British American Security Information Council Washington, DC**

To promote transatlantic cooperation on nuclear non-proliferation and disarmament, the control of conventional weapons and European security. **\$35,000**

### **California Peace Action Berkeley, CA**

For membership development efforts in California to strengthen grassroots lobbying on nuclear weapons and missile defense issues. **\$25,000**

### **Center for Arms Control and Non-Proliferation Washington, DC**

To educate policymakers, the public and the media about nuclear non-proliferation, missile defenses and conventional weapons issues. **\$50,000**

**Center for Defense Information  
Washington, DC**  
For the development of innovative media technologies to meet the increasing demand worldwide for information on security issues. **\$30,000**

### **Center for Policy Studies in Russia Moscow, Russia**

To support a program providing arms control and non-proliferation education for members of the Russian parliament. **\$50,000**

### **Center for War and Peace Journalism Moscow, Russia**

For a project to provide information, training and guidance to Russian journalists focused on nuclear and international security. **\$31,200**

### **Centre de Documentation et de Recherche sur la Paix et les Conflits Lyon, France**

To support the publication and dissemination of a study proposing the phased elimination of France's and Great Britain's nuclear arsenals. **\$30,000**

### **Centre for European Security and Disarmament Brussels, Belgium**

To monitor and influence the nuclear weapons policies of NATO, the European Union and the UN. **\$50,000 (two years)**

### **Citizens Opposed to Defense Experimentation Anchorage, AK**

For a coalition campaign to educate the public and policymakers about plans to deploy the National Missile Defense system in Alaska. **\$10,000**

### **Coalition for Peace Action Princeton, NJ**

To support grassroots lobbying and education of candidates on a range of nuclear, chemical and biological weapons issues. **\$20,000**

### **Disarmament and Security Centre of the New Zealand Peace Foundation Christchurch, New Zealand**

To support public education and policy advocacy in New Zealand and internationally to promote nuclear disarmament and the delegitimization of nuclear weapons. **\$60,000 (two years)**

### **Educational Foundation for Nuclear Science Chicago, IL**

To provide general support for the *Bulletin of the Atomic Scientists*, the only magazine focusing on global security issues for the non-specialist public. **\$130,000**

### **Educators for Social Responsibility of Metropolitan New York New York, NY**

To develop and promote a curriculum on nuclear weapons issues for use by high school educators in New York City. **\$30,000**

### **Eisenhower Institute Washington, DC**

For a project to bring together space scientists and other experts to draft a legal framework addressing the future use of space. **\$90,000 (two years)**

### **Federation of American Scientists Washington, DC**

To engage scientists in analysis and outreach to decisionmakers on nuclear non-proliferation, security in South Asia and the weaponization of outer space. **\$185,000**

### **Film Arts Foundation San Francisco, CA**

To support Kristi Denton-Cohen's production of the Ploughshares Fund promotional video. **\$5,000**

*Ploughshares Fund President Sally Lillenthal is Denton-Cohen's mother-in-law. Please see Conflict-of-Interest Policy on page 32.*

### **Friends Committee on National Legislation Washington, DC**

To provide support for a full-time lobbyist to advocate for nuclear weapons reductions and to oppose the development of new nuclear weapons. **\$35,000**

### **Global Security Institute San Francisco, CA**

To support a global parliamentarians' network for nuclear disarmament. **\$25,000**



**GlobalSecurity.org**  
Alexandria, VA

For work with the media and extensive use of the Internet to disseminate information and analyses on the weaponization of space. **\$40,000**

**Institute for Policy Studies**  
Washington, DC

For a joint transatlantic teleconference between the U.S. and Russia addressing weapons of mass destruction in the post-September 11th world. **\$10,000**

**International Physicians for the Prevention of Nuclear War**  
Cambridge, MA

To support a documentary broadcast on the Teaching-Learning Network addressing current nuclear dangers and the role of non-governmental organizations in promoting disarmament. **\$15,000**

**International Security Information Service**  
London, UK

For a program to educate and engage British parliamentarians in the debate over U.S. plans to deploy a national missile defense. **\$35,000**

**Lawyers Alliance for World Security**  
Washington, DC

Two grants for diplomatic efforts to promote multilateral arms control and non-proliferation legal regimes. **\$55,000**

**Lawyers Committee on Nuclear Policy**  
New York, NY

To support a program to educate and engage the next generation of lawyers in support of nuclear disarmament, global security and the rule of law. **\$40,000**

**Peter Liberman**  
Flushing, NY

For supplemental costs for the South African Nuclear Weapons Declassification and History Project. **\$3,500**

**Mainstream Media Project\***  
Arcata, CA

For a national campaign to place international security experts on public and commercial radio talk shows to address nuclear weapons issues and the weaponization of space. **\$35,000**

An emergency grant to support a public education campaign on public and commercial radio addressing the implications of the September 11th terrorist attacks. **\$20,000**

**Minuteman Media**  
Norwalk, CT

To support the Disarmament Desk, which disseminates op-eds addressing international security issues to small and medium-sized newspapers nationally. **\$10,000**

**Monterey Institute of International Studies**  
Monterey, CA

For a meeting of officials, policy experts and space users to explore compromise approaches to international controls on weapons in space. **\$25,000**

**National Security Archive**  
Washington, DC

To obtain and declassify documents that illuminate the secret U.S. history of nuclear, chemical and biological weapons. **\$80,000 (two years)**

**Natural Resources Defense Council**  
New York, NY

To support technical analysis and advocacy on U.S. plans for its nuclear arsenal as well as legal action to hold the government accountable for activities within the nuclear weapons complex. **\$40,000**

*Ploughshares Fund board member Patricia Sullivan is the associate director of this organization. Please see Conflict-of-Interest Policy on page 32.*

**Nautilus Institute for Security and Sustainable Development**  
Berkeley, CA

For research and publication of new information about the status of U.S. nuclear forces, operational doctrines, and strategic policies in the Asia-Pacific region. **\$40,000**

**No Nukes North**  
Fairbanks, AK

For a public education and grassroots campaign to oppose National Missile Defense projects in Alaska. **\$18,414**

**North Carolina Peace Action Education Fund**  
Knightsdale, NC

For the Peace List Enhancement Action Project, an effort to build a stronger base of grassroots activists in North Carolina. **\$20,000**

**Nuclear Disarmament Partnership**  
Washington, DC

To coordinate grassroots organizing and advocacy. **\$40,000**

For a special project to organize a series of meetings with congressional delegations during the Easter recess. **\$3,800**

**Oxford Research Group**  
Oxford, UK

For a series of off-the-record consultations among government and military officials and experts to address the threat of weapons of mass destruction terrorism. **\$30,000**

**Peace Action**  
Washington, DC

For a national membership development campaign to strengthen grassroots lobbying on nuclear weapons issues. **\$35,000**

**Peace Action-Wisconsin**  
Milwaukee, WI

For a meeting to educate the general public and policymakers about the weaponization of space. **\$7,500**

## GRANTS JULY 2001-2002



**Physicians for Social Responsibility  
Washington, DC**

For a campaign to promote nuclear non-proliferation and disarmament, especially opposition to new nuclear weapons, by educating and mobilizing health professionals around the medical consequences of nuclear weapons. **\$125,000**

A discretionary grant to bring Admiral L. Ramdas to the United States for media and speaking engagements. **\$6,000**

For the annual Coolfont retreat of arms control lobbyists and experts. **\$3,349**

**Physicians for Social Responsibility, Los Angeles, CA;  
San Francisco, CA; Seattle, WA**

For efforts by local PSR chapters in three cities to build their constituencies and encourage health professionals to speak out about the medical consequences of nuclear weapons. **\$60,000**

**Project Ploughshares  
Waterloo, Canada**

To send a delegation of high-level church leaders to the capitals of five non-nuclear NATO states to advocate for non-proliferation and disarmament. **\$30,000**

**Public Education Center  
Washington, DC**

For the National Security News Service, an investigative reporting program to increase media coverage of nuclear weapons and the international arms trade. **\$50,000**

**Student Pugwash USA  
Washington, DC\***

To help students consider the ethical implications of science and technology as they make educational and career decisions. **\$30,000**

**TechRocks  
San Francisco, CA**

For support of DontBlowIt.org, an internet campaign to build public awareness and mobilize citizen action to reduce nuclear dangers. **\$30,000**

**The New Press  
New York, NY**

For a series of speaking engagements to promote discussion of Helen Caldicott's book, *The New Nuclear Dangers*. **\$10,000**

**Union of Concerned Scientists  
Washington, DC**

To support technical analysis, lobbying and media outreach on nuclear non-proliferation issues. **\$50,000**

**Vietnam Veterans of America Foundation  
Washington, DC**

To provide continued support for an innovative internet strategy to build public awareness and mobilize citizen action to reduce nuclear dangers. **\$40,000**

**Women's Action for New Directions  
Arlington, MA**

For the Women Legislators' Lobby, which educates and mobilizes women state legislators to influence national policies on nuclear weapons and military spending. **\$45,000**

To sponsor a Mothers' Day luncheon honoring the founders of the Women Legislators' Lobby. **\$2,000**

\*A grant from the Cowles Fund

## PLOUGHSHARES FUND GRANTEE KATHLEEN SULLIVAN



It was an eccentric great aunt, driving her past the Rocky Flats nuclear weapons production plant, who first told her about plutonium. "That conversation transformed my life," says Dr. Kathleen Sullivan. "I could never have imagined that a human-made element would last so long and cause irreversible damage to the very blueprints of life." Kathleen had just moved to the area to begin undergraduate studies in Boulder, Colorado, eight miles from the world's largest concentration of plutonium.

It's fair to say that Kathleen has gone on to transform many lives through her work with Educators for Social Responsibility/Metropolitan Area. More than three thousand high school students in New York City have participated in her workshops on nuclear weapons, and several have gone on to form their own group, Students Against Nuclear Insanity for Tomorrow's Youth (SANITY), to reach out to

other youth. "We don't want to leave students with a 'doom and gloom' picture of their future," says Kathleen, "but instead we want to inspire them to work for change."

Kathleen's ability to engage students from diverse backgrounds caught the attention of the UN, which is studying how best to teach students at all levels and in different regions of the world about nuclear disarmament. As a result of her work with the UN, Kathleen recently received one of the highest honors of her life so far: an invitation to Japan to teach high school students in Hiroshima and Nagasaki.

"Future generations offer the most sublime impetus for the total abolition of nuclear weapons," she says. "That they might some day remember those of us who worked on their behalf gives me hope and motivation. That they might not live unless we act gives me pause."

## STOPPING THE SPREAD AND USE OF OTHER WEAPONS OF WAR

LANDMINES CAUSED 33% OF ALL CASUALTIES IN VIETNAM, 28% OF ALL U.S. DEATHS. IN THE PERSIAN GULF WAR, 34% OF ALL CASUALTIES WERE CAUSED BY LANDMINES.



Warfare is interconnected on a spectrum of violence, with smaller wars and weapons escalating unpredictably to larger ones. Thus, working to prevent war waged with conventional weapons and other small arms is crucial to the overarching effort of preventing nuclear war.

In the name of fighting terrorism following September 11th, the U.S. agreed to relax restrictions on arms transfers to some repressive and politically unstable foreign governments. America's enormous lead among countries that supply the world with tanks and fighter aircraft, as well as small arms and light weapons, suddenly increased. Ploughshares-supported analysts are reminding members of Congress of the past consequences for U.S. security of arming governments and non-state actors in Haiti, Somalia, Iraq, Iran and especially Afghanistan.

But it is civilians in conflict zones who suffer the greatest horror and harm. Although conflicts have many causes, wars last only so long as fighters receive a steady stream of arms and

ammunition. The Ploughshares Fund makes grants to groups large and small, all over the world, that understand that any strategy for preventing and controlling armed conflict in the 21st century must address the production, stockpiling and diffusion of small arms and light weapons. And any effort to guarantee people's safety and security after fighting ends must also include efforts to eliminate the scourge of landmines and ban their use by every country in the world. Ploughshares Fund grantees are monitoring implementation of the hard-fought Landmine Ban Treaty. In just the last year roughly five million anti-personnel mines (APMs) have been destroyed, according to one grantee. Since the treaty took effect in 1997, the export of APMs has virtually ceased and the number of countries producing the weapon has decreased from 55 to 14. For the Ploughshares Fund and the organizations we support, our focus will continue to be on the universal adherence to the treaty and the ultimate elimination of these inhumane weapons.

**PLOUGHSHARES FUND  
ADVISORY BOARD MEMBER  
ADMIRAL L. RAMDAS**



Admiral Laxminarayan Ramdas is not the first military leader to conclude that nuclear weapons must be abolished, but his is the most prominent and eloquent voice to emanate from India. As the former chief of the Indian Navy observes, “we all know that militarily nuclear weapons are useless.”

After a distinguished 45-year naval career, it did not take long for Admiral Ramdas to become a full-time peace activist upon his retirement in 1993. (“I entered the tube a hawk and fell out the other end as a dove.”) He and his wife Lalita travel around the world calling on governments to take steps to reduce and ultimately eliminate the world’s nuclear arsenals. It was on one of his visits to the Bay Area that his daughter Kavita, director of the San Francisco-based Global Fund for Women, introduced him to Naila Bolus, who invited him to join Ploughshares Fund’s Board of Advisors.

The urgency of his message grew following India’s and Pakistan’s nuclear tests in 1998, and increased even more with this year’s military confrontation in South Asia. Calling for regional dialogue he wrote, “The risk of escalation from a conventional war over the disputed territory of Kashmir to a nuclear exchange is greater than it has ever been.”

Amid talk of pre-emptive war and virtual inertia on nuclear disarmament, is there anything that gives Admiral Ramdas hope in the world today? “I see signs that the peace movement has been galvanized by the war-mongering. There’s a large peace constituency all over the world that can put pressure on local leaders and decisionmakers, and hopefully postpone disastrous decisions and buy some time.”

## GRANTS JULY 2001-2002



**Azerbaijan Campaign  
to Ban Landmines  
Baku, Azerbaijan**

For a range of mine action activities including public education, maintaining a database of mine explosions and victims, and advocating for accession to the Landmine Ban Treaty. **\$14,740**

**Center for Investigative  
Reporting  
San Francisco, CA**

For an investigation of small arms trafficking from the former Soviet Union to West Africa, reported on "Frontline World," in the *New York Times* and on National Public Radio. **\$40,000**

*Ploughshares Fund Executive Director Naila Bolus is married to the executive director of this organization. Please see Conflict-of-Interest Policy on page 32.*

**Federation of American  
Scientists  
Washington, DC**

Two grants to support the Arms Sales Monitoring Project, providing research and policy analysis to decisionmakers and non-governmental organizations on U.S. arms transfers. **\$45,000**

**Human Rights Watch  
Washington, DC**

For efforts to implement, monitor and universalize the Landmine Ban Treaty. **\$35,000**

**International Physicians for  
the Prevention of Nuclear War  
Cambridge, MA**

To support a campaign to educate and mobilize medical professionals in South Asia and the former Soviet Union to advocate for measures to prevent small arms violence. **\$40,000**

**Landmine Survivors Network  
Washington, DC**

To advocate for U.S. accession to the Landmine Ban Treaty and to raise public awareness about the needs of landmine victims and mine-affected communities. **\$80,000 (two years)**

**Pakistan Campaign  
to Ban Landmines  
Peshawar, Pakistan**

For efforts to build public awareness in Pakistan about the dangers of landmines, and to press for adherence to the Landmine Ban Treaty. **\$20,000**

**Physicians for Human Rights  
Boston, MA**

For coordination of the U.S. Campaign to Ban Landmines, a coalition of 500 organizations advocating for U.S. participation in the global landmines ban. **\$35,000**

**World Policy Institute  
New York, NY**

For research, media outreach and policy advocacy aimed at influencing U.S. and international arms trade policy and defense policy. **\$35,000**

**PLOUGHSHARES FUND  
GRANTEE AVNER COHEN**



Israeli historian Avner Cohen believes that the time has come for an end to the policy of “amimut,” the Hebrew word for nuclear ambiguity or opacity. Everyone knows Israel has some 200 or so nuclear bombs, but the government will say only that “Israel will not be the first to introduce nuclear weapons into the Middle East.” All factual discussion is prohibited.

So it was at considerable personal risk that Avner set out to write the first detailed account of Israel’s nuclear weapons program. Over nearly a decade, he combed through thousands of open-source government documents and interviewed hundreds of individuals, occasionally with an emergency grant from the Ploughshares Fund to buy a plane ticket to Tel Aviv or Zurich. The result was his definitive 1998 book, *Israel and the Bomb*, which tells how Israel built its first nuclear device on the eve of the 1967 Middle East war, and how Prime Minister Golda Meir negotiated with President Richard Nixon to arrive at the “don’t ask/don’t tell” policy that continues today.

When its publication in the U.S. was hailed as a breakthrough, Ploughshares funded the book’s translation into Hebrew.

Why not leave the official ambiguity intact? “Decisions about nuclear weapons – research, development, deployment, and all aspects of that complex – are among the most fateful decisions that the state can make,” Avner says. “And these decisions have ramifications in many, many areas – from the health of those employed in this effort to questions of regional politics, national security and peacemaking in the Middle East. When all factual discourse regarding nuclear issues is prohibited, citizens cannot have even a semblance of an informed discussion. And informed discussion is the essence of democracy.”

## PREVENTING ARMED CONFLICT AND PROMOTING REGIONAL AND INTERNATIONAL COOPERATION



The twentieth century will go down as the most violent in human history. New approaches are required to mitigate new kinds of conflict if there is to be any hope of reversing the trend in the twenty-first. The Ploughshares Fund identifies individuals who approach potential and actual conflict in untried ways, and who work to strengthen institutions that can help guarantee lasting security when conflicts end.

At the peak of any dispute, when official negotiations are strained or cease altogether, crucial talks often continue at a level one or two steps removed from the top. In North Korea, for example, analysts with very different areas of expertise have kept lines of communication open between Pyongyang, Seoul and their neighbors, even at some of the most volatile moments in that country's dealings with the rest of the world.

Many of the Ploughshares Fund's efforts to promote cooperation are small in scale, for example a fellowship to enable the leader of an Iranian woman's organization to work with colleagues in the U.S. Others address the fundamental need for strong, international institutions to sustain regional and global security. As we witnessed Washington's increased rejection of multilateral regimes and the rule of law throughout the year, Ploughshares Fund grantees redoubled their commitment to strengthening the United Nations and to developing multilateral non-military approaches to reconciliation.



**PLOUGHSHARES FUND  
GRANTEE LISA MULLINS**



It comes as no surprise that in the weeks following September 11th, the number of listeners to Public Radio International's "The World" increased dramatically. "People suddenly started to see how intrinsically interwoven individuals and societies are. They also realized that what happens in another part of the world directly impacts their own lives," says Lisa Mullins, anchor and senior producer for "The World," a daily hour-long international news broadcast. The program's ability to utilize its far-reaching network of reporters played an essential role in helping public radio audiences make sense of the tragedy. "We do it by digging deep. That way we find stories that illuminate people's motivations, explore their commonalities and analyze the great divides. For example, listeners who heard our reports from Afghanistan learned what could possibly entice someone to cross over from normal life to militancy."

Lisa hosts "The World" from the Boston studios of radio station WGBH, where she got her start in radio almost twenty years ago. "That's when I discovered the magic of radio. Radio is a uniquely intimate and interactive medium – it's where peoples' imaginations can begin."

Beyond the recognition she has received from her peers (public radio program directors across the United States recently named her one of the best announcers in the public radio system), what response does she find most gratifying from listeners? "It's when someone writes and says that a story or interview led them to question their assumptions. It's when they write, 'Thank you for letting me see things in a different light.'"

## GRANTS JULY 2001-2002



**Moonis Ahmar**  
Karachi, Pakistan

To support a Pakistan/India conference on terrorism and Kashmir. **\$5,600**

**Aspen Institute**  
Washington, DC

For the 2002 Aspen Conference on U.S.-Russian relations for members of Congress and their Russian counterparts. **\$25,000**

**Ambassador Harry Barnes**  
Peacham, VT

For Track II efforts to promote security and confidence building in South Asia. **\$40,000**

**Better World Fund\***  
Washington, DC

To support the Stimson Center's Future of Peace Operations Project, which publishes analyses and promotes discussion of the U.S. role in international peace operations. **\$40,000**

**Campaign for UN Reform**  
Washington, DC

For lobbying activities to support full U.S. financial support of the UN and to advocate for a permanent UN peacekeeping force. **\$25,000**

**Center for International Policy**  
Washington, DC

For a program to advocate for multi-lateral and non-military approaches to reconciliation and reconstruction in Afghanistan and South Asia, and for an initiative to promote new nuclear policies in the U.S. **\$30,000**

*Ploughshares Fund President Sally Lillenthal and board member Edith Wilkie serve on the Board of Directors of this organization. Please see Conflict-of-Interest Policy on page 32.*

**Center for International Security and Cooperation**  
Stanford, CA

To support a meeting in Hong Kong of Chinese, Pakistani and American military officials, diplomats and academics to discuss Asian regional security and cooperation. **\$10,000**

*Ploughshares Fund board member David Holloway directs the Institute for International Studies at Stanford University, which is affiliated with the Center. Please see Conflict-of-Interest Policy on page 32.*

**Centre for Defence Studies\***  
London, UK

For research, analysis and policy recommendations regarding Pakistan's Northwest Frontier Province with the aim of promoting a stable post-conflict environment. **\$30,000**

**E-Law**  
Eugene, OR

To support a three-month fellowship for Professor Victoria Jamali from Teheran to engage in dialogue with U.S. civil society and help build the capacity of Iranian non-governmental organizations. **\$7,500**

**Five College Program in Peace and World Security Studies\***  
Amherst, MA

For a project to update, produce and disseminate college and university curricula on weapons of mass destruction, terrorism and international security following the attacks of September 11, 2001. **\$40,000 (two years)**

**Fund for Peace**  
Washington, DC

To sponsor a dinner honoring James Compton and his work to promote peace and international security. **\$5,000**

\*A grant from the Cowles Fund

A NUCLEAR WAR BETWEEN INDIA AND PAKISTAN COULD RESULT IN 12 MILLION DEATHS

**Georgia Institute of Technology/  
Center for International Strategy,  
Technology and Policy  
Atlanta, GA**

For a meeting of officials and non-governmental experts from Northeast Asia and the U.S. to discuss the concepts of a Limited Nuclear Weapons Free Zone in the region. **\$15,000**

**Herbert Scoville Jr.  
Peace Fellowship  
Washington, DC**

To support a fellowship program based in Washington, DC to train the next generation of leaders in the international security field. **\$30,000**

**Pervez Hoodbhoy  
Islamabad, Pakistan**

For continued development of a series of popular science programs on Pakistan television. **\$5,000**

**International Crisis Group\*  
Brussels, Belgium**

For expanded advocacy initiatives in the U.S. aimed at preventing and containing deadly conflict. **\$50,000**

**Public Radio International  
Minneapolis, MN**

For "The World's" in-depth coverage of international security issues, including a special series on the aftermath of war. **\$45,000**

*Ploughshares Fund board member Roger Hale is a member of the Board of Directors of this organization. Please see Conflict-of-Interest Policy on page 32.*

**Pugwash Conference on Science  
and World Affairs  
Cambridge, MA**

For the renowned conference, hosted this year by the United States, that brings together esteemed scientists to discuss challenges to international security. **\$15,000**

**Refugees International  
Washington, DC**

For a program to build public and congressional support for UN peacekeeping reform, especially for the establishment of a UN rapid reaction force. **\$25,000**

**Leon Sigal  
New York, NY**

To devise cooperative solutions for defusing the armed confrontation on the Korean peninsula. **\$30,000**

**United Nations Association of  
the United States of America  
New York, NY**

For a project to advocate for a stronger UN role in the international fight against terrorism. **\$15,000**

**Women's International League  
for Peace and Freedom/  
United States Section  
New York, NY**

For travel expenses for a non-U.S. participant to attend the second meeting of the Governmental Expert Panel on Disarmament and Non-Proliferation Education. **\$4,000**

**SPECIAL PROJECT**

**Peace and Security Funders  
Group**

The Peace and Security Funders Group was formed in 1999 to increase communication and cooperation between and among the foundations making grants in the peace and security field, and to encourage new funders to participate. Supported by contributions from participating foundations, the Ploughshares Fund provides fiscal and administrative oversight of the project. **\$212,592**

\*A grant from the Cowles Fund

## MARY LECRON FOSTER AND THE COWLES FUND

THE PLOUGHSHARES FUND LOST ONE OF ITS SHINING LIGHTS THIS YEAR WHEN MARY LECRON FOSTER – MICKIE TO HER FRIENDS – PASSED AWAY AT THE AGE OF 87.



When Mickie joined the Board of Directors of the Ploughshares Fund in 1986, she came with a definite agenda in mind. Mickie was a social scientist; in fact, she and her husband George Foster made up one of the great husband-and-wife teams in anthropology. She observed that social issues were being overlooked in favor of purely technical approaches to ending the threat of nuclear war. She knew that more attention needed to be devoted to understanding the underlying causes of conflict and ways to prevent it. She was determined to bring fellow scholars into the search for ways to end the threat of conflict, especially conflict that could lead to nuclear war.

To this end, Mickie established the Cowles Fund, named for her mother's family, a long line of newspaper publishers from the Midwest with strong international interests. To date, the Cowles Fund has enabled the Ploughshares Fund to award nearly two million dollars to new initiatives for preventing conflict, and to build a special endowment to sustain support for these kinds of endeavors long into the future. All of the programs supported by the Cowles Fund this year are described elsewhere in this report, and include the International

Crisis Group's research and advocacy to resolve ongoing threats of war; and Student Pugwash USA, which encourages students at the university level to pursue socially responsible careers. One of her favorites among all of the Cowles Fund grantees was the Mainstream Media Project, an organization established by the Ploughshares Fund to bring the discussion of peace and security issues to commercial and public talk radio.

To Lewis Butler, chairman of Ploughshares' Board of Directors, Mickie Foster and the Cowles Fund are among the attributes that make the Ploughshares Fund unique. "She believed passionately that a deeper understanding of the mechanisms by which war is institutionalized and peace is induced may hold the key to making warfare obsolete." Adds Executive Director Naila Bolus, "Mickie forced all of us to think in new ways, to take risks and to seek to eliminate the gravest threats facing humankind."

## THE NUCLEAR-FREE LEGACY SOCIETY

THERE ARE TWO MILLION LICENSED RADIOACTIVE SOURCES IN THE U.S. – AND AN AVERAGE OF 300 REPORTS OF LOST, STOLEN, OR ABANDONED RADIOACTIVE MATERIAL EACH YEAR.

For most of us, the goal of a nuclear weapons-free future will not be realized during our lifetimes, but we are no less determined to build a safer, more secure world for our children and future generations. In order to do so, Ploughshares Fund is building a permanent endowment capable of sustaining our efforts for as long as is necessary to achieve those goals. Thanks to a number of generous gifts, bequests and investments in Ploughshares' Pooled Income Fund, our endowment is currently valued at nearly \$20 million. We are striving to increase that amount in order to ensure Ploughshares' continued ability to support the creativity and leadership needed to address the complex problems of global security in the 21st century.

The Ploughshares Fund's Nuclear-Free Legacy Society was established in 1998 to honor individuals who have made a commitment to

building a world free of nuclear weapons by including the Ploughshares Fund in their estate plans.

There are many ways for you to integrate your personal financial plans with gifts to the Ploughshares Fund, such as contributing to our Pooled Income Fund or setting up an individual charitable trust. If you would like more information about these opportunities, Ploughshares' planned giving specialist is available to help you weigh the benefits of various options, at no cost to you and in complete confidence. Please contact our office for more information.

## PLOUGHSHARES FUND DONOR MARGARET SPANEL



A renowned physicist tells the following story about his friend Margaret Spanel, who is quite a few years older than he: “Peggy joined a few of my colleagues and me for dinner one night. After she left, I remarked to the group, ‘I hope I’m as sharp as she is when I’m her age.’ An associate looked me in the eye and said, ‘Well, then, you had better get started.’”

Peggy Spanel’s unique engagement with nuclear weapons issues stems from her early involvement in the world where the weapons were born. In the years immediately following World War II, she and her husband Abram often hosted in their Princeton home people like Robert Oppenheimer and Leo Szilard, scientists who were instrumental in the development of the atomic bomb, and later, in efforts to prevent its use. “Our home was a place where people cared about problems and tried to do something about them.”

In the mid-1980s, after meeting Sally Lillienthal, Peggy made the first of what would be many gifts to the Ploughshares Fund – consistent annual contributions as well as special funding to support a new generation of scientists from around the world who, she believes, represent the future of nuclear non-proliferation and disarmament. And in 1995, in recognition of the fact that the problems posed by nuclear weapons were not going to be solved in her lifetime and of the need to sustain Ploughshares Fund’s efforts long into the future, Peggy made a significant gift to help establish Ploughshares Fund’s endowment.

“I’ve always been struck by the intelligence, direction and sense of innovation you find with Ploughshares grants,” says Peggy. Everyone at the Ploughshares Fund would say exactly the same of her.

## PLOUGHSHARES COUNCIL



The Ploughshares Council is a new initiative that provides individuals who have made a significant financial commitment to building a safer, more peaceful world through their support of the Ploughshares Fund with enhanced opportunities for dialogue with our staff, grantees and other experts. Members of the Ploughshares Council have access to up-to-the minute information about the latest developments in the field, and are invited to participate in high-level discussions with policy-makers, activists and thinkers – discussions that help guide the work of the Ploughshares Fund.

Contributors who give \$1,000 or more annually are automatically included as members of the Ploughshares Council. Individuals who give \$5,000 or more are also invited to join

Ploughshares Fund's annual briefing on Capitol Hill with members of Congress, administration officials and others who are shaping defense and security policies. With a minimum annual gift of \$10,000, members have additional opportunities to confer with grantees and experts.

Please contact our office for further information about joining the Ploughshares Council.

**PLOUGHSHARES FUND  
DONORS KATE RIDGWAY  
AND RICK HOLMSTROM**



When an old college friend of real estate investor Rick Holmstrom invited him to a lunch hosted by the Ploughshares Fund, he found the speaker's message captivating. "A retired Air Force general who once had his finger on the launch button of a nuclear weapon was now devoted to educating people on the issues and dangers of nuclear war."

With so many worthy causes in the world, Rick acknowledges, it can be a challenge to decide how to spend your time and resources. "Kate and I take a triage approach," he comments. "What are the significant problems? And where can we be most effective contributing to the solutions? We feel that Ploughshares is a small organization making a big impact"—lending truth, he believes, to the adage that a small group of people can be agents of material change. What he finds especially compelling is

the non-partisan, rational approach Ploughshares takes to grantmaking.

"What I have trouble understanding is why there is so little debate?" Rick asks. During the Cold War, when the Soviet Union was considered the evil empire, the potential for a catastrophic nuclear war was better understood. "At least there was a fair amount of conversation about these issues," he reflects. "Now the big enemy is gone. That's the good news. But the weapons are still here, while the public debate and understanding is all but gone. I think Ploughshares is sounding an alarm that everyone needs to hear."



## INFORMATION FOR APPLICANTS

The Ploughshares Fund supports organizations and individuals working to stop the spread of weapons of war and build global and regional security. While we prefer to support specific projects, we will consider requests for general support. There are no geographic limitations on grants and we can make grants for direct lobbying programs. We do not fund the production of films, videotapes or books, or the research and writing of academic dissertations.

If you are uncertain whether your project fits into Ploughshares Fund's areas of interest, you are encouraged to write a brief letter describing your project. We will let you know if a full proposal is appropriate.

To ensure the smooth processing of your application, please include the following information:

### Summary Page

- Organization, address and telephone number.
- Name, address and email of contact person.
- Contact person, address and telephone number of fiscal sponsor, if applicable.
- Project title.
- Amount requested.
- Total project and organization budgets.
- Description of organization and project.

### Full Proposal

Please provide the following information:

- Description of organization.
- Full description of project: (Proposals in which this section exceeds ten pages will not be considered.)
  - What are the objectives of the project?
  - What are the methods by which the project will be accomplished?
  - What audience(s) do you intend to reach?

- What is the time line of the project?
- How will you evaluate its success?
- List of Board of Directors.
- List of key staff and their qualifications.
- Information and/or documentation of current or past accomplishments. (A few examples will suffice.)
- If you are applying to renew a current grant from the Ploughshares Fund, you must include a report (no longer than three pages) on the current status of the grant. This report is not a substitute for the final report required in the original grant agreement.
- Names, telephone numbers and email addresses, if available, of three references.

### Financial Information

- Complete budgets for the project and the organization.
- IRS letter of determination indicating the tax status of the organization.
- Fiscal sponsor's IRS letter of determination and a letter from the fiscal sponsor agreeing to act in that role (if applicable).
- Other sources of funding and potential funding. How is your organization funded? To what other organizations have you applied or will you apply for support?

### When to Apply

The Ploughshares Fund Board of Directors meets four times per year. Please contact our office by phone, or visit our website, for specific deadline dates. Ploughshares may also consider requests for emergency funding on a discretionary basis. We accept and encourage proposals by email to [proposals@ploughshares.org](mailto:proposals@ploughshares.org). Please do not send multiple copies.

### Conflict-of-Interest Policy

The board and staff members of the Ploughshares Fund are encouraged to play active roles in their communities as board members or otherwise being involved with a wide spectrum of nonprofit organizations. This means that, from time to time, potential conflicts of interest or the appearance of such conflicts will inevitably arise. It is Ploughshares Fund's policy to deal with such conflicts in as open and appropriate a way as possible.

Conflicting involvements include but are not limited to the following: Ploughshares Fund board or staff members serving as board members of applicant organizations, immediate family members of Ploughshares Fund board or staff members serving as board members of applicant organizations, Ploughshares Fund board members or staff members or their immediate family members being employed by or doing business with applicant organizations.

In case of such conflicts or the appearance thereof, Ploughshares Fund board members and staff are expected to disclose the conflict

prior to making any grant-related decisions. Once such a disclosure has been made, the remaining board members will determine whether or not there is a potential conflict of interest. Should it be so considered, the board member involved shall abstain from voting. In addition, the board or staff member involved shall not participate in the discussion of the applicant organization other than to answer specific questions that may be raised by other board members.

In cases where the Ploughshares Fund's Board of Directors decides to award a grant to an organization and one or more of Ploughshares Fund's board members has abstained from voting as the result of a conflict or the appearance thereof or a staff member has a conflict or the appearance thereof, such grants and board or staff members shall be identified in Ploughshares Fund's annual report.

## FINANCIAL REPORT<sup>1</sup> – July 1, 2001 - June 30, 2002

### SUPPORT AND REVENUE

#### Unrestricted and Temporarily Restricted<sup>2</sup>

Contributions	13,920,357
Interest and other income	35,834
Investment return designated for current operations	530,785

**Total** **14,486,976**

#### Permanently Restricted

Contributions	5,125
Change in value of split-interest agreements	32,509

**Total** **37,634**

#### TOTAL SUPPORT AND REVENUE

**14,524,610**

### EXPENSES

#### Program Services

Grants from Ploughshares Fund	2,969,689
Grants from Cowles Fund	225,000
Special Projects	1,258,925
Program support	228,567

#### Supporting Services<sup>3</sup>

General administration	226,077
Development	265,825

#### TOTAL EXPENSES

**5,174,083**

#### CHANGE IN NET ASSETS

**9,350,527**

#### INVESTMENT RETURN LESS AMOUNTS DESIGNATED FOR CURRENT OPERATIONS

**(3,053,077)**

#### NET ASSETS, BEGINNING OF YEAR

**13,828,381**

#### NET ASSETS, END OF YEAR

**20,125,831**

## ASSETS AND LIABILITIES – Fiscal Year Ended June 30, 2002

### ASSETS<sup>4</sup>

Cash and cash equivalents	2,288,920
Promises to give	217,897
Interest receivable	75,666
Investments	19,278,722
Note from related party	161,889
Fixed assets (less accumulated depreciation and amortization)	38,500

#### TOTAL ASSETS

**22,061,594**

### LIABILITIES AND NET ASSETS

#### LIABILITIES

Accounts payable and accrued expenses	62,572
Grants payable	1,768,518
Deferred revenue	104,673

#### TOTAL LIABILITIES

**1,935,763**

#### NET ASSETS

Unrestricted	(924,656)
Temporarily restricted	18,800,109
Permanently restricted	2,250,378

#### TOTAL NET ASSETS

**20,125,831**

#### TOTAL NET LIABILITIES AND NET ASSETS

**22,061,594**

1 A completed audited financial report is available upon request.

2 Contributions to programs and administration.

3 All administrative and fundraising expenses are covered by contributions from Ploughshares Fund's Board of Directors, an annual endowment draw and allocations from a few foundations.

4 These assets include investments in Ploughshares' Pooled Income Fund.

# THANK YOU

## Gifts over \$25,000

Edith W. Allen  
 Carnegie Corporation of  
 New York \*  
 Compton Foundation, Inc.  
 The Edward T. Cone  
 Foundation  
 Estate of Jane deRochemont  
 Michael Douglas  
 Estate of Helen W. Edey  
 The Ford Foundation \*  
 Richard and Rhoda  
 Goldman Fund  
 Julie and Parker Hall  
 The William and Flora  
 Hewlett Foundation\*  
 HKH Foundation  
 W. Alton Jones Foundation  
 Steven B. and Michele  
 Kirsch Foundation  
 Sally Lilienthal  
 John D. and Catherine T.  
 MacArthur Foundation\*  
 McCay Living Trust  
 The Prospect Hill Foundation  
 Turner Foundation, Inc.  
 Lynde B. Uihlein  
 United Nations Foundation\*  
 Lucinda Watson  
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