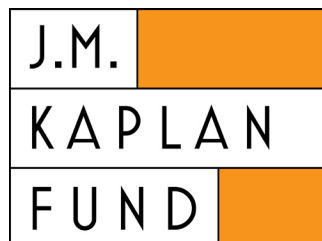


CROSS-BORDER

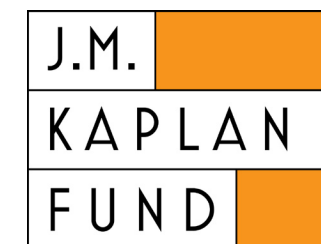
The J. M. Kaplan Fund

2000 - 2005



CROSS-BORDER
The J. M. Kaplan Fund
2000 - 2005

The J. M. Kaplan Fund
261 Madison Avenue 19th Floor
New York, New York 10016
www.jmkfund.org



From the Chairman –

The J. M. Kaplan Fund has always been a New York organization. Our office is here, most of our trustees live here, and for more than fifty-five years most of our grants have gone to local programs. We continue to offer significant support for New York parks and waterfronts and historic preservation. Over the past five years, we have also launched new programs on people and places that cross national frontiers, most particularly the frontiers of the United States and its neighbors. In doing so, we have tried to be good New Yorkers: cosmopolitan, pragmatic, and alive to new opportunities offered by major changes in the way people live.

To a degree, this cross-border interest stems from a desire to stretch our grant dollars. But there are some values involved too. The Kaplan trustees believe, as my grandfather did, that Americans serve their country by engaging the world. That engagement, he said, should be respectful and friendly, for both idealistic and practical reasons. In 1954, he wrote: *In all of this we must employ not only perception and intelligence, but tolerance and good will. If I were to draw the one most significant lesson from my own experience, it is that good will in human relations is a stronger force than similarity of background, education and experience, and far stronger than all of the rules, regulations, procedures and formalities that people may invent.*

We were also prompted by one of the big stories of our time: the unprecedented movement of people around the world. We decided that human migrations – as an issue and as a reality – should be a common theme of our grantmaking. In New York, that means support for new immigrant communities in general and for their access to public facilities in particular. Worldwide, it means creation of the best source of authoritative migration data anywhere. And in North America, it means an effort to build a left/right coalition for sensible US immigration reform that reaffirms this country's historic support for immigration and the restorative power of immigrants for the American economy and American culture.

We welcome your advice, thoughts and comments.

Peter Davidson
Chairman, The J. M. Kaplan Fund

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THE J. M. KAPLAN FUND
1944 - 1999

The history of the J.M. Kaplan Fund divides itself into four periods: the creation of the Fund and its management as a small personal-style charity by Jacob Kaplan; the trebling of corporate assets by funds from the sale of the Welch Grape Company and the subsequent expansion of Kaplan philanthropy; the long and notable presidency of Joan Kaplan Davidson; and the gradual assumption of responsibilities by the grandchildren of the founder.

1944 – 1956. Jacob Merrill Kaplan established The J. M. Kaplan Fund in 1944, at the age of 52, and was its chief executive until 1977.

Jack Kaplan was born in Massachusetts in 1892, soon after his parents arrived from Galicia, in Central Europe. They were poor. The family settled in Chelsea, a rough waterfront city just north of Boston, home to the biggest Jewish population in New England and the biggest regional produce market. Jack was a fruit-and-vegetable peddler boy who rose to success in wholesale and retail. He was also an insatiable autodidact, eager for news of life beyond Massachusetts Bay. His first fortune was made in the Caribbean. Jack and his brother moved blackstrap molasses from West Indies sugar mills – where it was considered a bothersome waste – to untapped markets in the US. Jack spent most of the 1920s living in Cuba and doing business in Spanish. He met his wife, Alice, in Havana. He was lucky enough to have been forced to sell the business shortly before the Crash of 1929 and prudent enough to stay liquid for the next few years.

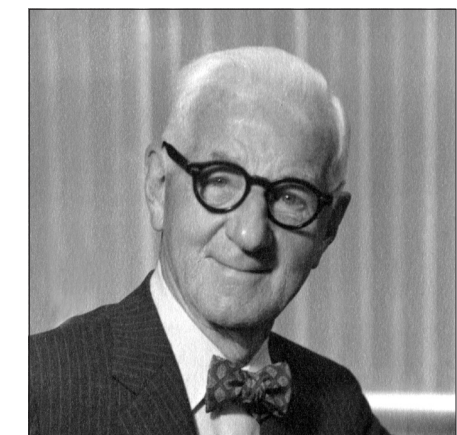
Kaplan set out to invest his Caribbean profits in another undervalued agricultural enterprise. In 1933 he acquired a near-bankrupt cooperative of grape growers in upstate New York. Kaplan kept the co-op structure, took no salary, and put all surplus into new capacity and quality control. The co-op was able to provide retailers with top-grade juice at prices below those of the comparatively huge Welch Grape Company; profits grew each year. In 1942, Kaplan proposed to sell his interests back to the co-op over a three-year period, with the price determined by profits. The deal was completed in April 1945.

Later that summer, Kaplan, to general surprise, purchased the Welch Grape Company. He won over the young Welch scion by promising to keep the brand name, improve quality, and revive the family reputation. He then persuaded his old co-op growers to merge

their interests into what would become a vast new Welch co-op of a thousand growers in eleven states. Kaplan invested in high-visibility national advertising. Through full-page magazine ads and large buys in the new medium of television – The Howdy Doody Show especially – he sold America on grape juice in general and Welch's in particular. Sales grew from \$9 million in 1945 to \$40 million in 1955. As he had done in the 1940s, Jack Kaplan offered to sell his interests to the co-op. The sale was completed in 1956. Much of the proceeds – about \$10 million – were invested in the Kaplan Fund, increasing its assets threefold.

From 1945 until the infusion of the Welch money in 1956, the Kaplan Fund donated most of its income to the care of the destitute, as undertaken by New York Jewish agencies and neighborhood settlement houses. But the Fund always had enough left over to enable Kaplan to pledge support on the spot to someone with a good story and a good idea. He had no patience with bureaucracy or legal delicacies, and enjoyed making quick decisions. Kaplan philanthropy never lost that taste for improvisation and quick response.

1957 - 1970. Jack Kaplan continued to run the Kaplan Fund until 1977. No grant was made without his approval. Kaplan still supported traditional charities, and still made one-man decisions on the basis of his own contacts. Probably the most important of these was Kaplan's commitment to the New School, through grants, personal contributions, and twenty-year service as Chairman of the Board. But Kaplan also wanted the Fund to cover more than he alone could review, and he relied increasingly on executive deputies, the first of whom was Ray Rubinow, a New Dealer in Washington and a leader of the League for Industrial Democracy in Chicago.



J. M. Kaplan, c. 1960.



Richard Kaplan (in glasses) at Penn Station, 1963.

Many of the the Kaplan/Rubinow priorities were those of liberal New York in the 1950s. Depose Tammany Hall; offer alternative opportunities to juvenile delinquents; support and diffuse the arts; fight union corruption; strengthen Americans for Democratic Action; elect Adlai Stevenson.

But Kaplan and Rubinow usually opposed the urban renewal enthusiasms of many big-city liberals. Their signal success in this regard was the rescue of Carnegie Hall. Working with Isaac Stern and the Richmond Foundation,

the Fund underwrote a popular campaign that culminated in the purchase of the Hall by the City of New York in May 1960. Other Kaplan beneficiaries fought successfully against the construction of the Lower Manhattan Expressway and the razing of the Breezy Point cottages in Rockaway. They failed to stop the World Trade Center or save Pennsylvania Station. But even the failures were useful. The Penn Station campaign, in particular, galvanized thousands of new preservationists and gave impetus to the development of a national historic preservation movement.

Later in the Sixties, the Kaplan Fund came in for some buffeting because of its alleged use by the CIA as a funding conduit for a clandestine program to support left/liberal anti-communist groups. Fund records reveal that from 1961 through 1963, the Fund received and re-granted donations for an organization, chaired by Norman Thomas, called the Institute for International Labor Research. Its function was to support social democrats in Latin America, and its activities were conferences and research. No grants to IILR, or anything like it, were made after 1963.

1970 - 1993. Beginning in 1967, Joan K. Davidson, Jack and Alice's eldest child, took on key tasks at the Fund while also volunteering with a variety of New York non-profits. Davidson's Kaplan portfolio expanded steadily, and she was named President in 1977. She served until 1993, upon resigning to accept appointment as Commissioner of New York State Parks, Recreation and Historic Preservation.

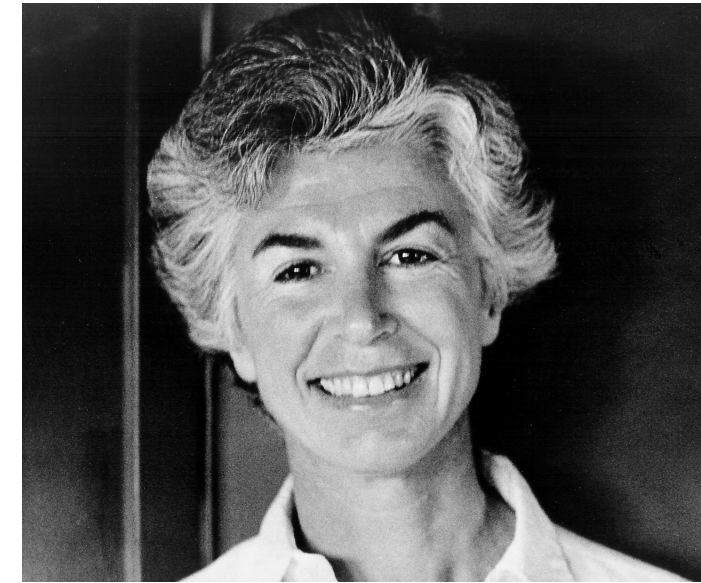
Joan Davidson's legacy is formidable. Among major undertakings that came into being or took long strides forward with Kaplan Fund assistance during Davidson's presidency were Westbeth Artists Housing, New York Greenmarket, and South Street Seaport Museum; Natural Resources Defense Council and Human Rights Watch; The Preservation League, Land Trust Alliance, and American Farmland Trust; Landmarks Conservancy and Gracie Mansion Conservancy; New York Shakespeare Festival, Cooper-Hewitt National Design Museum, and Urban Center Books of the Municipal Art Society. The Fund also sponsored efforts to protect New York City's water supply and to bring public toilets to the city's streets.

Davidson's first formal Kaplan Fund assignment came in 1968. She was dispatched by her father to take over Westbeth, an ambitious, complicated attempt by Jack Kaplan and Roger Stevens, Chairman of the National Endowment of the Arts, to convert the old Bell Labs complex on the west end of Greenwich Village to living/studio space for 383 artists and their families. Davidson mastered all details and saw to it that the multi-constituency plans actually got implemented. She managed to satisfy creditors, tenants, and critics well enough that the Kaplan Fund could turn over administrative and financial responsibilities to a non-profit tenants' corporation by 1973.

Even as Davidson spent more time at Kaplan, she stayed engaged with other commitments. She was an influential board member of various organizations, including the Municipal Art Society, the New York Shakespeare Festival, the Cooper-Hewitt Museum, the NAACP Legal Defense Fund, Human Rights Watch, and the Natural Resources Defense Council.



Carnegie Hall, 1959.



Joan Davidson, 1974.

Davidson liked to examine grantee operations up close. She believed that foundations could offer more than funding. The key, she said, was to *help*, and learning how to help was best done on a case-specific basis. Davidson's Kaplan Fund provided money, technical assistance, advocacy, public relations, off-the-record advice – whatever seemed most needed. Whenever practicable, Davidson favored grants for general operating support, both to reduce Fund overhead and to allow grantees maximum flexibility.

With a few exceptions, Fund support during the Davidson Era was limited to projects in New York State, mostly New York City. To invest in this city during the 1970s and 1980s – the era of “Ladies and Gentleman, the Bronx is Burning” – constituted a political statement. Thematically, the Fund focused on conservation. One dimension of conservation was the protection of the natural environment, but for Davidson there was also architectural conservation, cultural conservation, and the conservation of the physical and literary products of the past. Davidson liked to combine them in new configurations. She was an instigator of NRDC's Urban Environment Program. She promoted, and then enabled, a neighborhood approach to historic districts and land use decisions. And she was a constant friend of regional farms, farmers, and farm-city connections.

1993 - 2000. Jack Kaplan died in 1987. It would take a few years for his passing to affect Kaplan Fund grantmaking, but – as in almost all family philanthropies in similar circumstances – the death of the founder set in motion a variety of changes. Those changes

were underway when, in 1993, Joan Davidson accepted Mario Cuomo's offer of the parks commissionership and left the presidency and board of the Fund for the duration of her government service.

After Jack Kaplan's death, family members wondered if the time had come for a more collective form of leadership. Joan Davidson had three siblings: Betty Fonseca, Richard Kaplan, and Mary Kaplan. Davidson and Fonseca each had four children. All twelve were board members. Many were interested in new ideas about family philanthropy. The unavoidable upshot was that the Kaplan Fund of the 1990s lost a measure of coherence and was obliged to devote considerable time to thinking about questions of authority and governance.

Many of the grants made during this transition period were imaginative and influential. The emphasis on human rights was expanded. Historic preservation was taken out of a New York-only context and applied effectively in places as diverse as Turkey and Maryland. There were notable grants in support of research on the role of volunteerism and the private sector in addressing social problems. Individual artists and hard-pressed arts companies were supported. And through it all, the board supported a New York City portfolio of grassroots projects for parks and libraries.

Finally, by late 1999, the Fund trustees – all the children and grandchildren of Jack and Alice Kaplan – reached consensus on a generational division of labor. The four Kaplan children would be designated Senior Trustees, each assured of a sizable annual allocation for discretionary grants. The Kaplan grandchildren, now seven in number since the passing of Bruno Fonseca in 1994, would become Operating Trustees. Acting collectively, the Operating Trustees would constitute the Operating Board, responsible for management, staff, investments, legal obligations, and the development of public programs. The Operating Board would award, by group decision, about 60% of the annual grants budget.

Headquarters was now under new management. By the terms of the agreement, the seven grandchildren had tasked themselves with shaping a new aggregate Kaplan Fund, a foundation that would make awards according to a common program openly described. How would seven siblings and cousins, all in their forties, living in different places, all hard-pressed for time, begin to figure out how to give away five million dollars a year for causes yet to be determined?

AT THE CORNER OF IMPORTANCE & OPPORTUNITY

The Ops, 2000 – 2005

In February 2000, the eleven direct descendants of J. M. Kaplan, who together constituted the Board of Trustees of the Kaplan Fund, officially approved the arrangement whereby the four children (the Senior Trustees) would each oversee separate discretionary grant allocations while the seven grandchildren (the Operating Trustees) would manage the remainder of the grants budget collectively.

The new Chairman of the Board was its second-youngest member: Peter W. Davidson, a Harvard MBA entrepreneur who had enjoyed prominent success in Spanish-language print and broadcast media. As of 2000, he was one of three Operating Trustees residing in New York; two others lived in London, one in Chicago, and one in Annapolis. All seven Operating Trustees were born between 1954 and 1961. They invariably referred to themselves as “The Ops.”

From February through September 2000, the Ops oversaw the Fund’s New York City programs, critiqued old grantmaking, and sought an executive director to manage operations and work with them on new ventures. Conn Nugent began the job in early October. At that point, the Ops gave themselves a deadline. By June 2001, they agreed, they would announce a slate of new grant programs.

FIRST CUT (2001)

The Ops relied on face-to-face discussions followed by a steady supply of documents, with e-mail as a quick feedback loop. They met each quarter to vote new programs up or down and charge staff with research assignments about potential subjects and locales. Staff and consultants would survey the literature, interview experts and activists, and present a list of Fund options. Their reports provided points of departure for more e-mail exchanges and the subsequent draft of a formal recommendation for the next meeting.

The Ops also sought outside opinion unmediated by staff. They got it through the simple expedient of asking people how *they* would give away the money. Each Kaplan trustee and employee was requested to provide the names of persons, from any walk of life, whom he or she regarded as potential sources of sound advice on how to spend five million dollars of charitable funds per year. Fifty individuals were invited to submit a paper (of any length), for which they would be paid a \$1,000 consultant fee. Thirty-nine did so.

The Ops started with broad headings (health, arts, education) and then, given sufficient interest, moved to smaller components (vaccines, dance, public schools). Possibilities were put through a standard sequence of questions: Does this subject matter on a broad scale? / Can it be affected by relatively small amounts of money? / Do we agree on what constitutes a good outcome? / Are there capable people to do the work? / Can success be measured? / Does it connect to other elements of the Fund, past and present?

Isabel Fonseca offered a more economical formulation: “We look for the intersection of importance and opportunity.”

No subject was kept in play if a majority of the Ops were ready to rule it out. Quickly gone were: medicine and health care; scientific research; religion; formal education; museums and arts organizations. The Ops had taken a pass on 90% of American philanthropy.

It took ten months of paring and refining so that what remained could be enunciated as four programs. Each of the programs had its own geographic focus. Each was assigned an 18-month budget. By mid-June a public statement – “Grantmaking at the J. M. Kaplan Fund, June 2001” – was posted on the Fund’s new website.

NYC (2001)

The Fund will renew an historic commitment to its hometown of New York. For 2001 – 2002, the Fund will encourage local civic involvement in the improvement of two crucial urban amenities: parks and libraries...

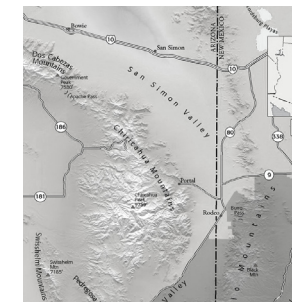
(from “Grantmaking at the J. M. Kaplan Fund, June 2001”)



One thing was clear at the outset. There would be a New York City program or programs. The Fund had always been identified with local causes, and the Ops wanted to honor that specific legacy and the more general idea that a foundation should be active in its backyard. (In time, the Ops would decide that New York City should receive approximately one-third of the total grants budget.) In October 2000, the Fund was running a popular program to support neighborhood parks and libraries. The Ops deferred close examination of those efforts until new, non-New York programs were in place.

CONSERVATION / ENVIRONMENT (2001)

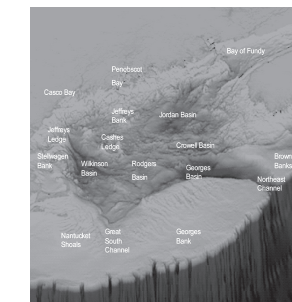
The Fund will support efforts to conserve ecosystems notable for their biodiversity and for the imminence of threats to that biodiversity. The Fund is particularly concerned with important systems, terrestrial or marine, that straddle national frontiers. Most grants will go for activities in the borderlands and boundary waters of the United States and its neighbors...



The Ops were conservationists, comfortably in the Kaplan Fund tradition, but with a contemporary take. They viewed matters through the frame of *ecosystems* and *ecoregions*, as defined by three generations of field ecologists and captured by a succession of textbooks that came into wide use in the 1970s. The Ops valued sites for scenery and recreation, as exemplified in the Fund’s work in New York City. But now they were also looking for those habitat complexes that, because of the abundance or diversity of their native species, were judged by professionals as especially valuable and in need of prompt protection.

The Ops consulted various maps which purported to show the world’s high-priority ecoregions. They then made a simple overlay, noting the regions that were considered high-priority by all. These regions, in turn, were examined for the seriousness of threats and the levels at which conservation was already being funded. In terms of attracting grant dollars, the Ops learned, forests and mountains do far better than grasslands, coastal regions do better than interiors, tropics do better than tundras, wet terrestrial does better than dry terrestrial, and terrestrial does better than marine. One study compared ecoregions prized in the scientific literature with ecoregions favored by philanthropy. With the significant exception of tropical forests, the most valued habitats – valued by scientists, that is – drew scant support. Those were the places most attractive to the Ops.

The hard question was whether to go foreign or stay domestic. The map overlays suggested a compromise. Some of the most valuable ecoregions were in North America, and many extended across national frontiers. These places seemed advantageous for various reasons: high ecological worth; relatively easy access; increased



purchasing power when working in Mexico or the Caribbean; unusual opportunities to shape new projects; and, not least, the chance to imply that ‘home’ for this Kaplan generation could lie on both sides of a political boundary.

The Ops chose four regions: the Chihuahuan Desert grasslands of Arizona, New Mexico, Chihuahua, and Sonora; the Gulf of Maine, between New England and the Maritime Provinces of Canada; the Northern Great Plains of Montana, North Dakota, and the Prairie Provinces; and the Northwest Caribbean off Florida, Cuba and the Yucatan. By focusing on oceans and grasslands, the Ops had adopted the orphans of international conservation.

HISTORIC PRESERVATION (2001)

The Fund will look for opportunities to help protect valuable buildings, landscapes, and artifacts. Most grants will support projects in places served by the Fund’s conservation program...

The Ops wanted to renew the Fund tradition of historic preservation, but primarily outside New York. It was another question of impact. Preservation dollars grew in proportion to their distance from the City and, ultimately, from the US. And a foundation interested in unpublicized, off-track sites could lend to those sites a prestige that may have escaped local stewards and donors. The hope, at least, was that Kaplan support might catalyze support from other sources.

Once again the Ops pored over maps: World Heritage Sites, Most Endangered Sites, and others of the like. Sites from every continent were considered. (Some of them would reappear two years later in a new World Historic Preservation Program). But the Ops noted that all the maps and lists included sites from the Fund’s new North America regions: US Southwest / Mexican Northwest; Gulf of Maine; Northern Great Plains; Northwest Caribbean. The particular sites mentioned – cliff dwellings to Art Deco hotels – seemed unusual and interesting, and the Ops liked the idea of a dual commitment to the conservation of both the natural and historical legacies of the places in which they worked.



MIGRATIONS (2001)

The Fund will support efforts to provide up-to-date and authoritative information and analysis on human migrations around the world. To do so, it will help establish a new global public database and a variety of print and electronic publications...

The hardest task for the Ops was deciding what to do with their stated concern for “the poor and vulnerable.” They educated themselves about microcredit, small farms, childcare, prisons, malaria, and the giant asteroid that one day will head unerringly toward Earth.

They decided to grapple with one of the distinguishing phenomena of the postwar world: the movement of people across national frontiers, without precedent both in the numbers of people moving and the frequency with which they move. The Ops were surprised to learn that there existed no single source, print or virtual, where someone could find out how many people moved from Country X to Country Y, much less how they were faring. There was no one place to access all the data needed, and no one place to find critiques of the data’s validity. The Ops undertook to induce the creation of such a place, with a global database and associated website. They saw the commitment as the first step in what they hoped would be a varied program on migrations, immigrants, and immigration policy.

RECONFIGURATION (2005)

None of the programs announced in June 2001 were eliminated. Pressure for change was toward expansion. In 2003, the Ops decided to support projects in each of their three subjects (Environment, Historic Preservation, Migrations) in each of their three areas (New York, North America, World). The result was what the Ops called the nine-box Grid; nine programs tied together and cross-referenced by theme, strategy and proximity. The Ops also decided not to equalize allocations among the boxes, but to maintain a structure that could accommodate growth and shrinkage as circumstances arose. The Ops usually reviewed the nine programs along the horizontal axis of geography, but could quickly switch to the vertical axis of subject matter. Basically, the Grid served as a graphic reinforcement of ideas of variety, flexibility and connection.

NYC ENVIRONMENT	NORTH AMERICA ENVIRONMENT	WORLD ENVIRONMENT
NYC HISTORIC PRESERVATION	NORTH AMERICA HISTORIC PRESERVATION	WORLD HISTORIC PRESERVATION
NYC MIGRATIONS	NORTH AMERICA MIGRATIONS	WORLD MIGRATIONS

NYC (2005)

Under Laura Hansen, director of local programs since 2003, the Fund has put most of its hometown dollars and energy into the category of **New York Environment**. And environment means parks above all. Kaplan has emphasized a five-borough approach to open space, looking to help local support groups for heavily-used parks in low- and middle-income neighborhoods all over the city. Crotona; Prospect; Inwood Hill; Kissena; High Bridge; Sound View; Corona; Canarsie Beach; Van Cortlandt / soccer; baseball; cricket; cycling; rowing; volleyball; hurling; picnics.

The Fund also focuses on the waterfront. There has been a revival of interest in the shoreline, accompanied by new and ambitious public and private plans to build along the water. The Fund has given grants to support new waterfront parks, large and small; assure public access to the water; develop plans for public esplanades; and work for an environmentally-friendly master plan for Governors Island.

New York Environment also means transportation: research and advocacy for more and better mass transit throughout the city, fewer private cars in Manhattan, and greater official attention to pedestrian access and well-being. The Fund has made a special effort to support a call for the introduction of Bus Rapid Transit demonstrations in Manhattan and Queens.



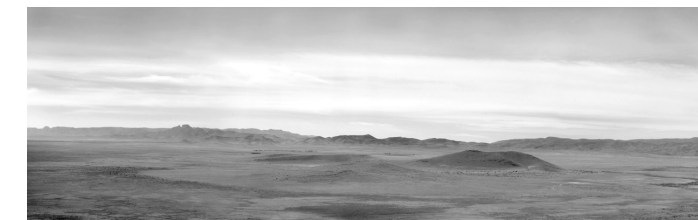
There is a small **New York Historic Preservation** Program that concentrates on old buildings of modest architectural merit but historical significance for neighborhoods and ethnic communities. Examples include Coney Island, the Astoria beer gardens, and the South Bronx birthplaces of salsa and hip-hop. Not unrelated, the **New York Migrations** Program focuses on new immigrant communities and smoothing their access to credit, English literacy, citizenship, music halls, parks and ballfields.



NORTH AMERICA (2005)

The biggest share of the Fund’s conservation spending is for **North America Environment**. The Ops focus on the border regions almost exclusively on conservation in the border regions: Chihuahuan Desert grasslands (aka the Sky Island region); Gulf of Maine; Northern Great Plains; Northwest Caribbean.

The Sky Island region is concentrated around the junction of Arizona, New Mexico, Chihuahua, and Sonora. Most of the action is with private landowners. The Fund enabled the purchase of a large ranch as an ecological core managed by a consortium of Mexican environmental groups. But more typically, conservation consists of offering inducements – mostly financial – so that ranchers undertake soil- and grass-saving practices and agree to encumber their property with conservation easements. Progress is slow, one rancher persuaded by another, but the acreage is so vast that a dozen such persuasions protects more land than all but the largest national parks.



In the Gulf of Maine, conservation is about legal and political advocacy for regulations that would offer a competitive economic advantage to fishermen – or fishing communities – who fish sustainably. It requires the orchestrated talents of lawyers,

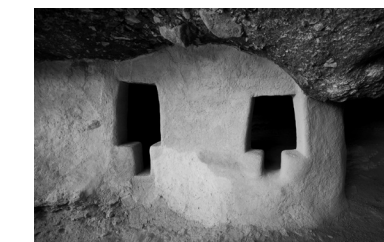
scientists, environmentalists, economists and conservationist fishermen. The Fund supports US and Canadian organizations in which those players are involved and, as a special project, has commissioned a binational research consortium to produce a map of the Gulf and adjacent waters that for the first time marks the water-columns and sea floors most in need of Marine Protected Area status.

In the Northern Great Plains – Alberta, Saskatchewan, Manitoba, Montana and North Dakota – the Fund has helped pay for a joint working group of US and Canadian government employees and NGOs, and a special effort to raise funds to pay for conservation easements in northeast Montana. A recent front-page article in the *New York Times* called attention to the success of that effort and the re-introduction of bison into the area.

In the Northwest Caribbean, the Fund has primarily supported Canadian marine scientists working with Cuban colleagues on a system of Marine Protected Areas and US scientists working with the Cubans to trace fish and larvae migrations throughout the region.



The Fund’s **North America Historic Preservation** Program offers support for local organizations working to preserve and protect buildings that embody cross-border cultures.



In Chihuahua, the Fund has helped Mexican archaeologists uncover, inventory, and safeguard what now appears to be an extensive and spectacular network of pre-European villages built into cliffs flanking the rivers of the northern sector of the Sierra Madre. Already it is clear that these cliff villages traded and communicated with kindred settlements as far north as Colorado and as far west as the Pacific.



In the northern plains that straddle the US/Canadian border, Kaplan became the first funder east of Fargo to support the preservation of the Prairie Churches, structures designed and built by farmer immigrants from Northern and Eastern Europe. Today their spires and onion domes

mark the landscape of a rapidly depopulating sector of the continent. Starting in North Dakota, and then expanding into Manitoba and Saskatchewan, the Fund offered state and provincial preservationists a 1:4 challenge grant. For each Kaplan dollar, the state or provincial group would have to raise a dollar on its own, from any source. The state or provincial group, in turn, would offer the same arrangement to local volunteers: one dollar from us, one dollar from you. Dozens of handsome churches have been saved thereby.



In the Northwest Caribbean, Historic Preservation means the protection and refurbishing of the great Miami/Havana architecture of the first half of the Twentieth Century. Art Nouveau, Art Deco, Eclecticism, Modernism, Tropicalism – all the main themes of architecture 1900-1960, plus dozens of variants – were brought to vivid life by US and Cuban architects profiting from each other's example. Miami's South Beach is a celebrated survivor of that era. But there is no place like Havana. The Fund's strategy is to support talented Cuban Americans to

work with Havana professionals to inventory the building stock, begin restoration work on a project near the National Capitol, and write land use regulations to create a landmarked district in Vedado, the world's most extensive and undisturbed example of high-quality modernismo.

It took longer to decide on a North America Migrations Program. The Ops had decided back in 2001 that migrations was to be a signature issue for the Fund, but there was no obvious North American complement to the worldwide database / website project that they had already launched. Finally, in mid-2005 – after soliciting suggestions from analysts and advocates and after organizing an all-day session with prominent players – the Ops decided to take on the enormous issue of US immigration policy.

An opportunity for special usefulness emerged when the participants at that all-day meeting suggested that Kaplan defray the expenses of an informal left wing / right wing coordinating capacity. Immigration is a strange-bedfellows issue, the Ops learned, with strong elements in both major parties on opposite sides. The Fund's role has been to support leading reform advocates from each party to work together on a common platform:

- Scrupulous enforcement of laws and border regulations;
- A generous annual quota of legal immigrants from around the world;
- More resources for, and an upgrading of, the visa approval process;
- A temporary worker program whose participants could, with equal ease, opt to pursue US citizenship or return to their home countries;
- Policies to speed English fluency and civic involvement.

It is uncertain where the national debate is heading on these questions, and whether any kind of legislation, good or bad, can be passed in the next few years. The Ops have said that they are in it for the long haul.



WORLD (2005)

One significant difference between mid-2001 and early-2006 has been the emergence of a **World Environment** Program focused on the ecological health of the High Seas, the part of the ocean beyond the 200-mile Exclusive Economic Zones attached to national coastlines. There have been some revealing recent discoveries about the arrays of species on the deep seabed and on and around mid-ocean seamounts. Scientists have also noted, however, that thousands of bottom-trawling fishing rigs are now operating in international waters. The Fund was the first supporter of a consortium of international environmental organizations to make common cause with the scientists, publicize their findings through popular media, and build a global lobby for the protection of biologically important High Seas ecosystems.

There may be an expansion of World Environment in 2006. In late 2005, the Ops issued a Request for Proposals to create a global network of individuals and organizations committed to the conservation of the world's grasslands. A proposal is now in the works from an international steering committee that wants to create a small global secretariat and launch pilot projects in Mongolia/China/Russia and Argentina/Uruguay/Brazil.

The Ops established a **World Historic Preservation** Program in 2004 when they asked the World Monuments Fund to present a roster of valuable ruins in peril, anywhere in the world. From that list were selected four sites, three of them in Islamic countries. The Fund also co-sponsored, with the Getty Museum and WMF, an inventory and damage-assessment of major Iraqi archaeological sites. In late 2005, the Ops voted to expand the program by becoming the first funder of WMF's "Sites in Conflict" project, where professional attention is focused on vulnerable war-zone sites throughout the world. In a kindred, low-overhead endeavor, the Fund also supports a one-man program to take 360-degree images of all the places and buildings and monuments on UNESCO's long list of World Heritage Sites. Belgian photographer Tito Dupret is about halfway through his quest.



The largest expenditures for global grantmaking have gone to the **World Migrations** Program. The impulse of early 2001 – to create a global database of human migrations, available through a website with critiques of the data as well as independent research and

analysis on current developments – was made real by Fund grants to the Migration Policy Institute. MPI introduced the Migration Information Source (MigrationInformation.com) in 2002, and has since enjoyed steady upward growth in numbers of visits, average lengths of visits, numbers of visitor countries of origin, and numbers of citations by journalists, government officials, researchers, and students. The Source has won numerous awards, among them a special citation from the US Census Bureau. It has become the one-stop-shop for anyone interested in authoritative information on human migrations. □

Firsts

- **First Worldwide Database on Human Migrations:** Migration Policy Institute, Washington, DC.
- **First Coalition to Protect the High Seas:** Greenpeace; Marine Conservation Biology Institute; Oceana; Natural Resources Defense Council; Pew Trusts; Seas At Risk; Conservation International.
- **First Binational Plan for Marine Protected Areas:** Conservation Law Foundation of New England; World Wildlife Fund Canada.
- **First Inner-City Girls Crew:** Row New York.
- **First Mexican Grassland Reserves:** Ecociencia; Instituto de Ecologico, Universidad Nacional Autonoma de Mexico; The Nature Conservancy, New Mexico; The Nature Conservancy, Mexico.
- **First US/Cuba Land Use Planning Collaborative:** University of Miami School of Architecture.
- **First Immigrant Parks Fellows:** City of New York; Forest Park Trust; City Parks Foundation; New York Immigration Coalition.

The Ops, March 2006

- **Peter Davidson, Chairman,** Brooklyn, New York. Founder and CEO, Davidson Media Group. Member.
- **Betsy Davidson,** Brooklyn, New York. Administrator, Common Good, Inc.
- **Brad Davidson,** Annapolis, Maryland. Founder and CEO, SPARDATA Analysis.
- **J. Matthew Davidson,** Lake Forest, Illinois. President, XTen Industries, Inc.
- **Caio Fonseca,** New York / Pietrasanta, Italy. Painter.
- **Isabel Fonseca,** London / Jose Ignacio, Uruguay. Author (*Bury Me Standing, The Gypsies and Their Journey*).
- **Quina Fonseca,** New York / Montevideo, Uruguay. Rancher. Theatrical designer.



NEW YORK CITY

- ENVIRONMENT
- HISTORIC PRESERVATION
- MIGRATIONS



A



B



D



C



E

The Water City
A) Governors Island. 172 acres; landmarked old buildings (two forts, commandant's house, officers' quarters, barracks); non-landmarked new buildings; 45-acre open space; four docks; incomparable views; handyman special. No public entity wants to run it. The City is reviewing bids from private developers.
B & F) Near the mouth of the Bronx River.
C D & E) Students and friends of the New York Harbor School, a new public high school looking for a permanent home by the water.



F



A



B

Parks and Park Users –

- A) Central Park, January 2006, never better.
- B) Park Muralists, The Bronx.
- C D & E) Prospect Park, Brooklyn.
- F) Hurling, Gaelic Park, The Bronx.
(Tir gan teanga tir gan anam.)
- G) Parks activists.



C



D



E



F



G



New New Yorkers

A) Nestor Tello, of Tello's Green Farm (Red Hook, NY), and the New Farmer Program, at the Greenmarket, Union Square, Manhattan.

B) Day Workers, Bay Ridge, Brooklyn.

C) Mariachi Academy, East Harlem.

D) Richard Kwaku Amoah, sculptor and participant in New York Creates' new immigrant artisan program, Jackson Heights, Queens.

E) Juan Morales, gardner, South Bronx.



Leading Grantees, NYC –

Environment

- City Parks Foundation
- New Yorkers for Parks
- Prospect Park Alliance
- Regional Plan Association
- Straphangers Campaign
- Transportation Alternatives
- Trust for Public Land
- Brooklyn Bridge Park Conservancy
- Council on the Environment
- Natural Resources Defense Council
- Friends of Cunningham Park
- Bronx River Alliance
- Metropolitan Oval Foundation

- Morningside Area Alliance
- Sustainable South Bronx

Historic Preservation

- Friends of the High Line
- City Lore
- Municipal Art Society

Migrations

- New York Immigration Coalition
- New York Association for New Americans
- New York Foundation for the Arts
- New York Taxi Workers Alliance





NORTH AMERICA

- ENVIRONMENT
- HISTORIC PRESERVATION

SKY ISLAND REGION
GULF OF MAINE
NORTHERN GREAT PLAINS
NORTHWEST CARIBBEAN



SKY ISLAND REGION



THERE IS NO AGREEMENT on what to call the area within a 100 mile radius of the junction of Arizona, New Mexico, Chihuahua, and Sonora. Somewhere within it is the line that separates the Sonoran Desert from the Chihuahuan Desert, but geographers can't agree where. The mountains are either the sputtering out of the Rockies or the fragmented start of the Sierra Madre. The area has vast bleak barren flats and delectable moist glades of flowers and birdsong. The naturalist Peter Warshall says that the character of the region comes from the archipelago-like scattering of mountain islands among a sea of grasslands and desert plains. Hence "Sky Islands" or "Madrean Archipelago." Each of the mountain islands sponsors varied distinct habitats as it rises from foothill to summit. The lowland surrounding the mountain is itself (often surprisingly) lively. What is unique about this place is the ecological commerce between the lowlands and the mountains. Species are always going back and forth. Some make many round-trips a day. Others spend the night in the hills and daytime on the plains, or vice versa. Some come and go seasonally.



Much of the animal life is small or burrowed or elusive. But much can be seen. In Chihuahua, one finds the world's largest prairie dog town (described and protected by scientists from the National University). The mountains nearby are home to the northernmost breeding populations of jaguars and thick-billed parrots. There are eagles, antelopes, bears, beavers, cranes, and pumas. The bison are gone, the wolves are scarce, and none of the animal displays provoke the sheer amazement one finds in the journals of 19th Century travellers. But there is probably more wildlife now than sixty years ago.

There are three main threats to all this biodiversity: #1, unnaturally rapid climate change; #2, expansion of till agriculture, especially irrigated plots; and #3, large increases in human numbers and subsequent fragmentation of habitat and blockage of plain-to-mountain migration paths. #2 is most pressing on the Mexican side.

#3 is a US phenomenon, driven by the demand for warm-climate retiree homes. The best practical conservation strategy is probably to help keep good cowboys on the land. Cattle ranching can be conducted with net ecological benefit. There are living examples, most notably the ranches of the Malpai Borderland Group in Arizona-New Mexico, the Cuenca del Ojo ranches in Sonora, and, as of 2005, Rancho El Uno in Chihuahua, where Mexican non-profits run a large conservation ranch.



AS FOR HISTORY, the salient fact is that Europeans came late to this area, and only recently in numbers. "Good Lord," said Gen. William Rosecrans in 1865, "the white people are locked up in reservations, and the Indians own the countryside." Spain and then Mexico had asserted sovereignty, but their writ ran only to small presidio towns. It took the rest of the century for US and Mexican forces to subdue and remove the Apaches, the last organized armed resisters to the European conquest of North America.



The Apaches were newcomers themselves, recent immigrants. Settled, corn-growing communities began here about 3,800 years ago. Post-1950 archaeology has pushed back the date of the first humans, multiplied the estimates

of the density and extent of human settlements, and attributed to them social and economic and cultural complexities that give the lie to the "savagery" earlier imputed by Anglo-Saxonists on one side and Mesoamericanists on the other. More details surface frequently, nowhere more spectacularly than in the canyons of the northern Sierra Madre, where archaeologists uncover brilliantly engineered cliffside villages each year. The villages now appear to be part of a complex network whose full elaboration we are only beginning to grasp. □





A



B



C



D



E



G



I



F



H



J



K

page 24: Phil and Rob Krentz, ranchers, San Bernardino Valley, Arizona.
 A) Sky Islands Illustrated: mountains and semi-arid grasslands.
 B & G) Black-Footed Ferret, successfully re-introduced by the Instituto de Ecología, Universidad Nacional Autónoma de México (UNAM).
 C, D & H) Native wildlife.
 E & F) Prairie Dogs, Janos, Chihuahua, site of the world's largest prairie dog town.
 I & J) Rurik List, PhD, Gerardo Ceballos, PhD, Co-Directors, UNAM Research Station.
 K) Abandoned adobe house, Memmonite farm, Janos.



Leading Grantees, Sky Islands –

Environment

- The Nature Conservancy, New Mexico
- Malpai Borderlands Group
- Universidad Nacional Autónoma de Mexico
- Ecociencia
- Sky Island Alliance
- Sonoran Institute
- Southeast Arizona Land Trust

Historic Preservation

- World Monuments Fund
- Instituto Nacional de Antropología e Historia (INAH)
- Fuerza Ambiental
- Mexico-North Research Network/Mexico-Norte Red de Investigaciones

The Janos Consortium –

Much of the Kaplan Fund effort in the Sky Island Region has focused on Janos, the northwestern-most town of the state of Chihuahua, and the largest-sized municipality in Mexico. Although Fund grants for Janos conservation have been paid through only three organizations, there are numerous participating Mexican NGOs, including:

- The Nature Conservancy, Mexico
- Naturalia
- Pronatura Noroeste
- Profauna
- Agrupación Dodo
- Agrupación Pradera
- Unidos Para La Conservación

The Municipalidad de Janos has also been consistently helpful.

A) Warner Glenn, Malpai Borderlands Group, rancher, conservationist, hunter, and photographer of the first wild jaguar seen in the United States in more than fifty years.

B) Rancho El Uno, newly-acquired 40,000 acre conservation property, Janos.

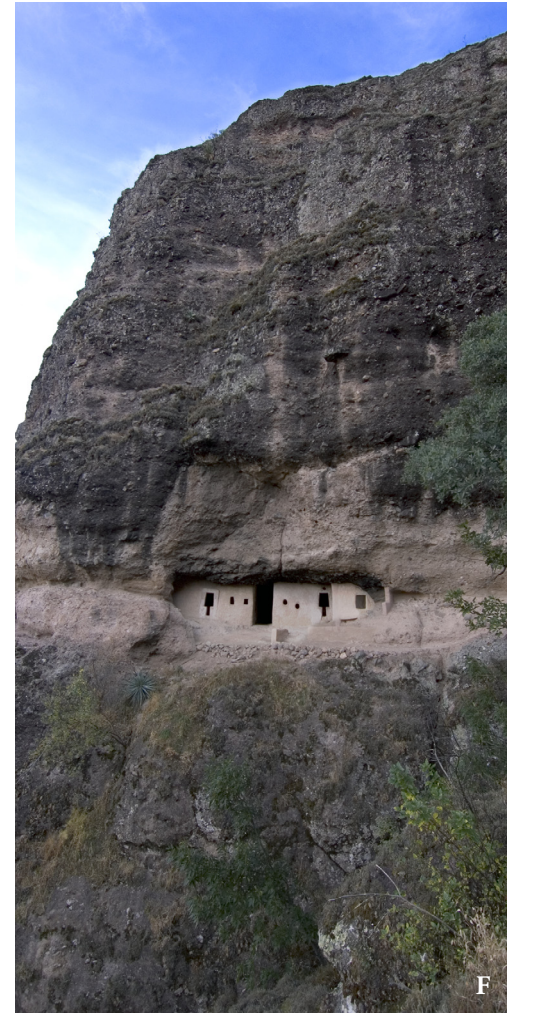
C & F) Mennonite family; center-pivot irrigation unit, Mennonite farm, Janos.

D & G) Janos residents.

E) Staff, Rancho El Uno: Manuel Bujando, Jose Luis Garcia, Dalia Campos, Sidencio Lopez

H) Manuel Bujando with Katie Distler Eckman, Wildlife Biologist, Turner Foundation.





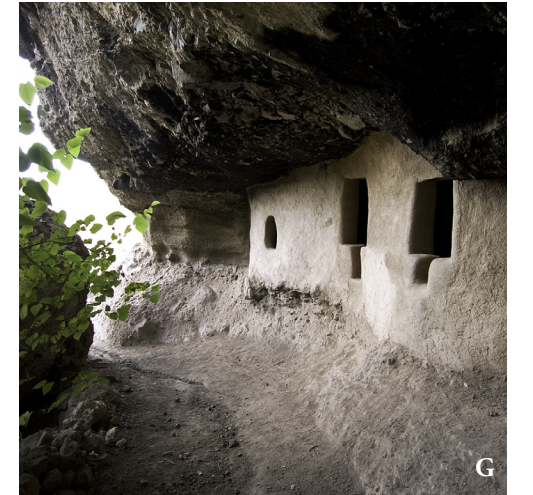
A) Paquimé, Casas Grandes, Chihuahua. Ruins of an extensive urban complex, complete with municipal water systems, temples, ball courts, multi-story structures, food storage, etc. Theories as to whether Paquimé was the seat of a hegemonic political power or simply a center of a far-flung trade network are discussed vigorously each year at scholarly conferences.

B) West of Madera, Chihuahua: view of the region with the highest density of cliffside villages.

C & E) Cuarenta Casas, one of the sites of the Huapoca Complex of cliff and cave villages.

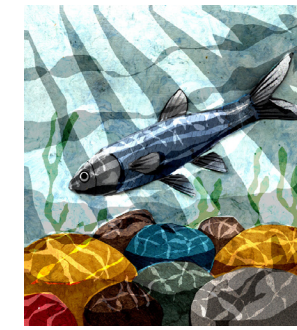
D) El Mirador.

F & G) La Serpiente.





GULF OF MAINE



THESE WATERS, plus the adjacent Georges Bank and Grand Banks, once constituted the world's most teeming habitat, if only by sheer weight. A three-dimensional Serengeti was home to schools of cod so numerous that Basque sailors, the first Europeans to fish the region in any quantity, reported that their nets seemed to fill themselves, over and over and over again. The cod – and the haddock

and halibut and flounder – were fleshier than the fish caught in the Mediterranean and the Bay of Biscay, and fetched comparably higher prices.

Subsequent fishing activities, as reasonable-in-themselves as the Basques casting their nets, ultimately would bring most of the region's commercial fish species to the brink of total collapse. The tonnage of fish caught has plummeted: an 84% drop in the cod catch on Georges Bank from 1890 to 2005; a 96% drop from the Scotian Shelf in the same period. The average size of a cod caught in 2005 is about one-third the size of a cod caught in 1940.



This state of affairs followed a major political change that was supposed to foreclose it. In the 1960s and early 1970s, almost everyone blamed declining fish harvests on "giant foreign trawlers." Artisan local fishermen would conduct sustainable operations within a new 200-mile-wide offshore Exclusive Economic Zone. Almost everyone, including the fishermen, underestimated the fishermen's ability to acquire and deploy new technologies for finding and catching



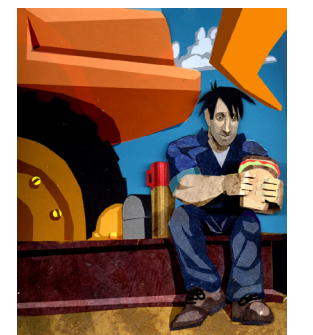
fish. New bottom trawling equipment was particularly efficient, and added devastation of the seabed to the customary toll of overfishing. The locals needed no help from Russians or Spaniards in destroying their own resource base.

With scant exceptions, the results have been fewer fish caught by fewer and larger and more distant owners selling to remote markets where "uniformity of product" is the highest virtue. In both the US and Canada, fishermen representatives tend to resist effective controls, even as that resistance appears to harm their long-term interests. There are alternatives, however, and a significant fraction of fishermen are behind them: Marine Protected Areas; pro-hook, anti-trawl gear restrictions; catch quotas that can be traded and pooled. The next few years may show a turn.



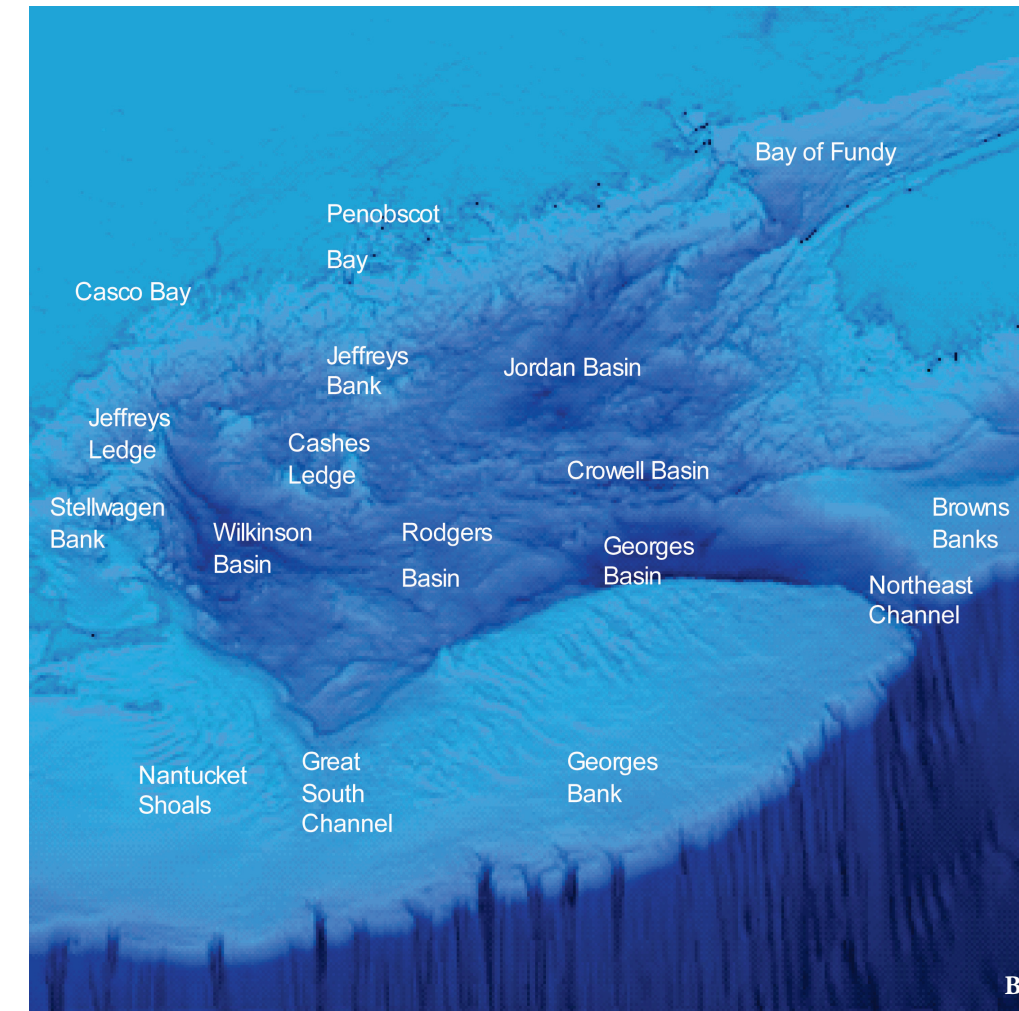
If fishing has been rough lately, lobstering has enjoyed a boom. Local observers offer various explanations. One theory says that the collapse of fish populations spelled a drop in lobster predation; another theory says regulations on minimum-size catch allowed lobster young to live long enough to procreate; still another says that the key has been the ability of lobstermen to limit competition through practices not unfamiliar to the top team at Anthony Soprano Waste Management Consultants.

THOUGH THE FISHERMEN still punch above their weight politically, they are every day a smaller portion of the total population of coastal Maine and Nova Scotia. Services now drive the local economies: tourism and vacation homes, of course, but also "knowledge workers" wired into the global information network. Many are recent settlers, emigrants from the megalopolis. As a result, Portland and Halifax are in general livelier, in better repair, and considerably more expensive than they were twenty years ago. The same can be said for smaller hubs like Rockland and Yarmouth. Street life seems near-urban, with all variety of restaurants and galleries. That trend is markedly less formidable inland and farther down east, in Lubec and Eastport and New Brunswick. There rugged old Yankees and French Canadians and Scots Canadians still set the dominant tone, economically and culturally. And far to the north and east, near the top of Cape Breton Island, where France and Britain struggled for centuries (for fish and empire), where there are more Gaelic speakers than anywhere else in the Americas, where shore acreage can be had for five figures, where Nature is gorgeous and remorseless and piercingly cold, there one finds only faint traces of social transformation. □





A



B

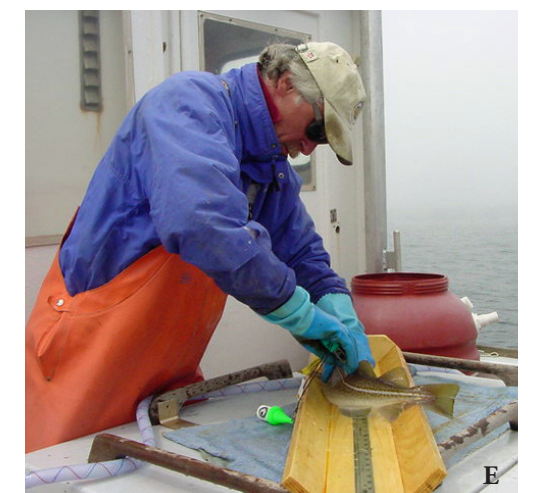


C

A) Fishing rigs off Cape Cod.
 B) Gulf of Maine, in 3-D. New technologies make it easier to measure and display underwater topographies. After years of sifting data, the Conservation Law Foundation of New England and World Wildlife Fund Canada will soon (Spring, 2006) present a joint binational map which marks out, and prioritizes, proposed Marine Protected Areas from southern Newfoundland to Cape Cod.
 C & D) Unlike the fish, whale populations have rebounded in recent years.
 E) Hook fisherman, Chatham, Mass.



D



E



Leading Grantees, Gulf of Maine –

Environment

- Conservation Law Foundation of New England
- World Wildlife Fund Canada
- Ecology Action Centre
- Cape Cod Commercial Hook Fishermen's Association
- Northwest Atlantic Marine Alliance
- Conservation Council of New Brunswick

Historic Preservation

- Nova Scotia Lighthouse Preservation Society

“Looking at the human dimension of the fishery as an extension of the marine ecology allows us to see the need for cooperation across traditionally fragmented political lines to make decisions based on their long-term ecological merit rather than their short-term political convenience...”

– Michael Crocker, Northwest Atlantic Marine Alliance, Saco, Maine

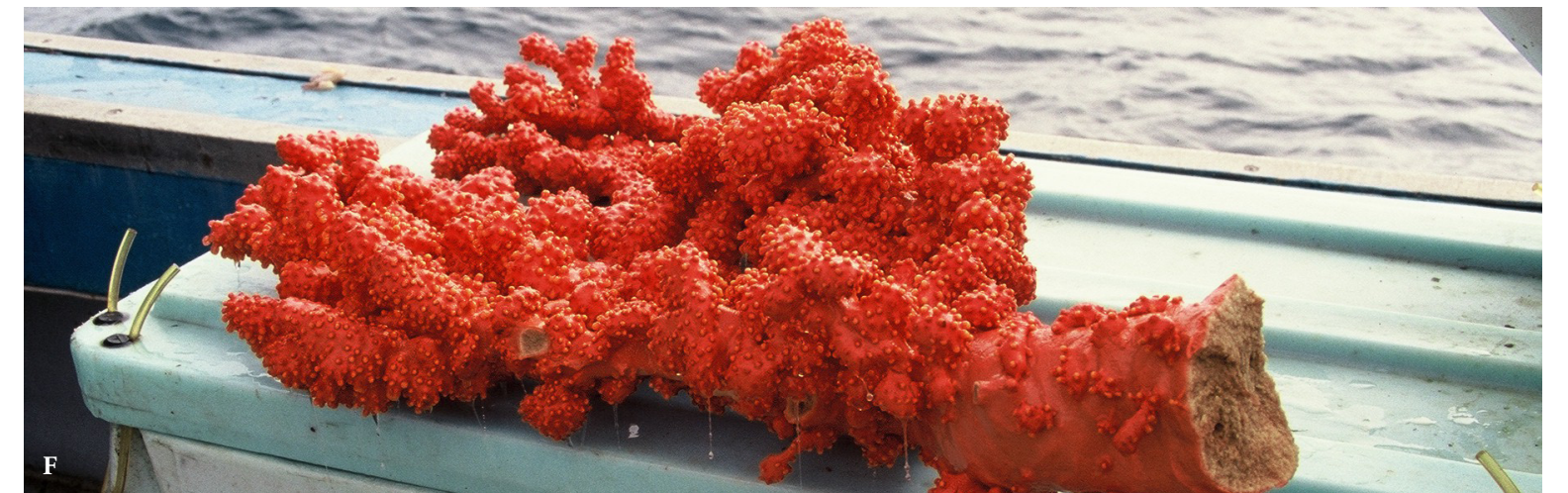
At Sea –

A) Harpooning swordfish.

B) Nova Scotia fishermen cleaning their catch off Georges Bank.

C & D) Artist's composite of life at the bottom of the Gulf.

E & F) Cold-water corals: dead seacorn coral, live bubblegum coral.



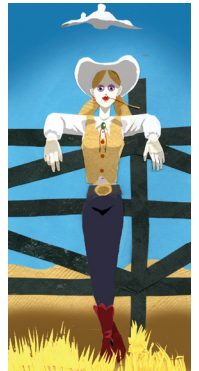


NORTHERN GREAT PLAINS



THE GREAT PLAINS lie west of the Midwest and east of the West. On ecoregional maps the Great Plains include the tall-grass prairie, almost of which has been brought under cultivation. But in the local tongue, the Great Plains are the mid-to-low-grass prairies that stretch from Saskatchewan to Chihuahua, and whose quintessential state in the local mind's eye is an unplowed rolling landscape of yellow-tan

grasses, vast prospects, herds of hooved herbivores, and birds in great abundance. Nowhere is this ideal more fully realized than in the uppermost portion of the region, the borderlands of northeastern Montana, western North Dakota, southeastern Alberta, southwestern Manitoba, and the entire southern quarter of Saskatchewan. It is a landscape that, on many strangers and on all natives, makes a powerful impression.



Counter-intuitively, the portions of the Canadian plains along the US border are the least disturbed. For both geological and climatic reasons, the Wheat Belt of the prairie provinces lies farther north. There are no big towns in Saskatchewan below Regina, and the land rises and falls and rises again on an oceanic scale. Grasslands National Park in southern Saskatchewan may be the best-kept secret on the list of the continent's first team of natural attractions. Nor is it thickly settled across the border. Western North Dakota offers Minot, but there are few other centers, and the entire Dakota countryside has



been dramatically depopulated. Northeast Montana can look untouched. The dominant land users are cattle. Ranchers here haven't yet created an analogue of the Malpai Group, but there is certainly much less skepticism about conservation easements than there was five years ago (thank you, American Prairie Foundation). In 2005, an old school Montana rancher actually leased his land for a bison preserve.

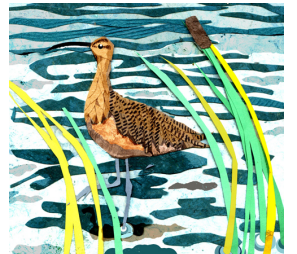
One piece of the economic equation needed to conserve the landscape integrity of the big ranches may be the sale of wind-generated electricity. Much depends on government policy, and there are engineering problems in economical transmission of electricity over long distances, but at least you can rely on a dependable feedstock of relentless wind. Connoisseurs of native landscapes may come to appreciate the intrusion of tall, high-tech turbines.

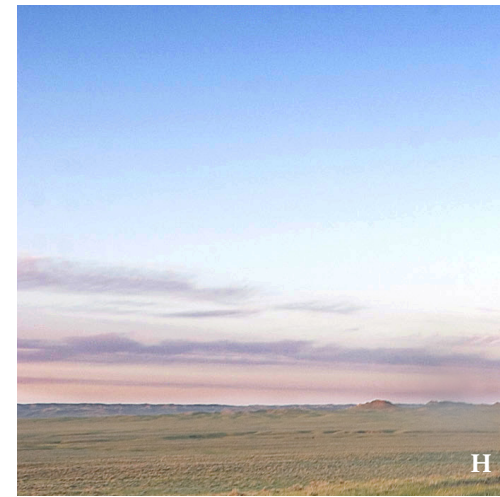
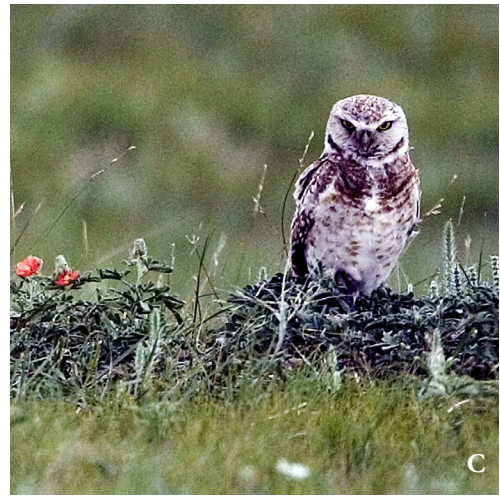


IN THE EASTERN PORTIONS of the region, it is farms, not ranches, that predominate. Until the 1950s, at least, farmers didn't own properties nearly as big as the cattlemen's, and so could gather more densely and easily for communal events.



The first and Sunday worship were German or usually built white, rectilinear, tower over the the families were as they frequently parts of theregion elaborate, polychromatic, with eruptions of onion domes. Some of the churches had to be abandoned when small-to-medium family farms turned unprofitable, and most of the others were used only on special occasions. In time, their deterioration proved too melancholy to bear. Grassroots preservationists stepped forward and multiplied (thank you, Preservation North Dakota). Local church groups have now saved dozens of buildings, and on low budgets. Old farmers know how to *do* things. A work crew of four gray-haired volunteers repairs the foundation, re-points the chimney, upgrades the electric, shingles the roof, installs new glazing, and fits new clapboards. Thanks to them, the prairie church, one of the two great architectural icons of the Great Plains, has reasserted itself. Is the grain elevator next? □





On the Plains –

A) Bison cow and calf, Montana.

B C & D) Fauna and flora, Montana.

E) Randy Matchett – US Fish & Wildlife Service Wildlife Biologist at the Charles M. Russell National Wildlife Refuge – looking out over the Montana Glaciated Plains.

F) Kyran Kunkel working the bison chutes at Wind Cave National Park roundup.

G H I & J) Landscapes of Southern Saskatchewan.



*A) Sims Church (Lutheran), Sims, North Dakota.
 B) Tonsset Lutheran Church, Burke County, N. Dakota.
 C) Award winners, Preservation North Dakota Chili Festival.
 D) Grain elevator, North Dakota.
 E) Ruthenian Greek Catholic Church of the Blessed Virgin Mary, Totes Aides, Manitoba.
 F) Restoration Fundraiser, Sims, North Dakota.
 G) Historic Ukrainian Catholic Church of the Resurrection, Dauphin, Manitoba.
 H) Volunteer, Ladbury Church (Lutheran), Barnes County, North Dakota.
 I) Interior, St. John the Baptist Ukrainian Catholic Church, Wisla, Manitoba.*



NORTHWEST CARRIBBEAN



MARINE SCIENTISTS seem to enjoy talking about the northwest Caribbean. No tropical sea can compete with cold waters in terms of fish biomass, or dense populations of marine mammals, but the northwest Caribbean is home to a great variety of species, many of them famously colorful, and they live with, and off, each other in extremely intricate patterns. Ken Lindeman, a marine biologist who works in the region

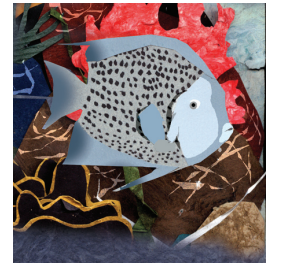
for Environmental Defense, says that "The Northwest Caribbean is dominated by extraordinary oceanographic intersections. It includes some of the highest coastal biodiversity in the Western Hemisphere." Lindeman's objectivity may be suspect, but even temperate-ocean specialists have a special regard for this place.

The "extraordinary intersections" that Lindeman talks about can be seen on the most elementary of maps. The Caribbean and the Gulf of Mexico connect through two narrow portals, the Florida Straits and the Yucatan Channel. Fish, larvae, sea turtles, dolphins and all other mobile forms of marine life have to squeeze through those two bottlenecks, to the mutual convenience of scientists and predators.

Another reason for the area's professional popularity is the relatively good condition of its coral reefs. In recent years, at least, the national governments of the US, Mexico and Cuba have taken steps to protect many (but not all) of their reefs from many (but not all) human activities that destroy or degrade them. This is particularly true of Cuba, which now has an extensive system of Marine Protected Areas, the design of which was made easier by donations of time and equipment by World Wildlife Fund Canada. The challenge will be for those MPAs to survive pressures for inappropriate development next to – or even on – the reef systems. In the meantime, the reefs, impressive in themselves, provide vast habitats for some of the planet's most dazzling and approachable animals.



"SOLO NOS QUEDA LA HABANA," wrote a leading architectural critic. "Havana is all we have left." The greatest achievement of Spanish America – its fine gracious cities – is now all but lost, squandered by neglect and the reckless banalities of standard post-World War II development. Mexico City is gone, Lima is gone, and Buenos Aires, and Santo Domingo, and even Cartagena is gone. Only Havana remains, partly because of Cuban preservationists like Eusebio Leal and his team at the Office of the City Historian, partly because a dramatically underperforming national economy has directed its meagre investment capital to other parts of the island.



Havana is unusual both for its high number of excellent buildings and for the neat historical progression in which they can be appreciated. Starting from its original colonial core in Old Havana, the city marched steadily westward in near-strict chronological order. To many natives and visitors, the most precious jewel is Vedado, the district of 1920-1960. There one finds Art Deco, the Modern Movement, the International Style and any number of bold eclectic syntheses. Over the past few years, specialists from Europe and North America have donated significant time working with Havana architects, architecture students, planners, and local officials on a new land-use code for Vedado. The final product, now in force, calls for concentric zoning: a nucleus of strict preservation; a middle ring of mixed development, where new buildings would have to meet standards of scale and style; and an outer oceanside ring for tall new buildings, but only if they are aligned perpendicular to the shore and provide public access to the water and new waterside parks. A similar collaborative approach is now underway to develop a new code for the *Malecon*, Havana's famous seaside boulevard. □

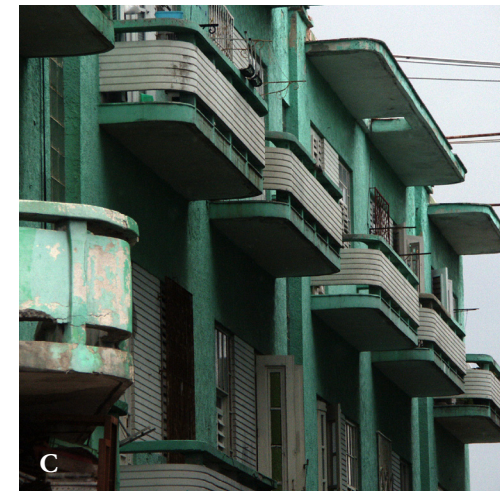




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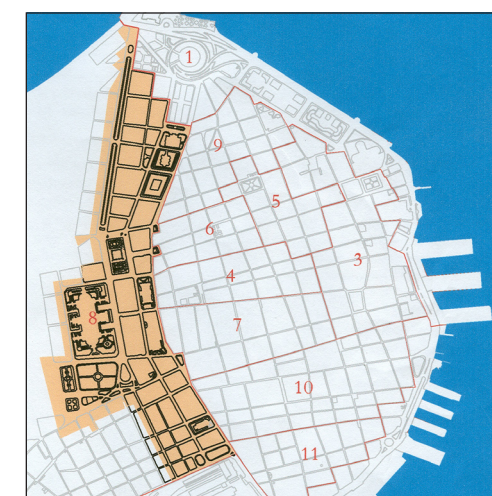
A) Habana Centro.
 B C D F & G) Scenes from Vedado, the tattered but still brilliant district of Art Deco, Modernism, Tropicalism and almost every other architectural style from 1900 through 1960.
 E) Club Nautico, a 1959 creation of Max Borges Recio, architect of the Club Tropicana.
 H) Dogged gentility, Habana Vieja.



G



H



A - F) Calle Cardenas, Havana. Calle Cardenas presents some unusual and attractive qualities to preservationists and architectural historians. It is a connector street between two great icons of early-20th Century Havana: the railroad station and the National Capitol. It features many outstanding examples of Catalan-derived Art Nouveau. And it has been relatively unmodified since the 1940s. A team of interested outsiders, including Fundación Amistad of New York and the Havana office of the United Nations Development Fund, offers support to the initiative of the Office of the Historian of the City of Havana to bring Calle Cardenas back to its First World War-era glory.

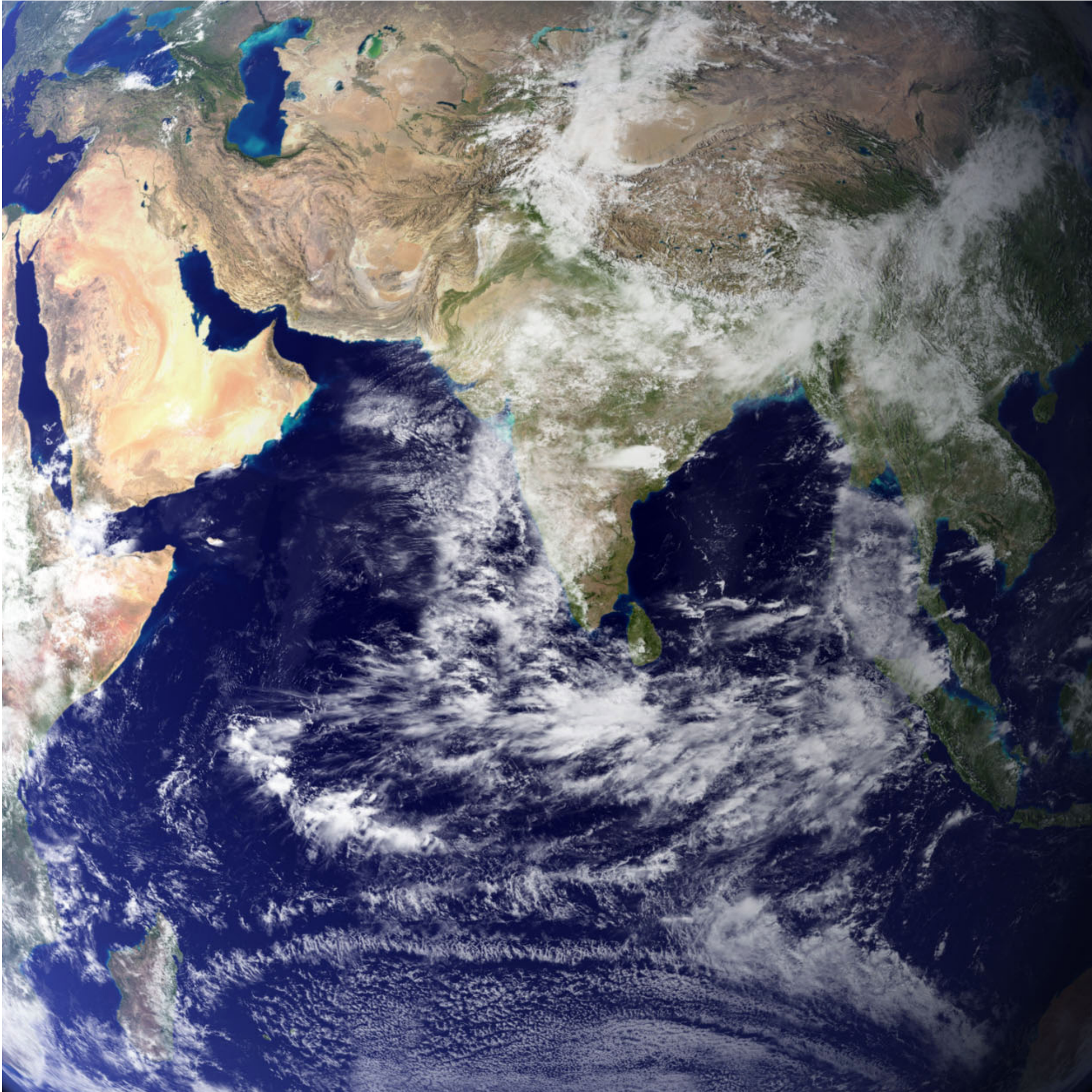
Leading Grantees, Northwest Caribbean –

Environment

- Environmental Defense
- World Wildlife Fund Canada
- University of South Florida

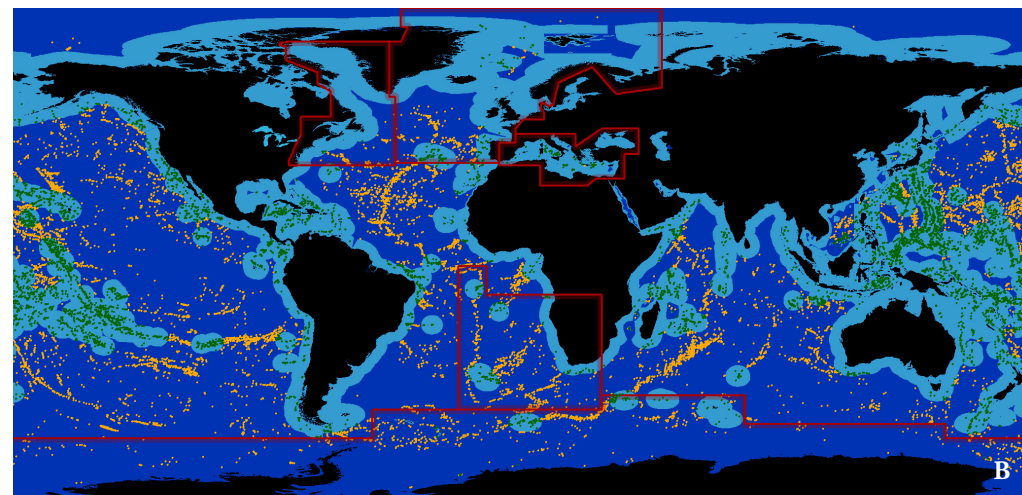
Historic Preservation

- Fundación Amistad
- DOCOMOMO International



WORLD

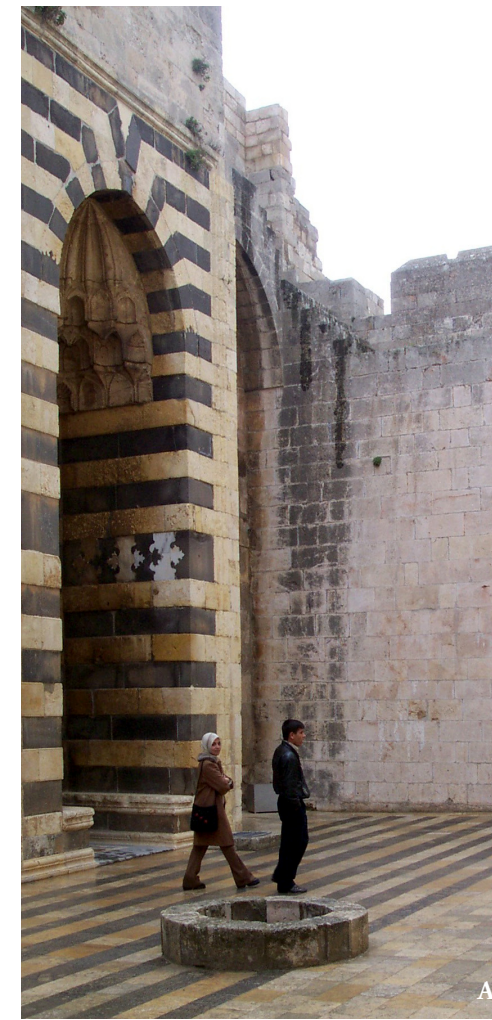
- ENVIRONMENT
- HISTORIC PRESERVATION
- MIGRATIONS



A) By-catch. Besides the destruction of seafloor environments, bottom trawling on the high seas occasions the loss of much more marine life than ever reaches the market. About half the biomass caught in the nets gets thrown back dead.
 B) Map of high seas fisheries.

Leading Grantees, World Environment:

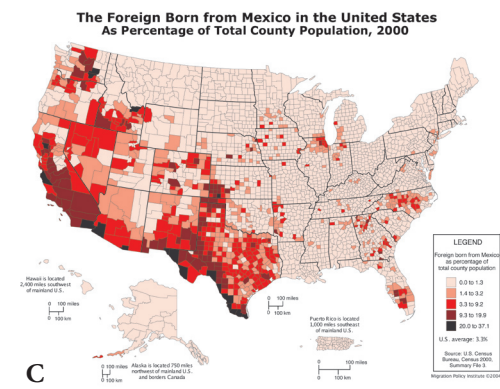
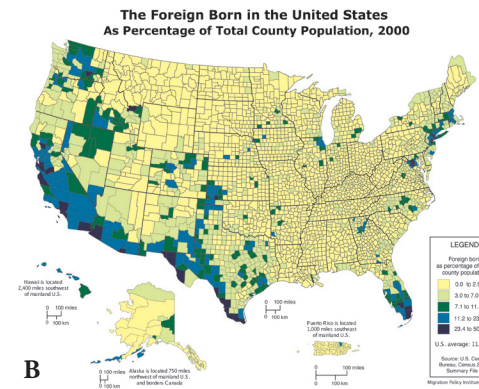
- IUCN – The World Conservation Union
- Deep Sea Conservation Coalition
- Pew Charitable Trusts
- World Wildlife Fund Russia



A & D) The Citadel, Aleppo, Syria, one of four sites in Islamic countries supported through the World Monuments Fund.
 B & C) World Heritage Sites, Nepal and China, as photographed in 360-degree images by Tito Dupret of World Heritage Tour.

Leading Grantees, World Historic Preservation:

- World Monuments Fund
- World Heritage Tour



A – C) Images from the Migration Information Source (migrationinformation.com), the global database and website of the Migration Policy Institute. The Source was the first online repository of worldwide data on the movements of people from one country to another. It now features in-depth treatments of key regional issues (Muslim immigrants in Europe; border security for the US and Mexico) plus analyses and critiques of national data. Journalists, policy analysts, government officials, and graduate students use the site heavily.

SENIOR TRUSTEE DISCRETIONARY GRANTS
BOARD AND STAFF
FINANCES
GRANTEES 2001 - 2005

Joan K. Davidson

Furthermore Grants

IN 1995, ON RETURNING from my term as Parks Commissioner for the State of New York, I became President Emeritus of the J.M. Kaplan Fund, where earlier I had been deeply involved for a great many years. It occurred to me that, at a partial remove from the hub of Fund activity in New York City, I could continue to encourage the Fund's longstanding commitment to free expression and the dissemination of useful information through a new grants program—while managing to spend time in my beloved Hudson Valley! Thus was born Furthermore Grants in publishing, with headquarters in Hudson, New York. 2006 is Furthermore's tenth year.

Furthermore, a rare source of financial support for publishing projects, is a program of the Fund. The grants assist a range of nonfiction books having to do with the city; natural and historic resources; art, architecture, and design; cultural history; and public issues of the day.

The program has given out over \$3 million since it began in 1995, making 50-60 grants annually in amounts ranging from \$500 to \$15,000. The grants are awarded to publishers, museums, civic, and academic institutions, regional organizations, and professional societies—mostly to help meet such specific needs as writing, research, indexing, editing, translation, design, photography, illustration, and printing and binding.

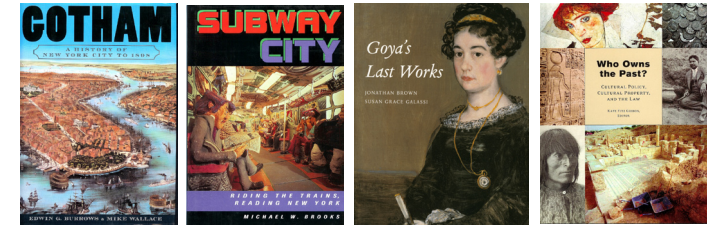
Furthermore applicants must be 501(c)(3) organizations but the projects assisted often result in trade books as well as in university and independent press books. Book proposals to which a publisher is already committed and for which there is a feasible distribution plan are preferred. Recipients are located across the nation and occasionally abroad but have mostly been in New York State and New York City.

Furthermore grants are offered twice a year, in spring and fall. They range from \$1,000 to \$15,000 and now total more than \$3 million. The program is managed by a small staff working in cooperation with advisors who are familiar with its subject interests and experienced in trade and nonprofit publishing. Grant recommendations are approved by the Fund's trustees.

Other Grants

My grant program has covered, in addition to Furthermore, a repeating group of smallish organizations that, by and large, carry forward programs I was associated with as President of the Fund.

At this time of grave peril to America's civil liberties and its natural resources, I try to help the defenders of our rights and of the environment. I try also to throw a bit of support to music, dance, theater, and public radio, since the Ops have for now turned away from those fields (through Furthermore I support the visual arts, architecture, and design). And, as much as I can, I offer assistance to civil organizations of many kinds in the Hudson Valley.



A Furthermore Sampler

- *Gotham: A History of New York City to 1898.* Edwin G Burrows & Mike Wallace. Oxford, 1999.
- *Who Own the Past? Cultural Policy, Cultural Property, and the Law.* ed. Kate Fitz Gibbon. Rutgers, 2005.
- *Celluloid Skylines: New York and the Movies.* James Sanders. Knopf, 2001.
- *Goya's Last Works.* Jonathan Brown & Susan Grace Galassi. Yale, 2006.
- *Long Time Coming: A Photographic Portrait of America, 1935-1943.* Michael Lesy. Norton, 2002.
- *Reporting Civil Rights: American Journalism 1941-1963.* Library of America, 2003.
- *The Houses of McKim, Mead & White.* Samuel G White. Rizzoli, 1998.
- *From Abyssinian to Zion: A Guide to Manhattan's Houses of Worship.* David W Dunlap. Columbia, 2004.
- *Subway City: Riding the Trains, Reading New York.* Michael W. Brooks. Rutgers, 1997. □

Elizabeth K. Fonseca

WHEN THE PRESENT SYSTEM of Senior Trustee Initiated Grants was established, we pondered whether to make a number of grants in a number of tempting fields – the arts, education, preservation, and the like – or focus on one field and stick with it. (There are good arguments on both sides of this dilemma.) The sizes of our TIGs seemed large to me, but are clearly small potatoes in the foundation world. This suggested that we should look for sharp focus and an opportunity for high leverage. From the days of my political-social indoctrination at Hessian Hills and dad's contagious concern for the “less fortunate”, I have wanted to help efforts to improve the human condition, first settlement programs during high school, then working at a Belgian orphanage after the war, then the New Republic, UNICEF, and the Lower East Side Action Program (LEAP) in the sixties. Dick has spent his life on a parallel quest. We worked out an ambitious undertaking together.

Here's our guiding premise: the wrenching transition from farm to factory radically altered the society, a phenomenon which came to be called “the great transformation”. Now the transition from the machine age to the cybernetic age is suggesting and enabling another, probably greater, social transformation. The machine age seemed to require machine-like institutions based on hierarchy, centralization and a widespread substitution of the judgment of “experts” for that of ordinary people. Now institutions are being formed that reverse those assumptions. Society is shifting responsibility from its remote, monopolistic and professionalized entities to more local, competitive and democratic ones.

WE BELIEVE the present transformation is primarily spontaneous, but can be reinforced in three ways: 1) to discover how and why these unfamiliar new institutions work – to give the present transformation a legitimatizing rationale; 2) to encourage a new breed of “social entrepreneurs” who are launching and building these alternative organizations; and 3) to direct the attention of philanthropic organizations to these new entities and suggest how they might best be supported. We have established projects to advance these three objectives.

The first is run by people at George Mason University and its related Atlas Foundation. It is giving recognition and support to scholars who have studied or want to study how spontaneous formations of people perceive local problems and act on them. Awards are being given to senior scholars who have done important work in this neglected field, and to younger scholars who are following their

example. Our first award honored the work of Elinor and Vincent Ostrom, who have spent their lives in studies of the mysteries of spontaneous social organization, first in water and resource management and later in many other fields. (Since the awards were announced, both of the Ostroms have been elected to head academic organizations in their fields.) We have made a number of smaller grants to promising younger contrarian scholars.

The second project, at the Manhattan Institute, identifies, rewards and publicizes “social entrepreneurs” who have launched imaginative unconventional projects. So far 25 winners have been chosen from hundreds of nominees. One, founded by a former foster child, helps foster children when they are “aged out” of foster care and suddenly expected to find their way in the world. They need time, shelter and coaching to make the difficult transition to independent living. Another puts thousands of volunteers to work removing tons of trash from the Mississippi and three other rivers. (At the presentation, the founder confessed he didn't know he'd been making social change, but “just picking up stuff”). A pair of innovators have enrolled 4,000 potentially delinquent kids, recruited 500 volunteer coaches and restored dozens of playing fields to form a new, popular baseball league in Detroit. One formed a mutual aid organization to provide low-cost non-profit health insurance to self-employed people. Another runs a one-year program to prepare minority young people for jobs in an economy where the demand for unskilled labor is in sharp decline.

In the third project, we are re-thinking the philanthropic mission. The principles that still guide conventional philanthropy are a century old. Now the present transformation is opening unfamiliar opportunities as more local, open, adaptable and democratic entities are being formed. Working with Donors Trust, our goal is to define an alternative philanthropy and identify its new possibilities. So far this has involved conferences, monographs, a continuing conversation on the net, and an effort to locate people who have recognized the need for a new philanthropic model and are willing to work with us on its development. □

Richard D. Kaplan

I have three broad areas of philanthropic interest:

A. Projects that I Devise, Pursue, and in which I Stay Directly Involved:

These include:

- Heritage Trails, New York
- University of California, Berkeley, College of Environmental Design
- Coudert Institute
- The New School
- Harvard School of Architecture

B. Projects that Others Devise to which I Contribute Grants, Ideas and Experience:

These include:

- Regional Plan Association (Board of Directors, Executive Committee)
- Forum for Urban Design (Board of Directors)
- SoHo Partnership (Board of Directors)
- Skyscraper Museum (Board of Directors)
- Royal Oak Foundation
- Environmental Simulation Center
- Gentlemen of the Garden
- Rocky Mountain Institute
- New York Stem Cell Foundation (new in 2006)

C. Projects that Others Devise to which I Contribute General Operating Support:

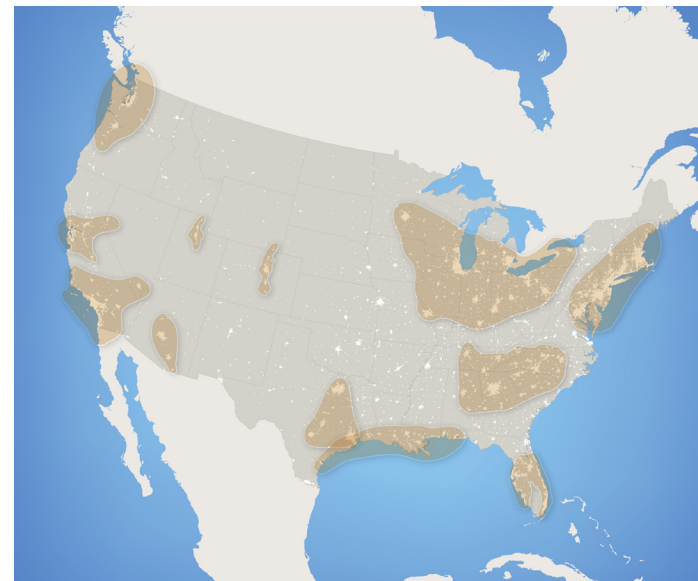
These include:

- Urban Stages
- Municipal Arts Society
- Fundacion Amistad / Cuban Artists Fund
- Hudson Opera House
- Hudson Community Hospital
- Beth Israel Hospital
- Friends of Hudson (stopped the cement plant!)
- Brooklyn Bridge Park

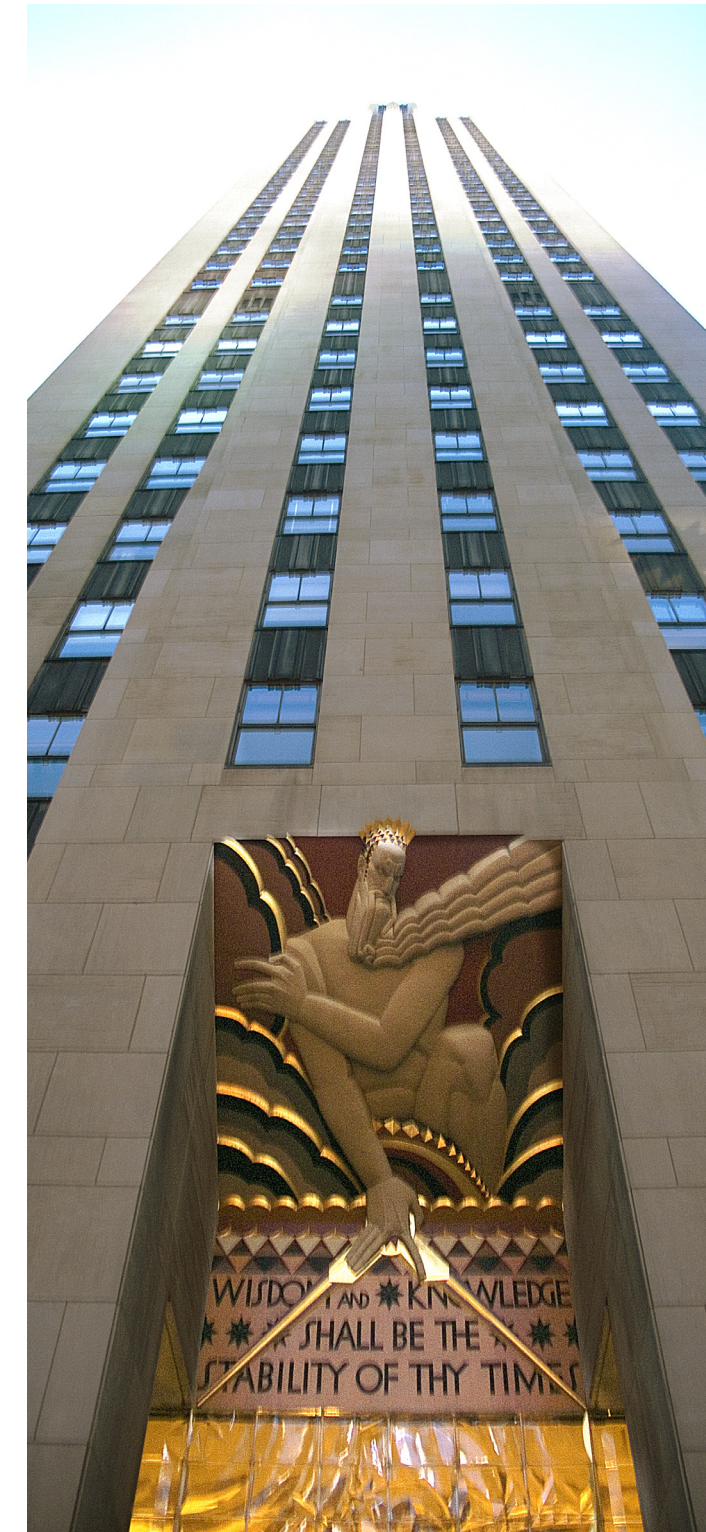
Within all three of the above categories, there are many common threads. Chief among them:

- **Architecture**
- **Theater**
- **Health**
- **Culture**
- **Cuba**

My grantmaking since 2000 follows the same patterns as before. Recently, I have devoted special time and interest to organizations or projects where my support and active participation seem to be particularly valuable to the development of the enterprise. I have found that I can often help in board-building, fundraising, and policy. I have a very close association with a few of these organizations, meeting and speaking with their operatives frequently, on both formal and informal bases. Among this special group are: Bob Yaro (Regional Plan Association), Frances Hill (Urban Stages), Amory Lovins (Rocky Mountain Institute), Dale Coudert (Coudert Institute), Carol Willis (Skyscraper Museum), and Henry Buhl (SoHo Partnership). □



“Emerging US Mega-Regions;” areas most likely to face dramatic increases in population over the next four decades. Research and map by USA 2050.



BOARD OF TRUSTEES

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Paulina Szwanke, *Administrative Assistant*

FINANCES

J.M. Kaplan Fund
December 31, 2005
(Unaudited)

Statement of Financial Position

<i>Assets</i>		
Cash and Cash Equivalents	\$	9,377,393
Investments (at market value)		141,741,538
Program Related Investments		825,000
Other		390,346
Total Assets	\$	152,334,277

<i>Liabilities and Net Assets</i>		
Total Liabilities	\$	836,348
Net Assets		151,497,929
Total Liabilities and Net Assets	\$	152,334,277

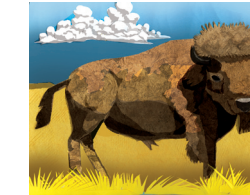
Statement of Activities

<i>Total Revenue, including unrealized gains</i>	\$	15,094,400
<i>Expenses</i>		
Grants Authorized		8,115,250
Other Expenses		2,065,879
Total Expenses		10,181,129
Increase in Unrestricted Net Assets		4,913,271
Unrestricted net assets, beginning of 2005		146,584,658
Unrestricted net assets, end of 2005	\$	151,497,929

GRANTEES, 2001 - 2005

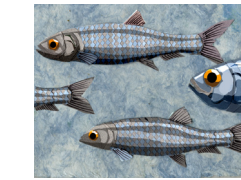
\$250,000 +

Atlas Economic Research Foundation
City Parks Foundation
Conservation Law Foundation
Critical Review Foundation
Donors Trust
Environmental Defense
Essential Information
Fuerza Ambiental, A.C.
Fundacion Amistad
George Mason University Foundation
Historic Annapolis



IUCN – The World Conservation Union
Malpai Borderland Group
Manhattan Institute for Policy Research
Marine Conservation Biology Institute
Migration Policy Institute
Museum of American Folk Art
National Immigration Forum
The Nature Conservancy
New York Foundation for the Arts
New Yorkers for Parks
Prospect Park Alliance
Regional Plan Association
Rocky Mountain Institute
SeaWeb
Transportation Alternatives
Trust for Public Land
Universidad Nacional Autonoma de Mexico
University of Hawai'i at Manoa
University of Miami
Wildlands Project
World Monuments Fund
World Wildlife Fund
World Wildlife Fund Canada

\$100,000 - \$249,000



ANAI
Brooklyn Bridge Park Conservancy
Brooklyn Public Library
Cape Cod Commercial Hook Fishermen's Association
Center for Reproductive Rights
City College 21st Century Foundation
City Lore
Cotidiano Mujer
Desert Caballeros Western Museum
Friends of the High Line
Fundacion Vida Silvestre Argentina
Heritage Trails New York Fund
Historic House Trust of New York City
Land Institute
Mayor's Fund To Advance New York City
Municipal Art Society of New York
National Environmental Trust
Natural Resources Defense Council
New York Immigration Coalition
New York Public Interest Research Group
North Country School
Northwestern University



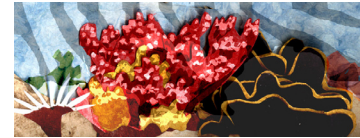
PEN American Center
POINT Community Development Corporation
Playwrights' Preview Productions

Poets House
Preservation North Dakota
Rainforest Alliance
Riverside Park Fund
Saint Ann's School
Saskatchewan Heritage Foundation
Seaside Institute
SoHo Partnership
Sonoran Institute
Southeast Arizona Land Trust
Take the Field
Thomas Sill Foundation
Union of Concerned Scientists
University of South Florida Research Foundation



GRANTEES, 2001 - 2005

\$50,000 - \$99,000



Alliance for Justice
 American Friends of The Churchill Museum
 Archaeological Conservancy
 Beth Israel Medical Center
 Bronx River Alliance
 Citizens Union Research Foundation
 Columbia Land Conservancy
 Columbia-Greene Hospital Foundation
 Conservation Council of New Brunswick
 Coudert Institute, Villa dei Fiori
 Council on the Environment
 Dalton School
 Dana Hall School
 DOCOMOMO International
 Ecology Action Centre
 Ensemble Studio Theatre
 ETV Endowment of South Carolina
 Food First
 Foundation for Self Sufficiency in Central America
 Free Africa Foundation



Friends of Cunningham Park
 Friends of Hudson
 Gilman School
 Grace Church School
 Greenwich Village Society for Historic Preservation
 Hester Street Collaborative
 Hudson Opera House
 Hudson River Heritage
 Hudson Waterfront Museum

Human Rights Watch
 Idea Wild
 Independent Press Association
 Irish Georgia Society
 Key School Latin American Workers Project
 Lower East Side Tenement Museum
 Metropolitan Oval Foundation
 Mexico-North Research Network
 Mirror Theater
 Morningside Area Alliance
 Museum of Arts and Design
 National Audubon Society



New York Association for New Americans
 New-York Historical Society
 New York Stem Cell Foundation
 New York Taxi Workers Alliance
 Northwest Atlantic Marine Alliance
 Nova Scotia Lighthouse Preservation Society
 Old Stone House of Brooklyn
 Open Space Institute
 Pew Charitable Trusts
 Pratt Institute
 Preservation League of New York State
 Queens Library Foundation
 Royal Oak Foundation
 Roza Promotions
 Saint John's College



Save the Children
 Sierra Club Foundation
 Skyscraper Museum
 Smithsonian Institution
 Society for the Preservation of Weeksville and Bedford Stuyvesant History
 Socrates Sculpture Park
 Sustainable South Bronx
 Times Square Alliance
 Urban Assembly
 U.S. PIRG Education Fund
 Westminster College
 Women's Commission for Refugee Women and Children
 World Heritage Tour
 Wyckoff House & Association
 YADDO



GRANTEES, 2001 - 2005

\$25,000 - \$49,000



Actors Center
 Adirondack Council
 American Civil Liberties Union Foundation
 American Farmland Trust
 Art Omi
 Asian Americans for Equality
 Association for the Protection of the Adirondacks
 Audubon Partnership for Economic Development
 Augustus Saint-Gaudens Memorial
 BAM Local Development Corporation
 Better World Fund
 Brennan Center for Justice
 Broadway Mall Maintenance Fund
 Bronx River Restoration Project
 Brooklyn Greenway Initiative
 Brooklyn Museum of Art
 Canelo Project
 Center for a Sustainable Economy
 Center for the Arts, Eagle Rock
 Center for Traditional Music and Dance
 Centro Uruguay Independiente
 Century Association Archives Foundation
 Children's Theatre of Annapolis
 City Limits Community Information Services
 Colorado College



Columbia County Historical Society
 Columbia University
 Coney Island USA
 Cornucopia Society
 Creative Time
 Culture Project
 Design Trust for Public Space
 Drawing Center
 Earl Manigault Walk Away From Drugs Foundation
 Forest Hills Community House
 Forest Park Trust



Foundation Center
 Freedom Institute
 Friends of Fort Tryon Park
 Friends of Gateway
 Friends of Hudson River Park
 Friends of Morningside Park
 Friends of P.S. 166
 Friends of Van Cortlandt Park
 Fund for New Citizens at The New York Community Trust
 Gateway High School
 Gentlemen of the Garden
 Greenpoint Manufacturing and Design Center
 Greenpoint Waterfront Association for Parks & Planning
 Horticultural Society of New York
 Institute for Urban Design
 Interfaith Center of New York
 International Labor Rights Fund
 LTV
 Marcus Garvey Park Conservancy
 Maryland Hall for the Creative Arts
 National Academy of Design
 National Park Foundation

National Results Council
 National Security Archive
 Neighbors Against Garbage
 New York Botanical Garden
 New York City Opera
 New York Regional Association of Grantmakers
 Northern Arizona University Foundation
 Northern Manhattan Coalition for Economic Development
 Project for Public Spaces
 Queens Botanical Garden Society
 Ragdale Foundation
 Riverdale Nature Preservancy
 Robert F. Kennedy Memorial
 Row New York
 Sadler's Wells Association
 San Francisco Art and Film Program
 Scenic Hudson
 Sound Portraits Productions
 St. Mark's Historic Landmark Fund
 Syracuse University
 Trees New York
 Tri-State Transportation Campaign
 University of California, Berkeley
 University of Florida Foundation
 W.A.M.C. Northeast Public Radio
 West Harlem Environmental Action
 West Side Montessori School
 Whitney Museum of American Art
 World Wildlife Fund Russia
 Yale University
 Youth Ministries for Peace and Justice



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*p4 Municipal Art Society, Carnegie Hall Archives
p6 Bill Steen
p7 Malpai Borderlands Group, Conservation
Law Foundation, Dale Bentley
p8 Rebecca Bruce, Bill Steen.
p9 Bill Steen, Cape Cod Commercial Hook
Fishermen's Association (CCA/HFA)
p10 Dale Bentley, John LaChapelle, Tito Dupret
p11 Migration Policy Institute
p12 Bill Steen
p16-17 A Andrew Moore
B Bronx River Alliance
C-E New York Harbor School
F Bill Steen
p18-19 A Bill Steen
B Brotherhood/Sister Sol
C-E Prospect Park Alliance
F City Parks Foundation
G Peter Wohlsen
p20-21 A, B & D Bill Steen
C Richard Kwaku Amoah
E New York Harbor School
p22 David Zickl
p26-33 Bill Steen
p34-35 A&E CCHFA
B-D Conservation Law Foundation
p36-37 A, B, E & F Ecology Action Centre
C & D NURC NA&GL; artist Mary Jane Brush
p40-41 A-D & H Diane Hargreaves (hargreavesphoto.com)
E American Prairie Foundation
F, G & J Ed Ledhowski
I Valerie Bruchon
p42-43 A-D, F & H Dale Bentley, Preservation
North Dakota
E, G & I Manitoba Churches Project
p46-49 John LaChapelle
p50 NASA
p52 A Deep Sea Conservation Coalition
B Conservation International
p53 A & D John Bennett
B & C Tito Dupret
p54 Migration Policy Institute
p59 Athena Steen
Back cover Bill Steen*

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