The Human Dynamics of Homeland Security
An Arizona State University Research Initiative

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The Human Dynamics of Homeland Security
An ASU Research Initiative
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The Human Dynamics of Homeland Security
An ASU Research Initiative
White Paper

The Human Dynamics of Homeland Security, an Arizona State University interdisciplinary research initiative, emanates from the place and space of ground zero to investigate the layering of homeland security on the array of human concerns about safety among people living and operating in the nascent, and strategically significant, region of the southwestern United States. It is a region of rapid urban development and a place where the global divide of north-south is crossed. It is a place where the politics of scale—the local, regional, national, transnational and global—is hotly contested with questions about membership, allegiance and alignment in vigorous negotiation. It is a region where diversity and the fluidity of identities are richly in play.

This research initiative seeks to explore the cumulative effects of homeland security on the basic human security of people living in, and moving through, the United States. Their experiences may vary dependent upon individual, family or group identity, affiliation, socioeconomic status or geographic location. As the apparatus of homeland security moves beyond the sudden reaction to terrorism and becomes a permanent feature of the U.S. political and governmental landscape, the mechanisms and propositions of homeland security present a robust array of issues best addressed through academic research and inquiry. This white paper is intended to secure support for planning grants to design a series of developmental field projects related to topics identified by an interdisciplinary and multi-campus team of ASU faculty and researchers.

The anticipated disruptions and alterations of everyday life induced by, and through, homeland security may be harbingers of larger disruptions in the social, economic, political and cultural fibers of everyday life in a region in the midst of rapid change. The population of Arizona is in almost constant adaptation to social and economic diversification, urbanization, infrastructure expansion and natural and human resource management. Arizona is now entering a third decade of enormous population growth and migration wherein the contiguity of local, regional and
national sentiments, transnational relations and global speed are key organizing factors of daily life. Alternatively, the anticipated changes prompted by homeland security may be relatively isolated, and less significant, than the strains and challenges of adaptation already evident.

Regardless of the severity of disruption, mapping the significance of homeland security onto the human security dynamic of everyday life in this vibrant region of the United States will provide critical knowledge about the well-being of its people and the strength of its governments and institutions. Such knowledge will enable pointed investments in targeted educational and direct service programs intended to foster the successful maturation of this strategic region.

**Purpose**

This initiative will develop critical studies of the changing dynamics of human security in post-9/11 United States. To date, human security has served as a guiding concept for international organizations and scholars, focusing particularly on severely stressed international regions of the globe. In this research initiative, human security is an organizing concept for investigating: (a) how people situated differently in terms of their identities and spatial movements are made less or more secure, and act on their security concerns; (b) how shifts in community concerns, governmental policies and media blitzes about security are constituted and communicated and; (c) how individuals, groups and organizations imagine, adapt, network and act on authoritative pronouncements about security.

**Guiding Questions**

Academic research on the human dynamics of 9/11 and homeland security has begun along two tracks. One strand of current inquiry focuses on the pragmatic of risk assessment while the second addresses the criticality of liberties to security. The ASU initiative combines the critical and the pragmatic by contextualizing homeland security within the larger array of human concerns about security and brings focus to the local and the everyday in conjunction with the global and transnational.
The ASU team draws upon spatiality, diversity, and identity to explore how people perceive and act upon human security in their everyday lives amidst the overlay of 9/11 and the burgeoning framework of homeland security. The research is guided by the basic proposition that processes crucial to achieving and maintaining human security are being disrupted and altered by this overlay, and that the intensity and direction of these changes are contingent upon who people are, their organizational capacities for negotiating the politics of scale, and the spaces and places of their everyday lives.

This ASU initiative seeks to undertake a series of focused field research projects that analyze how people imagine, understand and act upon human security concerns amidst the complex overlay of 9/11 and homeland security. Critical components of this endeavor spring from an understanding of identity and membership across multiple settings, the apparent and hidden meanings incorporated in warnings provided by authorities and multiple media sources, and the spaces, places and movements that define everyday lives. Guiding questions include:

1) What are people’s concerns about human security and how are these concerns communicated and acted upon among people in different subject positions, including racial, ethnic, generational, sexual, class, gender, and citizenship groupings?

2) Whose perspectives on security prevail in a particular setting, group or organization? Whose security is enhanced, and whose is diminished, by homeland security, and in what ways?

3) How do crises in human security, on local through global levels, impact and transform the dynamics of interpersonal, group and organizational relations?

4) What is the significance of having a stable public identity, one that can be revealed openly, and how does the relative security of people’s identities influence their ability to pursue homeland security, both individually and collectively?

5) How is security defined in relationship to movement across places and through spheres of human activity?

6) How is security negotiated in the context of the workplace, particularly where danger, safety and/or
diversity are defining features of organizational environments?

Rationale for Investment

To date, human security as a field of inquiry and practice has focused almost exclusively on the most tenuous and stressed regions of the planet. While this initiative is set in American society, it focuses heavily on the state of Arizona, a state in the midst of rapid urbanization and significant population growth and diversification from immigration and migration. Arizona, while removed from the grounds of 9-11, is a focal point of homeland security, natural and human resources management, and the contiguity of national sentiment, transnational relations and global transfers of people, capital and information.

Uncovering the constructive and disruptive qualities of the new security apparatus on everyday safety, wellbeing and civic participation is of particular significance where adaptation processes are already in constant change and renegotiation. Moreover, the discovery of local adaptation, crucial to the relative success of any planned security arrangement, is enhanced in an unsettled environment where human relations are evident in the raw. Codifying and analyzing the material, cultural, communicative, relational and organizational processes of local adaptation is the critical first step in the transfer of ideas from the intellectual to the educational and operational.

Over the past five decades, American philanthropy has invested heavily in direct programs and research designed to establish peace, develop strong community infrastructure and encourage democracy in highly contested states and regions around the world. With the events of 9/11, Americans began to experience the panoply of fears, concerns and terror that had previously been hallmarks of nation-states under siege or in war. As the U.S. government attempts to incorporate this stark, new reality with the standards of life and security that Americans have enjoyed for generations, private foundations will be called upon to invest domestically in ways similar to their historical support of targeted educational and direct service programs abroad. In the next several years, the shape and intent of American homeland security will become more clear and defined. The opportunity exists now for serious inquiry and research to illuminate the many checks and balances required to assure that homeland security and
American plurality/multiculturalism succeed and flourish together.
Development of the Research Agenda

Planning grants are required to transform topics into a series of field research projects and calibrate research designs and methods that enable valid and reliable discoveries of local adaptive processes attributable specifically to the dynamics of 9/11 and homeland security. An interdisciplinary organizing team of faculty and academic professionals whose research is related to human safety, wellbeing and civic participation will lead the planning of this research agenda. The team's past individual work, research in communication, organizational behavior, information technology, diversity and identity, public health, urban affairs, crime and justice, public administration, immigration and migration, social and physical geography, and social problems, sets the stage for a series of interrelated developmental field studies.

In the initial stage, funding will be used to sample and convene a representative group of regional news reporters, emergency response leaders and activist citizens in focused group settings to abstract narratives about the unique additive effects of 9/11 and homeland security on existing regional security concerns. By analyzing these narratives both inductively and deductively, separate research teams intend to uncover new dimensions and validate the guiding questions of this initiative. Secondly, once this initial phase is complete, the group will circulate nationally a working paper that outlines a set of proposed field studies and commissions critical responses to the research plan. Finally, a subgroup of this national network, consisting of eminent scholars, philanthropic and research program officers, and prominent innovators in relevant fields of inquiry (e.g., public health, law enforcement, journalism) will offer a final critique and suggested revision of the extended research plan.

Research teams will form around points of convergence (e.g. record of scholarship on ethnicity and identity) and divergence (e.g., survey researchers; ethnographers) and involve graduate students in all phases of the endeavor. Such formations of comfort and tension have the greatest potential to advance knowledge while enhancing the development of a new transdiscipline on the complex human dynamics of homeland security. These teams will seek funding to conduct an interrelated series of field research projects, maintain communication networks to enhance the usability of research results, and draw on ethicists and practitioners in combination with research teams to identify local adaptation processes as best practices. The teams will design tools to
further diffuse these innovations in a way that is sensitive to local environments. Educational products, targeted to special audiences (e.g., nonprofits, news media) as well as particular educational environments, such as universities or K-12 classrooms, will be developed, tested and disseminated.

**Potential Project Topics**

The New Border Wars  
In/securities of Urban Living  
Securing Identities in the Information Age  
Organizing Security as Local Enterprise  
Coming Home from Wars  
Remembering Homeland Security
The New Border Wars

The border region of Mexico and the southwestern U.S. is an epicenter of homeland security activities. State security measures, both in terms of personnel and technologies of control, have been greatly enhanced along the Mexico-Arizona border. Property owners on the U.S. side of the border have organized and represent a second-wave of border surveillance and policing. Humanitarian organizations and advocates for immigrants have made their presence felt in the border region as well. Smugglers who specialize in moving immigrants across the border have adapted their methods in response to heightened surveillance and scrutiny of the border. Immigrants from Mexico, and Central and South America continue to attempt to enter the U.S. illegally to advance their wellbeing. Cross-border commerce related to the transportation of products and tourism remains crucial on all scales, local to global.

Border Patrol Warns Against Aiding Immigrants (Susan Carroll)
The Arizona Republic, October 24, 2002
The U. S. Border Patrol has issued new guidelines warning that transporting illegal immigrants to hospitals or churches could result in prosecution.

Deadliest Trail in U.S. (Daniel Gonzalez)
The Arizona Republic, August 27, 2003
The Tohono O’odham Nation is witnessing a surge of undocumented immigrants trekking northward, turning the Baboquivari Trail into the deadliest immigrant crossing in the nation.

Border Agents Ready to Quit (Hernan Rozemberg)
The Arizona Republic, January 15, 2003
Union leaders warn that national security soon will be jeopardized because thousands of immigration agents, including members of the Border Patrol, will quit before facing new regulations stripping them of all employee rights.

Arizona Border-Crossers Sent to Texas (Luke Turf & Susan Carroll)
The Arizona Republic, September 9, 2003
The U. S. Border Patrol on Monday began flying and busing hundreds of undocumented Mexican immigrants caught in Arizona to four cities in Texas.

Vigilantes Stir Fear at Border (Luke Turf)
The Arizona Republic, December 9, 2002
Agua Prieta, Sonora – Mexicans hoping to cross the border in search of a livelihood are becoming increasingly alarmed. Word is getting out in this border town about armed vigilante patrols trying to keep them out.

Migrant Death Toll Sets a Grim Record (Susan Carroll)
The Arizona Republic, September 5, 2003
The undocumented-immigrant death toll hit 146 on Thursday, making this the deadliest year on record for Arizona.
Research Questions What are the relational, commercial and power dynamics among crucial stakeholders in border control and border crossing? How are conflicts of scale (e.g., local/national), and of cultures being managed? How are established networks of individuals, groups and organizations adapting to changing border conditions and how are networks, new and newly adapted, changing the conditions of the borderland? How is the new order of border control influencing the human security of people living and moving across the borderland?
In/Securities of Urban Living

Rapid growth and economic development, waves of migration and immigration, and the flux of human transience interface with neighborhood associations, generations of native residents, school rivalries, ethnic commercial areas, and historical preservation in the “new” urban landscape of the American Southwest. Historically, Arizona has been a place where new arrivals shed their old identities and attachments, recreating themselves anew. The name of the Arizona state capitol, Phoenix, is based on this concept of birth and renewal springing from the ashes of a former self and existence. The vast space and fluid social and economic environments attracted people whose hopes and aspirations were larger than their pasts. New communication and information technologies have contracted the distance literally between old and new lives, and not always for the better. In this environment, a Sikh American was murdered as the first deadly hate crime directly tied to the events of 9/11.

U.S. Probes Possible Threat to Arizona Nuclear Plant (Deborah Charles)
Environmental News Network, March 21, 2003
The Bush Administration said Thursday it was investigating a possible threat against the giant Palo Verde power plant in Arizona, the nation’s largest nuclear plant.

Smuggling Ploy: Drive Wrong Way, Lights Off. “Coyotes” flee on I-8 toward San Diego (Elliot Spagat, AP)
The Arizona Republic, September 20, 2003
Transporting undocumented immigrants into the United States has taken a new direction: Smugglers are driving the wrong way on a stretch of Interstate 8 to avoid apprehension. A 30-mile stretch of the freeway east of San Diego is turning into a nightmare for motorists. Many residents say they avoid the remote area after dark.

Preparation Eases Anxiety, Mormon Women Suggest (Michael Clancy)
The Arizona Republic, September 9, 2003
At a time of terrorist alerts, gasoline shortages, power failures and job layoffs, the women of the Church of Jesus Christ of Latter-day Saints believe they can ease anxiety. The trick, they say, is to be prepared for any eventuality... foodstuffs, mostly non-perishable staples like grains, beans, powdered milk, salt, water and sugar or honey, line the walls of ...bedroom(s), fill ...children’s closets and dominate the kitchen pantry. Using church guidelines, a family ...with three teenage boys, needs to store more than 2,500 pounds of food for a year’s supply.

Cities Overwhelmed by Home-land Security Demands (AP)
AP, Monday, June 30, 2003
The state’s $38.6 M in homeland security grants is in line
with the national average but paltry for $46 million.

Research Questions Whose identities are suspect, how is suspicion communicated, and how do those who are targeted adapt their everyday lives to being suspect? How have the media and government narrated 9/11 and the development of homeland security? How have these and other organizations contributed to, or alleviated, suspicions about specific groups of people? How does fear of the suspected, or fear of being suspected, prompt physical violence, alter where people live, how they engage in commerce, receive education, and/or partake of recreation and represent themselves in public places? How has target hardening of airports or arenas influenced the composition and size of urban populations who move through these places?
Securing Identities in the Information Age

In September of 2003, the U.S. Attorney for Arizona organized a public forum on the USA Patriot Act. Many participating in the forum and in radio and television talk shows that followed, focused on whether and how homeland security signaled shrinkage of privacy rights. People have personal identities that they both share and protect. Personal decisions about what to share and what to withhold, and with whom, is at the core of the security that comes with privacy rights.

Administration Creates Center for Master Terror “Watch List” (Eric Lichtblau)
The New York Times, September 17, 2003
The Bush Administration announced the creation of a new counterterrorism center today intended to develop a master “watch list” of more than 100,000 terrorism suspects and avoid the communication breakdowns that plagued the federal government before the Sep. 11 attacks. Civil rights advocates said they worried that the new process would give the government greater power to track and compile information on Americans and others who may have no clear links to terrorism. Law enforcement officials pledged to respect privacy and civil rights while improving national security.

Airline Gave Defense Firm Passenger Files (Philip Shenon)
JetBlue Airways acknowledged publicly today that it had provided a Pentagon contractor with information on more than one million of its passengers as part of a program to track down terrorists and other “high risk” passengers. That data, which was turned over in violation of the airline’s own privacy policies, was then used to identify the passengers’ Social Security numbers, financial histories and occupations.

Privacy rights groups expressed astonishment that JetBlue had shared so much passenger information with a contractor, describing the privacy breach as among the most serious reported by any American company in recent years. JetBlue’s announcement comes at a time when many civil liberties groups are warning that privacy rights are becoming victims of the government’s struggle against terrorism and the desire of law enforcement and intelligence agencies for quick access to customer information that has traditionally been closely held by corporations.

Research Questions How have people altered these decisions in the wake of 9/11? Who is more willing to share and more determined to protect their personal identities and why?
How are personal identities protected on the Internet and what is the reliability of these protections? How has homeland security changed these protections and to what effect? How effective are individual efforts to protect their identities and how do information systems enable and hinder these efforts? How are public libraries, targeted by government agencies post-9/11, developing protocols and systems to contribute to homeland security? How do public agencies protect the personal security of their patrons? What ethical guidelines are most appropriate for making these decisions, including whether, and how, personal data should be shared, or combined, between government and corporate spheres?
Organizing Security as Local Enterprise

The U.S. national government has orchestrated homeland security and is the primary source of revenue for transforming planning into practice. The everyday of implementing homeland security is substantially a local enterprise that enlists the workplaces and personnel of municipalities, counties and states and nonprofit organizations with a history of engagement in law enforcement, emergency services and disaster relief. Some of the largest governmental task forces formed to put homeland security into practice operate in the American Southwest. Associations of local organizations, governmental and private non-profits, convene in the cities of the Southwest to coordinate and advance their interests in homeland security.

The call to arms is taking toll on ‘hometown security’

(Laurel Sweet)
Boston Herald, February 1, 2003
The country’s call to arms already is taking a toll on overstaxed, understaffed police and fire departments being raided by the military at the peril of “hometown” security, officials worry.

Report: Arizona may sit out orange alerts

(UPI) June 1, 2003
Budget and personnel constraints have become enough of a burden that Arizona officials are giving serious consideration to taking a pass the next time the nation’s terror alert status is raised to orange, the Arizona Republic said Sunday...

All Security is Local

(John DeStefano, Jr.)
Since Sept. 11, 2001, cities large and small have collectively spent more than $3 billion of their own funds to help cover the extraordinary and specific added costs of protection, equipment, training, planning and other aspects of heightened security for public facilities of all kinds.

9/11 Curbed Ariz. Refugee Flow (Angela Cara Pancrazio)
The Arizona Republic, October 4, 2003
The number of refugees settling in Arizona remained flat in the past fiscal year, a reflection of the chilling impact of the 2001 terrorist attacks and immigration policies...Arizona resettlement
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Last fiscal year was 45 percent of what it was in fiscal 2001, when 2,555 refugees arrived. There are 14 million to 16 million refugees worldwide who continue to be in harm’s way...Sudanese refugee Rosa Weet, 39, the mother of six children, has not seen her husband for 15 years. He was approved for resettlement in 2002. That doesn’t guarantee the family will be reunited. She was pregnant with a daughter when she came to the (U.S.). Her daughter is 13 now. “It’s like a dream to see my husband. I don’t know if I’m going to see him or not. I hope everyone prays to let him come here.”

Research Questions

How are the federal requirements for homeland security added to the work of state and local governments influencing their fiscal security and policy priorities? How are local agencies and their employees adapting federal initiatives to their own cultures and expectations? What role do citizen groups, often organized by and affiliated with local governmental and private non-profits organizations, have in the local enterprise of homeland security? What are the tension points as the scale of national policy interfaces with the politics of local governance? How do street-level workers respond to the training and practices associated with homeland security within and across their organizational affiliations? How well networked are the local agencies engaged in the everyday implementation of homeland security?
Coming Home from Wars

The American Southwest is home to a substantial number of regular military, reserve and national guard units that are serving tours in war-torn countries, such as Afghanistan and Iraq. Rather than viewed as liberators, American military personnel may more frequently have felt local hostility during their foreign deployment. These soldiers will be required to adapt their war lives to home and work lives. This process of re-entry, aided by the military, will require time and effort. The everyday process of re-entry will unfold in homes, workplaces, and other local community settings and require the involvement of family members, friends, neighbors and co-workers.

Research Questions What are the impacts of these military operations on returning soldiers, their families, workplaces and communities? How are differences in coming home related to the identities of veterans and to the places of home, work and family life? How do the experiences of the new wave of veterans compare to earlier waves of returning veterans? What are the diversity and the composition of the community and social infrastructure designed to support the military and their families?
Remembering Homeland Security

The Southwest was a region of internment due to World War II and governmental, media and public responses to the Japanese attack on Pearl Harbor. During World War II, federal authorities appropriated American Indian lands to build internment camps. These internment camps were set up against the wills of both American Indians and Japanese Americans. Internment was a central feature of U.S. policies and practices towards southwestern American Indian nations in the 19th Century.

Long Ago, Not Forgotten: Japanese Americans Recall Bigotry, Hardships
Phoenix Gazette, May 6, 1988

Japanese-Americans who lived through the racial animosity and mass internments of World War II are inclined to look back with wonder, as if the events of the time had happened somewhere else, to someone else; not in the United States, not to them. History recounts that many Americans supported the detentions as one of a number of extreme measures to ensure national survival.

Riding Across America for Immigrant Workers
(Steven Greenhouse)
The New York Times, September 17, 2003

Borrowing a page from the civil rights movement, immigrants rights groups announced yesterday that they would stage an updated version of the 1960’s Freedom Rides by sending 18 buses across the nation to draw attention to the plight of many immigrants. In organizing this “Immigrant Workers Freedom Ride,” the groups, with labor unions and civil rights organizations, hope to persuade Congress and the public to back legislation to give legal status to millions of illegal immigrants. The buses will begin heading east from Los Angeles, San Francisco and Seattle next week. The riders will stop in dozens of cities for rallies and will meet other riders in Washington for a rally and lobbying effort.

Research Questions
How do surviving American Indians narrate the appropriation of their lands to build internment camps during World War II? What are the memories of surviving Japanese Americans who lived in these internment camps? How are these memories used in interpreting the events of 9/11 and policies related to 9-11 for survivors, their families and communities? How do the enduring stories from these experiences compare and contrast with the emerging stories of 9/11 and the new homeland security, particularly as narrated by Muslim and Arab Americans?
Demographics of the Research Setting

Nearly one in five Americans speaks a language other than English at home, the Census Bureau says, after a surge of nearly 50 percent during the past decade. Most speak Spanish, followed by Chinese, with Russian rising fast. About 47 million Americans age 5 and older used a language other than English in 2000, the bureau said—compared with roughly one in seven 10 years earlier. In Arizona, nearly 26 percent of those age 5 and older, or 1.2 million people, speak a foreign language at home, the sixth-highest proportion among all states. About 540,000 of those people, or 11.4 percent, say they speak English less than “very well.” That also ranks the state sixth in the nation, behind California, Texas, New York, Hawaii and New Mexico. Arizona has the fourth-highest proportion of Spanish speakers, at 20 percent, or 927,000 people. (Associated Press, 10/9/03)

The economy’s woes haven’t stopped development, which continues to be fueled by the state’s strong population growth. During 2002, the Valley’s population grew by almost 90,000 people. That’s less than during the area’s peak growth years in the late ’90s, but still surprisingly strong considering Phoenix lost jobs during the same period. (The Arizona Republic, 10/5/03)

Nevada led all states in the mobility of its population—63 percent were movers. Colorado and Arizona followed at 56 percent each. California, Nevada and Arizona had the highest proportion of people who changed residences within the same county, about 31 percent each. (U.S. Census Bureau, 9/23/03)

In 2000, about 60 percent of the U.S. population lived in the state where they were born. Louisiana, Pennsylvania and Michigan had the highest proportion of residents who lived in the state where they were born (79%, 78%, and 75%) while Nevada, Florida and Arizona had the lowest (21%, 33% and 35%). (U.S. Census Bureau, 9/23/03)

Maricopa fastest-growing big county in U.S.
In the two years since the 2000 census, Maricopa County averaged adding over 280 new residents each day, growing at over a 3% clip. The next highest large county, Houston’s Harris County, grew at just over 2% annually. (The Arizona Republic, 4/17/03)

Phoenix counts its many challenges
Of the four states bordering Mexico, Arizona had the greatest Hispanic population increase, in percentage terms during the [1990’s]: 76.7 percent, compared with 46.1 percent for Texas, 33.4 percent for California and 23.5 percent for New Mexico. (The New York Times, 4/11/01)

Arizona’s 40 percent growth made it the nation’s second fastest growing state, behind Nevada’s 66 percent pace. But Nevada absorbed only about half as many newcomers and newborns as Arizona.

Arizona grew more than three times as fast as the rest of the nation in the past decade, becoming home to more than 5.1 million people. The official population count, 5,130,632, was nearly 1.5 million more than in 1990, surprising even experts who have experienced Arizona’s dramatic growth firsthand. (The Arizona Republic, 12/29/00)
Deadlines:
Applications are considered throughout the year. Normally applicants may expect to receive within six weeks an indication of whether their proposals are within the foundation’s program interests and budget limitations.

Grant size:
For example, in 2002 the foundation received about 40,000 grant requests and made 2,510 grants. Of that number, 30 percent were first-time grant recipients.

Low of $20,000 to high of $1+ M
Planning grant range: $75 - $150,000

Research Priorities

A fundamental challenge facing every society is to create political, economic and social systems that promote peace, human welfare and the sustainability of the environment on which life depends. Relevant priorities are:

- **Peace and Social Justice**
  - Human rights in U.S. Grants focus on the rights of women, migrants, refugees and marginalized ethnic and racial groups. A new justice sector portfolio supports reforms in policing, penal system and judicial process.
  
  Bradford K. Smith, VP

- **Governance and Civil Society**
  - Supports efforts to improve government performance, policy making and accountability and builds public awareness. New areas: increase participation in public affairs beyond voting.
  
  Michael Edwards, Director

  Natalia Kanem, deputy to the VP

Format for Contact

Before a request is made for a grant or program-related investment, a brief letter of inquiry is advisable to determine whether the foundation’s present interests and funds permit consideration of the request.

The letter should include:
- The purpose of the project for which funds are being requested
- Problems and issues the proposed project will address
- Information about the organization conducting the project
- Estimated overall budget for the project
- Period of time for which funds are requested
- Qualifications of those who will be engaged in the project.

After receiving the letter, foundation staff members may ask the grant seeker to submit a formal proposal. There is no grant application form. The proposal should include:
➢ The organization’s current budget
➢ A description of the proposed work and how it will be conducted
➢ The names and curricula vitae of those engaged in the project
➢ A detailed project budget
➢ Present means of support and status of applications to other funding sources
➢ Legal and tax status.
Deadlines:
The Foundation gives prompt consideration to all requests/applications. The initial review may take up to three months to complete. If the proposed project falls within the Foundation's Programming Interests and Guidelines and resources are available, the applicant may be asked to develop a more detailed proposal.

Grant size:
Written requests/applications should be addressed to:

Mrs. Deborah A. Rey
Supervisor of Proposal Processing
W.K. Kellogg Foundation
One Michigan Avenue East
Battle Creek, MI 49017-4058

In similar areas: $50,000 - $700,000

Planning grant target size:
$50,000 - $200,000

Research Priorities

The mission of the W.K. Kellogg Foundation, "helping people help themselves," is at the heart of issues surrounding devolution. The Devolution Initiative, begun in 1996, was designed to build on the Foundation's historical and ongoing interests and investments in developing the capacity of people to shape and improve the quality of life in their neighborhoods and communities. The Devolution Initiative provides support to researchers, policy analysts, state, and national organizations to build the capacity of community leaders to work together to accomplish three primary goals:

- Create an objective information base about the impact of devolution that is useful and usable to a broad group of stakeholders, including community members;
- Share the findings with policymakers and the public; and
- Use the information and other community resources to promote public participation in informing policy agendas and decisions.

Currently, the Devolution Initiative consists of 19 national grantees with activities in over 40 states with focused state work: Florida, Mississippi, New York, Washington, and Wisconsin.

Format for Contact

The Foundation does not have pre-printed application forms, but encourages grant applicants to submit their requests electronically using the Foundation's online application/form. Grant applications are also accepted through the mail. The content of the initial contact should include certain pieces information.

Those who do not wish to apply electronically should submit a preproposal letter through the mail (address provided at the end of this section). The preproposal should be up to five pages in length and contain the following minimal information:

- contact name
- legal organization name (please spell out acronyms where possible)
- complete street and mailing address
- phone numbers and e-mail addresses (where possible)
- grant purpose statement (40-50 words maximum)
- total dollar amount requested
- project activities, objectives, targeted audience(s), operational procedures, and time schedules (or anticipated duration of the proposed grant)
- anticipated outcomes/impacts/sustainability
- personnel and financial resources available and needed.

Preproposals submitted electronically should use a Word/WordPerfect format or entered into our online form. Preproposals sent through the mail should be submitted on standard-size (8-1/2" x 11"), light-colored paper. If choosing to submit the preproposal via mail, please do not provide a plastic-bound or expensively produced document.
Deadlines: Applications are accepted throughout the year. The Foundation will send notification that a letter of inquiry was received, and will direct it to the appropriate staff members for review. If as a result of that review the Foundation concludes that there is no prospect of Foundation funding, prompt notice will be given.

Grant size: Range: $15,000 - $1+M. Planning grant range: $75,000 - $100,000.

Research Priorities

The Program on Human and Community Development operates primarily within the United States. Issues of interest to the program include community development; regional policy; affordable housing, with a particular emphasis on the preservation of rental housing; and system reform in education, juvenile justice, and mental health.

This Program focuses on efforts to understand and derive positive benefits from the relationship between people and place - their home, community, city and region. It aims to advance reform of systems through which investments in individuals in trouble, in need or who face obstacles can return powerful dividends to the community and the economy; and to support policy research and its practical application to significant social and economic issues. Its grantmaking areas include community capacity, stable and affordable housing, regional policy and practice, juvenile justice, mental health and education, and policy research.

Format for Contact

How To Apply For Grants

The best first step in applying for a grant is to submit a one-page summary and a two- to three-page letter of inquiry. Please do not send the letter of inquiry by fax. Send it by mail to the Office of Grants Management at the Foundation's Chicago address or by e-mail to LOI@macfound.org.

One-page summary
- Information regarding who will carry out the work
- Name of your organization
- Name of chief executive officer or person holding similar position
- Organization's address, phone number, fax number, and e-mail address
- Name and title of the principal investigator, if different from the above.

Letter of inquiry: no set format, but include the following:
- Name or topic of the proposed project or work to be done
- A brief statement (two or three sentences) of the purpose and nature of the proposed work
The significance of the issue addressed by the project and how it relates to a stated MacArthur program strategy
How the work will address the issue
How the issue relates to your organization, and why your organization is qualified to undertake the project
Geographic area or country where the work will take place
Time period for which funding is requested
Information about those who will be helped by and interested in the work and how you will communicate with them
Amount of funding requested from MacArthur and total cost (estimates are acceptable).
The Andrew W. Mellon Foundation
140 East 62nd Street
New York, NY 10021
212-838-8400
(f) 212-223-2778
http://www.mellon.org

Deadlines:
None for initial contact letter

Grant size:
Average Grant Size: $50K - $2M
Planning grant: $75 - $100,000

Research Priorities

The Foundation supports a wide range of initiatives to strengthen selective research universities in the United States, with particular emphasis on the humanities and "humanistic" social sciences. The Foundation’s interests in this area include (but are not limited to) doctoral education, post-doctoral fellowships, faculty research support, and discipline-related projects. Grants have also supported research on the economics, sociology, the history of higher education, and science and society.

A revision of the Foundation’s programs for research universities and humanistic scholarship occurred in 2000. Emphasis has shifted from providing substantial resources for graduate training in the humanities and related social sciences to sustaining scholarship at all phases of the professorial career. One fundamental premise in the Foundation’s philanthropic philosophy is that the effectiveness of scholars and that of the institutions at which they work are interdependent. A second premise is that disciplinary boundaries shift and that the blending of disciplinary specialties has real scholarly potential when strongly rooted in particular disciplines. In 2001, the Foundation initiated two competitive fellowship programs designed to support junior faculty members in their pursuit of tenure. Fellowships for mid-career faculty members may support new directions and efforts at cross-disciplinary scholarship. Finally, Mellon also provides two types of institutional support: (1) directed support for university humanities centers to increase their contributions to teaching and research and strengthen opportunities for intellectual exchange and (2) institutional collaborations.

Format for Contact

The Andrew W Mellon Foundation works with grantee institutions prior to and as an integral part of all grant-making. Unsolicited proposals are rarely funded. Prospective applicants are therefore encouraged not to submit a full proposal initially, but a short query letter that sets forth the need, nature, and amount of their request, along with evidence of suitable classification by the Internal Revenue Service. The Foundation does not make grants to individuals. Please direct inquiries to appropriate program officers. Contact should be by writing or email.

Harriet Zuckerman, Senior Vice President
Joseph S. Meisel, Program Officer
Bernard Bailyn, Senior Advisor

5/15/04The Human Dynamics of Homeland Security: An ASU Research Initiative 28
Phillip A. Griffiths, Senior Advisor
J. Paul Hunter, Senior Advisor
Deadlines: Grant size:
Organizations seeking grants should begin the application process at least four months before the start of the proposed grant period. Foundation staff must finalize grant recommendations for any given calendar year by September 30 of that year; proposals received after that date likely will not be considered until the following year. Both multi- and single-year proposals are acceptable, as are those for shorter periods.

$100-500,000
Varies see attached examples.

Research Priorities

Charles Stewart Mott's central belief in the partnership of humanity was the basis upon which the Foundation bearing his name was established. While this has remained a guiding principle, the Foundation has refined and broadened its grantmaking over time to reflect changing national and world conditions.

Through its four programs, and their more specific program areas, the Foundation seeks to fulfill its mission of supporting efforts that promote a just, equitable and sustainable society.

Inherent in all grantmaking is the desire to enhance the capacity of individuals, families or institutions at the local level and beyond. The Foundation hopes that its collective work in any program area could lead toward systematic change.

This site provides detailed information about the C.S. Mott Foundation's programs - Civil Society, Environment, Flint Area and Pathways Out of Poverty.

Format for Contact

General Application Guidelines
The Foundation has no formal application form. Letters of inquiry, including a brief description of the project and the range of needed funding, are the initial contact.

Specific Program Guidelines: Civil Society
The Civil Society program prefers that the following items be included when submitting proposals for funding:

- A cover letter detailing the amount of money requested and the grant period, and signed by the person ultimately responsible for signing grant contracts on behalf of grant applicant.
➢ The project description, including an explanation of why the project is needed, who will be served and what will be accomplished during a specific period of time.
➢ Information on the feasibility and sustainability of the proposed grant activity.
➢ Information on lasting benefits to the organization, program participants, the community or other organizations working in the field.
➢ An appropriate plan for evaluation, reporting and dissemination.
➢ A documented line-item budget, as well as a revenue budget, showing all projected sources of funds for the proposed grant period.