

Form **990****Return of Organization Exempt From Income Tax**

OMB No. 1545-0047

2010**Open to Public
Inspection**Department of the Treasury
Internal Revenue ServiceUnder section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung
benefit trust or private foundation)

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

A For the 2010 calendar year, or tax year beginning January 1, 2010, and ending December 31, 2010	
B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	C Name of organization CARTHA Doing Business As Number and street (or P.O. box if mail is not delivered to street address) Room/suite 33 Buchanan Court City or town, state or country, and ZIP + 4 Iowa City, IA 52246 D Employer identification number 20-5547610 E Telephone number 319-248-9625 G Gross receipts \$ 16206 H(a) Is this a group return for affiliates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all affiliates included? <input type="checkbox"/> Yes <input type="checkbox"/> No If "No," attach a list. (see instructions) H(c) Group exemption number ▶
F Name and address of principal officer: Usha R. Balakrishnan 33 Buchanan Court, Iowa City, IA 52246 I Tax-exempt status: <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) (3) ◀ (insert no.) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527 J Website: ▶ www.cartha.org	
K Form of organization: <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶	L Year of formation: 2006 M State of legal domicile: IA

Part I Summary																									
Activities & Governance	1 Briefly describe the organization's mission or most significant activities: To advance global good, CARTHA cultivates academic-practitioner networks of Collaborative Doers. We design and organize educational activities (thought leadership dialogues and professional development programs) with a focus on global health, sustainability and social responsibility. Our bridging programs globalize Collaborative Doers and thus, enhance the positive impact of technological and social innovations.																								
	2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.																								
	3 Number of voting members of the governing body (Part VI, line 1a) 3 7																								
	4 Number of independent voting members of the governing body (Part VI, line 1b) 4 7																								
	5 Total number of individuals employed in calendar year 2010 (Part V, line 2a) 5 0																								
	6 Total number of volunteers (estimate if necessary) 6 55																								
	7a Total unrelated business revenue from Part VIII, column (C), line 12 7a 0																								
b Net unrelated business taxable income from Form 990-T, line 34 7b 0																									
Revenue	<table border="1"> <thead> <tr> <th></th> <th>Prior Year</th> <th>Current Year</th> </tr> </thead> <tbody> <tr> <td>8 Contributions and grants (Part VIII, line 1h)</td> <td>14672</td> <td>14475</td> </tr> <tr> <td>9 Program service revenue (Part VIII, line 2g)</td> <td>4135</td> <td>1731</td> </tr> <tr> <td>10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)</td> <td></td> <td></td> </tr> <tr> <td>11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)</td> <td></td> <td></td> </tr> <tr> <td>12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)</td> <td>18807</td> <td>16206</td> </tr> </tbody> </table>		Prior Year	Current Year	8 Contributions and grants (Part VIII, line 1h)	14672	14475	9 Program service revenue (Part VIII, line 2g)	4135	1731	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d)			11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)			12 Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	18807	16206						
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Part II Signature Block	
Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.	

Sign Here	Signature of officer <i>Usha R. Balakrishnan</i>	Date April 29, 2011			
	Type or print name and title USHA R. BALAKRISHNAN, President, CEO & Board Chair				
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
	Firm's name ▶	Firm's EIN ▶			
	Firm's address ▶	Phone no.			

May the IRS discuss this return with the preparer shown above? (see instructions) ☐ Yes ☒ No

For Paperwork Reduction Act Notice, see the separate instructions.

Cat. No. 11282Y

Form **990** (2010)

Part III Statement of Program Service AccomplishmentsCheck if Schedule O contains a response to any question in this Part III ☐**1** Briefly describe the organization's mission:

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2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ **Yes** ☐ **No**

If "Yes," describe these new services on Schedule O.

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ **Yes** ☐ **No**

If "Yes," describe these changes on Schedule O.

4 Describe the exempt purpose achievements for each of the organization's three largest program services by expenses. Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.**4a** (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

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4b (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

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4c (Code: _____) (Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)

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4d Other program services. (Describe in Schedule O.)
(Expenses \$ _____ including grants of \$ _____) (Revenue \$ _____)**4e** Total program service expenses ►

Part IV Checklist of Required Schedules

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," complete Schedule A	1	
2 Is the organization required to complete Schedule B, Schedule of Contributors? (see instructions)	2	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I	3	
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If "Yes," complete Schedule C, Part II	4	
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, Part III	5	
6 Did the organization maintain any donor advised funds or any similar funds or accounts where donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If "Yes," complete Schedule D, Part I	6	
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II	7	
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III	8	
9 Did the organization report an amount in Part X, line 21; serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? If "Yes," complete Schedule D, Part IV	9	
10 Did the organization, directly or through a related organization, hold assets in term, permanent, or quasi-endowments? If "Yes," complete Schedule D, Part V	10	
11 If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI	11a	
b Did the organization report an amount for investments—other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII	11b	
c Did the organization report an amount for investments—program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII	11c	
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX	11d	
e Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X	11e	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X	11f	
12a Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI, XII, and XIII	12a	
b Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI, XII, and XIII is optional	12b	
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E	13	
14a Did the organization maintain an office, employees, or agents outside of the United States?	14a	
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, and program service activities outside the United States? If "Yes," complete Schedule F, Parts I and IV	14b	
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or assistance to any organization or entity located outside the United States? If "Yes," complete Schedule F, Parts II and IV	15	
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or assistance to individuals located outside the United States? If "Yes," complete Schedule F, Parts III and IV	16	
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I (see instructions)	17	
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II	18	
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III	19	
20a Did the organization operate one or more hospitals? If "Yes," complete Schedule H	20a	
b If "Yes" to line 20a, did the organization attach its audited financial statements to this return? Note. Some Form 990 filers that operate one or more hospitals must attach audited financial statements (see instructions)	20b	

Part IV Checklist of Required Schedules (continued)

	Yes	No
21 Did the organization report more than \$5,000 of grants and other assistance to governments and organizations in the United States on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II</i>	21	
22 Did the organization report more than \$5,000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i>	22	
23 Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	23	
24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25</i>	24a	
b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?	24b	
c Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?	24c	
d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?	24d	
25a Section 501(c)(3) and 501(c)(4) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>	25a	
b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i>	25b	
26 Was a loan to or by a current or former officer, director, trustee, key employee, highly compensated employee, or disqualified person outstanding as of the end of the organization's tax year? <i>If "Yes," complete Schedule L, Part II</i>	26	
27 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor, or a grant selection committee member, or to a person related to such an individual? <i>If "Yes," complete Schedule L, Part III</i>	27	
28 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions):		
a A current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28a	
b A family member of a current or former officer, director, trustee, or key employee? <i>If "Yes," complete Schedule L, Part IV</i>	28b	
c An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If "Yes," complete Schedule L, Part IV</i>	28c	
29 Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>	29	
30 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>	30	
31 Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>	31	
32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>	32	
33 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>	33	
34 Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Parts II, III, IV, and V, line 1</i>	34	
35 Is any related organization a controlled entity within the meaning of section 512(b)(13)?	35	
a Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i> <input type="checkbox"/> Yes <input type="checkbox"/> No		
36 Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>	36	
37 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>	37	
38 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11 and 19? Note. All Form 990 filers are required to complete Schedule O	38	

Part V **Statements Regarding Other IRS Filings and Tax Compliance**Check if Schedule O contains a response to any question in this Part V ☐

		Yes	No
1a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a	
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	1b	
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1c	
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a	
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file. (see instructions)	2b	
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?	3a	
b	If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O	3b	
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4a	
b	If "Yes," enter the name of the foreign country: ► See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.		
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5a	
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5b	
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T?	5c	
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible?	6a	
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6b	
7	Organizations that may receive deductible contributions under section 170(c).		
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	7a	
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?	7b	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	7c	
d	If "Yes," indicate the number of Forms 8282 filed during the year	7d	
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7e	
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7f	
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7g	
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7h	
8	Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?	8	
9	Sponsoring organizations maintaining donor advised funds.		
a	Did the organization make any taxable distributions under section 4966?	9a	
b	Did the organization make a distribution to a donor, donor advisor, or related person?	9b	
10	Section 501(c)(7) organizations. Enter:		
a	Initiation fees and capital contributions included on Part VIII, line 12	10a	
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b	
11	Section 501(c)(12) organizations. Enter:		
a	Gross income from members or shareholders	11a	
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b	
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12a	
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b	
13	Section 501(c)(29) qualified nonprofit health insurance issuers.		
a	Is the organization licensed to issue qualified health plans in more than one state? Note. See the instructions for additional information the organization must report on Schedule O.	13a	
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b	
c	Enter the amount of reserves on hand	13c	
14a	Did the organization receive any payments for indoor tanning services during the tax year?	14a	
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O	14b	

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response to any question in this Part VI ☐

Section A. Governing Body and Management

	Yes	No
1a Enter the number of voting members of the governing body at the end of the tax year 1a		
b Enter the number of voting members included in line 1a, above, who are independent 1b		
2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee?	2	
3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?	3	
4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed?	4	
5 Did the organization become aware during the year of a significant diversion of the organization's assets?	5	
6 Does the organization have members or stockholders?	6	
7a Does the organization have members, stockholders, or other persons who may elect one or more members of the governing body?	7a	
b Are any decisions of the governing body subject to approval by members, stockholders, or other persons?	7b	
8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
a The governing body?	8a	
b Each committee with authority to act on behalf of the governing body?	8b	
9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O	9	

Section B. Policies (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
10a Does the organization have local chapters, branches, or affiliates?	10a	
b If "Yes," does the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with those of the organization?	10b	
11a Has the organization provided a copy of this Form 990 to all members of its governing body before filing the form?	11a	
b Describe in Schedule O the process, if any, used by the organization to review this Form 990.		
12a Does the organization have a written conflict of interest policy? If "No," go to line 13	12a	
b Are officers, directors or trustees, and key employees required to disclose annually interests that could give rise to conflicts?	12b	
c Does the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this is done	12c	
13 Does the organization have a written whistleblower policy?	13	
14 Does the organization have a written document retention and destruction policy?	14	
15 Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
a The organization's CEO, Executive Director, or top management official	15a	
b Other officers or key employees of the organization	15b	
If "Yes" to line 15a or 15b, describe the process in Schedule O. (See instructions.)		
16a Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?	16a	
b If "Yes," has the organization adopted a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken steps to safeguard the organization's exempt status with respect to such arrangements?	16b	

Section C. Disclosure

17 List the states with which a copy of this Form 990 is required to be filed ►

18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you make these available. Check all that apply.
☐ Own website ☐ Another's website ☐ Upon request

19 Describe in Schedule O whether (and if so, how), the organization makes its governing documents, conflict of interest policy, and financial statements available to the public.

20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: ►

Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent ContractorsCheck if Schedule O contains a response to any question in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.

- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."

- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.

- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.

- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and Title	(B) Average hours per week (describe hours for related organizations in Schedule O)	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1)										
(2)										
(3)										
(4)										
(5)										
(6)										
(7)										
(8)										
(9)										
(10)										
(11)										
(12)										
(13)										
(14)										
(15)										
(16)										

Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees *(continued)*

(A) Name and title	(B) Average hours per week (describe hours for related organizations in Schedule O)	(C) Position (check all that apply)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(17)										
(18)										
(19)										
(20)										
(21)										
(22)										
(23)										
(24)										
(25)										
(26)										
(27)										
(28)										
1b Sub-total										
c Total from continuation sheets to Part VII, Section A										
d Total (add lines 1b and 1c)										

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 in reportable compensation from the organization ►

- | | Yes | No |
|--|-----|----|
| 3 Did the organization list any former officer, director or trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i> | | |
| 4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i> | | |
| 5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i> | | |

Section B. Independent Contractors

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization.

(A) Name and business address	(B) Description of services	(C) Compensation

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 in compensation from the organization ►

Part VIII Statement of Revenue

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514
Contributions, gifts, grants and other similar amounts	1a	Federated campaigns	1a				
	b	Membership dues	1b				
	c	Fundraising events	1c				
	d	Related organizations	1d				
	e	Government grants (contributions)	1e				
	f	All other contributions, gifts, grants, and similar amounts not included above	1f				
	g	Noncash contributions included in lines 1a-1f: \$					
	h	Total. Add lines 1a-1f ▶					
Program Service Revenue				Business Code			
	2a						
	b						
	c						
	d						
	e						
	f	All other program service revenue .					
	g	Total. Add lines 2a-2f ▶					
Other Revenue	3	Investment income (including dividends, interest, and other similar amounts) ▶					
	4	Income from investment of tax-exempt bond proceeds ▶					
	5	Royalties ▶					
		(i) Real	(ii) Personal				
	6a	Gross Rents					
	b	Less: rental expenses					
	c	Rental income or (loss)					
	d	Net rental income or (loss) ▶					
	7a	(i) Securities	(ii) Other				
		Gross amount from sales of assets other than inventory					
	b	Less: cost or other basis and sales expenses					
	c	Gain or (loss)					
	d	Net gain or (loss) ▶					
	8a	Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18 a					
	b	Less: direct expenses b					
	c	Net income or (loss) from fundraising events . ▶					
	9a	Gross income from gaming activities. See Part IV, line 19 a					
	b	Less: direct expenses b					
	c	Net income or (loss) from gaming activities . . ▶					
	10a	Gross sales of inventory, less returns and allowances a					
b	Less: cost of goods sold b						
c	Net income or (loss) from sales of inventory . . ▶						
Miscellaneous Revenue			Business Code				
11a							
b							
c							
d	All other revenue						
e	Total. Add lines 11a-11d ▶						
12	Total revenue. See instructions. ▶						

Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns.

All other organizations must complete column (A) but are not required to complete columns (B), (C), and (D).

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.		(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1	Grants and other assistance to governments and organizations in the U.S. See Part IV, line 21				
2	Grants and other assistance to individuals in the U.S. See Part IV, line 22				
3	Grants and other assistance to governments, organizations, and individuals outside the U.S. See Part IV, lines 15 and 16				
4	Benefits paid to or for members				
5	Compensation of current officers, directors, trustees, and key employees				
6	Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7	Other salaries and wages				
8	Pension plan contributions (include section 401(k) and section 403(b) employer contributions)				
9	Other employee benefits				
10	Payroll taxes				
11	Fees for services (non-employees):				
a	Management				
b	Legal				
c	Accounting				
d	Lobbying				
e	Professional fundraising services. See Part IV, line 17				
f	Investment management fees				
g	Other				
12	Advertising and promotion				
13	Office expenses				
14	Information technology				
15	Royalties				
16	Occupancy				
17	Travel				
18	Payments of travel or entertainment expenses for any federal, state, or local public officials				
19	Conferences, conventions, and meetings				
20	Interest				
21	Payments to affiliates				
22	Depreciation, depletion, and amortization				
23	Insurance				
24	Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24f. If line 24f amount exceeds 10% of line 25, column (A) amount, list line 24f expenses on Schedule O.)				
a	-----				
b	-----				
c	-----				
d	-----				
e	-----				
f	All other expenses -----				
25	Total functional expenses. Add lines 1 through 24f				
26	Joint costs. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720). Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation				

Part X Balance Sheet

		(A) Beginning of year		(B) End of year
Assets	1 Cash—non-interest-bearing		1	
	2 Savings and temporary cash investments		2	
	3 Pledges and grants receivable, net		3	
	4 Accounts receivable, net		4	
	5 Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		5	
	6 Receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions)		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges		9	
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D	10a		
	b Less: accumulated depreciation	10b	10c	
	11 Investments—publicly traded securities		11	
	12 Investments—other securities. See Part IV, line 11		12	
	13 Investments—program-related. See Part IV, line 11		13	
	14 Intangible assets		14	
	15 Other assets. See Part IV, line 11		15	
16 Total assets. Add lines 1 through 15 (must equal line 34)		16		
Liabilities	17 Accounts payable and accrued expenses		17	
	18 Grants payable		18	
	19 Deferred revenue		19	
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D		21	
	22 Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		22	
	23 Secured mortgages and notes payable to unrelated third parties		23	
	24 Unsecured notes and loans payable to unrelated third parties		24	
	25 Other liabilities. Complete Part X of Schedule D		25	
	26 Total liabilities. Add lines 17 through 25		26	
Net Assets or Fund Balances	Organizations that follow SFAS 117, check here <input type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.			
	27 Unrestricted net assets		27	
	28 Temporarily restricted net assets		28	
	29 Permanently restricted net assets		29	
	Organizations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 30 through 34.			
	30 Capital stock or trust principal, or current funds		30	
	31 Paid-in or capital surplus, or land, building, or equipment fund		31	
	32 Retained earnings, endowment, accumulated income, or other funds		32	
	33 Total net assets or fund balances		33	
34 Total liabilities and net assets/fund balances		34		

Part XI Reconciliation of Net AssetsCheck if Schedule O contains a response to any question in this Part XI ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	
2	Total expenses (must equal Part IX, column (A), line 25)	2	
3	Revenue less expenses. Subtract line 2 from line 1	3	
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	
5	Other changes in net assets or fund balances (explain in Schedule O)	5	
6	Net assets or fund balances at end of year. Combine lines 3, 4, and 5 (must equal Part X, line 33, column (B))	6	

Part XII Financial Statements and ReportingCheck if Schedule O contains a response to any question in this Part XII ☐

- 1** Accounting method used to prepare the Form 990: ☐ Cash ☐ Accrual ☐ Other _____
If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.
- 2a** Were the organization's financial statements compiled or reviewed by an independent accountant?
- b** Were the organization's financial statements audited by an independent accountant?
- c** If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.
- d** If "Yes" to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a separate basis, consolidated basis, or both:
☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis
- 3a** As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?
- b** If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits

	Yes	No
2a		
2b		
2c		
3a		
3b		

SCHEDULE A
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Public Charity Status and Public Support

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

► Attach to Form 990 or Form 990-EZ. ► See separate instructions.

OMB No. 1545-0047

2010

**Open to Public
Inspection**

Name of the organization

CARTHA

Employer identification number

20-5547610

Part I Reason for Public Charity Status (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 11, check only one box.)

- 1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i).**
- 2 ☐ A school described in **section 170(b)(1)(A)(ii).** (Attach Schedule E.)
- 3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii).**
- 4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii).** Enter the hospital's name, city, and state: _____
- 5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv).** (Complete Part II.)
- 6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v).**
- 7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 8 ☐ A community trust described in **section 170(b)(1)(A)(vi).** (Complete Part II.)
- 9 ☐ An organization that normally receives: (1) more than 33 1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33 1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2).** (Complete Part III.)
- 10 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4).**
- 11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See **section 509(a)(3).** Check the box that describes the type of supporting organization and complete lines 11e through 11h.
 - a ☐ Type I b ☐ Type II c ☐ Type III—Functionally integrated d ☐ Type III—Other
 - e ☐ By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2).
 - f If the organization received a written determination from the IRS that it is a Type I, Type II, or Type III supporting organization, check this box ☐
 - g Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?
 - (i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization? ☐
 - (ii) A family member of a person described in (i) above? ☐
 - (iii) A 35% controlled entity of a person described in (i) or (ii) above? ☐
 - h Provide the following information about the supported organization(s).

	Yes	No
11g(i)		
11g(ii)		
11g(iii)		

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1–9 above or IRC section (see instructions))	(iv) Is the organization in col. (i) listed in your governing document?		(v) Did you notify the organization in col. (i) of your support?		(vi) Is the organization in col. (i) organized in the U.S.?		(vii) Amount of support
			Yes	No	Yes	No	Yes	No	
(A)									
(B)									
(C)									
(D)									
(E)									
Total									

For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Cat. No. 11285F

Schedule A (Form 990 or 990-EZ) 2010

Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

Section A. Public Support

Calendar year (or fiscal year beginning in) ►	(a) 2006	(b) 2007	(c) 2008	(d) 2009	(e) 2010	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	3000	170	28997	14672	14475	61314
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3 The value of services or facilities furnished by a governmental unit to the organization without charge						
4 Total. Add lines 1 through 3	3000	170	28997	14672	14475	61314
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)						
6 Public support. Subtract line 5 from line 4.						

Section B. Total Support

Calendar year (or fiscal year beginning in) ►	(a) 2006	(b) 2007	(c) 2008	(d) 2009	(e) 2010	(f) Total
7 Amounts from line 4	3000	170	28997	14672	14475	61314
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
9 Net income from unrelated business activities, whether or not the business is regularly carried on						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
11 Total support. Add lines 7 through 10						
12 Gross receipts from related activities, etc. (see instructions)					12	
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here <input checked="" type="checkbox"/>						

Section C. Computation of Public Support Percentage

14 Public support percentage for 2010 (line 6, column (f) divided by line 11, column (f))	14	%
15 Public support percentage from 2009 Schedule A, Part II, line 14	15	%
16a 33 1/3% support test—2010. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
b 33 1/3% support test—2009. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
17a 10%-facts-and-circumstances test—2010. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
b 10%-facts-and-circumstances test—2009. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions <input type="checkbox"/>		

SCHEDULE L
(Form 990 or 990-EZ)

Department of the Treasury
Internal Revenue Service

Transactions With Interested Persons

► Complete if the organization answered
"Yes" on Form 990, Part IV, line 25a, 25b, 26, 27, 28a, 28b, or 28c,
or Form 990-EZ, Part V, line 38a or 40b.
► Attach to Form 990 or Form 990-EZ. ► See separate instructions.

OMB No. 1545-0047

2010

**Open To Public
Inspection**

Name of the organization

CARTHA

Employer identification number

20-5547610

Part I

Excess Benefit Transactions (section 501(c)(3) and section 501(c)(4) organizations only).

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b.

1	(a) Name of disqualified person	(b) Description of transaction	(c) Corrected?	
			Yes	No
(1)				
(2)				
(3)				
(4)				
(5)				
(6)				

2 Enter the amount of tax imposed on the organization managers or disqualified persons during the year under section 4958. ► \$

3 Enter the amount of tax, if any, on line 2, above, reimbursed by the organization ► \$

Part II

Loans to and/or From Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 26, or Form 990-EZ, Part V, line 38a.

(a) Name of interested person and purpose	(b) Loan to or from the organization?		(c) Original principal amount	(d) Balance due	(e) In default?		(f) Approved by board or committee?		(g) Written agreement?	
	To	From			Yes	No	Yes	No	Yes	No
(1) Usha R. Balakrishnan as founder	✓		7096	4096		✓	✓		✓	
(2)										
(3)										
(4)										
(5)										
(6)										
(7)										
(8)										
(9)										
(10)										
Total				\$ 4096						

Part III

Grants or Assistance Benefiting Interested Persons.

Complete if the organization answered "Yes" on Form 990, Part IV, line 27.

(a) Name of interested person	(b) Relationship between interested person and the organization	(c) Amount and type of assistance
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
(10)		

➤ Responses to Part III, Line 1**Tax-Exempt Purpose of CARTHA**

To provide a means of addressing complex global challenges in a way that more effectively improves the lives of the world's poor.

Mission of CARTHA

As a US 501(c)(3) tax-exempt non-profit organization, CARTHA's mission is to train, build, and empower networks of Collaborative Doers by uniting professionals who leverage academic-practitioner partnerships to enhance the positive impact of technological and social innovations. Our Inaugural Booklet of September 2010 as well as other additional details can be found on our website at www.cartha.org.

What does CARTHA do?

CARTHA activates and mobilizes resources to support academic-practitioner networks of Collaborative Doers in Technology Transfer Partnerships, Global Health, Sustainability, and Social Responsibility. We seek positive change by:

- Connecting scholars and scientists from around the world with cultural translators to enhance humanitarian goals.
- Identifying and empowering bridging professionals who can strengthen the positive impacts of innovations.
- Developing integrated curricular models and inspiring case studies on academic-public-private partnerships and research translation.
- Globalizing networks of Collaborative Doers across disciplines, sectors, and cultures, thereby impacting local communities in multiple regions.

The C2G2 Training Model

We build Collaborative Competence in Multisector Partnerships for Global Good (C2G2 Training Model). We partner with individuals, professional societies and campuses to organize/sponsor conferences, public forums, and seminars reaching faculty, students, professionals, and public citizens. Reflecting our human-centered approach, each of our programs is designed as follows:

- Contextualized and customized to embed and enable local visions, local talents, and local needs.
- Structured to emphasize the social dimensions that influence and affect the human collaborative spirit.
- Formulated with participation from and involvement by younger generations of Collaborative Doers.

Statement of Program Service Accomplishments in 2010

In addition to the narrative provided in Part III, 4a, 4b, and 4c, we include here a few inspiring examples of Carthans who continue to shape our collective work in the pursuit of global good.

In 2010, we began to describe CARTHA as an aspiration repository. She serves as an enabling platform to bring individual aspirations together and weaves them into collaborative words – constantly allowing individual aspirations to take form and realize their full potential.

Our all-volunteer team of Board members, Ambassadors, Council of Advisors, Fellows, and other well-wishers have contributed intellectual input, moral encouragement, as well as the physical and financial resources for the advancement of CARTHA. These contributions have played pivotal roles in defining and addressing issues that affect Collaborative Doers.

Since inception in 2006, CARTHA's programs have been driven primarily by word-of-mouth referrals and networking by our growing base of volunteers. We have additionally appreciated the willingness of our program partners to team up with us in informal and formal ways. We have come a long way since our founding and the momentum behind our activities continues to expand in new and unexpected ways. CARTHA has now grown to be a financially viable organization and has worked with scientists, researchers, writers, students, professors, entrepreneurs, and filmmakers—from the US, Kenya, UK, India, Mexico, Canada, Brazil, and South Africa.

Emphasizing the social dimensions of being engaged in cross-sector partnerships, our thought leadership programs have been embedded into conference panels, public forums, seminars and interdisciplinary events. As a result, "Carthans" as Collaborative Doers have been energized among countless individuals, young and old.

Daring to reach out, Carthans span boundaries demonstrating a willingness to work together with the personal will to do good and the professional humility to execute tasks as needed over the short, mid, and longer term.

A Generous Donor's Long-term Pledge for CARTHA

In 2010, CARTHA received a generous pledge from a donor to support our nonprofit organization's basic operational expenses annually for the next 20 years. Two other donors then matched this pledge for the 2010 annual period. Greatly boosted by such gestures from our supporters, we began to plan out some new ways to tell the story of CARTHA's birth, vision, and work. In January 2010, CARTHA's Honorary Co-Chair Cartha Alene Mahoney of Sarasota, FL and CARTHA Council of Advisor Priya Reddy of Tampa, FL hosted CARTHA founder in Florida for a series of outreach visits with prospective volunteers and partners, including at the University of South Florida and the Rotary Club of Sarasota Keys.

CARTHA Inaugural Booklet

New CARTHA Board member Julie Rajagopal of San Francisco, CA took a leadership role in preparing **CARTHA's Inaugural Booklet titled "Voices of Collaborative Doers: Weaving Aspirations for Humanity."** This booklet (attached) was released in printed and electronic form in September 2010 as we celebrated the fourth birth anniversary of CARTHA.

Collaborative Doers designing Multi-Year Initiatives

In addition to being usually connected via routine email communications and phone conference calls, several CARTHA-affiliated people met in person during various times throughout 2010 to advance our outreach efforts and thought leadership dialogues. We also began to conceptualize and design multi-year initiatives with our volunteers based on insights gained from the following series of seminars and symposia since 2006:

EIN Number 20-5547610

Schedule O Attachment to Form 990 Tax Return for 2010

- ❖ Ottawa (Nov2006: ACCT-Alliance for the Commercialization of Canadian Technology)
Panel: Technology Transfer: Making a Local and Global Difference
- ❖ San Francisco, San Diego, Orlando, New Orleans (2007-2010: Technology Managers for Global Health at annual meeting of Association of University Technology Managers)
- ❖ Monterrey (Oct2007: Universal Forum of Cultures-Panel at Health Week held in Mexico)
- ❖ Boston (Feb2008: Annual meeting of Amer. Association for the Advancement of Science)
Symposium: Humanity at the Nexus-Academic Partnerships & Entrepreneurship in GH
- ❖ Recife (Nov2008: Health Technology Innovations Workshop sponsored by FIOCRUZ-Pernambuco, Brazil)
- ❖ Chicago (Feb2009: Annual meeting of Amer. Assoc. for the Advancement of Science)
Panel: Thirsting for Daily Sustenance: Public-Private Partnerships for Global Water Access
- ❖ Bellagio Rockefeller Study Centre, Italy (Feb. 2009: Mtg. of South-South Initiative of WHO-TDR)
- ❖ Chennai (May2009: Seminar at Indian Institute of Technology-Madras)
CARTHA Fellow & Rotary Ambassador Scholar Luke Juran on post-tsunami resettlement districts in Tamil Nadu and issues re housing, water, sanitation for displaced populations

Global Health through the Lens of Water is a new initiative—co-led by CARTHA Ambassador Devasena Gnanashanmugam of Chapel Hill, NC and engaging several CARTHA volunteers including Linda Harrar of Boston, Priya Reddy of Tampa, FL, Bob Bar, Michael Apicella, and Chris Buresh of Iowa City, IA—to foster innovative models for global health literacy education.

Water is a human imperative. Water sustains life, and we are intimately connected to its dynamic ebbs and flows upon us, around us, through us, and within us. Water makes culture, and we translate its various uses to confer meaning to the words of existence: to quench our soul, to thirst for knowledge, to open the floodgates. Despite our dependence on this essential resource, humanity's intimate relationship with water is under threat.

Both a scarcity as well as an overabundance of water has resulted in global humanitarian crises. According to UNICEF, a vast swath of humanity—nearly a billion men, women, and children—lack access to clean water on a daily basis, due to an interplay of several complex factors. At the same time, however, an abundance of water—floods, water-logged areas due to poor drainage, clogged sewers, sanitation problems, consequences of climate change and natural disasters, etc.—has led to community displacements and the spread of water-borne diseases. The scale and complexity of water-related health issues demands a multidisciplinary approach thereby creating greater awareness and higher likelihood for cross-sector participation that generates pragmatic solutions.

The collaboration challenge in tackling the problems of water-borne disease is enormous, and demands integrative mechanisms to connect multiple communities-of-practice. Yet, academics and professionals as well as the publics who are interested in helping address health disparities in general, and international health concerns in particular, are not routinely taught about the health effects on individuals and on communities of water scarcity or water abundance. CARTHA's Global Health through the Lens of Water aims to bridge this curricular/training gap and thereby build a network of Collaborative Doers around these themes. This initiative will address the following themes:

- How does water drive the factors that affect human health, globally?
- How does water (and its effects on human health) bring together cross-sector partnerships involving a range of professionals and academics who wish to advance global health causes?
- How do we define and shape professionalism in such contexts? How is professionalism maintained by the academics and practitioners working in these global health fields?
- What is the role of research and universities in developing, managing, and leveraging technological and social innovations to address water shortage and water/waste overabundance issues?

CARTHA's new initiative will produce new models and programs for Collaborative Doers by drawing in globalized case study experiences from literature, media, science, medicine, and public health. We have conceptualized seminar-type lecture series and are planning international symposia and conference series. Several phone conferences as well as planning discussions were organized, including with CARTHA Board member Tom Mercolino in Chapel Hill, NC.

Diaspora Givers as Collaborative Doers: Several CARTHA collaborators and volunteers have arisen from or are interested in learning more about and engaging with diaspora philanthropists, academics and practitioners from broad-ranging communities-of-practice (including Tari Suprpto of San Diego, CA; Christy Wenas Cox of Des Moines, IA; Horacio Olivo, Moe Ajam, and Manuel Galvez of Iowa City, IA; Magali Velazquez of Bethesda, MD). Also, given the background of our CARTHA founder Usha R. Balakrishnan, our initiative naturally includes academics interested in South Asian diaspora philanthropy (Mark Sidel and Meena Khandelwal of Iowa City, IA and Erica Bornstein of Milwaukee, WI) as well as Indian-American practitioners and donors. CARTHA Board member Julie Rajagopal of San Francisco, CA participated in a discussion around these topics held in Iowa City in August 2010.

Given the needs of resource-poor settings both within and outside the United States, the collective need to raise cross-sector participation as well as diverse collaborations to promote effective philanthropy and voluntarism has never been greater. CARTHA's new initiative is to serve as a bridge for "Collaborative Doing" aspirations of so-called hyphenated Americans to be increasingly weaved into the governance and programming fabric of donor communities and societal causes. CARTHA's new initiative will help address the following themes:

- How can a nonprofit organization like CARTHA play a broader role to identify, connect, and spur diasporic participation and giving?
- Can CARTHA serve as a unique "glocal" vehicle in the philanthropic sector to inspire, educate, and enable the pooling of varied resources at the local level, whether in urban or rural environments?
- What are the opportunities, the challenges, and the cultural nuances in multi-sector engagement with diaspora philanthropists in support of local, national, or global causes?
- How does one's cultural background, professional training, and contact networks influence philanthropic approaches and giving patterns in local communities?
- What are some instances of cross-sector pooling of resources toward support of academic-practitioner collaborations in themes that resonate in the local and global contexts (e.g., education, literacy, science and academic research translation, innovation, entrepreneurship,

EIN Number 20-5547610

Schedule O Attachment to Form 990 Tax Return for 2010

global health, sustainability, rural development, microfinancing, women's empowerment, and childhood development)?

- What are some collaborative models that have inter-generationally engaged a team of academics to work with social entrepreneurs and charities based in the US and India?
- What are some practical mechanisms to raise further awareness of philanthropic organizations and volunteer opportunities that could inspire greater giving as well as Collaborative Doer networks among and across diaspora communities?

CARTHA founder has continued to serve on the Community Foundations Leadership Team of the Council on Foundations. As a result, she was invited to (and she participated in) an event on community philanthropy and social innovation hosted by US First Lady Michelle Obama at the White House on May 27, 2010. CARTHA founder was invited to (and she participated in) the event "US-India People-to-People Exchanges" event hosted by the US State Department and USAID in Washington DC on Oct. 28, 2010 prior to US President Barack Obama's trip to India.

CARTHA continued to support ongoing programs from prior years:

- **Technology Managers for Global Health** which is chaired by CARTHA founder: The 7th annual meeting was held on March 20, 2010 in New Orleans with 20 attendees sharing their perspectives, see agenda posted at www.tmgh.org. Kevin McCabe, an attorney from Washington DC co-chaired the meeting. CARTHA founder began designing **Birthing Invention-Historians** as a new CARTHA initiative based on her interactions with an attendee at TMGH 2008 (CARTHA Ambassador Carlos Lucena de Aguiar of Recife, Brazil) and subsequent dialogues at the November 2008 Health Technology Innovations Workshop sponsored by FIOCRUZ. Carlos Lucena concluded in 2010 his Masters in Public Health focusing on a Yellow Fever DNA Vaccine project currently in progress at FIOCRUZ. Additional case studies will be gathered to describe real-time understanding of issues which may aid in better decision-making and resource allocations for academic innovation management and development partnerships to advance humanitarian objectives.
- **Winterim India Program:** With the help of CARTHA Ambassador Raj Rajagopal of Iowa City, IA, CARTHA was again successful in 2010 in raising funds to support students participating in the Winterim India programs conducted by the University of Iowa as a 3-week experiential learning course. <http://www.uiowa.edu/~geog/india/> CARTHA provided travel reimbursement in support of 4 students participating in the 2009-2010 Winterim India program were supported with travel reimbursement: Roberto Paniagua (undergraduate major: International Business and Political Science); Kristen Necessary (undergraduate major: Printmaking); Lisa Rowley (undergraduate major: Arts); and Jamie Sanchagrin (doctoral student with major: Geography & Sustainable Systems). CARTHA sponsored networking seminars and receptions (each with over 40-50 attendees) in March and November 2010. New CARTHA Board member Policarpio Soberanis of Burlington, MA is now helping with the formulation of a Winterim India Program alumni network since he and his wife Ivy Donaldson Soberanis are themselves such alumni having participated in the Winterim India course in 2008 while they were doctoral students at the University of Iowa.

➤ **Response to Part V, line 3b**

CARTHA did not have any unrelated business income in 2010.

➤ Response to Part VI, Section A, line 9

Name/contact of CARTHA Board of Directors who cannot be directly reached at CARTHA's mailing address in Iowa. Board members are normally reached via their emails.

Michael A. Apicella **May 2010-Sep. 2012**
2646 Johnsons Crossing NE, Solon, IA 52333 / michael-apicella@uiowa.edu

George W. Krull **Sep. 2006 – Sep. 2012**
Chair, CARTHA Audit Committee
26W334 Menomini Drive, Wheaton, Illinois 60187

Thomas J. Mercolino **Mar. 2008 – Sep. 2012**
613 Bayberry Drive, Chapel Hill, NC 27517 / tmercolino@nc.rr.com

Julie Rajagopal **Apr. 2010 – Sep. 2012**
1461 15th Street, San Francisco, CA 94103 / julie.rajagopal@gmail.com

Joan E. Sieber **Apr. 2009 – May 2010**
2060 Quail Canyon Court, Hayward, CA 94542 / joan.sieber@csueastbay.edu

Policarpio Soberanis **May 2010 – Sep. 2012**
26 Seven Springs Lane, Apt 212, Burlington, MA 01803 / psoberanis@gmail.com

➤ Response to Part VI, Section B, line 11a and 11b

The draft of Form 990 was prepared by CARTHA President & CEO and shared with CARTHA's Audit Committee Chair in February 2011 with all the required background materials. For concurrent review and comments, the draft was then distributed via email to each of CARTHA's governing Board of Directors. The Board members reviewed the Form 990 draft and commented on it over a 3-week period. After incorporation of all comments and changes received, the Form 990 draft was included as a specific agenda item for further comments, final review, and formal approval by the Board at the annual CARTHA Board of Directors meeting in April 2011. Subsequent to such approval to proceed with the filing of the Form 990, it was submitted to the IRS.

➤ Response to Part VI, Section B, 12c

The conflict of interest policy is distributed to each of CARTHA's Board members on an annual basis along with documents and other background materials pertinent to the annual Board meeting. During the annual Board meeting, we ensure that these conflict of interest policies have been reviewed with the Board members and they are understood from the viewpoint of strict adherence and assurance of compliance before they are signed. All signed conflict of interest policies are retained in the records held at CARTHA's office in Iowa City.

➤ Response to Part VI, Section B, line 15b

No compensation was provided to any officer or director of CARTHA in 2010.

➤ Response to Part VI, Section C, line 19

CARTHA posts its organizational information and policies and Form 990 Tax Returns at the publicly accessible spot on its website at <http://cartha.org/about/about.html>. Upon request by the public for hard copies of such documents, CARTHA will gladly make them available.



Voices of Collaborative Doers:

Weaving Aspirations for Humanity

Inaugural Report: September 2010



**Prepared by CARHTA Board member Julie Rajagopal.
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We welcome interest, inquiries, and feedback.
For further information, please contact:

Usha R. Balakrishnan
Founder, President, and Board Chair, CARTHA
33 Buchanan Court, Iowa City, IA 52246, USA
319-248-9625 / cartha.global@gmail.com

Dear Reader,

As CARTHA turns four this year, we present to you this inaugural report summarizing some of our activities and experiences from our formative phases to the present.

Our all-volunteer team takes this opportunity to express our extreme gratitude to the numerous individuals and organizations who have contributed intellectual input, moral encouragement, as well as the physical and financial resources for the advancement of CARTHA. These contributions have played pivotal roles in defining and addressing issues that affect Collaborative Doers.

We have come a long way since our founding in 2006 and the momentum behind our activities continues to expand in new and unexpected ways. CARTHA has now grown to be a financially viable organization and has worked with scientists, researchers, writers, students, professors, entrepreneurs, and filmmakers—from the US, Kenya, UK, India, Mexico, Canada, Brazil, and South Africa.

Emphasizing the social dimensions of being engaged in cross-sector partnerships, our thought leadership programs have been embedded into conference panels, public forums, seminars and interdisciplinary events. As a result, Carthans as Collaborative Doers have been energized among countless individuals, young and old.

Daring to reach out, Carthans span boundaries demonstrating a willingness to work together with the personal will to do good and the professional humility to execute tasks as needed over the short, mid, and longer term. Stories of Carthans inspire all of us to aspire. So, you can expect more stories of this sort coming your way!

Again, we thank you for your continued support and look forward to our future work together. As always, we welcome your suggestions to strengthen our collective work in the pursuit of global good.

Sincerely,
CARTHA Board Members and Honorary Co-Chair



From left:
Usha R. Balakrishnan,
Cartha Alene Mahoney,
Julie Rajagopal,
Michael A. Apicella,
Policarpio A. Soberanis,
Thomas J. Micolino,
and George W. Krull.

Who is CARTHA?

CARTHA (doer in Sanskrit) is an aspiration repository. She serves as an enabling platform to bring individual aspirations together and weaves them into collaborative works – constantly allowing individual aspirations to take form and realize their full potential. As a 501(c)(3) tax-exempt non-profit organization, CARTHA's mission is to train, build, and empower networks of Collaborative Doers by uniting professionals who leverage academic-practitioner partnerships to enhance the positive impact of technological and social innovations.

What does CARTHA do?

CARTHA activates and mobilizes resources to support academic-practitioner networks of Collaborative Doers in Technology Transfer Partnerships, Global Health, Sustainability, and Social Responsibility. We seek positive change by:

- Connecting scholars and scientists from around the world with cultural translators to enhance humanitarian goals.
- Identifying and empowering bridging professionals who can strengthen the positive impacts of innovations.
- Developing integrated curricular models and inspiring case studies on academic-public-private partnerships and research translation.
- Globalizing networks of Collaborative Doers across disciplines, sectors, and cultures, thereby impacting local communities in multiple regions.

How does CARTHA accomplish these goals?

CARTHA is unique in that the focus of her efforts is not primarily financial. She is not in competition with any other group, nor is she constantly searching for grants. This refusal of competitiveness, disinterest in prestige, and non-requisite of financial reward allows CARTHA a more porous and non-hierarchical existence. It is through this non-traditional route that CARTHA has been able to accomplish numerous tasks and allow for natural self-selection by high-aspiration individuals from varied backgrounds.

The Process

We build Collaborative Competence in Multisector Partnerships for Global Good (C2G2 Training Model). We partner with individuals, professional societies and campuses to organize/sponsor conferences, public forums, and seminars reaching faculty, students, professionals, and public citizens. Reflecting our human-centered approach, each of our programs is designed as follows:

- Contextualized and customized to embed and enable local visions, local talents, and local needs.
- Structured to emphasize the social dimensions that influence and affect the human collaborative spirit.
- Formulated with participation from and involvement by younger generations of Collaborative Doers.

The Evolution of CARTHA

CARTHA came into being on September 1, 2006. Over the past four years, the scope and scale of CARTHA's thematic initiatives and outreach efforts have blossomed with increasing momentum. This force can be observed in the voices and actions of CARTHA's program partners and participants around the globe. Some of these many voices are highlighted below.



April 2008. Iowa City. Pictured (from left) are Raj Rajagopal, Charles A. Gardner, Ramji Balakrishnan, Usha R. Balakrishnan, Nancy Krull, George W. Krull, Luke Juran, Svetha Swaminathan, and Andrew Willard, all of whom were gathering after CARTHA's first annual Board of Directors meeting. The meeting was held to coincide with Chad Gardner's plenary talk at the University of Iowa Global Health Studies Program's annual conference.



February 14, 2009. Chicago. From left: Rich Thorsten, Usha, Raj Rajaram, Craig Just, and Jay Sehgal, all of whom presented at the symposium titled “Thirsting for Daily Sustenance: Public-Private Partnerships for Global Water-Access” at the annual meeting of the American Association for the Advancement of Science (www.AAAS.org). At the time, Usha was serving on the AAAS Committee on Scientific Freedom & Responsibility.



Usha R. Balakrishnan

Founder, organizer, and collaborative entrepreneur, Usha’s expanding contact networks in multiple communities-of-practice provided the strong foundation upon which CARTHA was built, *as if brick-by-brick, aspiration-by-aspiration*. She began sharing her vision for “**C**ollaborative **A**rts in **R**esearch **T**ranslation for **H**uman **A**dvancement” (the acronym from which CARTHA’s name was derived) with others

one-on-one as well as by connecting with audiences at multiple university campuses, conferences, and social service clubs.

Usha writes as follows on why she walks and talks:
 “A walk changes a life’s meanings and purpose. As I walked one day in April 2006 with my brother, **Sridhar Ramamoorti**, he put forth his quote for why CARTHA should be birthed: *A culture of innovation demands innovations in culture!*

Then, in July 2006, on this same walking trail near my home office in Iowa City, I recruited a neighbor and law professor **Mark Sidel** as the first member to begin forming our volunteer Board. Once Mark said yes, I invited five others who were equally passionate and supportive: **Adhiambo Yvonne Owuor** from Nairobi; **David B. Audretsch** from Jena; **Charles A. Gardner** from New York; **D. Balasubramanian** from Hyderabad; and **George W. Krull** from Chicago.

What you see of CARTHA today is this kind of free-flowing, organic existence, the result of a few determined steps taken with (and enabled because of) many soulful spirits. We discover reaching-out mechanisms to find alternate paths, along with so many others. Rejoicing in these Collaborative Doing journeys, we become mutually empowered in ways that are never attainable how much ever we may strive individually. Such person-by-person transformations have allowed our organization to be shaped and influenced in a way that embraces human-centeredness.

Collaborative Doers keep CARTHA's humanity-centered vision energized and vibrant, always. It is our collection of volunteers who design, formulate, lead, and drive initiatives.

While life offers no guarantees of any sort, my hope is that CARTHA makes a bigger difference some day to produce a more equitable world. Surely, inspired Collaborative Doers can do a lot more good in an *everyday* sort of way no matter where they live, all just because we feel better doing so!

As an equally daunting challenge, I'd love to see whether and how CARTHA's work through word-of-mouth interactions can be productively and capably mirrored in other realms. For instance, it'd be awesome to "walk across" web-based platforms and social networks without any loss of the greater meaning and global good purpose behind our human-inspired efforts!"

At the invitation of Charles A. Gardner, Usha wrote a thought piece outlining her founding rationale for CARTHA. Titled ***Healthful Academic Translations: Cultivating Collaborative Doers as Innovation Managers for Societal Well-Being***, this paper was published in the 2009 Global Forum for Health Research Update (www.globalforumhealth.org).



November 2, 2009. Iowa City. *University of Iowa Students Global Health Club* after CARTHA founder speaks about her work.



February 20, 2008. New York City. Usha was the keynote speaker at this inaugural *Women in Academic Licensing* event where attendees were patent and licensing managers from various universities and organizations in the New York region. Organized by New York University's Sadhana Chitale and Rockefeller University's Kathleen Denis, this cheery event doubled up as a baby shower for Tari Suprpto!



Top: March 20, 2010. New Orleans. ***Technology Managers for Global Health*** 7th annual meeting held in conjunction with the annual meeting of the Association of University Technology Managers (www.autm.net).

Bottom: August 3, 2010. Iowa City. Julie Rajagopal, Usha, Rubeena Çetin, Sameer Khan, Meena Khandelwal, Mark Sidel, and Erica Bornstein gather for CARTHA initiative, ***Diaspora Givers as Collaborative Doers***.



November 11-12, 2008. Recife, Brazil. (From left) Tom Mercolino, Carlos Lucena de Aguiar and Usha speak on a panel (with live translation in Portuguese) at this First Health Technology Innovations Workshop.

Carlos Lucena de Aguiar

Carlos has served in various Senior Executive Service roles for the Brazilian Federal Government. He recently concluded his Masters in Public Health focusing on a Yellow Fever DNA Vaccine project currently in progress at FIOCRUZ. His thesis theme closely relates to CARTHA's initiative ***Birthing Invention-Historians***. We are gathering case studies to describe *real-time* understanding of issues which may aid in better decision-making and resource allocations for development partnerships.

Carlos first met Usha in 2008 in San Diego through CARTHA's ongoing program ***Technology Managers for Global Health***, a 90-minute dialogue held in conjunction with the annual meeting of the Association

of University Technology Managers. Carlos immediately teamed up with CARTHA and successfully raised funds from two Brazilian public agencies to organize a two-day workshop sponsored by FIOCRUZ/Pernambuco and hosted in Recife. This First Workshop on Health Technology Innovation brought together over 130 participants from various regions of Brazil. Representatives of biotech companies, government agencies, and research institutes shared perspectives on stimulating new international cooperation on the development of vaccines and diagnostics to address neglected tropical diseases.



February 15-20, 2009. Rockefeller Study Center, Bellagio, Italy. **Rodrigo Correa Oliveira** (third from left) met Usha in Recife and invited her to speak about CARTHA's work at a meeting of the World Health Organization's South-South Initiative which links tropical disease researchers across Latin America, Africa, and Asia (www.ssi-tdr.net).



November 18, 2008. Iowa City. From left: Alexandra Keenan, Elizabeth Hoover de Galvez, Svetha Swaminathan, Usha, and Raj Rajagopal celebrating Raj's creativity during Global Entrepreneurship Week.

Raj Rajagopal

Raj is a professor in the Department of Geography at the University of Iowa. Raj, along with **Edwin Brands** (2006 CARTHA Fellow), designed three-week experiential learning courses in India to expose students to social entrepreneurship concepts as implemented within a microfinance institution in Madurai. These *Winterim India* programs offered through the University of Iowa—and supported by CARTHA in terms of certain design elements, modest travel stipends, and networking seminars—grew to include over 120 students placed at eleven different sites in 2010. **Luke Juran**, a CARTHA Fellow supported under this program, went on to become a Rotary Ambassador Scholar focusing on housing, water, and sanitation issues in post-tsunami resettlement districts in Tamil Nadu. When at IIT-Madras, Luke organized a CARTHA seminar and meetings there for Usha in May 2009.



October 18, 2006.
Iowa City.
CARTHA's very
first Fellow Ajailiu
Niumai pictured
with Andrew
Willard (left) and
Willard ("Sandy")
Boyd.

Ajailiu ("Ajai") Niumai

As CARTHA's first Fellow, Ajai made her first trip to the USA to present a paper at the First Himalayan Policy Conference in Madison, Wisconsin. This trip was made possible in part because of the financial and moral support of CARTHA. Ajai's interactions with Usha's collaborators in Iowa City—scholars, Rotarians, and philanthropic leaders affiliated with the Community Foundation of Johnson County—made a lasting impact on her *NGOs and Development* course which she teaches as a sociology faculty member at the University of Hyderabad. Ajai credits CARTHA as having prompted her interests leading up to her conference presentation at the 2009 AHRC/CRONEM (Centre for Research on Nationalism, Ethnicity and Multiculturalism) at the University of Surrey, UK; and her article in an international anthropological journal (*Man in India*, 2010) on the topic of *Indian Diaspora Philanthropy*.



December 4, 2009. Lantern Park Nursing Home, Coralville, Iowa.
Devasena Gnanashanmugam, Usha, and Robert S. Bar.

Devasena Gnanashanmugam

Devasena stumbled upon CARTHA's website in August 2009. She is a pediatric infectious diseases specialist in Chapel Hill, North Carolina. She has worked as a researcher, clinician, educator, and physician-volunteer in the US, India, Haiti, Guatemala, and Zimbabwe. Uniquely blending her professional training and personal aspirations with CARTHA's vision, Devasena is now helping create new curricula on water-borne illnesses. Integrated across literature, media, science, medicine, and public health, such curricula are targeted to medical residents, students, and professionals. With input from other physicians (**Bob Bar**, **Chris Buresh**, **Priya Reddy**) and a documentary producer (**Linda Harrar**), Devasena has been instrumental in the design of CARTHA's initiative themed *Global Health through the Lens of Water*. CARTHA is seeking partners to support the launch of this initiative as a series of lectures, online curricula, and international symposia.



Cultivating Collaborative Doers

Governing Board of Directors

Julie Rajagopal, San Francisco, CA

George W. Krull, Chicago, IL

Michael A. Apicella, Solon, IA

Policarpio A. Soberanis, Boston, MA

Thomas J. Mercolino, Chapel Hill, NC

Usha R. Balakrishnan, Iowa City, IA

Honorary Co-Chair

Cartha Alene Mahoney, Sarasota, FL

Ambassadors

Adhiambo Yvonne Owuor, Nairobi, Kenya

Arlene Drack, Coralville, IA

Carlos Lucena de Aguiar, Recife, Brazil

Charles A. Gardner, Geneva, Switzerland

Chris Hillier, Glasgow, UK

D. Balasubramanian, Hyderabad, India

Devasena Gnanashanmugam, Chapel Hill, NC

Joan E. Sieber, Hayward, CA

Linda Harrar, Boston, MA

Mark H. Neuffer, Chicago, IL

Mark Sidel, Iowa City, IA

Neil Shulman, Atlanta, GA

Raj Rajagopal, Iowa City, IA

Robert S. Bar, Iowa City, IA

Sridhar Ramamoorti, Marietta, GA

More volunteers listed on TEAM at our website

www.cartha.org

CARTHA Annual Income and Expenses Summary

CARTHA's annual tax returns (Form 990 filings) are available and accessible on our website. We present below unaudited financials, overseen by our Audit Committee chaired by CARTHA Board member George W. Krull.

INCOME	2006	2007	2008	2009	Totals
(Cash) Donations*	3,000	170	26,120	13,799	43,089
In-kind contributions	0	0	2,695	872	3,567
Reimbursements	968	1,152	1,860	4,135	8,115
Total (US \$)	3,968	1,322	30,675	18,806	54,771
EXPENSES	2006	2007	2008	2009	Totals
Operations	8,274	17,822	2,419	1,600	30,115
Programs	4,347	2,686	7,857	9,788	24,678
Total (US \$)	12,621	20,508	10,276	11,388	54,793

*In 2010, a donor pledged to cover CARTHA's operational costs of up to \$2,750 per year for the next 20 years.

SEEKING YOUR SUPPORT FOR CARTHA:

A NOTE from our Founder

Dear Friends,

Our work at CARTHA would not be possible without the passionate involvement of a network of supporters. CARTHA is still a very young organization and we continue to look forward to energetic and shared support that leverages our resources and networks with others. Your gesture of support—in whatever form and at whatever level—will be greatly appreciated. With all my best wishes,



Usha R. Balakrishnan



Some Suggested Ways to Make Your Donation to CARTHA

Immediate Term: Mail your contribution

To make a tax-deductible donation, please make your check payable to **CARTHA** and mail to:

33 Buchanan Court, Iowa City, IA 52246

CARTHA's Federal Tax ID is 20-5547610

So that we may appropriately acknowledge the receipt of your contribution, please include your name, address, and contact details. To make donations of stocks or other securities, please call us about your intention so that we may accordingly arrange to receive your donation.

Medium Term: Designate CARTHA as a preferred charity in your giving portfolio

Designate funds at a local United Way or community foundation, a college or university, or professional society to enable CARTHA programming in your locality or area of interest.

Alert other prospective donors or your Corporate Foundation/Community Affairs Officers about the opportunity to support CARTHA.

Longer Term: Leave a legacy with CARTHA

Designate CARTHA among the charities that you and your family support to leave a legacy and to celebrate, memorialize and honor those special family, friends, colleagues, and mentors whom you have cherished in your life.