

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

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

▶ Do not enter social security numbers on this form as it may be made public.

▶ Information about Form 990-EZ and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).**2016****Open to Public  
Inspection****A** For the 2016 calendar year, or tax year beginning January 1, 2016, and ending December 31, 2016**B** Check if applicable:

- ☐ Address change  
☐ Name change  
☐ Initial return  
☐ Final return/terminated  
☐ Amended return  
☐ Application pending

**C** Name of organization**CARTHA**

Number and street (or P.O. box, if mail is not delivered to street address)

Room/suite

**85 Leamer Court**

City or town, state or province, country, and ZIP or foreign postal code

**Iowa City, IA 52246-3202****D** Employer identification number**20-5547610****E** Telephone number**(319) 248-9625****F** Group Exemption

Number ▶

**G** Accounting Method: ☒ Cash ☐ Accrual ☐ Other (specify) ▶**I** Website: ▶ **www.cartha.org****H** Check ☒ if the organization is **not** required to attach Schedule B (Form 990, 990-EZ, or 990-PF).**J** Tax-exempt status (check only one) — ☒ 501(c)(3) ☐ 501(c)( ) ◀ (insert no.) ☐ 4947(a)(1) or ☐ 527**K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other**L** Add lines 5b, 6c, and 7b to line 9 to determine gross receipts. If gross receipts are \$200,000 or more, or if total assets (Part II, column (B) below) are \$500,000 or more, file Form 990 instead of Form 990-EZ . . . . . ▶ \$**Part I** **Revenue, Expenses, and Changes in Net Assets or Fund Balances** (see the instructions for Part I)Check if the organization used Schedule O to respond to any question in this Part I . . . . . ☒

<b>Revenue</b>	<b>1</b>	Contributions, gifts, grants, and similar amounts received . . . . .	<b>1</b>	<b>2,805</b>
	<b>2</b>	Program service revenue including government fees and contracts . . . . .	<b>2</b>	<b>1,472</b>
	<b>3</b>	Membership dues and assessments . . . . .	<b>3</b>	
	<b>4</b>	Investment income . . . . .	<b>4</b>	
	<b>5a</b>	Gross amount from sale of assets other than inventory . . . . .	<b>5a</b>	
	<b>5b</b>	Less: cost or other basis and sales expenses . . . . .	<b>5b</b>	
	<b>5c</b>	Gain or (loss) from sale of assets other than inventory (Subtract line 5b from line 5a) . . . . .	<b>5c</b>	
	<b>6</b>	Gaming and fundraising events		
	<b>a</b>	Gross income from gaming (attach Schedule G if greater than \$15,000) . . . . .	<b>6a</b>	
<b>Expenses</b>	<b>b</b>	Gross income from fundraising events (not including \$ of contributions from fundraising events reported on line 1) (attach Schedule G if the sum of such gross income and contributions exceeds \$15,000) . . . . .	<b>6b</b>	
	<b>c</b>	Less: direct expenses from gaming and fundraising events . . . . .	<b>6c</b>	
	<b>d</b>	Net income or (loss) from gaming and fundraising events (add lines 6a and 6b and subtract line 6c) . . . . .	<b>6d</b>	
	<b>7a</b>	Gross sales of inventory, less returns and allowances . . . . .	<b>7a</b>	
	<b>b</b>	Less: cost of goods sold . . . . .	<b>7b</b>	
	<b>7c</b>	Gross profit or (loss) from sales of inventory (Subtract line 7b from line 7a) . . . . .	<b>7c</b>	
	<b>8</b>	Other revenue (describe in Schedule O) . . . . .	<b>8</b>	
	<b>9</b>	<b>Total revenue.</b> Add lines 1, 2, 3, 4, 5c, 6d, 7c, and 8 . . . . . ▶	<b>9</b>	<b>4,277</b>
	<b>10</b>	Grants and similar amounts paid (list in Schedule O) . . . . .	<b>10</b>	<b>1,240</b>
	<b>Net Assets</b>	<b>11</b>	Benefits paid to or for members . . . . .	<b>11</b>
<b>12</b>		Salaries, other compensation, and employee benefits . . . . .	<b>12</b>	
<b>13</b>		Professional fees and other payments to independent contractors . . . . .	<b>13</b>	
<b>14</b>		Occupancy, rent, utilities, and maintenance . . . . .	<b>14</b>	
<b>15</b>		Printing, publications, postage, and shipping . . . . .	<b>15</b>	<b>200</b>
<b>16</b>		Other expenses (describe in Schedule O) . . . . .	<b>16</b>	<b>3,940</b>
<b>17</b>		<b>Total expenses.</b> Add lines 10 through 16 . . . . . ▶	<b>17</b>	<b>5,380</b>
<b>18</b>	Excess or (deficit) for the year (Subtract line 17 from line 9) . . . . .	<b>18</b>	<b>-1,103</b>	
<b>19</b>	Net assets or fund balances at beginning of year (from line 27, column (A)) (must agree with end-of-year figure reported on prior year's return) . . . . .	<b>19</b>	<b>3,428</b>	
<b>20</b>	Other changes in net assets or fund balances (explain in Schedule O) . . . . .	<b>20</b>		
<b>21</b>	Net assets or fund balances at end of year. Combine lines 18 through 20 . . . . . ▶	<b>21</b>	<b>2,325</b>	

Check if the organization used Schedule O to respond to any question in this Part II . . . . . ☒

Check if the organization used Schedule O to respond to any question in this Part III . . ☒

**Expenses**  
(Required for section 501(c)(3) and 501(c)(4) organizations; optional for others.)

<b>32</b>	<b>Total program service expenses</b> (add lines 28a through 31a) . . . . .	<b>32</b>	<b>4,380</b>
-----------	---	-----------	--------------

Check if the organization used Schedule O to respond to any question in this Part IV . . . . . ☒

Form **990-EZ** (2016)

**Part V Other Information** (Note the Schedule A and personal benefit contract statement requirements in the instructions for Part V) Check if the organization used Schedule O to respond to any question in this Part V. ☒

	Yes	No
<b>33</b> Did the organization engage in any significant activity not previously reported to the IRS? If "Yes," provide a detailed description of each activity in Schedule O . . . . .	<b>33</b>	✓
<b>34</b> Were any significant changes made to the organizing or governing documents? If "Yes," attach a conformed copy of the amended documents if they reflect a change to the organization's name. Otherwise, explain the change on Schedule O (see instructions) . . . . .	<b>34</b>	✓
<b>35a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year from business activities (such as those reported on lines 2, 6a, and 7a, among others)? . . . . .	<b>35a</b>	✓
<b>b</b> If "Yes," to line 35a, has the organization filed a Form 990-T for the year? If "No," provide an explanation in Schedule O	<b>35b</b>	
<b>c</b> Was the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization subject to section 6033(e) notice, reporting, and proxy tax requirements during the year? If "Yes," complete Schedule C, Part III . . . . .	<b>35c</b>	✓
<b>36</b> Did the organization undergo a liquidation, dissolution, termination, or significant disposition of net assets during the year? If "Yes," complete applicable parts of Schedule N . . . . .	<b>36</b>	✓
<b>37a</b> Enter amount of political expenditures, direct or indirect, as described in the instructions ▶ <b>37a</b> 0	<b>37a</b>	
<b>b</b> Did the organization file <b>Form 1120-POL</b> for this year? . . . . .	<b>37b</b>	✓
<b>38a</b> Did the organization borrow from, or make any loans to, any officer, director, trustee, or key employee or were any such loans made in a prior year and still outstanding at the end of the tax year covered by this return? . . . . .	<b>38a</b>	✓
<b>b</b> If "Yes," complete Schedule L, Part II and enter the total amount involved . . . . .	<b>38b</b>	
<b>39</b> Section 501(c)(7) organizations. Enter:		
<b>a</b> Initiation fees and capital contributions included on line 9 . . . . .	<b>39a</b>	
<b>b</b> Gross receipts, included on line 9, for public use of club facilities . . . . .	<b>39b</b>	
<b>40a</b> Section 501(c)(3) organizations. Enter amount of tax imposed on the organization during the year under: section 4911 ▶ 0 ; section 4912 ▶ 0 ; section 4955 ▶ 0		
<b>b</b> Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in any section 4958 excess benefit transaction during the year, or did it engage in an excess benefit transaction in a prior year that has not been reported on any of its prior Forms 990 or 990-EZ? If "Yes," complete Schedule L, Part I	<b>40b</b>	✓
<b>c</b> Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Enter amount of tax imposed on organization managers or disqualified persons during the year under sections 4912, 4955, and 4958 . . . . .		
<b>d</b> Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Enter amount of tax on line 40c reimbursed by the organization . . . . .		
<b>e</b> All organizations. At any time during the tax year, was the organization a party to a prohibited tax shelter transaction? If "Yes," complete Form 8886-T . . . . .	<b>40e</b>	✓
<b>41</b> List the states with which a copy of this return is filed ▶ Iowa		
<b>42a</b> The organization's books are in care of ▶ Usha Balakrishnan, President/CEO, CARTHA Telephone no. ▶ 52246-3202 Located at ▶ 85 Leamer Court, Iowa City, IA 52246 ZIP + 4 ▶ 52246-3202		
<b>b</b> 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)? If "Yes," enter the name of the foreign country: ▶ See the instructions for exceptions and filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).	<b>42b</b>	✓
<b>c</b> At any time during the calendar year, did the organization maintain an office outside the United States? If "Yes," enter the name of the foreign country: ▶	<b>42c</b>	✓
<b>43</b> Section 4947(a)(1) nonexempt charitable trusts filing Form 990-EZ in lieu of <b>Form 1041</b> —Check here ▶ <input type="checkbox"/> and enter the amount of tax-exempt interest received or accrued during the tax year . . . . . ▶ <b>43</b>		
<b>44a</b> Did the organization maintain any donor advised funds during the year? If "Yes," Form 990 must be completed instead of Form 990-EZ . . . . .	<b>44a</b>	✓
<b>b</b> Did the organization operate one or more hospital facilities during the year? If "Yes," Form 990 must be completed instead of Form 990-EZ . . . . .	<b>44b</b>	✓
<b>c</b> Did the organization receive any payments for indoor tanning services during the year? . . . . .	<b>44c</b>	✓
<b>d</b> If "Yes" to line 44c, has the organization filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . . . .	<b>44d</b>	
<b>45a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)? . . . . .	<b>45a</b>	✓
<b>b</b> Did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," Form 990 and Schedule R may need to be completed instead of Form 990-EZ (see instructions) . . . . .	<b>45b</b>	✓

**46** Did the organization engage, directly or indirectly, in political campaign activities on behalf of or in opposition to candidates for public office? If "Yes," complete Schedule C, Part I . . . . .

	Yes	No
<b>46</b>		✓

**Part VI Section 501(c)(3) organizations only**

All section 501(c)(3) organizations must answer questions 47–49b and 52, and complete the tables for lines 50 and 51.

Check if the organization used Schedule O to respond to any question in this Part VI . . . . . ☐

**47** 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 . . . . .

	Yes	No
<b>47</b>		✓

**48** Is the organization a school as described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E . . . . .

	Yes	No
<b>48</b>		✓

**49a** Did the organization make any transfers to an exempt non-charitable related organization? . . . . .

	Yes	No
<b>49a</b>		✓

**b** If "Yes," was the related organization a section 527 organization? . . . . .

	Yes	No
<b>49b</b>		

**50** Complete this table for the organization's five highest compensated employees (other than officers, directors, trustees, and key employees) who each received more than \$100,000 of compensation from the organization. If there is none, enter "None."

(a) Name and title of each employee	(b) Average hours per week devoted to position	(c) Reportable compensation (Forms W-2/1099-MISC)	(d) Health benefits, contributions to employee benefit plans, and deferred compensation	(e) Estimated amount of other compensation
None				

**f** Total number of other employees paid over \$100,000 . . . . . **0**

**51** Complete this table for the organization's five highest compensated independent contractors who each received more than \$100,000 of compensation from the organization. If there is none, enter "None."

(a) Name and business address of each independent contractor	(b) Type of service	(c) Compensation
None		

**d** Total number of other independent contractors each receiving over \$100,000 . . . . . **0**

**52** Did the organization complete Schedule A? **Note:** All section 501(c)(3) organizations must attach a completed Schedule A . . . . . ☒ **Yes** ☐ **No**

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

Date

**Usha R Balakrishnan, President/CEO, CARTHA**

Type or print name and title

**Paid Preparer Use Only**

Print/Type preparer's name

Preparer's signature

Date

Check ☐ 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**

**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.

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No. 1545-0047

**2016**

**Open to Public  
Inspection**

Name of the organization

CARTHA

Employer identification number

205547610

**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 12, 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 (Form 990 or 990-EZ).)
- 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 agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university: \_\_\_\_\_
- 10 ☐ 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.)
- 11 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 12 ☐ 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 in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
- a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
- b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
- c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
- d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
- e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.

f Enter the number of supported organizations . . . . .

g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1–10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
(A)						
(B)						
(C)						
(D)						
(E)						
<b>Total</b>						

**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) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . . . . .	22843	2100	19510	6964	4277	55694
<b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .	0	0	0	0	0	0
<b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .	0	0	0	0	0	0
<b>4 Total.</b> Add lines 1 through 3 . . . . .	22843	2100	19510	6964	4277	55694
<b>5</b> 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) . . . . .						20605
<b>6 Public support.</b> Subtract line 5 from line 4 . . . . .						35089

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
<b>7</b> Amounts from line 4 . . . . .	22843	2100	19510	6964	4277	55694
<b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .	0	0	0	0	0	0
<b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .	0	0	0	0	0	0
<b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . . . . .	22843	2100	19510	6964	4277	55694
<b>11 Total support.</b> Add lines 7 through 10 . . . . .						55694
<b>12</b> Gross receipts from related activities, etc. (see instructions) . . . . .					12	
<b>13 First five years.</b> 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 <b>stop here</b> . . . . .						<input type="checkbox"/>

**Section C. Computation of Public Support Percentage**

<b>14</b> Public support percentage for 2016 (line 6, column (f) divided by line 11, column (f)) . . . . .	<b>14</b>	63 %
<b>15</b> Public support percentage from 2015 Schedule A, Part II, line 14 . . . . .	<b>15</b>	49 %
<b>16a 33<sup>1</sup>/<sub>3</sub>% support test—2016.</b> If the organization did not check the box on line 13, and line 14 is 33 <sup>1</sup> / <sub>3</sub> % or more, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization . . . . .		<input checked="" type="checkbox"/>
<b>b 33<sup>1</sup>/<sub>3</sub>% support test—2015.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 <sup>1</sup> / <sub>3</sub> % or more, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization . . . . .		<input type="checkbox"/>
<b>17a 10%-facts-and-circumstances test—2016.</b> 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 <b>stop here</b> . Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . .		<input type="checkbox"/>
<b>b 10%-facts-and-circumstances test—2015.</b> 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 <b>stop here</b> . Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . .		<input type="checkbox"/>
<b>18 Private foundation.</b> 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 O**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information to Form 990 or 990-EZ**

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No. 1545-0047

**2016**

**Open to Public  
Inspection**

Name of the organization

**CARTHA**

Employer identification number

**205547610**

**Please see attached.**

**Response to Form 990EZ-Part I, Line 10, Grants and similar amounts paid**

Explanation for total of \$1,240:

- Two new CARTHA Fellows were designated in 2016. Brad Pector and Marcus Brown each were awarded \$500 each to support their costs of participation at the annual meeting of the Association of Writers and Writing Programs. (\$1,000).
- Additional expense relates to support of CARTHA Fellow Casey Kidwell's work on a Rotary project. (\$240).

**Response to Form 990EZ-Part I, Line 16, Other expenses**

Explanation for total of \$3,940:

- As per the intent of two of our donors, CARTHA contributed \$1,000 to add to the newly-established CARTHA Fund to support Partnerships in Social Innovation (an Agency Endowment Fund) at the Community Fndn of Johnson County-Iowa. (\$1,000)
- Several Glocalizer programs, co-sponsored events and gatherings were held. (\$2,660)
- Program-related travel expense. (\$280)

**Response to Form 990EZ-Part II, Line 26, Total Liabilities**

All the Winterim India program student award checks that had been sent out in late 2015 (and therefore recorded as outstanding liabilities in 2015, totaling \$19,900 to 62 different students) cleared in 2016.

**Responses to Form 990EZ-Part III: Program Service Accomplishments**

A special year arrived as CARTHA turned 10 in 2016 and we are delighted to share an Activities Report. CARTHA ("Collaborative Arts in Research Translation for Human Advancement") designs and sponsors academic-practitioner fellowships, and intergenerational Glocalizers focused on Social Innovation, Diaspora Givers, and Healthfulness. Volunteers tend to usually self-select themselves into CARTHA's collaborative models of working because of CARTHA's key question: *What are your aspirations for humanity?*

**OUTREACH/SPEAKING ENGAGEMENTS IN 2016**

- The Winterim India program partnership launched by University of Iowa Professor (and CARTHA Ambassador) Raj Rajagopal received national recognition in February 2016 from the International Institute of Education as the most innovative Study Abroad Program among 1,400 US universities. CARTHA Founder's pre-recorded video greetings from Chennai, India were played at the University of Iowa celebration that felicitated Professor Rajagopal's dedication to advancing this Collaborative Learning partnership program. CARTHA also co-hosted Divyanshu Ganatra, a dynamic social entrepreneur from Pune, India who visited Iowa and spoke about his wide-ranging aspirations and achievements despite having gone blind at the age of 19.
- CARTHA Founder was recognized with the 2016 Community Service Award from the Indian Association of Iowa City Area at the Indian Harvest Festival event on February 20 that was attended by around 400 people.

## Schedule O Attachment to Form 990EZ Tax Return for 2016

- With sponsorship support from South Slope Telephone Company of North Liberty, Iowa, CARTHA was featured along with Rotarian women leaders in the 2016 OVATION Magazine of the Iowa Women's Foundation. Editorial help was provided by Mary Ann Hendrickson. The Magazine was released at a celebratory event on May 9 that Balakrishnan attended along with Mary Ann Hendrickson and Victoria Olango (who had come as an introduction from Sujit Kumar Mohanty).
- Balakrishnan delivered an invited guest lecture on April 19 for University of Iowa engineering faculty members Arunkumar Pennathur and Priya Pennathur who teach a course titled "Innovation Sciences" at the University of Iowa. Featuring her experiential journeys in founding the Technology Managers for Global Health group and CARTHA, Balakrishnan highlighted the human aspects of social entrepreneurship and CARTHA's efforts at fostering Collaborative Competence among Glocalized Networks of Collaborative Doers for Humanity.
- Balakrishnan and CARTHA Board Member Anu Subramanian attended an event at the house of Dr. Resmiye Oral who directs the Child Protection Program at the University of Iowa Hospitals & Clinics and is in the process of launching a Trauma Informed Care initiative. Balakrishnan served on conference panels on April 27 and May 18 to helpfully advance this initiative's next phases.
- CARTHA Founder began on July 1, 2016, her presidency year of the Iowa City Noon Rotary Club. With nearly 340 members, it is now the largest Rotary Club in the State of Iowa. Every Thursday's noon meeting at the University Club is attended by 120-140 Rotarians and guests. CARTHA Founder continues to serve on the Advisory Board of RAG4CLUBFOOT (the Rotarian Action Group) focused on promoting access to the non-surgical, non-invasive Ponseti Clubfoot Treatment Method especially on behalf of children in underprivileged communities across the world. Several Carthans are now also Rotarians, including Board members Horacio Olivo and Assata Caldwell. Several collaborative project design approaches (e.g., Bike Racks project spearheaded by CARTHA Fellow Casey Kidwell who is also a Rotarian) have thus been enhanced because of Carthans' involvement in multiple communities-of-practice. With her collaborators John Buchanan, Dimy Doresca, and Patty Roberts, Balakrishnan organized a Symposium on Rotary & Global Social Entrepreneurship in July with visiting guest Ray Klinginsmith, Past President of Rotary International along with 25 visiting young entrepreneurs (US State Department-sponsored Mandela Washington Fellows) from 18 different countries of Africa.

**GLOCALIZERS & FELLOWSHIPS IN 2016**

- CARTHA's 10<sup>th</sup> birth anniversary turned out to be a very special celebratory occasion since the date coincidentally fell on Thursday, September 1, 2016. So, immediately following our Annual Board Meeting, and CARTHA Board Member Linda Harrar spoke inspiringly and eloquently at the Rotary meeting which was presided by Balakrishnan and where new CARTHA Board Member Assata Caldwell was also inducted into Rotary! Carthans from Sarasota, FL (Cartha Alene Mahoney) and Portland, OR (Ingrid Wehrle) also traveled to Iowa to attend/speak at Rotary meetings in a great show of support to Balakrishnan's Rotary Club presidency year.

- As an ongoing part of CARTHA's 10<sup>th</sup> anniversary celebrations, CARTHA Board members Roger Williamson and Judy Leavitt enthusiastically supported the design and launch of two new Fellowships in Writing and Humanitarianism and two young poets (Brad Pector and Marcus Brown) were awarded Fellowships to support their participation in the Annual Meeting of the Association of Writers and Writing Programs in Washington, DC. Partnering with the University of Iowa's International Writing Program and Rotary, an evening event with writers, poets, and humanitarian volunteers was organized on October 25 with 40 people attending.
- In December 2016, a CARTHA Glocalizer titled "Grief Relief Muse" or "Great Remembrances & Memories" (GRM) was especially designed to honor the memory of cherished family and friends. On this occasion, there was poetry reading by CARTHA Fellows and roundtable conversations amid an announcement about the establishment of a CARTHA Fund—an Agency Endowment Fund at the Community Foundation of Johnson County—which will support Partnerships in Social Innovation. The CARTHA Fund was started by Balakrishnan to honor the memory of her late Dad, G. R. Moorti whose 90<sup>th</sup> birth anniversary date fell on December 22. Two other Board members added their contributions to this CARTHA Fund.

**Response to Part IV: List of Officers, Directors, Trustees of CARTHA**

- **Usha Balakrishnan, Founder, President/CEO, and Board Chair since 2006**  
85 Leamer Court, Iowa City, IA 52246 / Email: usha.balakrishnan@gmail.com
- **Assata Caldwell – Board Member since 2016**  
6703 Tennessee Dr SW, Cedar Rapids, IA 52404 / Email: illustrationsbyassata@gmail.com
- **Linda Harrar – Board Member since 2012**  
10 Oxbow Road, Wayland, MA 01778 / Email: ldharrar@aol.com
- **Judith Leavitt – Board Member since 2016**  
2209 Jessica Lane, Coralville, IA 52241 / Email: Leavitt.j47@gmail.com
- **Horacio Olivo – Board Member since 2016**  
2345 Macbride Drive, Iowa City, IA 52246 / Email: horacio-olivo@uiowa.edu
- **Roger Williamson – Board Member since 2016**  
4235 Turkey Creek Rd NE, Iowa City, IA 52240 / Email: roger-williamson@uiowa.edu
- **Anu Subramanian since 2016**  
139 Penfro Drive, Iowa City, IA 52246 / Email: subramanian.anu@gmail.com

**Response to Part V: Lines 35a and 35b**

CARTHA did not receive any unrelated business income in 2016.