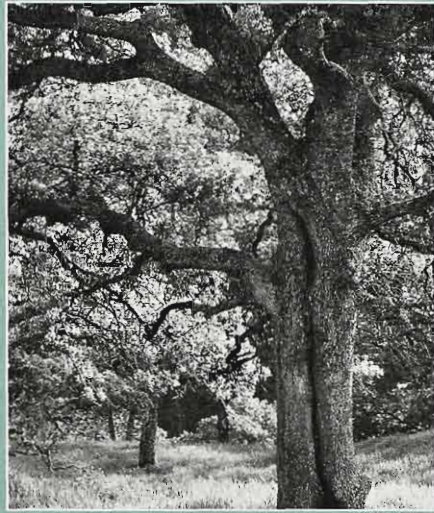


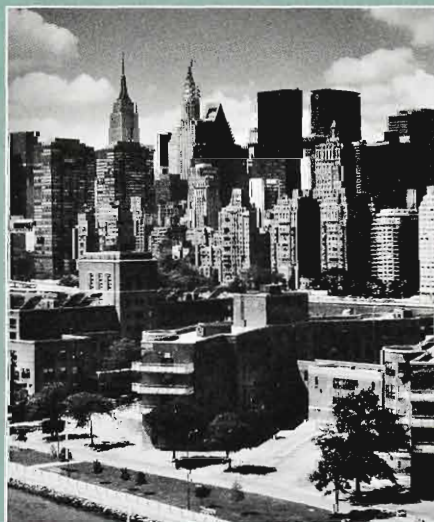
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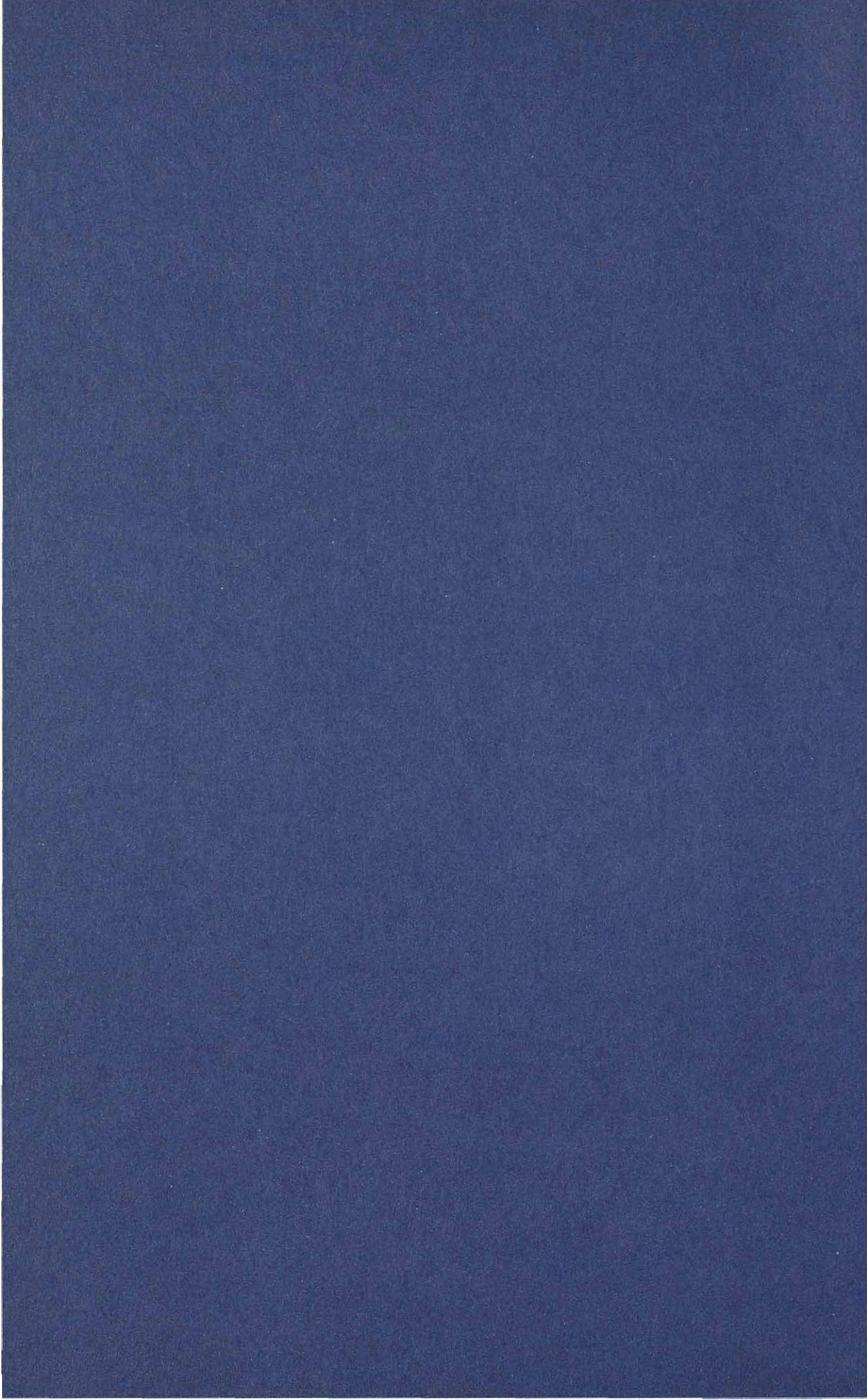


ROCKEFELLER BROTHERS FUND



ANNUAL REPORT 1996





**ROCKEFELLER
BROTHERS FUND
ANNUAL REPORT
1996**

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Chairman's Introduction



ABBY M. O'NEILL, Chairman of the Rockefeller Brothers Fund

Promoting the growth of philanthropy in the United States and in other regions of the world is a central goal of the Rockefeller Brothers Fund's program on the nonprofit sector. Not surprisingly, the growth of family philanthropy is of special interest to me — both as the chairman of a notable family foundation, and as a member of the family for which it is named.

Families now manage an estimated two-thirds of this country's 40,000 private foundations, according to the Council on Foundations. More than 1,000 new family foundations are being formed each year. With the much anticipated \$10 trillion "intergenerational transfer" of wealth soon to materialize, as the children of an unprecedentedly prosperous Baby Boom generation come into their inheritances, the rapid expansion of the family foundation sector seems sure to continue. This is a trend that should be greeted with enthusiasm and encouragement, since it represents the release of new philanthropic resources and energies at a time of exceptional need, both here and abroad.

In the United States, all of us who are engaged in organized philanthropy, whether family-based or not, recognize that the devolution and diminution of federal support for domestic social, cultural, and educational programs are putting increased pressure on private foundations to provide responses and solutions to serious societal problems. At the same time, what foundations ought to be doing and how they should do it are the subjects of considerable debate — a debate which is complicated by the fact that the role of private philanthropy in our complex society is not fully or widely understood. It is also true that the financial demands being placed on private philanthropy are substantially greater than the resources available to meet them, now and in the foreseeable future, even with the upcoming transfer of wealth.

In the international context, a parallel reduction of funding for foreign assistance — not just by the U.S. but by other industrialized nations as well — threatens to undermine the work of many local organizations that foster social development and sustainable economic growth in less developed countries and countries in transition. Since adequate local sources of grant money and donations are typically not available in these countries, such groups have depended heavily on outside assistance and feel its loss acutely. In many instances, the loss of foreign support for skill building and organizational capacity building (an issue of great concern to the RBF,

especially in East Central Europe) is as critical as the loss of the funding itself. The relatively few private American foundations that make international grants are under enormous pressure to help. Again, however, the gap left by government cutbacks will be extremely difficult to fill.

In the face of these pressures, family foundations, as a growing and vital sector of the U.S. foundation community, have a twofold responsibility. First, they must define their missions thoughtfully and carry them out with skill, commitment, and sensitivity, making the most of their critical but finite resources. Second, they must help ensure that the public and policymakers are able to understand, trust, and continue to support foundation philanthropy.

The first of these responsibilities is relatively easy to grasp. Defining mission is a complex but critical process of balancing family traditions and ties on the one hand, with an objective assessment of needs on the other. Once family members have defined what *doing good* means for them, however, they must also commit to doing it *well*, with imagination but also with rigor. Making a difference where help is needed, without squandering philanthropic resources, is a responsibility donors have to themselves as well as to the recipients or beneficiaries of their contributions.

The second responsibility is less obvious, perhaps, because it is based on a less familiar notion— that *privately funded* foundations (including family foundations) should and must be concerned with what the American *public* and its representatives think of them. This notion has only recently begun to receive the broad attention it deserves within the foundation community. The fact is that when a family chooses to form a foundation, to move from personal check-writing to organized philanthropy, it enters into an agreement with society and embraces a significant public trust. In return for substantial tax breaks and other financial advantages, voted into law by elected representatives who serve at the public's pleasure, that family agrees to use its private resources for the public good. It furthermore agrees to do so ethically, legally, and accountably.

There is one foundation activity, I believe, which addresses both of these responsibilities. RBF president Colin Campbell and I have come to call this activity *telling our story* — giving an open account of ourselves as foundations, describing our intentions, actions, and underlying values. A foundation's annual report is an important example of how this kind of storytelling works. First, in telling the stories of its programs and grantees, a foundation annually tests the coherence of its assumptions, the relevance of its priorities, and the effectiveness of its decision making. Preparing an annual report is thus



DAVID ROCKEFELLER, JR., a trustee of the Fund, with Wendy Luers, wife of trustee William H. Luers and president of the Foundation for a Civil Society.

an opportunity for a foundation's staff and trustees to ask themselves whether they are indeed *doing good*, and doing it *well* — making the greatest possible impact with their financial resources and their resources of personal concern and energy. Second, by openly describing its motivations, mission, finances, and grantmaking strategies, a foundation can help clarify and enlarge the public's understanding of private philanthropy and of the roles foundations play in modern society. To the extent that foundations as a whole are often perceived as secretive and arbitrary, giving such an account of ourselves will provide evidence to the contrary. Furthermore, at a time



ABBY O'NEILL at the annual Board of Trustees retreat.

of rapid growth in the number and funding capacity of family foundations, it is crucial that our stories be among the building blocks from which a new and broadly-shared understanding of philanthropy is constructed.

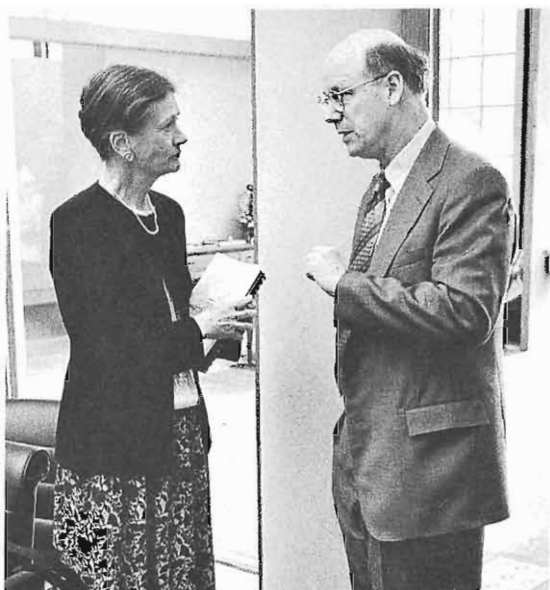
I am fortunate to belong to a family whose name has long been synonymous with family philanthropy and whose “story” has, I hope, inspired other families to establish foundations of their own. Within our family, storytelling (sharing and discussing experiences and reviewing lessons learned) has been a vital way of bringing the family together and transmitting family traditions of philanthropy and service from one generation to the next. By making our family’s philanthropy more transparent not only to external

observers but also to members of the family, storytelling has helped to ensure that family giving remains flexible, responsive to family concerns and social needs, and sustainable from generation to generation. Our family’s intergenerational conversations about philanthropy and social responsibility have resulted over the years in an array of Rockefeller-funded nonprofit and philanthropic organizations — among them the Rockefeller Brothers Fund — as well as ongoing family involvement in a wide range of public needs and issues, both in the United States and abroad. So important has this storytelling process been to our family’s philanthropic enterprise that some aspects of it have been “institutionalized.” A family philanthropy newsletter circulates every month, and periodic family dialogues are scheduled to provide a framework for revitalizing and rethinking the ways in which we give external expression to the values and concerns of family members.

What kind of story does the Rockefeller Brothers Fund tell about the Rockefeller family and its traditions of philanthropy? I like to think that the steady commitment of family members to the RBF board (on which 26 individuals representing three generations of Rockefellers have served as trustees since 1940) tells one kind of story: a story of long-range attention to complex, enduring issues and fundamental human needs. This steady commitment also testifies to the family’s deep-seated belief that being engaged in the course of human events — local, national, or global — is both a responsibility and a privilege, and on a personal level, immensely rewarding. Similarly, the Fund’s consistency in adhering to core program ideas reflects the family’s own adherence to core values and principles — “leaving the world a better place,” in the words of my grandfather, John D. Rockefeller, Jr.

The Fund’s interests in collaboration (partnering with other organizations) and synergy (developing clusters of interrelated projects to produce an impact greater than the sum of the parts) say something, it seems to me, about the experience of belonging to a large, multigenerational family, whose members are encouraged to be independent but to recognize and draw strength from their connectedness. The RBF’s interest in promoting change that is sustainable and institutionalized seems to parallel the family’s own recognition of the need to institutionalize some aspects of its commitment to intergenerational social responsibility.

The RBF’s global perspective clearly reflects a family belief in the importance of looking outward to the larger world, with curiosity, confidence, and compassion, as well as inward to the concerns that occupy us as members of a family, residents of a particular state, or citizens of the United States. Finally, I believe the RBF’s strategy



STEVEN R. ROCKEFELLER, vice chairman of the Fund, with program officer Caroline F. Zinsser, who directs the Fund's grantmaking in education.

of addressing locally based problems in the context of international concerns reflects another lasting family belief: that while the forces affecting us are increasingly global, it is often the richness of our own civic and community resources — our skills, experiences, and institutions — that will determine our ability to cope with the challenges they pose.

• • •

Of course, the Rockefeller Brothers Fund is not solely the creation of the Rockefeller family; far from it. Over the years the Fund has benefitted from the counsel and direction of many outstanding trustees who were not members of the family, and from the dedication and creativity of its excellent staff. Trustees and staff have always enjoyed a uniquely close relationship at the RBF, working

together productively and enthusiastically to define programs and assess their impact. Never has the dialogue between trustees and staff been livelier or more dynamic than it is now, under the leadership of Colin Campbell. The result, I believe, is grantmaking that is strong, focused, and informed by thoughtful debate.

One of the non-family members who contributed most to the shaping of the Rockefeller Brothers Fund was Dana S. Creel, the first president of the Fund and its director for twenty-five years, from 1950 to 1975. Dana's death on May 15, 1997, meant the loss of a dear personal friend as well as a wise colleague and advisor to the Fund's staff and board. Dana practiced philanthropy with gracious style and visionary intellect, anticipating some of today's most pressing social issues and needs. Under his direction the Fund provided early support for conservation, continuing education, and international exchange programs, as well as for historically black colleges and for organizations involved in the Civil Rights movement. During his many years of grantmaking leadership, Dana Creel set a standard for giving that inspires us still.

In June 1996, the board of the Rockefeller Brothers Fund elected two new trustees: Edmond D. Villani, president and chief executive officer of Scudder, Stever & Clark, Inc., and Steven C. Rockefeller, professor of religion at Middlebury College in Vermont and a son of Nelson A. Rockefeller. Ed Villani brings valuable financial and management expertise to his board position, and in particular to his chairmanship of the Fund's Finance Committee. Steven returns to the board after a brief absence and is serving as our vice chairman. We have lost no time in benefitting from their thoughtful and sensitive counsel.

As I hope this annual report demonstrates, 1996 has been a year of learning and grappling with challenges. It has also been a year of excitement as we begin to see the results of some of our longer-term efforts. For their dedication, intelligence, and energy, I salute and thank all of my colleagues.

Abby M. O'Neill

President's Report

At several points in this annual report, including the Introduction by RBF chairman Abby O'Neill, reference is made to the need for a better and more widely shared public understanding of what nonprofit organizations do and how they function, and of the vital role that philanthropy plays in American life. The lack of such understanding, many foundation leaders believe, has contributed to public skepticism about the value and effectiveness of the nonprofit sector and has made the sector vulnerable to simplistic and sometimes ideologically motivated interpretations. At the same time foundations, like many other social institutions, are under increasing pressure from several external audiences — including the press, public opinion leaders, and legislators at both the national and local levels — to demonstrate greater institutional accountability. Those of us in the philanthropic community who are urging foundations to “tell their stories” do so in hopes of promoting a kind of accountability that is concerned not only with addressing the public's very appropriate financial, legal, and ethical expectations of us, but also with enlarging and clarifying the public's understanding of the widely varied motivations, goals, and strategies that guide foundation work.



COLIN G. CAMPBELL, President of the Rockefeller Brothers Fund

Important as it is, however, a commitment to accountability — to giving a clear, full, and straightforward account of ourselves — is only half the answer to today's close public “inspection” of the philanthropic enterprise. Equally important is the foundation community's commitment to *introspection*, the process of looking closely and reflectively at ourselves.

Giving an account of oneself inevitably involves some introspection: It only makes sense for a foundation to reflect on its own principles, practices, and achievements before attempting to describe them to others. The fact that accountability requires introspection is, of course, one of its virtues. But I believe a more fundamental and systematic approach to introspection may be needed in these challenging times — times which have confronted the nonprofit sector not only with increased public scrutiny but also with an enormously enlarged set of demands, a dramatically altered funding stream, and a generation of new philanthropists whose potential impact is great but whose priorities and preferences are as yet unformed, or at least unrevealed. A more fundamental and systematic approach to introspection will call on foundations to reach beyond self-definition (what issues do we

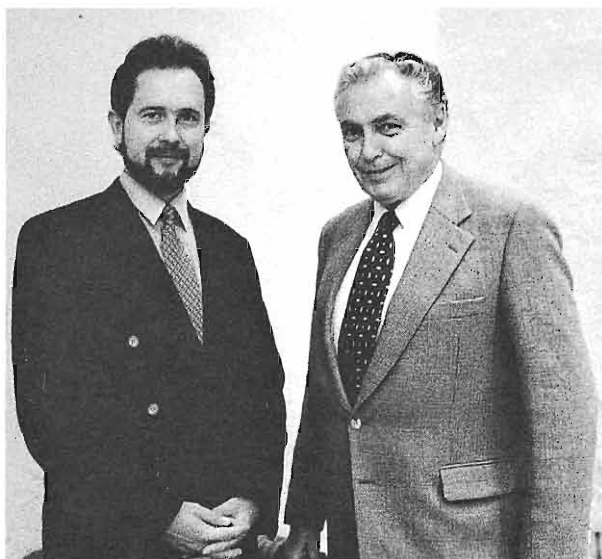
care about and why?) and even beyond self-evaluation (what kind of a contribution are we making?) in order to ask a more basic question: Are we going about our primary business of grantmaking *responsibly*, given the circumstances and conditions that surround us?

Responsible grantmaking, it seems to me, incorporates a number of specific behaviors — and yes, those include adhering to basic financial, legal, and ethical standards of philanthropic practice; telling the story of grantmaking in a way that enables the public to understand and place confidence in the philanthropic enterprise; and engaging in thoughtful self-definition and self-evaluation. But I would suggest that responsible grantmaking also refers to matters of stance and approach, habits of thought which will not necessarily produce uniform results when it comes to foundation behavior — since there is such variety among foundation styles and priorities — but which will help *overall* to ensure that philanthropy at the close of the 20th century remains relevant, meaningful, and respected. One of these less tangible characteristics of responsible grantmaking has increasingly captured my attention and that of the RBF staff and trustees.

FOUNDATION “BALANCING ACTS”

At the Rockefeller Brothers Fund, we have launched a series of staff retreats that are organized around the theme of *balance*. We have taken as our starting point the notion that good grantmaking — responsible grantmaking — requires finding a balance among many competing values and concerns, all of which are legitimate and worthy of some degree of emphasis. We are asking ourselves, for example, how we currently balance and how we might better balance passionately held beliefs with the need for objectivity; a yearning for individuality with the recognized benefits of collegiality and collaboration; a desire to look forward (to the next grant) with the need to look back (monitoring grants already made); and a determination to be innovative with our commitment to existing grantees and longstanding traditions of grantmaking. Our goal is not to find some single, permanent resolution to these questions of relative emphasis, but rather to school ourselves to think in terms of the need for balance, for the thoughtful consideration of competing viewpoints, perspectives, and approaches.

I suspect that most of the balancing acts we have contemplated at the RBF would also be familiar to other foundations. Different foundations will reach different conclusions about the balances that suit them. But if a preponderance of foundations reaches similar conclusions, that will clearly have an impact on the “balance” of the entire foundation community — a matter of no small significance if one considers the degree of influence that foundations, as funders, can exercise within the nonprofit sector. Responsible grantmaking in its broadest sense, then, involves considerations of balance not only within a particular foundation but also with respect to the foundation community at large. During the RBF’s most recent staff retreat, we raised several questions of balance which seem particularly crucial in this broad sense.



COLIN CAMPBELL WITH PAVOL DEMES, president of the Slovak Academic Information Agency, an RBF grantee which assists nonprofit organizations in Slovakia.

Balancing Institutional and Project Support:

One question concerns the relative emphasis that ought to be given to institutional or general support of nonprofit organizations as compared to support for specific projects. There is great concern among nonprofits about the growing inclination of foundations to focus on project funding without giving due consideration — they feel — to the basic operating needs of the nonprofit institutions that are expected to carry out those projects. Understandably, this concern becomes particularly acute when foundations require nonprofits to scale up or evaluate their projects or to become more self-sufficient financially, without providing support to help nonprofits enlarge their internal capacity for project oversight or fundraising.



COLIN CAMPBELL AND ABBY O'NEILL host a discussion with Vaclav Havel, president of the Czech Republic, at the Pocantico Conference Center.

At a time when nonprofits are going through a sea change in funding, losing substantial amounts of government support and scrambling to tap into new private sources of support, the reduction in general support from the foundation community is a significant additional stress, especially if it is combined with increased foundation demands. A number of foundations, including the RBF, make a considerable effort to fund capacity building for nonprofit organizations — an important and helpful strategy, but not the same as providing unrestricted general support. It may well be time for foundations to reassess their balance of project support with institutional support. The scales may be weighted too heavily toward project support, just at a time of critically changed operating conditions for many of the organizations we are dedicated to helping.

Balancing Action and Exploration: A second and related balancing act has to do with the “mix” of activities which foundations support. Both at individual foundations and, it seems to me, in the foundation community at large, there is an increased emphasis on funding for public education and advocacy efforts. Policy research and demonstration projects, like the general operating needs of nonprofit organizations, seem to be receiving less support from foundations than once was the case. That is certainly the perception of groups engaged in these kinds of activities. By the same token, the traditional role of foundations in floating new, sometimes quite radical ideas and prompting conversations about them also seems to be dwindling in the face of a determination to advance programs of action.

These observations are not meant as criticisms of activist philanthropy or of foundation-funded advocacy and public education, which are vital, but rather as reminders of the question of balance. Again, there is no single, correct mix of activities or funding approaches to suit every foundation; but the complexity of today's social and environmental challenges requires that the full range of foundation strategies be brought to bear upon them and that potential foundation contributions to social problem-solving (contributions the foundation sector may be uniquely capable of providing) not be overlooked.

Balancing Engagement and Respect for Independence: A third question of balance weighs active foundation involvement in project design on the one hand, with respect for the independence of potential grantees on the

other. To the extent that foundations become wedded to program strategies and to the project specifications they imply, the creativity of grantees and potential grantees may be stifled. Projects may end up being tooled to fit the requirements of foundation funding guidelines, and in the process lose their originality and even their *raison d'être*. Foundation programs may become rigid and overdefined, insulated from one of their chief sources of information and inspiration — the creativity of grantseekers. It bears repeating: The complexity of today's global and domestic problems is such that any loss of creative energy or imaginative range in addressing those problems should be viewed as unacceptable.



CONFERRING WITH MEETING FACILITATORS Jenny Yancy and Dan Siegal before a session at the Pocantico Conference Center.

To be sure, the creativity of foundation staffs is valuable as well. But because grantmaking organizations can have such an influence on the activities of grantseekers, funders may be said to bear a special responsibility to protect and promote the creativity of nonprofit organizations by not letting the balance shift too far toward their own active engagement in project design. Furthermore, in an era when citizen-led initiatives are being celebrated as potent agents of social change and when foundations themselves have declared their interest in promoting social development from the bottom up, responsible foundations must conduct their own business of grantmaking in an appropriately responsive fashion, remaining open to direction from the nonprofit organizations that represent the philanthropic community's link to the grass roots.

Balancing Local and Global Concerns: Finally, there is a fourth question of balance which we at the RBF feel is critical to the responsible conduct of philanthropy today. Many observers have noted a growing tendency among foundations to move away from international grantmaking and toward grantmaking on behalf of national and local concerns. This trend seems to me to be a reflection of a more widespread American ambivalence and uncertainty about the role of the United States in the world and about the institutional means through which that role might be played out. The funding community's growing recognition of the importance of local leadership and citizen involvement in social problem solving, laudable as it is, may also be contributing to this trend.

As the pace of globalization accelerates, however, and the reality of global interdependence becomes more and more apparent, the distinctions among international, national, and local issues are necessarily blurred. Under these circumstances, it is ironic and alarming that so little of the foundation community's energy, expertise, and funding is being devoted to international concerns. Special attention to the balance — and the undeniable link — between global and domestic grantmaking, at individual foundations and across the spectrum of American foundations, is urgently needed.

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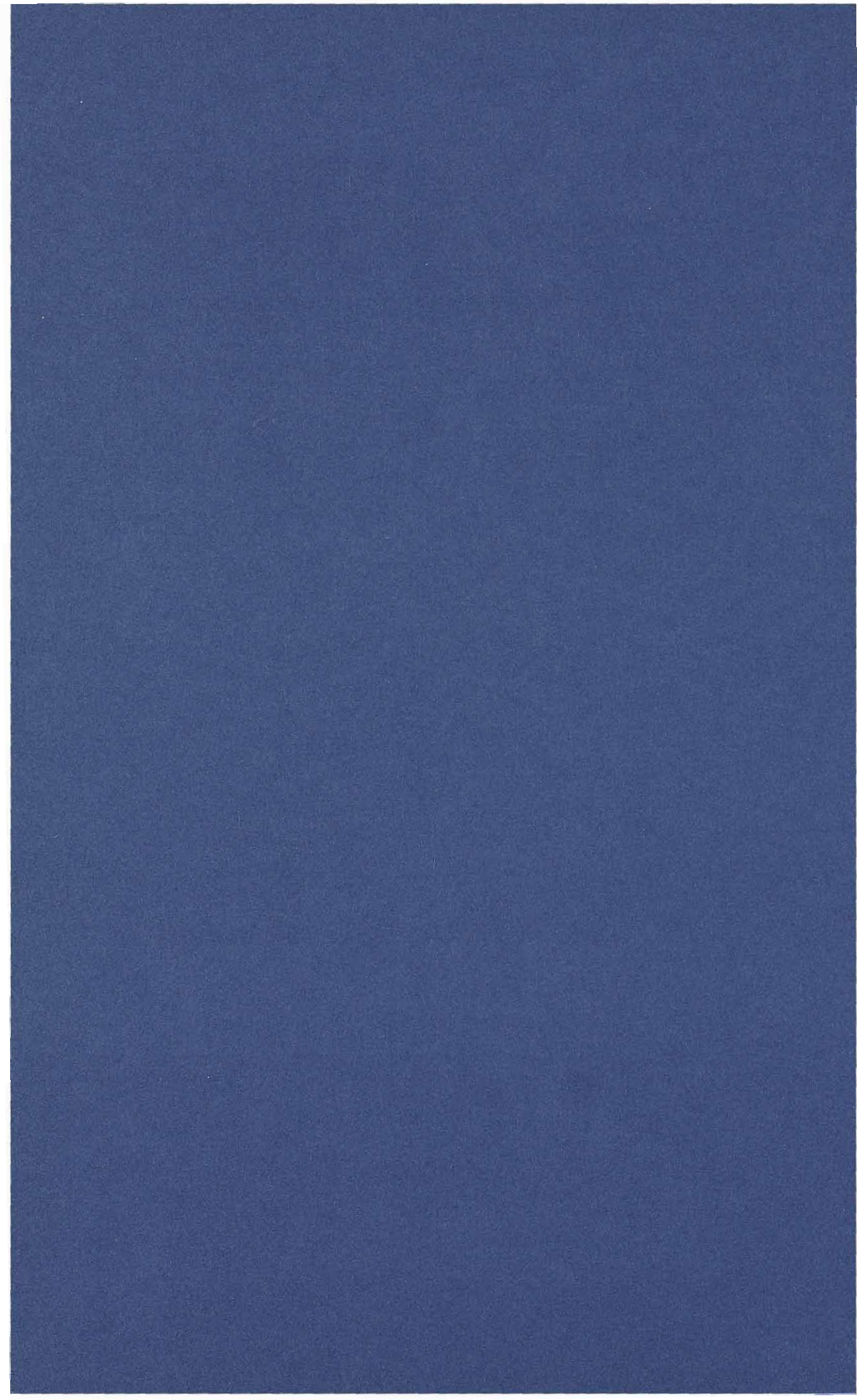
Balance in grantmaking is a moving target, and maintaining it requires frequent and timely adjustments. Making those adjustments requires *flexibility* and *responsiveness* to the large social and sectoral changes that confront foundations and the nonprofit community today, from globalization to the loss of federal funding for nonprofit organizations.

Giving a good account of ourselves — making a new case, as it were, for the worthiness and effectiveness of the philanthropic enterprise — is an important, indeed essential foundation task. At the same time, when we in the foundation community press the point that philanthropic organizations must do a better job of educating their publics, we should not forget that foundations must also educate *themselves* about the new challenges that confront them and their partners in philanthropy, and about the implications of those new challenges for the conduct of responsible grantmaking. Without such self-education (or introspection, as I called it earlier), and without evidence that self-education is taking place, no institution today can be assured for long of the public's confidence and trust.

My focus here on balance has been an effort to suggest where foundation introspection might begin, and to share certain themes the RBF has chosen for its own reflections on responsible grantmaking. Such reflection is more than an intellectual exercise or even a strategy for responding to external criticism, as disturbing as those criticisms may be. If we believe that what foundations do — individually and collectively, independently and as part of the nonprofit sector — can make a difference in how effectively human societies address the challenges before them, then the ability of foundations to balance competing perspectives, remain flexible, and respond to change is a matter of real significance. It will affect the availability and the distribution of valuable human and financial resources at a time of extraordinary need and opportunity.

Colin G. Campbell

**ROCKEFELLER
BROTHERS FUND
PROGRAMS**



Overview of Programs

The Rockefeller Brothers Fund was founded in 1940 as a vehicle through which the five sons and daughter of John D. Rockefeller, Jr., could share a source of philanthropic advice and combine their philanthropic efforts to better effect. John D. Rockefeller, Jr., made a substantial gift to the Fund in 1951, and in 1960 the Fund received a major bequest from his estate. Together, these constitute the Fund's basic endowment.

The Fund's assets at the end of 1996 were \$409,117,659 and its 381 grant payments and its matching gifts during the year amounted to \$10,189,675. Since 1940, the RBF has disbursed a total of \$451,072,497 in grants.

GRANTS PROGRAM

The Fund's major objective is to improve the well-being of all people through support of efforts in the United States and abroad that contribute ideas, develop leaders, and encourage institutions in the transition to global interdependence. Attention is focused on locally based problems and grantees, but in the context of global concerns. To maximize resources, projects are concentrated from time to time in different geographic regions. At present those regions include the United States, East Central Europe, and East Asia.

Four operational "touchstones," which relate to the Fund's approach to its substantive concerns and do not constitute areas of interest in and of themselves, are key considerations in the development of all grants. They include: Education — of key individuals, special target groups, and the general public. Leadership — the identification and encouragement of a new generation of leaders. Leverage — using combinations of trustees and staff as well as related organizations to work toward common goals in mutually supportive ways. Synergy — developing clusters of interrelated projects so as to have an impact beyond the sum of the parts.

The Fund makes grants in five areas. The first and largest, "One World," has two components, *Sustainable Resource Use* and *World Security*. The resources program is designed to encourage sustainable development throughout the world, employing an approach that balances social, economic, and ecological concerns. The security program's guidelines are currently under review, with new guidelines scheduled for release in late 1998. The Fund's other program interests are: promoting and sustaining a vital *Nonprofit Sector*; improving the quality of life in *New York City*; strengthening the numbers and quality of teachers in public *Education*; and improving the quality and accessibility of basic education for children and adults in *South Africa*. Guidelines for each grantmaking area may be found in the summaries that follow (pages 19–69); instructions on how to apply for a grant begin on page 118.

OTHER PROGRAMS

The Fund's *Pocantico Programs* (page 73) are based in the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York, and were established when the Fund leased the area from the National Trust for Historic Preservation in 1991. The Pocantico Conference Center is the key component of these programs. The RBF is also the principal funder of the *Ramon Magsaysay Award Foundation* (page 71), which grants the annual Ramon Magsaysay Awards — named after the former president of the Philippines — that were established by the trustees of the Fund in the late 1950s.

Sustainable Resource Use

The background of the image is a photograph of a large, ancient-looking tree trunk in a forest. The tree has thick, gnarled bark and a hollowed-out section near the top. The forest floor is covered in grass and other vegetation. The entire image is overlaid with a semi-transparent green filter, which makes the text stand out clearly.

One World: Sustainable Resource Use

The One World: Sustainable Resource Use program is the Fund's largest and most complex grantmaking program, embracing numerous topical focuses, substantive areas, and geographical domains. Like all RBF programs, it has changed over time to reflect new perceptions and needs, as the Fund and its grantees have learned from each other and from experience. During 1996, the Fund's sustainable resource use activities provided ample illustration of how this grantmaking program has evolved by building on acquired expertise, incorporating lessons learned, and responding to new information, opportunities, and circumstances.

SUSTAINABLE RESOURCE MANAGEMENT: GETTING BEYOND THE MODEL-AND-PROJECT STAGE

In several resource sectors where the Fund and its grantees are active — agriculture and forestry, for example — sustainable resource management strategies have already been developed, tested, and found to be viable. It is fair to say that the long-term social, economic, and ecological benefits of such strategies promise to outweigh the short-term costs entailed in adopting them. Although they are gradually gaining acceptance, these practices remain the exception rather than the rule, confined to the “model and project” stage of their implementation. Having provided early support for work to explore ecologically sensitive and economically sound agriculture and forestry practices, the RBF and other concerned funders are now supporting a variety of efforts to ensure that sustainable management principles which have been demonstrated on a small scale are adopted and implemented on a large scale.

The RBF and other funders that provided early support for small-scale sustainable agriculture and forestry projects are now seeking to encourage broad-based implementation of sustainable resource management practices.

From 1983 to 1993, agriculture was at the heart of the Fund's sustainable resource use program in East Asia. The RBF provided early support for pioneering work on a variety of sustainable agriculture practices, among them Low External Input Rice Production, multiple cropping, and organic farming. While larger funding agencies, including bilateral aid programs and multilateral development banks, have incorporated some of these approaches into their own policy statements and project designs, implementation of these policies in the field has been slow and uneven. In 1996 the Fund made several grants intended to help ensure that sustainable agricultural principles, including integrated pest management (IPM), find their way from policy to widespread practice in rural development programs. Special attention is being paid to monitoring implementation of the sustainable agriculture and IPM policies of multilateral development banks, including the World Bank. Support is also being provided to help small nongovernmental organizations (NGOs) in Southeast Asia develop strategies for working with large multilateral lenders to bridge the gap between policy formation and project implementation.



RBF SUPPORT HAS HELPED BC WILD, the rainforest protection project of Earthlife Canada Foundation, win protection of 7.5 million new acres of temperate rainforest in 150 wilderness areas across the province—perhaps the world's single largest forest conservation success in recent years. Building on this success, RBF grantees have since launched a sustainable forestry initiative in British Columbia which led, in 1996, to the first-ever certifications of sustainably managed timberlands in that region.

Sustainable forestry management (SFM) is a set of practices that aims to provide a continuous yield of high-quality forest products while preserving the essential biological and ecological integrity of a healthy, self-perpetuating forest. SFM has the potential to slow rampant deforestation worldwide, and its viability as an alternative to industrial forestry practices has been demonstrated in many community-based projects, often with the support of U.S. and European foundations. Yet SFM currently represents just 1 percent of the global wood products market. During 1995 and 1996, the RBF made numerous grants designed to encourage the spread of sustainable forestry management throughout North America, including grants in support of symposia and white papers, public education efforts, NGO networking, and the formation of a North American “buyers group” of large wood products consumers committed to purchasing products derived from sustainably managed forests.

Sustainable forestry management (SFM) has the potential to slow rampant deforestation worldwide, but wood products from sustainably managed forests currently represent just 1 percent of the global market.

The development and implementation of reliable national and international certification systems for sustainable forest management, involving accredited certifiers and agreed-upon standards, is essential to the spread of SFM practices and an important strategic target of RBF funding. RBF support has helped the Forest Stewardship Council, a project of the New England Natural Resources Center, design the first international principles for sustainable forest management that are flexible enough to apply to all forest types. Building on successful rainforest preservation efforts in British Columbia, RBF grantees have paid special attention to forestry practices there, an effort which has led to the first-ever certifications of sustainably managed timberland in British Columbia. The resulting publicity has attracted considerable attention from private land owners, many of whom have inquired about having their own timberlands certified. In 1996 the Fund also supported efforts to certify state forest lands in the Great Lakes region.

Meanwhile, funders and NGOs participating in preliminary focus groups on sustainable forestry are learning that the public, while quite concerned about the environment, has little understanding of what sustainable resource use means or of its value. Because the widespread adoption of SFM practices depends in large measure on consumer recognition of and demand for sustainably harvested wood products, the RBF is tracking these findings with great interest.

Consumer recognition of and demand for sustainably harvested wood products will be necessary to drive the widespread adoption of SFM practices. The development of certification systems is therefore an important target of RBF funding.

MITIGATING CLIMATE CHANGE: AN EVOLVING PUBLIC EDUCATION CAMPAIGN

Approximately eighteen months ago, following an RBF-sponsored meeting at the Pocantico Conference Center where groups concerned with climate change determined that strong public support would be critical to the U.S. government's willingness to play a leadership role in international climate negotiations, the RBF and a few other foundations came together to launch a domestic constituency building initiative on climate change. The coalition of grantees involved in this initiative (which includes the Environmental Information Center, Environmental Media Services, U.S. Climate Action Network, Union of Concerned Scientists, Sierra Club Foundation, National Resource Defense Council, and Environmental Defense Fund) focused for the first year on educating the American public about the science of global warming. In particular, the initiative sought to educate the public about the consensus that exists among scientists regarding the reality of climate change, its danger, and the role of human activity (especially the burning of fossil fuels, which is accompanied by greenhouse gas emissions) in its acceleration or mitigation. In 1996, having made marked progress on this front, the coalition shifted focus — with RBF support — to respond to new challenges.

At issue is whether nations participating in international climate negotiations will agree to accept legally binding limits on greenhouse gas emissions or settle for less stringent voluntary reductions. Fossil fuel industry and OPEC opposition to the idea of legally binding targets is formidable. No longer able to cast serious scientific doubt on the reality of global warming, opponents of strict limits have begun to emphasize the supposed economic costs of greenhouse gas reduction measures. Industry projections call for

PROGRAM GUIDELINES

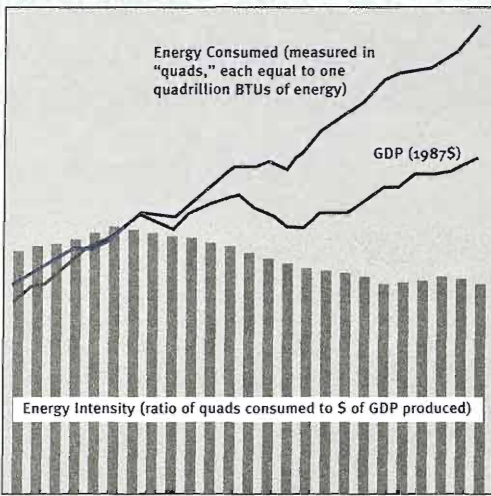
ONE WORLD: SUSTAINABLE RESOURCE USE

Goal

To foster environmental stewardship which is ecologically based, economically sound, culturally appropriate, and sensitive to questions of intergenerational equity.

Strategies

- At the **GLOBAL** level, by advancing international discussions on climate change and biodiversity preservation, and by supporting and publicizing practical, cost-effective models that can contribute to international agreements on these issues. In the area of climate change, by focusing on utility-based energy efficiency, renewable energy, transportation, and green taxes. In the area of biodiversity, by utilizing an ecosystem approach with special emphasis in the terrestrial context on temperate rainforests and in the marine context on fishery and coastal zone management. In the area of related economic concerns, by focusing on the impacts of economics, international trade and business, and the role of multilateral financial and grantmaking institutions, especially as they affect climate and biodiversity. The Fund's three geographic areas of grant activity—United States, East Central Europe, and East Asia—inform the Fund's global strategy.
- Within the **UNITED STATES**, by supporting model programs that further the Fund's global strategies, and by broadening and deepening the national environmental constituency and reinforcing its ability to act effectively.
- In **EAST CENTRAL EUROPE**, by strengthening indigenous capacity for addressing environmental problems and managing natural resources on a sustainable basis, through education and training, institution-building, policy formulation, and efforts linking government, nonprofit sector, and business concerns. Special attention is also given to cross-border and regional cooperation and to new funding mechanisms and approaches.
- In **EAST ASIA** by helping local leaders to address the twin goals of economic development and conservation, monitoring the social and environmental effects of development programs, supporting citizen-led land restoration efforts and coastal management initiatives, and examining the intersection between applied ecology and political economy so as to promote sustainable resource use policies in agricultural, forestry, and marine sectors.
- And, in all these areas, by integrating activities across geographic areas of the RBF's grantmaking in the United States, East Central Europe, and Asia to promote maximum synergy.



ENERGY EFFICIENCY: DECOUPLING ECONOMIC GROWTH FROM ENERGY CONSUMPTION

From 1973 to 1986, Gross Domestic Product grew 35 percent while energy consumed per unit of GDP fell significantly, demonstrating that the United States can increase economic growth while cutting energy consumption. By the end of this period, Americans were saving over \$150 billion each year through improved energy efficiency, and had avoided a 50 percent cumulative increase in carbon emissions. Since 1986, however, low fossil fuel prices in the U.S. have encouraged an increase in energy consumption. Carbon emissions reached an all-time high of 1,394 million metric tons in 1994, accounting for 25 percent of the global total. Unless decision makers place greater emphasis on efficiency and renewable energy, these trends will continue. (From *Boosting Prosperity: Reducing the Threat of Global Climate Change Through Sustainable Energy Investment*, by Douglas H. Ogden, a 1996 report and press packet prepared by the Energy Foundation with partial support from the RBF)

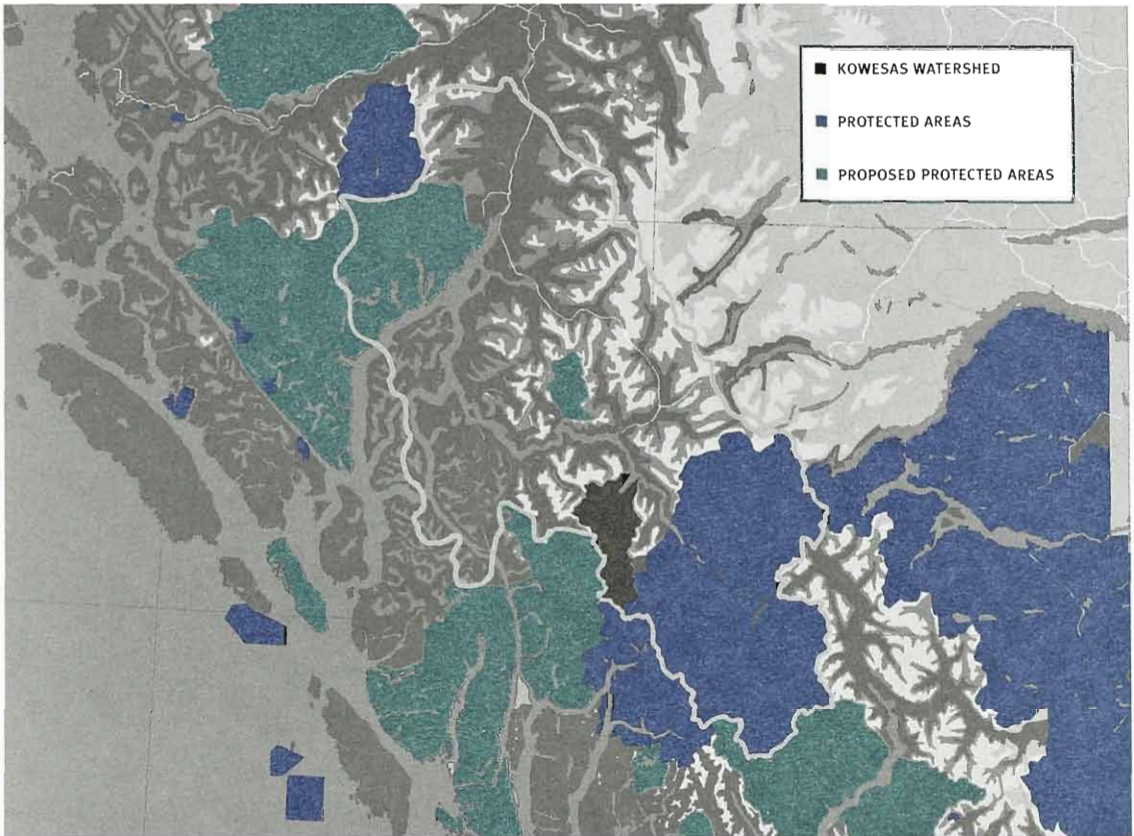
higher taxes, prices, and unemployment figures. In response, RBF grantees have begun to turn their attention to the economics of climate change mitigation, developing projections and models showing that reducing greenhouse gas emissions would have a positive impact on the economy (as well as on public health and on the environment) over the long run. Much as scientists and scientific data have been mobilized in recent years to articulate the reality and the threat of global climate change, so economists are now being urged to weigh in with their views on the economic feasibility of climate change mitigation.

Strong public support is critical to the U.S. government's willingness to take the lead in international climate negotiations. Having made progress in educating the public about the science of global warming and its link to human activity, RBF grantees involved in constituency building are now stressing the economic feasibility of reducing greenhouse gas emissions.

Complementing this public education initiative, the RBF continued its support of efforts to develop specific examples of realistic, cost-effective strategies for reducing greenhouse gas emissions. One such effort, in the western United States, focuses on utility industries, which produce almost half of the world's greenhouse gases. The current move toward deregulation of utilities is a challenging new factor in emission reduction efforts, since industry restructuring has created financial incentives which discourage electric utilities from making investments that are costly in the short run but produce long-term savings and environmental benefits.

HEALTHY ECOSYSTEMS: BIOLOGICAL, CULTURAL, AND ECONOMIC DIMENSIONS

During 1996, an internal review of RBF activities in East Central Europe (where the Fund works not only on sustainable resource use but also on strengthening the nonprofit sector and improving security relations) identified the pursuit of integrative approaches as a priority for grantmaking in Poland, Hungary, the



RBF SUPPORT HELPED TO FUND A 1996 ASSESSMENT OF THE KOWESAS WATERSHED IN BRITISH COLUMBIA, a 200,000 acre area of pristine wilderness claimed by the local Haisla band, which has lived there for 9,000 years and seeks to avoid clearcut logging of the watershed. Rather than looking simply at timber value in the area, Ecotrust Canada (the RBF grantee) took a comprehensive ecosystem approach, mapping and quantifying other existing and potential values in the area—abundant salmon runs, fertile flood plains, magnificent scenery—which would be lost to traditional logging. The first such assessment ever conducted on a pristine area prior to proposed industrial development, this project has the potential to influence the calculus used in decision making about a wide band of watersheds in British Columbia.

Czech Republic, and Slovakia. The special circumstances of East Central Europe — where long years of top-down decision making and mutual suspicion among the various sectors of society have discouraged cooperation and left a legacy of fragmentation — made highly evident to the Fund the need for inclusive, cross-disciplinary, and comprehensive approaches to citizen action and sustainable resource use in that region. But in fact, the RBF's overall sustainable resource use program, in both domestic and international arenas, has for several years been moving to embrace more comprehensive formulations of problems and to promote more inclusive strategies for addressing them. Funders and grantees alike have learned that resolving one or two issues in isolation, if that is even possible, does not add up to sound long-range environmental stewardship. Not surprisingly, the findings of environmental science point increasingly toward the importance of complex, extended interactions as well.

Last year's annual report described the RBF's efforts to help build new coalitions of business, civic, academic, and environmental groups on behalf of sustainable forestry management in Europe and North America, improved fisheries management in North America, and shrimp aquaculture management in Southeast Asia. Only by linking conservation concerns with human and economic concerns — by focusing on ecosystems, which are recognized to have biological, cultural, and economic dimensions — can the Fund and its grantees promote both environmental quality and economic development. In 1996 this trend continued, with RBF support of innovative approaches to large-scale, comprehensive ecosystem conservation in the watersheds of the western United States and British Columbia. While the ecosystem approach to conservation is attracting attention, its implementation is still poorly understood; these grants are intended to help demonstrate the value of this approach as an alternative to the traditional single-use strategy for managing land and resources.



In East Central Europe the RBF and its grantees attempt to bring an “ecosystem” approach — inclusive, cross-disciplinary, and comprehensive — to the revitalization of cities, towns, and rural areas that are threatened by culturally and environmentally insensitive economic development. This approach requires collaboration among governments and citizens, private- and public-sector institutions, for-profit and nonprofit organizations. But years of authoritarian rule, which reinforced vertical, not horizontal relationships and left a legacy of mistrust, have undermined the capacity for such collaborative action. Local organizations like the Czech Center for Community Revitalization, launched with RBF support in 1994 and funded again in 1996, help citizens, businesses, and municipalities work together to assess their development needs and identify concrete projects for collaboration. These targeted collaborations produce improved communication among different segments of society and greater confidence among local people that they can achieve practical results through their own efforts.

CD CROSS-REFERENCE

IN MANY RESPECTS, THE FUND'S NEW YORK CITY PROGRAM ALSO APPLIES AN “ECOSYSTEM” APPROACH, BASED ON THE BELIEF THAT SINGLE-ISSUE STRATEGIES AND SINGLE-CONSTITUENCY EFFORTS ARE INSUFFICIENT TO COUNTER THE OVERWHELMINGLY NEGATIVE FORCES OF DISINTEGRATION AFFECTING MANY INNER-CITY COMMUNITIES, AND ON THE RELATED BELIEF THAT BUILDING A CAPACITY FOR COLLECTIVE ACTION IS CRITICAL TO THE RESOLUTION OF COMPLEX SOCIAL PROBLEMS.

THE NEED TO BUILD AND SUSTAIN A CAPACITY FOR COLLECTIVE ACTION IS ALSO PROVING TO BE A CENTRAL THEME IN THE SPECIAL RESEARCH INITIATIVE AND GRANTMAKING REVIEW CURRENTLY BEING PURSUED BY THE FUND UNDER ITS PROGRAM ON WORLD SECURITY.

Only by linking conservation concerns with human and economic concerns — by focusing on ecosystems, which are recognized to have biological, cultural, and economic dimensions — can the Fund and its grantees promote both environmental quality and economic development.

In East Central Europe, the RBF and its grantees also continued to bring an “ecosystem” approach to cities, towns, and rural areas, assembling new constituencies to address linked environmental and social problems that stem from the pressures of consumerism, rapid privatization, and short-term planning. Last year saw continued RBF support for the community revitalization movement in East Central Europe, a comprehensive approach (pioneered by the New York-based Project for Public Spaces, an RBF grantee) that helps communities create and pursue their own civic vision by using historic districts and civic traditions as catalysts for economic development, the enhancement of cultural traditions, and the encouragement of environmental sensitivity.

Transportation planning, which has profound environmental, social, and cultural implications for communities, also received special attention in 1996. RBF-funded projects in Poland, Hungary, and the Czech Republic are working to reverse or at least slow the implementation of transportation development policies (both national policies and those of multilateral lenders) that are based almost entirely on cars and trucks, that weaken rail and other public transportation systems, and that fail to allow for adequate public debate. Greater public involvement in transportation policy issues is also a goal of the Fund's sustainable resource use program in the United States. The number of cars in the U.S. is increasing twice as fast as the population, and automobiles account for almost half of the nation's oil consumption. Traffic-related air pollution in this country is associated with a rapidly rising rate of deaths from asthma.

CAPACITY BUILDING: FACILITATING COLLECTIVE ACTION

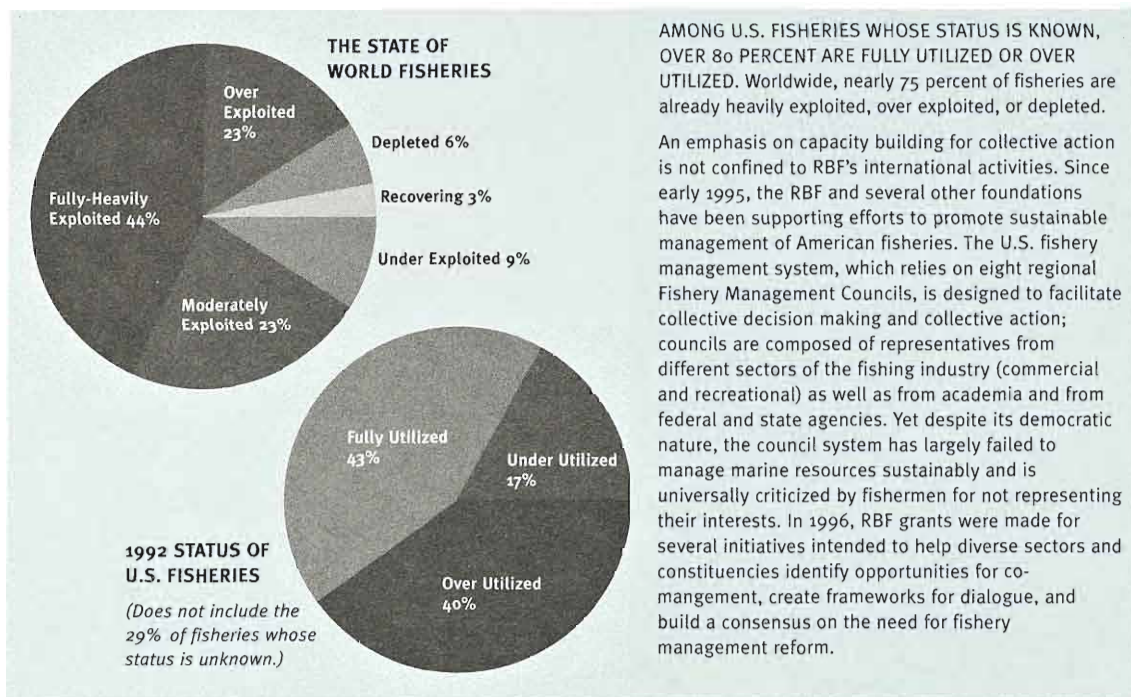
“Strengthening indigenous capacity” for addressing environmental problems and for managing natural resources on a sustainable basis has been a goal of the international component of the RBF’s sustainable resource use program since its inception in 1984. Given the nature of environmental problems (which disregard national borders) and the RBF’s conviction that a strong civil society is essential to any democracy, “indigenous capacity” has been roughly equated with the NGO sector. But two trends — the accelerating pace of global change and the increasingly apparent insufficiency of existing institutions, be they governmental or nongovernmental, to effectively address the full range of environmental, social, cultural, and political challenges before them — have made it clear to the Fund that “capacity” ought not to be associated with a single sector or type of institution (public or private, for-profit or not-for-profit, national or local). Instead, since environmental degradation and resource scarcity are collective problems, and since equitable, sustainable development is a collective goal, the Fund has come to think about capacity more broadly, as the capacity for collective action.

Strengthening indigenous capacity, then, means not only strengthening environmental NGOs and the NGO sector as a whole in countries where the RBF is active (which the Fund will continue to do), but also working to promote new partnerships, new networks, and new opportunities for engagement — for collective action — that cut across sectoral, disciplinary, and national borders. In 1996, the Fund’s sustainable resource use program placed considerable emphasis on building this kind of capacity.

Building indigenous capacity means not only supporting environmental NGOs and the NGO sector in general, but also working to encourage new partnerships and to facilitate collective action that is cross-sectoral, multidisciplinary, and cuts across national borders.

In East Central Europe, a grant for the Czech Center for Community Revitalization focused specifically on overcoming communications barriers between the various organizations (nongovernmental, governmental, business, academic) and groups (environmentalists, historic preservationists, urban planners) committed to environmentally and culturally sensitive economic development. Support was renewed for Greenways-Zelene Stezky (the Czech Greenway), which is modeled on the Hudson River Valley Greenway, inspired by Laurance S. Rockefeller. The Czech Greenway envisions a corridor between Prague and Vienna where historic towns can be restored and the surrounding countryside preserved in an employment-generating process that protects traditional cultural and ecological values. This interdisciplinary, cross-sectoral, and ultimately multinational project is being watched by local government, business, and NGO leaders as a possible model for other sustainable development initiatives in East Central Europe.

Because the lack of reliable and comprehensive sources of information can hamper cooperation and the exchange of information among scientists, community leaders, and others concerned with resource conservation and management, the Fund’s 1996 activities in Asia included support for a directory of coastal restoration sites which will provide an overview of wetlands conservation in the region and enable projects and communities to learn from each other; for the Asia Pacific Regional Environment Network, or APRENet, an on-line information service designed to strengthen the full range of Pacific Rim institutions dealing with the social and environmental consequences of rapid economic development and globalization; and for the Shrimp Tribunal project, an on-line forum where governments, industries, and NGOs can debate the social and ecological impacts of shrimp aquaculture. RBF support was also directed toward institutionalizing and advancing two multidisciplinary research fields, political ecology and restoration ecology, and toward building national and cross-border networks of researchers and practitioners in these fields throughout Asia. In Japan, a grant to the Japan Center for a Sustainable Environment and Society (established in 1993 with RBF support) will assist in the establishment of a framework for discussions among NGO leaders, government officials, and staff of the Asian Development Bank on the future of overseas development assistance programs.



Building capacity for collective action requires broadening the availability of information, overcoming obstacles to communication, advancing multidisciplinary fields of research, and establishing frameworks for discussion among the institutions, organizations, and interest groups that play a role in development.

In 1995 and 1996, the Fund also made a cluster of capacity building grants focusing on land- and water-use planning in the lower Mekong River Basin, which includes Thailand, Laos, Cambodia, and Vietnam. The RBF's approach to sustainable resource concerns in this area is to strengthen the capacity for effective dialogue and cooperative action among the institutions and organizations that play a role in development of the Mekong Basin. These include local NGOs and grassroots organizations; the regional planning commission and the national planning committees in each of the lower Mekong states; and international donors, funding agencies, and governments — including Japan and Korea — that provide project financing for development in the Mekong Basin. The RBF hopes these grants will help people in the region become participants in Mekong River Basin plans and their implementation, rather than mere spectators; the unique configuration of these grants is also an acknowledgment that achieving this goal will require many different forms of collective action and many different kinds of collectivities.

THE RUSSIAN FAR EAST: DISCOVERING NEW PROGRAMMATIC LINKS

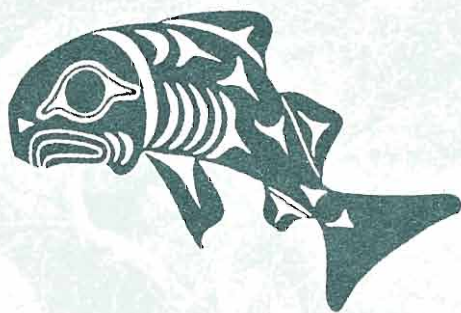
For the past several years, the RBF has focused on promoting ecosystem conservation in the forests and rivers of the Pacific Northwest, including British Columbia, Washington, and Oregon. At the same time, the Fund has supported sustainable fishery management in the waters of the North Pacific. And during those years, the Fund also began to look at land-use planning and capacity building issues in the Ussuri watershed, at the northeast border of China and Russia. Until very recently, these were conceived of as related but fundamentally — or at least geographically — separate program interests.

Last year, with the help of a 1995 grantee, Pacific Environment and Resources Center, the RBF established an important conceptual link among these program interests. At the December 1996 meeting of the Fund's Board of Trustees, a small budget allocation was made for grantmaking in the Russian Far East, formally completing the

geographical arc of RBF activities along the Northern Pacific Rim (from the Chinese border around to Northern California) and implicitly acknowledging that this region — while divided among three modern nations (the United States, Canada, and Russia) — actually constitutes a single ecological entity. In this region, the RBF will be able to stitch a number of its program interests together both geographically and thematically. The lessons learned in the forested ecosystems of the Pacific Northwest can be adapted and applied to the problems of fishery and community decline along Russia's Pacific Coast. The marine resources of the North Pacific are vital to the economy of the Russian Far East, and link the region economically with Japan and other nations of East Asia. And the Fund's experience in supporting a growing civil society movement in East Central Europe can inform its capacity-building work with the fledgling NGOs and understaffed government agencies of the Russian Far East.

In December 1996 the Board of Trustees approved a small budget allocation for sustainable resource use grantmaking in the Russian Far East, extending and linking RBF program interests in a wide arc along the Northern Pacific Rim — a region divided among three modern nations (the United States, Canada, and Russia) but actually constituting a single ecological entity.

The RBF's initial focus in the Russian Far East is likely to be on salmon habitat, since the Fund has already concerned itself with the protection and sustainable management of salmon in the Pacific Northwest. In fact, the RBF's arc of activity around the Northern Pacific Rim corresponds precisely to the biogeographic distribution of Pacific salmon, whose migrations link the waters of the North Pacific with forested watersheds hundreds of miles inland. Sustainable use of this resource is likely to prove vital to the entire region, not only in environmental terms, but also in human and economic terms.



Tribes around the Northern Pacific rim share a common creation myth, in which their deity's masterwork was the salmon. Each year, the salmon undertook a pilgrimage, down from the mountain streams into the coastal rivers, out to sea and on to the middle of the ocean, there to commune with the ocean god. Blessed by this god, the salmon would journey back to the rivers and streams of their birth — to die, but also to give life to the tribes. Each of these tribes ended its tale of creation with a similar caution: Treat the salmon with respect, always, lest the god be displeased and the salmon not return.

By focusing initially on salmon habitat in the Russian Far East, the Fund builds on its previous experience with habitat protection and fisheries management elsewhere in the Pacific Northwest. But this focus also acknowledges that across the Northern Pacific Rim, today as in the distant past, salmon are “indicator” species whose well-being reflects the well-being of the coastal and inland regions and peoples linked by their annual migrations.

🔗 CROSS-REFERENCE

THE FUND WILL BRING TO ITS WORK IN THE RUSSIAN FAR EAST MANY LESSONS LEARNED THROUGH ITS NONPROFIT SECTOR PROGRAM IN EAST CENTRAL EUROPE, WHICH HAS BEEN GRAPPLING WITH THE CHALLENGES OF HELPING TO BUILD THE HUMAN, FINANCIAL, AND STRUCTURAL RESOURCES THAT ARE NEEDED TO FOSTER AN EMERGING NGO SECTOR IN A TRANSFORMING SOCIETY.

THE FUND'S ACKNOWLEDGMENT THAT THE ENTIRE NORTHERN PACIFIC RIM FORMS AN ECOLOGICAL ENTITY WHICH REQUIRES ATTENTION THAT TRANSCENDS NATIONAL BOUNDARIES ILLUSTRATES ONE OF THE CHIEF HYPOTHESES OF THE RBF'S PROGRAM OF RESEARCH ON SECURITY AT THE CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE: THAT THE NATION-STATE SYSTEM MAY NO LONGER BE SUFFICIENT TO ADDRESS CONTEMPORARY SECURITY CONCERNS, INCLUDING ENVIRONMENTAL DEGRADATION.

One World: Sustainable Resource Use 1996 Grants

GLOBAL

DAVID SUZUKI FOUNDATION

Vancouver, Canada \$20,000

For research on the impacts of salmon farming in British Columbia, culminating in a peer-reviewed scientific report for inclusion in a government environmental evaluation of salmon farming.

E&CO.

Bloomfield, New Jersey \$75,000

Toward a pilot project with the Grameen Trust to make household solar power units widely available in Bangladesh.

EARTHLIFE CANADA FOUNDATION

Queen Charlotte City, British Columbia \$100,000

Continued support for the public education and media components of its rainforest protection project, BC Wild, which alerts the public and policymakers about land protection and tenure issues in British Columbia.

ECOTRUST CANADA

Vancouver, Canada \$75,000

Renewed support for the Kowesas Watershed Assessment project, an evaluation of the impacts of industrial forestry on the ecological integrity of watersheds in British Columbia.

ENVIRONMENTAL DEFENSE FUND

New York, New York total \$125,000

\$100,000 over two years for a project to examine the impact of farmed seafood production on food safety and to design criteria for a future "eco-friendly" shrimp certification program.

\$25,000 to review the World Bank's recent lending for agriculture and its record of support for Integrated Pest Management Programs.

FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW AND DEVELOPMENT

London, England \$50,000

Renewed support for efforts to encourage communication among countries involved in international climate change negotiations.

GREENPEACE ENVIRONMENTAL TRUST

London, England \$20,000

Toward the Oxford Solar Investment Summit, designed to interest insurance executives in investment opportunities in the solar industry.

INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC.

Washington, D.C. \$100,000 over 2 years

Support for projects to help municipalities in China address urban congestion, and for a program on global trade and energy efficiency.

MIDWEST RESEARCH INSTITUTE

Kansas City, Missouri \$50,000

For the National Renewable Energy Lab's work with banks and investors on creating financial mechanisms to expand the household solar market in developing countries.

SILVA FOREST FOUNDATION

Slocan Park, British Columbia \$50,000

To extend sustainably managed land certification efforts in British Columbia, through networking, training of additional certifiers, and accreditation by the Forest Stewardship Council.

SOLAR ELECTRIC LIGHT FUND

Washington, D.C. \$150,000

General and renewed support of efforts to develop model solar electrification projects in Vietnam.

STOCKHOLM ENVIRONMENT INSTITUTE

Stockholm, Sweden \$30,000

For support of its Climate Network Europe, which coordinates the activities of more than 100 European NGOs working in the global climate change field.

TIDES CENTER

San Francisco, California \$50,000

For its project, the Marine Conservation Biology Institute, to help launch the new science of marine conservation biology.

VIETNAM WOMEN'S UNION

Hanoi, Vietnam \$15,000

To strengthen its program providing credit and servicing for the widespread sale and installation of household solar power systems in villages in the Mekong Delta.

WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC.

Morrilton, Arkansas \$25,000

To help support the costs to Winrock of its president's service as president of the International Association of Agricultural Economics.

WORLDWATCH INSTITUTE

Washington, D.C. \$100,000

Toward the institute's strategy for internal organization through the year 2000, which will enable it to continue its role as international publisher on environmental concerns.

UNITED STATES

CHAORDIC ALLIANCE, THE

Pescadero, California \$15,000

For the North American Marine Alliance's efforts to involve fishers concerned about the environmental and industrial dangers of overfishing in fishery management decisions.

CONSERVATION FUND—A NONPROFIT CORPORATION, THE

Washington, D.C. \$25,000

Toward a meeting of a nonprofit working group formed to help draft a curriculum for the new Center for Conservation Leadership of the U.S. Department of the Interior.

CONSERVATION LAW FOUNDATION

Boston, Massachusetts total \$125,000

\$75,000 for a project to encourage citizens' involvement in transportation policymaking in New England.

\$50,000 to form a coalition of organizations working to promote sustainable fishery management in New England through advocacy and constituency-building for fishery conservation.

ENERGY FOUNDATION, THE

San Francisco, California \$14,000

To produce a report and press packet on the economic benefits of greenhouse gas reduction.

ENVIRONMENTAL INFORMATION CENTER

Washington, D.C. \$150,000

Renewed support for an increased commitment to uniting the efforts of environmental groups working to expand public awareness of global warming.

INSTITUTE FOR AGRICULTURE AND TRADE POLICY

Minneapolis, Minnesota \$100,000

To support efforts to have state forest lands in Pennsylvania, Minnesota, Michigan, Indiana, and Wisconsin certified as sustainably managed.

LAND AND WATER FUND OF THE ROCKIES

Boulder, Colorado \$75,000 over 2 years

Renewed support for efforts to create model utility-based strategies for energy efficiency and renewable energy in the western United States.

LONG ISLAND PINE BARRENS SOCIETY

Manorville, New York \$30,000

Renewed support to complete a preservation and land management plan for the 100,000-acre Long Island pine barrens ecosystem, home to the greatest concentration of endangered species in New York State.

NORTH CAROLINA COASTAL FEDERATION

Newport, North Carolina \$25,000

For efforts to reconcile the interests of commercial and recreational fishermen in North Carolina, with the aim of preventing allocation battles from precluding attention to biodiversity conservation and sustainability concerns.

OZONE ACTION

Washington, D.C. \$25,000

Toward its continued science-based commitment to increasing international public awareness and understanding of global warming.

PACIFIC RIVERS COUNCIL, INC.

Eugene, Oregon \$15,000

Renewed support for its watershed protection and restoration initiative in the western United States—a pioneering approach which focuses on conserving the basic ecological processes of entire watersheds.

REDEFINING PROGRESS

San Francisco, California \$75,000

To encourage economic discourse and reevaluate current economic modeling tools in the climate change debate.

SIERRA CLUB FOUNDATION

San Francisco, California \$30,000

To educate broadcast meteorologists about climate change, and to encourage regular coverage of the issue on television and radio.

SURFACE TRANSPORTATION POLICY PROJECT

Washington, D.C. \$100,000

Renewed support for a public education initiative on transportation policy reform, designed to communicate the necessity of alternative transportation systems in the creation of more livable communities.

TIDES CENTER

San Francisco, California total \$200,000

\$150,000 over two years in renewed support of its Environmental Media Services project, which seeks to improve the reliability and dissemination of environmental information among journalists.

\$50,000 in renewed support for its U.S. Climate Action Network project, which coordinates U.S. environmental groups' nationwide public education campaign on climate change.

TRI-STATE TRANSPORTATION CAMPAIGN, INC.

New York, New York \$100,000 over 2 years
(Support for this project is shared by the Fund's New York City program.)

Renewed support for transportation policy reform in the New York metropolitan region, which emphasizes fostering public involvement in local decision making.

UNION OF CONCERNED SCIENTISTS

Cambridge, Massachusetts \$60,000

Renewed support for its efforts to ensure more and better news coverage of climate change by engaging scientists in public debate.

EAST CENTRAL EUROPE**AMERICAN TRUST FOR AGRICULTURE IN POLAND**

McLean, Virginia \$200,000 over 2 years

Toward the Foundation for the Development of Polish Agriculture and its continued efforts to advance sustainable agriculture in Poland.

CENTER FOR CLEAN AIR POLICY

Washington, D.C. \$80,000 over 2 years

Toward efforts to encourage public discussion of alternative transit options prior to the construction of a major expressway in Plzen, Czech Republic.

CLEAN AIR ACTION GROUP

Budapest, Hungary \$25,000

For efforts to promote environmentally sound transportation policies in Hungary, including a reduction in truck and car use and an improvement of public transportation.

ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE—CZECH OFFICE

Brno, Czech Republic \$70,000 over 2 years

For efforts to promote sustainable development in the region and to provide technical assistance and training to expanded community revitalization efforts.

FOUNDATION FOR A CIVIL SOCIETY, LTD.

New York, New York \$120,000 over 2 years

For the Czech Center for Community Revitalization, which nurtures relationships and collaborative action among groups and individuals committed to community-based revitalization in the Czech Republic.

FOUNDATION FOR THE SUPPORT OF ECOLOGICAL INITIATIVES

Krakow, Poland \$25,000

For a public information campaign in Poland to encourage discussion of alternatives to national transportation policies which emphasize car- and truck-based highway development.

FRIENDS OF THE EARTH (FRANCE)

Paris, France \$150,000 over 2 years

For a project to help East Central European NGOs track multilateral development bank accountability in the region on issues of energy, transportation, and public information.

GERMAN MARSHALL FUND OF THE U.S.

Washington, D.C. total \$32,500

Up to \$30,000 for an assessment of the Environmental Partnership for Central Europe, an initiative designed to foster community-based environmental activity in Poland, Slovakia, Hungary, and the Czech Republic.

\$2,500 toward a special project of the Environmental Partnership for Central Europe.

GREENWAYS-ZELENE STETZKY

Valtice, Czech Republic \$30,000

General support for its efforts to cultivate environmentally sound economic advancement of historic rural areas in East Central Europe.

INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY

New York, New York \$50,000

For the Central European Sustainable Transport Initiative, a study of transportation policies in Poland and Hungary designed to increase public awareness of alternatives to government transport initiatives.

INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION—EUROPE

London, England \$200,000 over 2 years

For a program to increase the involvement of non-environmental NGOs in promoting energy efficiency and sustainable transportation in Eastern Europe.

EAST ASIA**ASIAN NGO COALITION RESEARCH FOUNDATION, INC.**

Manila, Philippines \$160,000 over 2 years

For the NGO Working Group on the Asian Development Bank, a project to monitor the bank's new initiative to attract co-financing for large infrastructure projects in Indochina.

AUSTRALIAN COUNCIL FOR OVERSEAS AID

Canberra, Australia \$15,000

For an international seminar, convening leaders from Laos, Japan, and Vietnam, on Australia's role in the electrification of Laos.

BOTANICAL RESEARCH INSTITUTE OF TEXAS

Fort Worth, Texas \$36,000

For a project to encourage collaboration with Chinese scientists in developing research proposals in the emerging field of restoration ecology.

EARTH SUMMIT WATCH

Washington, D.C. \$27,000

Toward the Shrimp Tribunal project, a neutral, on-line forum where governments, industries, and NGOs can discuss the social and environmental impacts of shrimp aquaculture.

ENERGY PROBE RESEARCH FOUNDATION

Toronto, Canada \$20,000

For a project tracking private-sector investment in hydro-development projects in the Mekong basin.

FOCUS ON THE GLOBAL SOUTH

Bangkok, Thailand \$20,000

For its Macro-Micro Linkages Program, which offers workshops on international development institutions and options to government officials in the Mekong basin countries.

GLOBAL ENVIRONMENT AND TRADE STUDY

New Haven, Connecticut \$20,000

Toward its conference "Trade, Competitiveness, and the Environment," co-sponsored by the National University of Singapore.

GREEN KOREA

Seoul, Korea \$5,000

Toward a national seminar for nongovernmental organizations on Korea's role in the development of the Mekong River basin.

INTERNATIONAL INSTITUTE FOR ENVIRONMENT AND DEVELOPMENT

London, England \$10,000

For a joint research initiative with the Mekong River Commission and the National Mekong Committees, "Flood Management in the Mekong Basin," on sustainable resource use in the Mekong basin.

INTERNATIONAL RIVERS NETWORK

Berkeley, California \$20,000

Toward efforts to support developing-world NGOs with technical and financial information on river basin development.

JAPAN CENTER FOR A SUSTAINABLE ENVIRONMENT AND SOCIETY

Tokyo, Japan \$45,000

For its project to monitor the involvement of Japan and the Asian Development Bank in Mekong River basin development.

MEKONG REGION LAW CENTER FOUNDATION

Bangkok, Thailand \$20,000

For its work with the Mekong River Commission and the National Mekong Committees on issues of institutional strengthening, river basin management, and biodiversity conservation.

NAUTILUS OF AMERICA

Berkeley, California \$150,000 over 2 years

For joint support of the Asia Pacific Regional Environment Network, an on-line information service, and to develop a cooperative Asian Web site providing information on the activities of Asian development organizations.

PESTICIDE ACTION NETWORK

San Francisco, California \$100,000 over 2 years

Toward efforts to monitor implementation of the sustainable agriculture policies of multilateral development banks in East Asia.

RAINFOREST ALLIANCE, INC.

New York, New York \$1,500

For the reprinting and dissemination of two manuscripts concerning marine resource management in Southeast Asia at an international meeting on coastal management.

SAVE THE CHILDREN FEDERATION, INC.

Westport, Connecticut \$25,000

For its Regional Initiative for Sustainable Agriculture project, an effort to promote integrated pest management among farmers in Northern Thailand.

SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER

Ilo-Ilo, Philippines \$5,000

To foster regional networking and collaboration on projects pertaining to coastal aquaculture, restoration ecology, and shrimp biodiversity in Southeast Asia.

TUFTS COLLEGE, TRUSTEES OF

Medford, Massachusetts \$152,000 over 2 years

For a study of the impact of tropical shrimp aquaculture on the genetic diversity of the wild shrimp population.

U.S.-INDOCHINA RECONCILIATION PROJECT OF THE FUND FOR RECONCILIATION AND DEVELOPMENT

Washington, D.C. \$10,000

Toward an annual conference designed to promote dialogue between Indochinese officials and representatives of international business and nonprofit organizations working in the region.

WETLANDS INTERNATIONAL ASIA-PACIFIC

Petaling Jaya, Malaysia \$15,000

To coordinate and assemble a directory of coastal restoration sites in Southeast Asia, designed to provide an overview of restoration efforts in the region, and to foster networking among scientists and community organizers.

WORLD WILDLIFE FUND, INC.

Washington, D.C. \$20,000

For a joint initiative with the Mekong River Commission and the National Mekong Committees on sustainable resource use in the Mekong basin.

YORK UNIVERSITY

North York, Ontario \$12,000

Toward the university's Joint Centre for Asia-Pacific Studies and its project, the Asian Resource Tenure Network, which is making a transition from work in field-based studies to policy analysis.

World Security



One World: World Security

The world has changed, and with it the threats to and requirements of security. The bipolar conflict that defined the Cold War and gave rise to modern security concepts and terminology no longer dominates world relations. But the changes taking place are more than just consequences of the end of the Cold War. They are driven by long-range, underlying trends: technological innovation, the restructuring of the global economy, population pressures, environmental strain, and emerging norms of political, social, and cultural self-determination. The interactions among these trends now challenge the capacity of states to govern and of nature to provide. Understanding and managing these interactions is a key security issue, the Rockefeller Brothers Fund believes, and will require cross-disciplinary analysis and cross-sectoral action. While the nation-state and the international state system have long been the primary guarantors of security, the complexities of the modern age are likely to demand new or transformed institutions and combinations of institutions to fill that role.

The Fund's chief interest in world security during the period 1996–1998 is to encourage and advance a dialogue among a broad range of scholars and policy-shapers — and eventually among concerned funders and civil society organizations — on the nature of and approaches to security in the post-Cold War world. Informed by that dialogue, the Fund will articulate a new set of grantmaking guidelines for its own World Security program, to be announced in late 1998.

A NEW DIALOGUE ON WORLD SECURITY

The RBF is pursuing its interest in security through two complementary initiatives: a Project on World Security at the Fund's office in Washington, D.C., and a program of research at the Carnegie Endowment for International Peace, directed by an RBF-supported Resident Associate in World Security. Both initiatives address the Fund's overall interest in promoting new dialogue on security, but they do so through different vehicles.

The Project on World Security aims to produce a broad contextual paper on grantmaking strategies for the security field, including an appendix with specific grantmaking recommendations for the RBF. In producing this paper, the project will engage diverse scholars and practitioners in an extended conversation (through publications, meetings, and a Web site) about the state of the debate on security issues, the gaps in our knowledge and understanding of those issues, and the barriers to building a consensus on approaches to security. By analyzing and reflecting on that conversation, the resulting paper will not only identify the needs of the security field that can be responded to through grantmaking, but also help to describe an agenda for research, policy review, and public discourse on modern security and how to assure it.

The Project on World Security will explore the state of the debate on security issues, the gaps in our knowledge and understanding of those issues, and the barriers to building a consensus on approaches to security.



Left: POLITICAL SCIENTIST BENJAMIN BARBER, AUTHOR OF *IJHAD VERSUS MCWORLD*, an influential interpretation of the consequences of globalization, addresses the Core Advisory Group for the Project on World Security. *Right:* JESSICA T. MATHEWS, MEMBER OF THE CORE ADVISORY GROUP FOR THE PROJECT ON WORLD SECURITY and newly-elected president of the Carnegie Endowment for International Peace, where the Fund is supporting a research program on new governance requirements for ensuring human security.

The first publication of the Project on World Security is an inventory of related projects, which describes over thirty-five institutionally based efforts to reconceptualize security. While far from comprehensive, the inventory is designed to provide at least a partial map of how the new thinking about security is developing and how various groups have gone about exploring this issue. Bound copies of the inventory are available from the Fund's offices in New York and Washington; it has also been published electronically and is available on the Project on World Security Web site, located at www.rbf.org/pws.

The program of research at the Carnegie Endowment for International Peace aims to facilitate the preparation of a major paper which explores the critical theme of "governance" (used here to describe the means by which people organize themselves to respond to challenges that require collective action, such as protection from military attack, the conservation of vital resources, and the regulation of economic transactions). Arguing that the nation-state system of governance can no longer be relied upon exclusively to ensure human survival and well-being on a large scale in the 21st century, the paper will look specifically at governance arrangements (including both for-profit and not-for-profit institutions and combinations of institutions) that might serve as alternatives or complements to the nation-state system. By using the theme of governance to link the disparate issue areas from which threats to security are likely to arise, and by looking beyond state-based mechanisms for the provision of security, this research program will be a contribution and stimulant to the dialogue on world security, and its location in a multidisciplinary community of scholars exploring related issues will further encourage discussion and debate.

Expanded means of governance, and in particular governance arrangements that can serve as alternatives or complements to the nation-state system, are likely to be necessary in order to ensure human security in the 21st century.

OTHER ACTIONS

Normal grantmaking in the security area has been suspended until new guidelines are formulated and announced. During 1996, however, one supplemental grant was approved to facilitate the completion of a project of the Center for Cultural and Technical Interchange Between East and West (the East-West Center) that seeks

to compare conceptions of security in eighteen Asian nations, with the goal of helping these countries move toward a new regional security framework. One additional grant was made to a longstanding grantee, the Institute for International Economics, as a contribution to a multiyear initiative that addresses a subject which is highly relevant to the Fund's own security undertakings but not likely (because of constraints on time and staffing) to receive full attention through the Project on World Security or through the research program at the Carnegie Endowment for International Peace.

This initiative of the Institute for International Economics, one of the most successful centers for policy research in the world, involves three related projects on international financial flows and capital markets. The international financial system is a critical dimension of economic globalization, which is one of the trends whose implications for security and global order the Fund is examining through its two security efforts. Driven by revolutions in technology and the availability of information, the international financial system now moves at lightning speed and handles staggering amounts of money. One week of transactions in foreign exchange markets, for example, totals more than \$6 trillion, almost equal to the annual GNP of the United States. Furthermore, there is no inherent reason for such transactions even to be visible. They can thus be independent of national government or international organization control and review — and frequently are. With or without malicious intent, such transactions may complicate and even contradict national policy, or contravene internationally negotiated codes of behavior that are intended to help ensure respect for sovereignty, transparency, and international stability.

International finance is a critical dimension of economic globalization, one of the trends whose implications for security the Fund is examining through its Project on World Security and its research program on governance at the Carnegie Endowment for International Peace.

PROGRAM GUIDELINES

ONE WORLD: WORLD SECURITY

During the period 1996–1998, the Fund's chief interest in world security is to encourage and advance a dialogue among a broad range of scholars and policy-shapers on the nature of security in the post-Cold War world. This interest is being pursued through two complementary initiatives: a Project on World Security at the Fund's office in Washington, D.C., and a program of research at the Carnegie Endowment for International Peace, directed by an RBF-supported Resident Associate in World Security.

Informed by these initiatives, the Fund will articulate a new set of grantmaking guidelines for its World Security program, to be announced in late 1998. Until that time, normal grantmaking in the security area has been suspended.

CROSS-REFERENCE

EXPLORING NEW APPROACHES TO SECURITY IS NOT A NEW EXERCISE AT THE ROCKEFELLER BROTHERS FUND.

IN 1983, AFTER AN EIGHTEEN-MONTH REVIEW OF ALL RBF PROGRAMS IN LIGHT OF CHANGING GLOBAL CONDITIONS, THE FUND ADOPTED A "ONE WORLD" STRATEGY OF GRANTMAKING THAT LINKED AND RECONFIGURED ITS TRADITIONAL INTERESTS IN THE AREAS OF MILITARY SECURITY AND THE ENVIRONMENT. UNDER THAT STRATEGY, THE WORLD SECURITY PROGRAM WAS DESIGNED TO SUPPORT NOT ONLY EFFORTS ON BEHALF OF ARMS CONTROL BUT ALSO EFFORTS TO PREVENT AGGRESSIVE ACTS THAT STEM FROM UNEQUAL ACCESS TO RESOURCES, GOODS, AND SERVICES.

THE RBF'S CURRENT REVIEW OF SECURITY ISSUES WILL SURELY REVISIT THE LINK BETWEEN ENVIRONMENTAL STRAIN AND VIOLENT CONFLICT. IN ADDITION, ITS FOCUS ON THE INCREASING IMPORTANCE OF NON-STATE INSTITUTIONS AND AGENCIES IS LIKELY TO HIGHLIGHT SIGNIFICANT CONNECTIONS BETWEEN THE FUND'S PROGRAMS ON SECURITY AND SUSTAINABLE RESOURCE USE AND THOSE ON THE NONPROFIT SECTOR AND NEW YORK CITY, WHICH FOCUS IN DIFFERENT WAYS ON CAPACITY BUILDING FOR THE INSTITUTIONS OF CIVIL SOCIETY.

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PROJECT ON WORLD SECURITY



SITE SEARCH
PROJECT ON
WORLD
SECURITY

Since the end of the Cold War, analysts around the world have been struggling to reorient their thinking on the meaning of security in the new international environment. The **Project on World Security** (PWS), an initiative of the Rockefeller Brothers Fund, is an effort to develop a comprehensive and integrative framework for discussing security at the end of the twentieth century.

THE PROJECT ON WORLD SECURITY HAS IDENTIFIED THE INFORMATION REVOLUTION AS ONE OF THE MAJOR TRENDS that challenge and demand a reconsideration of the current global security framework. But it is also this era's most powerful tool for communication and intellectual participation. The PWS Web site (at www.rbf.org/pws) is intended to serve as such a tool for economists, political scientists, social and physical scientists, environmentalists, demographers, social policy analysts, students of religion, health experts, military analysts, and other specialists interested in sharing insights and expertise, bridging disciplinary and sectoral gaps, and seeking a common language through which they can discuss and address emerging threats to international order. The Web site is thus an integral part of the project's aim to engage a diverse group of scholars and practitioners in an ongoing conversation about the nature of security in the post-Cold War world.

The Institute for International Economics will be examining three aspects of this complicated picture. The first project will focus on the supervision and regulation of international finance, which is challenged not only by the circumstances described above but also by the emergence of new types of financial institutions, instruments, and participants that have not previously been the subject of regulation. The second project will flesh out the idea of an international banking standard, designed to improve the strength of banks in developing countries where economies can founder because of weak national banks. A third project will examine previous economic crises with the aim of developing a set of indicators to provide early warnings that a country's financial system is in danger, alerting national leaders and international community in time to avert disaster.

It is impossible today to disentangle economic globalization from international finance, or to understand the implications of economic globalization for security without understanding the implications for security of changes in the international financial system. These projects of the Institute for International Economics should help illuminate a highly complex set of issues that is vitally important to the order of relations among nations.

One World: World Security 1996 Grants

ASIAN CULTURAL COUNCIL

New York, New York \$300,000

Toward general operating expenses in 1996. ACC supports cultural exchanges between Asia and the United States in the performing and visual arts, primarily through individual fellowship grants to Asian artists, scholars, students, and specialists for study, research, and travel in the United States.

CENTER FOR CULTURAL AND TECHNICAL INTERCHANGE BETWEEN EAST AND WEST, INC.

Honolulu, Hawaii \$20,000

For support of the Asian Conceptions of Security Project, a comparative study by security analysts in eighteen Asian countries of national security conceptions in Asia, designed to help East Asian nations move toward a new security framework.

INSTITUTE FOR INTERNATIONAL ECONOMICS

Washington, D.C. \$250,000 over 3 years

For research on the relationship of international financial flows and capital markets to global order, sustainability, and peace.

JAPAN CENTER FOR INTERNATIONAL EXCHANGE

Tokyo, Japan \$25,000

Toward its Asia Pacific Agenda Project to strengthen joint policy research and dialogue on regional development and international relations among Asian NGOs

UNITED NATIONS ASSOCIATION OF THE UNITED STATES OF AMERICA, INC.

New York, New York \$15,000

Toward a conference on issues related to the American stake in and financial obligation to the United Nations, "Confronting U.N. Insolvency: The United States and the U.N. Financial Crisis."

UNITED NATIONS RESEARCH INSTITUTE FOR SOCIAL DEVELOPMENT

Petit-Saconnex, Geneva \$25,000

Toward an international conference on globalization and citizenship, designed to explore the ways in which globalization is affecting the rights, benefits, and responsibilities normally associated with citizenship.

Nonprofit Sector

The background of the page features a soft, light green color palette. It is overlaid with a faint, artistic illustration of several hands of various skin tones gently cupping a globe. The hands are positioned around the globe, with fingers slightly curled as if supporting it. The overall aesthetic is clean, modern, and conveys a sense of global unity and care.

Nonprofit Sector

In late 1995, the Rockefeller Brothers Fund adopted new guidelines for grantmaking in the nonprofit sector program — guidelines that emphasized cross-cutting themes and common challenges for the sector, rather than geographical areas. The intent of this change was not to deny the very real regional and cultural differences among nonprofit sectors, but rather to acknowledge that the health and vitality of the “Third Sector” everywhere depends both on its inherent strengths (the adequacy of its resources, whether human, financial, or structural) and on the strength of its relationships with external constituencies (the degree to which its roles and purposes in society are accurately understood and widely accepted). Together, these overlapping factors determine the capacity of civil society to meet the various and changing demands being placed upon it in most areas of the world.

FINANCIAL AND HUMAN RESOURCES

The financial and human resource challenge confronts the nonprofit sector most sharply in those regions — like East Central Europe — where the very notion of a nonprofit, nongovernmental sector is still relatively new or unfamiliar. Here the question is literally one of sustainability: Can a sector which has been largely fostered, supported, and to a certain extent guided by Western funders and their expertise survive the inevitable gradual withdrawal of those financial and human resources, and acquire over time the capacity to cultivate a sufficient indigenous supply of funding and expertise?

In East Central Europe, the question before the nonprofit sector is how to cultivate local sources of funding and expertise to replace Western resources that are gradually being withdrawn.

A 1996 grant from the RBF to the Healthy City Foundation in Banska Bystrica, Slovakia, attempts to help that country adapt the community foundation model (a collection of funds contributed by individuals, corporations, other charitable organizations, and government agencies to benefit a specific geographic area) which has proven to be so effective in the U.S. as a vehicle for local donors. The Healthy City Foundation is one of the first community foundations in the East Central European region. In addition to providing grants and technical assistance to NGOs (nongovernmental organizations) in Banska Bystrica, the foundation’s mission includes advising other citizen groups in Slovakia that wish to establish community foundations, and promoting local philanthropy by providing matching funds for projects that are able to raise their own money from the community. The Polish Children and Youth Foundation, established with RBF support in 1993, has been and continues to be successful in leveraging funds from local governments for projects benefiting children and youth. A 1996 RBF grant to the International Youth Foundation will help strengthen a similar organization — the newly established Children and Youth Foundation of Slovakia — in its efforts to encourage and support indigenous philanthropy.



STUDENTS PRODUCE AN ENVIRONMENTAL NEWSLETTER as part of their studies at the elementary school in Orelec, Poland. The school's environmental program has received funding from the Polish Children and Youth Foundation, a partner of the International Youth Foundation, established with RBF support in 1993. The Children and Youth Foundation of Slovakia, also affiliated with the International Youth Foundation, will be the beneficiary of a 1996 grant from the RBF.

The RBF, like other Western funders in East Central Europe, has focused for several years on providing management training and training in organizational development to the heads of local NGOs. To help ensure the future strength and flexibility (i.e., sustainability) of the sector's human resources, the RBF is encouraging the formation and strengthening of local organizations — sometimes called NGO or civil society support organizations — that provide training and expert resources for local nonprofit groups. The Civil Society Development Program, established in 1994 with RBF support to create professional teams of local trainers and resource people for the third sectors in Hungary and Poland, has just formed two separate NGO support organizations (each called the Civil Society Development Foundation) in Budapest and Warsaw. Grants from the Fund in 1996 will enable these two indigenous foundations to enlarge their capacities, offering new services to Polish and Hungarian NGOs — like special consultancies tailored to fit the needs of different nonprofit groups — that have not previously been available and are becoming quite necessary. RBF grants in 1996 to the Information Center for Foundations and Other Not-for-Profit Organizations (in Prague) and the Slovak Academic Information Agency (in Bratislava) were designed to enhance the capacities of local resource and training centers in the Czech Republic and Slovakia, the two other ECE countries in which the Fund is most active. A recent evaluation by Charities Evaluation Services in London, funded by the RBF and the Charles Stewart Mott Foundation, found that such resource and training centers are making a significant contribution to the sustainability of the nonprofit sector in East Central Europe. Encouraging the formation of regional networks of civil society support centers is the goal of another RBF grant, to the Institute for Development Research, described below under “Structural Resources.”

Sectoral sustainability is also a matter of flexibility, being able to respond to new challenges. In Hungary, for example, the relatively generous early childhood programs and benefits formerly provided by the government have been cut back, and nonprofit groups do not yet have the capacity to take over. The RBF therefore made a grant in 1996 to Pro Excellentia for the development of management training programs for nonprofit leaders who direct or would like to establish early childhood education programs. The Pro Excellentia program involves training a corps of indigenous trainers who will work in each of Hungary's counties to expand the capacity of the local nonprofit sector to deliver early childhood education services.

Foundation-supported resource and training centers for indigenous nonprofit organizations are making a significant contribution to the sustainability of the nonprofit sector in East Central Europe and in other transforming societies around the world.

Of course, East Central Europe is not the only region where the human and financial resources of the nonprofit sector require attention. In the United States, RBF support for the Enhancing the Effectiveness of Family Foundations project of the Council on Foundations addresses the question of financial resources by encouraging and helping families, especially those with recently acquired wealth, to commit to or enlarge their philanthropic activities. The project will also focus on preparing the next generation of "philanthropic stewards" (enhancing the human resources of family foundations) and on strengthening the council's ties with other organizations that serve and advise family donors. Families manage an estimated two-thirds of this country's 40,000 private foundations, so the developments affecting family foundations represent a significant opportunity — and challenge — for those concerned with promoting the expansion and strengthening of American philanthropy.

PROGRAM GUIDELINES NONPROFIT SECTOR

Goal

To promote the health and vitality of the nonprofit sector, both nationally and internationally, particularly in those regions of the world where the Fund is engaged in other aspects of its program.

Strategies

- Assisting in the development of the financial, human, and structural resources necessary to the nonprofit sector, with special attention to promoting the growth of philanthropy.
- Encouraging greater accountability within the nonprofit sector, with special attention to the role of trustees or directors of nonprofit organizations in ensuring ethical practices.
- Promoting increased understanding of the nonprofit sector and of nonprofit organizations and the diverse roles they play in society, with special attention to reaching both the general public and individuals actually engaged in nonprofit endeavors, and to fostering communication and networking among nonprofit organizations, internationally as well as domestically.

CROSS-REFERENCE

THE GROWTH OF FAMILY FOUNDATIONS IS THE SUBJECT OF THE CHAIRMAN'S INTRODUCTION TO THIS ANNUAL REPORT, BY ABBY M. O'NEILL. BOTH SHE AND COLIN G. CAMPBELL, IN HIS PRESIDENT'S REPORT, ADDRESS THE ISSUE OF FOUNDATION ACCOUNTABILITY AND THE NEED FOR IMPROVED UNDERSTANDING—WITHIN THE NONPROFIT SECTOR AND OUTSIDE IT—OF THE ROLE NONPROFIT ORGANIZATIONS PLAY AND THE CHALLENGES THEY FACE IN COMPLEX MODERN SOCIETIES.



Training sessions for NGO staff, like the one shown above conducted by the Civil Society Development Foundation - Hungary, help local nonprofit organizations meet the growing demands now being placed on them. In Budapest, the Civil Society Development Foundation holds monthly gatherings, called the "Civil Cafe," for nonprofit leaders and activists.

STRUCTURAL RESOURCES

The structure of the nonprofit sector — the laws that govern it, the ways in which it intersects with other sectors, the ease with which its members are able to interact — is also a crucial factor in determining the capacity of the sector, in whatever region, to meet the demands upon it. Several RBF grantees, for example, are working to create a more favorable legal climate for NGOs in East Central Europe. The Slovak Academic Information Agency, with RBF support, provides administrative services to the Gremium of the Third Sector, an elected body which represents the interests of the sector to the government, business community, and general public, and which launched an effective "SOS Campaign" to counter a particularly repressive legislative proposal on foundations in Slovakia. The Polish Children and Youth Foundation has coordinated the efforts of a group of lawyers preparing a draft nonprofit law for Poland.

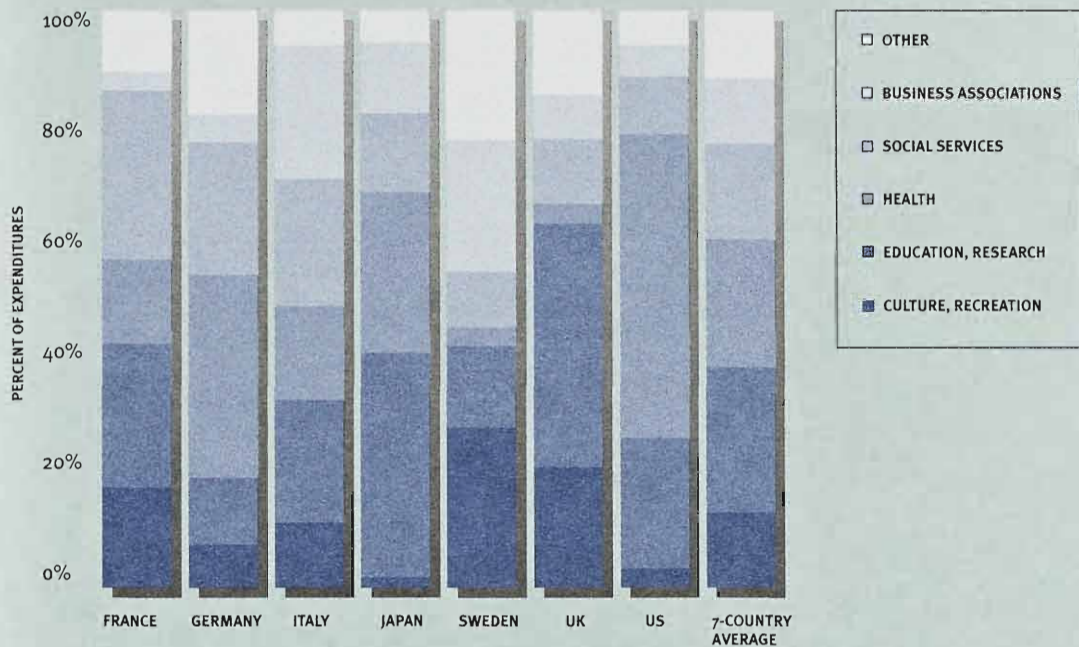
The structure of the nonprofit sector — the laws that govern it, the ways in which it intersects with other sectors, the ease with which its members are able to interact — is a crucial factor in determining its capacity to meet the demands placed upon it.

An RBF grant to the Synergos Institute addresses the ways in which the NGO sector intersects with governments in developing countries and with international development aid agencies. New mechanisms and new intermediary financial organizations are needed, Synergos believes, for channeling multilateral and bilateral financial and technical assistance to local NGOs, which are presently unable to receive funds directly from such agencies as the World Bank. By the same token, new dialogues need to be opened between developing country governments and NGOs, which are presently excluded from many national development decisions. Finding a way to involve NGOs more extensively and formally in the development process could help address one of the most persistent challenges of development aid: how to distribute the benefits of development more broadly and equitably across all elements of society and to give diverse societal groups a stake in how those benefits are secured and applied.

CROSS-REFERENCE

CAPACITY BUILDING FOR NGOS IS A THEME THAT CUTS ACROSS SEVERAL RBF PROGRAMS. IT PLAYS A PROMINENT ROLE IN THE FUND'S SUSTAINABLE RESOURCE USE PROGRAM, FOR EXAMPLE, WHERE ENHANCING THE ABILITY OF ASIAN AND EAST CENTRAL EUROPEAN NGOS TO MONITOR AND INFLUENCE THE POLICIES OF MULTILATERAL AND BILATERAL DEVELOPMENT BANKS HAS BEEN A SIGNIFICANT GOAL OF GRANTMAKING.

IN SOUTH AFRICA, RBF RESOURCES ARE BEING DIRECTED TOWARD STRENGTHENING THE HUMAN RESOURCES OF AN EDUCATIONAL NGO SECTOR WHOSE MOST EXPERIENCED LEADERS HAVE OFTEN BEEN RECRUITED INTO THE NEW NATIONAL GOVERNMENT.



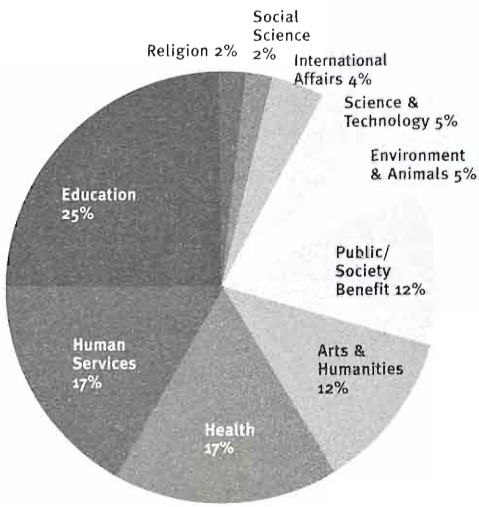
COMPOSITION OF THE NONPROFIT SECTOR

IN 1990–92 AND AGAIN WITH A GRANT FOR 1995–97, THE RBF HAS SUPPORTED THE COMPARATIVE NONPROFIT SECTOR PROJECT of the Institute for Policy Studies at The Johns Hopkins University, the first attempt to develop a systematic body of knowledge about the international nonprofit sector. The lack of such knowledge has been an obstacle to communication and cooperation among nonprofit organizations at a time of dramatic growth in the sector, and has inhibited public understanding of the sector at a time when its role in coping with human needs is expanding. The first published product of the project—*The Emerging Sector: An Overview*, by Lester M. Salamon and Helmut K. Anheier—appeared in 1994 and documented the scope, structure, financing, and role of the private nonprofit sector in twelve countries, with particular focus on the U.S., the U.K., France, Germany, Italy, Hungary, and Japan. Among the findings presented: While education, health, social services, and culture/recreation dominated nonprofit expenditures in all seven countries, there is considerable variation among countries in the relative importance of the fields.

Finding ways to involve NGOs more extensively in the development process could help address inequities in the distribution of the benefits of development, one of the most persistent challenges facing multilateral and bilateral aid efforts.

Several grants from the Fund are designed to facilitate communication among NGOs. The Civil Society Development foundations in Budapest and Warsaw, for example, use RBF support to conduct forums and informal gatherings to promote information exchange among local NGOs and between NGOs and other sectors. The Lublin Self-Help Center in rural Poland, which the RBF supports through the Foundation Central European Center for Behavioral Economics, publishes a journal and hosts a highly successful Internet center (the first of its kind in the nation) for NGOs in southeastern Poland. The center's efforts increasingly involve NGOs from across the border in Belarussia and Ukraine as well.

Facilitating communication among the growing numbers of NGO support organizations (the providers of training and other services to local nonprofits) is one of the goals of another RBF grantee, the Institute for Development Research, which reports that the new support organizations being created in such regions as ECE and the Arab world are reaching out to learn from similar organizations in other parts of the world, forming regional networks and finding ways to share practices and innovations in their work. With RBF assistance, the institute will have an important opportunity — when it conducts a day of presentations and discussions on capacity building at the 1997 World Assembly of CIVICUS (see below) — to promote further network building among these important civil society support organizations.



GRANTS BY MAJOR SUBJECT CATEGORIES, 1994
 (Percentages have been rounded; figures based on a sample of 1,012 larger foundations.)

Giving by U.S. foundations to foreign-based organizations and in support of international activities conducted by domestic organizations represented 10.8 percent of total grant dollars spent in 1995, or about \$684 million, according to the Foundation Center. This is a marked increase over the 6.6 percent recorded in 1985, but almost all the growth occurred during the mid- to late 1980s; since 1990 the share of international giving has remained constant at 10 to 11 percent.

Another way of measuring international giving is to look at grants by major subject categories. In 1995, grant dollars spent on International Affairs (which includes development and relief services, peace and security, and international human rights) represented 3.5 percent of total grant expenditures, about the level at which it has hovered since 1989. Compared with many other fields, relatively few U.S. foundations are very active in this arena; two-thirds of all grant dollars reported in 1995 came from just ten grantmakers. The RBF is regarded as a leader among those foundations, and in 1990 helped establish the Program for Leadership in International Philanthropy of the Council on Foundations. This program, which focuses on building awareness of the links between international and domestic issues and on encouraging international and cross-border grantmaking received an additional grant in 1996.

INCREASING UNDERSTANDING AND VISIBILITY OF THE SECTOR

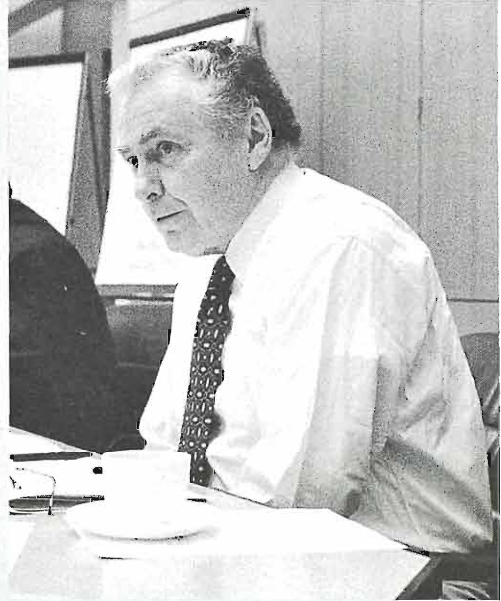
During 1996 the RBF made three grants specifically designed to address the widespread lack of understanding (among the general public, policymakers, and even those within the sector) of nonprofit organizations and the roles they play in society. One grant, to Independent Sector — the national umbrella organization with the broadest base among U.S. nonprofits — will enable that organization to undertake a five-year plan that calls for integration of three public education priorities in all its programs: to involve the media extensively and from the start in its activities; to make use of the latest electronic technologies to promote public understanding of the sector; and to explore the most effective strategies and techniques of advertising, public relations, and marketing for application to its public education efforts. The goal is not only to raise U.S. public awareness of the role and value of philanthropy and voluntary action, but also to thereby increase public confidence in and support for the nonprofit sector.

The Fund is supporting efforts designed to increase awareness of the role and value of philanthropic and nonprofit activity, and to enhance public confidence in the nonprofit sector.

The Fund's 1996 grant to CIVICUS addressed this challenge globally. CIVICUS is an international alliance dedicated to strengthening citizen action and civil society throughout the world. At its first World Assembly in January 1995, it identified increased understanding of the nonprofit sector as critical for the development of civil societies worldwide. With RBF assistance, CIVICUS has undertaken a special project in preparation for its second World Assembly (Budapest, September 1997) that involves a cluster of initiatives to increase the visibility and understanding of civil society. Chief among these initiatives are re-vamping the CIVICUS newsletter and using it as a vehicle for disseminating successful case studies; developing a CIVICUS site on the World Wide Web; and preparing a manual and workshops on communication strategies for increasing understanding of the sector.

TELLING THE STORY OF PHILANTHROPY

In February 1996 Colin Campbell, president of the Rockefeller Brothers Fund, delivered a speech on foundation accountability to the eighth annual Family Foundations Conference of the Council on Foundations. Noting that the public seems to be skeptical about most social institutions today, he identified nonetheless a specific — and worrisome — skepticism about the nonprofit sector. This skepticism has unfortunately been fed “by a few well-publicized scandals within the sector and by powerful ideological forces outside it” that have questioned the legitimacy of some basic nonprofit activities (educating the public about important policy issues, for example, and advocating on behalf of disadvantaged constituencies). In this climate of doubt, “both citizens and lawmakers require assurances that their trust in us has been and continues to be warranted.” Nor is the current demand for greater institutional accountability likely to fade away soon.



Foundation accountability is necessarily about adhering to the fundamental legal, financial, and ethical standards that govern philanthropic practice in the United States, and providing the public with the information it needs to measure a foundation’s performance against those standards. But in his speech, Colin Campbell suggested that accountability means more than counting and measuring. “Giving an account of yourself,” he said, “also means telling your story.” Telling the story of philanthropy, he asserted, is as important as taking its measure; both kinds of accountability are essential to strengthening the public’s trust in foundations and the nonprofit organizations they help to support.

The notion of story-telling, which is also articulated and explored by Abby O’Neill in her Chairman’s Introduction to this annual report, has been taken up by other foundation leaders who are concerned over public misgivings about the nonprofit sector and convinced that such misgivings are due as much to confusion and misunderstanding about the nature and role of the sector as to political ideology or isolated instances of philanthropic misconduct. The Council on Foundations has published an edited version of Colin Campbell’s speech under the title, *Telling Our Story: Accountability for Family Foundations*. In her introduction to this booklet, Council president Dot Ridings joins Colin Campbell in urging foundations to tell their stories. Together with greater attention to self-policing, she writes, these stories are an “antidote” to public doubt about the values and value of the nonprofit sector.

Finally, a grant to the Peter F. Drucker Foundation for Nonprofit Management helped to fund a December 1996 meeting at the Pocantico Conference Center of the Rockefeller Brothers Fund on the emergence of partnerships and the blurring of boundaries among the business, government, and nonprofit sectors. What can be learned from these trends about the current and potential roles of the nonprofit sector, about the accountability issues that may affect its ability to play those roles effectively, and about the misunderstandings that may erect barriers to cooperation among the sectors? A Pocantico Paper on this provocative conference is anticipated in 1997; its distribution will make a further contribution to the Fund’s efforts to promote increased understanding of the sector.

Nonprofit Sector 1996 Grants

DEVELOPMENT OF RESOURCES

CIVIL SOCIETY DEVELOPMENT FOUNDATION— HUNGARY

Budapest, Hungary up to \$100,000 over 2 years

General support for assistance services, such as training and consultancy, to nongovernmental organizations in Hungary.

CIVIL SOCIETY DEVELOPMENT FOUNDATION— POLAND

Warsaw, Poland up to \$100,000 over 2 years

General support for assistance services, such as training and consultancy, to nongovernmental organizations in Poland.

COUNCIL FOR EXCELLENCE IN GOVERNMENT

Washington, D.C. \$25,000

For its project on appointed positions in the executive branch of the federal government, and for publication of *The Prune Book: Washington's Toughest Jobs for the Country's Toughest Challenges*.

COUNCIL ON FOUNDATIONS

Washington, D.C. total \$150,000

\$100,000 over two years for the Enhancing the Effectiveness of Family Foundations project, created to support family philanthropy and to encourage families to begin or enlarge their philanthropic activities.

\$50,000 over two years toward its Program for Leadership in International Philanthropy, an effort to foster the growth and vitality of the nonprofit sector in the U.S. and abroad.

FOUNDATION CENTRAL EUROPEAN CENTER FOR BEHAVIOURAL ECONOMICS

Lublin, Poland up to \$62,000 over 2 years

Toward the expansion of a journal and internet center, aimed at improving communication among nongovernmental organizations in southeastern Poland.

HEALTHY CITY FOUNDATION

Banska Bystrica, Slovakia up to \$105,000 over 3 years

General support to sustain one of the first community foundations in the former Czechoslovakia.

INFORMATION CENTER FOR FOUNDATIONS AND OTHER NOT-FOR-PROFIT ORGANIZATIONS

Prague, Czech Republic up to \$60,000

To strengthen the internal capacity of this resource center supporting nongovernmental organizations in East Central Europe.

INSTITUTE FOR DEVELOPMENT RESEARCH

Boston, Massachusetts total \$52,000

\$42,000 toward its Support Organization Initiative, designed to help enlarge and strengthen the international network of civil society support organizations that work to increase the capacities of nonprofits worldwide.

\$10,000 toward a day-long program on capacity-building initiatives for nonprofit organizations, to be presented at the 1997 CIVICUS World Assembly.

INTERNATIONAL YOUTH FOUNDATION

Baltimore, Maryland \$50,000 over 2 years

To provide technical assistance and training to the newly-established Children and Youth Foundation of Slovakia, which aids programs serving children and youth in Slovakia.

NEW YORK COMMUNITY TRUST

New York, New York \$10,000

Toward the Community and National Service Action Plan of its Fund for Community and National Service, a project designed to build support for public service and to inform the debate on the future of the public service field.

POLISH CHILDREN AND YOUTH FOUNDATION

Warsaw, Poland up to \$150,000 over 3 years

General support for efforts to foster networking and strengthen capacity of nongovernmental organizations serving children and youth in Poland.

PRO EXCELLENTIA

Budapest, Hungary \$50,000 over 2 years

To develop management training programs for nongovernmental leaders in the early childhood education field in Hungary.

ROCKEFELLER FAMILY FUND

New York, New York \$15,000

Toward its Technology Project, an initiative to help nonprofit organizations use the Internet and new technologies for increased effectiveness.

SLOVAK ACADEMIC INFORMATION AGENCY— SERVICES FOR THE THIRD SECTOR

Bratislava, Slovakia \$100,000 over 2 years

General support to build staff, strengthen the financial base, and expand support services for the agency, which assists nongovernmental organizations in Slovakia.

SYNERGOS INSTITUTE INC., THE

New York, New York \$300,000 over 3 years

For a project to support the development of national financial and service assistance organizations for local nongovernmental organizations using international development aid funds.

INCREASED UNDERSTANDING

ASSOCIATION FOR RESEARCH ON NONPROFIT ORGANIZATIONS AND VOLUNTARY ACTION

Indianapolis, Indiana \$5,000

Toward its 25th Anniversary Conference, at which international experts on the nonprofit sector will discuss such issues as nonprofit management, grassroots associations, fundraising economics, and voluntarism.

CIVICUS: WORLD ALLIANCE FOR CITIZEN PARTICIPATION

Washington, D.C. \$75,000 over 2 years

Toward efforts to increase the visibility and understanding of civil society worldwide, including a day-long presentation on model nonprofit practices and communications strategies to be offered at the September 1997 CIVICUS World Assembly in Budapest.

INDEPENDENT SECTOR

Washington, D.C. \$150,00 over 3 years

For expansion of public education strategies, including a program to increase awareness of the value of philanthropy and voluntary action, and to boost public confidence in the nonprofit sector.

PETER F. DRUCKER FOUNDATION FOR NONPROFIT MANAGEMENT

New York, New York \$28,000

Toward a Pocantico Conference on facilitating partnerships among the business, government, and nonprofit sectors as a way to address short- and long-term social needs.

PHILANTHROPIC SUPPORT ORGANIZATIONS**COUNCIL ON FOUNDATIONS**

Washington, D.C. \$34,600

General support for 1997. The council has over 1,400 private, family, corporate, foreign, community, and public grantmaking members and works to promote the growth of responsible and effective philanthropy.

FOUNDATION CENTER

New York, New York \$60,000 over 2 years

General support for 1997 and 1998. The center is the nation's principal information resource on foundations and foundation giving, serving the needs of grantseekers, grantmakers, the media, and government.

FUNDERS CONCERNED ABOUT AIDS

New York, New York \$1,000

General support for 1997, for its work in mobilizing philanthropic leadership and resources in the battle against HIV/AIDS.

INDEPENDENT SECTOR

Washington, D.C. \$10,400

General support for 1997, for its efforts to increase understanding by policymakers and the general public of the private nonprofit sector and the role it plays in American life.

NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS

New York, New York \$9,000

General support for 1997. The association offers its more than 150 member organizations in the tri-state area a program of meetings and workshops on a wide range of grantmaking topics.

ROCKEFELLER FAMILY FUND

New York, New York \$1,000

For general support of its project, the Environmental Grantmakers Association, an organization of 207 member foundations and giving programs concerned with environmental protection.

TIDES CENTER

San Francisco, California \$1,000

For the Grantmakers for Children, Youth and Families affinity group.

Education



Education

Few would disagree with the notion that American public education is in need of improvement. But ask *how* to improve public education, and the responses vary greatly. Some funders have chosen to emphasize the restructuring of schools and school systems; others focus on defining new standards or revising curricula; still others seek to strengthen the relationships among schools, families, and communities. Each of these approaches has merit, and all of them attempt, in some way, to reform schools or schooling — an important but expensive proposition, requiring major investments of time and money.

Because its own resources for education grantmaking are relatively limited, the Rockefeller Brothers Fund has taken a different but complementary approach to the problem of improving student learning. The Fund believes that enhancing the quality of professionals in the education field, by identifying, recruiting, training, and retaining individuals of the highest caliber, is one of the most effective and direct ways of enhancing the quality of education. Outstanding teachers and administrators in restructuring schools, for example, are likely to make the most of new ideas about teaching and learning; in schools and classrooms that need reform, they are likely to be able to envision and implement it; in any setting, they have the potential to inspire young people, take the lead among their peers, and catalyze change.

Within the framework provided by this approach, the RBF has identified two leverage points at which the enhancement of professional quality is likely to have the greatest effect on educational quality. One is in meeting the growing challenge of student diversity, and the other is in addressing the education needs of very young children, whose early learning experiences are now recognized as vital to their later academic success.

OUTSTANDING TEACHERS FOR A DIVERSE STUDENT POPULATION

In the Fund's view, increasing the number of outstanding minority teachers in public schools is critical to improving student learning at a time when minority student enrollments are increasing dramatically. Since 1992, through its Fellowships for Minority Students Entering the Teaching Profession, the RBF has encouraged exceptional minority students from selected colleges of arts and sciences to enter graduate teacher education programs and teach in public schools. At the same time, the Fund has continued to support teacher recruitment and training programs of special merit that have a role to play in increasing the numbers and excellence of minority teachers in public schools. While this latter category of grantmaking will be suspended in 1997, due to changes in the fellowship program described below, the Fund made several grants in 1996 that were designed to help teacher recruitment programs develop and sustain initiatives directed specifically at people of color.

Increasing the number and excellence of minority teachers is essential to meeting the challenge of student diversity in American public schools.



IN OCTOBER 1996 SEVERAL RBF FELLOWS WERE INVITED TO ADDRESS THE BOARD OF TRUSTEES about their experiences as college and graduate students and as new teachers in the public school system. Present were (group photo, from left) Justin Driver, from the fellowship class of 1996; Jennifer Cortez, class of 1992; Crissy Caceres, class of 1995; Cathy Nguyen, class of 1992; and Delvin Dinkins, also class of 1992.

Teach for America, founded in 1989 by graduating Princeton senior Wendy Kopp, is an innovative program to recruit outstanding college students from all majors to teach in urban and rural public schools with persisting teacher shortages. So far the program has placed over 3,300 of the nation's top college graduates, many of whom have remained in teaching after their initial two-year commitment and almost all of whom have received satisfactory or better than satisfactory assessments from their principals and district superintendents. Since many of the districts with which this program works are seeking teachers of color who can be role models for their students, Teach for America has aggressively sought minority candidates. RBF support will enable Teach for America to institutionalize its capacity to recruit minorities, through a Teachers of Color Initiative. This initiative involves building long-term relationships with national minority leaders; implementing a public relations and marketing campaign targeted to people of color; and mobilizing minority corps members and alumni to discuss their experiences on college campuses and recruit new corps members.

Many school districts are actively seeking teachers of color who can be role models for their students, and some teacher recruitment programs have made a concerted effort to meet this need.

Recruiting New Teachers has a broader mission that includes raising public esteem for teaching and fostering improvements in teacher education. But its core goal is the recruitment of exceptional individuals (not just college students, but mid-career professionals as well) into the teaching profession. Seeking to concentrate on areas of greatest need, Recruiting New Teachers has recently focused on the demand for teachers in urban schools — a focus which has reinforced the program's longstanding interest in increasing the number of minority teachers in public schools. Through the Urban Teacher Collaborative (a partnership with the Council of the Great City Schools and the Council of the Great City Colleges of Education), Recruiting New Teachers has begun to work with urban school districts and teacher preparation programs on issues of recruitment, professional development, and career entry. A recipient of several earlier RBF grants, Recruiting New Teachers received support again in 1996.

The Multicultural Alliance, in northern California, recruits high-achieving minority students from academically rigorous colleges into the teaching profession by offering them paid classroom internships under master teachers and tuition assistance toward a master's degree in education. Mentor teachers are compensated by stipends, release time, and professional development support. Originally founded to recruit minority teachers for San Francisco-area independent schools, the program now operates in thirty-one states and has recently extended its services to public school districts in San Francisco, Los Angeles, Baltimore, Milwaukee, and Seattle. Over the next four years, the program intends to add more public schools to its network, with the ultimate goal of placing as many minority interns in public schools as it does in independent schools. A one-year grant from the RBF will help the alliance make an intensive push to expand the number of internships in public schools, provide additional training for public school interns, and cultivate local sources of funding.

PROFESSIONAL DEVELOPMENT FOR IMPROVED EARLY CHILDHOOD EDUCATION

The Rockefeller Brothers Fund has long regarded programs in subsidized childcare, along with Head Start and public school pre-kindergarten, as part of America's publicly-funded education system. In the early childhood education field, just as in the field of elementary and secondary education, the RBF believes that enhancing staff quality is one of the most effective means of achieving improved program quality. Since early childhood care and education is a field where there are few career structures or incentives to attract and retain capable individuals, the key to enhanced staff quality lies in creating and institutionalizing opportunities and standards for professional development.

Early childhood care and education, the RBF believes, must be regarded as part of the educational system in America — and like elementary and secondary education, its quality can be improved by enhancing the quality of program staff.

PROGRAM GUIDELINES EDUCATION

Goal

To strengthen the numbers and quality of teachers in public education in the **UNITED STATES** through support of the identification, recruitment, training, induction, and continuing development of individuals of the highest caliber in the teaching profession. Particular emphasis is given to projects that instill teacher preparation and in-service training programs with a perspective that reflects a worldwide view, ecological awareness, an appreciation of cultural diversity, and a sense of community, and to projects that increase the numbers and excellence of minority teachers entering the profession.

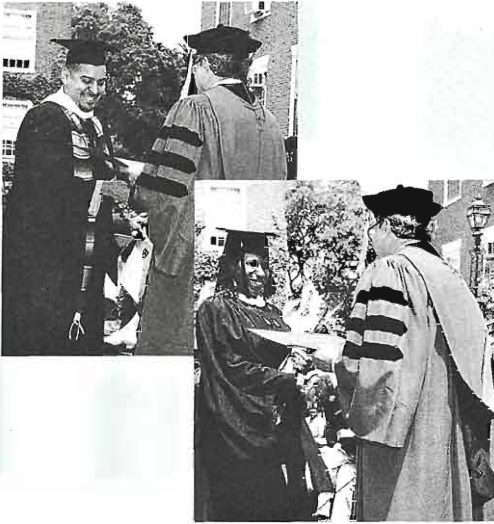
Strategies

- Through Rockefeller Brothers Fund Fellowships and related programs, supporting a cohort of outstanding minority college students — Fellowship recipients from 1992 through 1997 — as they undertake graduate teacher education, teach in public schools, and assume leadership positions in the field of public education.
- Promoting the development of early childhood education training programs for teachers in publicly supported child care centers, Head Start programs, and the early grades of elementary school.

CROSS-REFERENCE

IMPROVING EARLY CHILDHOOD EDUCATION IS ALSO A CENTRAL FOCUS OF THE FUND'S GRANTMAKING PROGRAM IN SOUTH AFRICA, WHERE PREPARING YOUNG CHILDREN FOR ENTRY INTO FORMAL SCHOOLING IS RECOGNIZED BY THE NATIONAL GOVERNMENT AS A CRITICAL DEVELOPMENT NEED.

LEADERSHIP DEVELOPMENT, WHICH WILL BE RECEIVING INCREASED ATTENTION IN THE RBF'S EDUCATION PROGRAM, IS ALSO A STRATEGY OF THE NONPROFIT SECTOR PROGRAM (WHERE IT IS A CRITICAL ASPECT OF ORGANIZATIONAL AND SECTORAL CAPACITY BUILDING) AND THE NEW YORK CITY PROGRAM (WHERE IT IS PART OF THE EFFORT TO BUILD CIVIC ENGAGEMENT, ESPECIALLY AMONG YOUTH).



Harvard University's Graduate School of Education is nationally recognized for its outstanding faculty and landmark contributions to the field. Its Teaching and Curriculum Program prepares outstanding baccalaureate graduates with a strong commitment to the liberal arts to become secondary or middle school classroom teachers. For some years this program has been focusing on enlarging the number of minority students in its annual cohorts. Since 1989, the share of minority students in its entering classes has grown from 7 to 40 percent. More recipients of RBF Fellowships for Minority Students Entering the Teaching Profession have enrolled in this program (including Raul Garcia and Debby Saintil, shown above accepting their Harvard diplomas) than in any other graduate education program.

The program's ability to provide financial aid, augmented by foundation grants for that purpose, has been a major factor in its capacity to attract outstanding minority enrollees. A two-year grant from the RBF will help support students of color for the 1997-98 and 1998-99 academic years, providing scholarships of up to \$5,000 which will supplement Harvard's own financial aid packages. It is estimated that RBF support will guarantee the admittance of twenty additional minority students who have met the admissions requirements and were judged to be exemplary candidates but might not otherwise enroll because of financial hardship.

For the past three years, representatives from thirteen national foundations that fund early childhood education (including the Rockefeller Brothers Fund) have been meeting to explore the possibility of a jointly supported initiative of sufficient scope to make a real and lasting improvement in the field. In May 1996, this Early Childhood Funders Collaborative, which is co-chaired by the RBF's education program officer, launched a two-part national initiative to be implemented by the Center for Career Development in Early Care and Education at Wheelock College. The collaborative aims to raise \$3 million for the initiative and has already received commitments, including the Fund's 1996 grant to Wheelock College, that total more than \$2 million.

The three-year initiative (with possible extension to five years) will pursue two parallel and mutually reinforcing strategies, one focusing on director training and the other on leadership development in a more general sense. While the single best predictor of any early childhood program's quality is the professional background of its director, there are at present no standards for becoming a program director. This initiative will promote the establishment of a nationally recognized director's credential and the expansion of training opportunities for staff who want to become credentialed. The leadership development portion of the initiative recognizes that practitioners in the early childhood education field must acquire more sophisticated organizational and team-building skills, and deepen their understanding of the roles they play in communities as well as the partnerships they might form with other organizations on behalf of children and families. The initiative will support a range of leadership-related activities, including publication of a national inventory of career building programs, and will provide technical assistance to training organizations at all levels of service delivery, from center-based professional development efforts to degree-granting academic programs.

The Early Childhood Funders Collaborative, of which the RBF is a member, has launched a jointly supported initiative to improve the quality of early childhood care and education by strengthening opportunities and standards for professional development in the field.

A separate but related grant to the National Center for the Early Childhood Work Force provides renewed support for the center's Early Childhood Mentoring Alliance, which was established with initial funding from the RBF in 1994. Mentoring programs represent an innovative approach to the professional development issue, providing experienced teachers with the skills to become on-the-job trainers for newly recruited daycare staff. In a field that offers little opportunity for career advancement, such programs link professional development with increased remuneration by giving mentors financial rewards and promotions in recognition of their skills. Mentoring also creates new training opportunities for novices, many of whom have had no preservice training, thus increasing overall competence in the field. The alliance, which has been joined by 560 programs in forty-three states since its founding, provides technical assistance to member programs and offers opportunities for networking. It has published an inventory of programs, developed mentor training curricula, and established an Early Childhood Mentoring Institute that offers intensive seminars for mentors, program directors, and trainers. Renewed RBF support will enable the alliance to undertake several efforts — developing standards for mentoring program accreditation and incorporating leadership training into mentoring programs, for example — that complement the Fund's other activities in the area of early childhood professional development.

ROCKEFELLER BROTHERS FUND FELLOWSHIPS FOR MINORITY STUDENTS ENTERING THE TEACHING PROFESSION

In 1996 the Fund selected its fifth round of recipients of the Rockefeller Brothers Fund Fellowships for Minority Students Entering the Teaching Profession. These fellowships have been awarded annually since 1992 to twenty-five outstanding minority undergraduates in the arts and sciences, nominated by selected colleges and universities, who wish to pursue a graduate degree in education or a related field and teach in American public elementary and secondary schools. The summer after their selection, fellows pursue an independent summer project related to teaching and attend an intensive workshop with returning fellows from earlier classes, mentors (members of the faculty or staff of each fellow's college), and RBF staff. Upon enrollment in an approved one- or two-year masters degree program, fellows receive a twice-yearly stipend; fellowships also cover a share of education loan repayments for each of the first three years the fellow teaches in a public school. By the end of 1996, a total of eighty fellows had been admitted into graduate education programs (including such prestigious programs as the Harvard Graduate School of Education and Claremont Graduate School, where the Multi-Ethnic Teacher Advancement Project is a former RBF grantee), and thirty-six of these fellows had already begun teaching in public schools. Typically, fellows are in close contact with RBF staff during all phases of their fellowships, and the advice and support that staff provide are an important aspect of the fellowship program.

By the end of 1997, fellowships will have been awarded to 150 outstanding minority undergraduates in the arts and sciences, nominated by selected colleges and universities, who wish to pursue a graduate degree in education and teach in American public schools.

The fellowship program was planned as a six-year effort, recruiting twenty-five fellows each year to reach full capacity at 150 students. With the selection of the 1997 fellows, that goal will have been attained and the Fund will not be admitting any more students to the program, at least for the time being. As this recruitment effort comes to a close, the Rockefeller Brothers Fund takes great pride in its fellows and their achievements. At every stage of their careers — as undergraduates, graduate students, and public school teachers — the fellows are proving to be an outstanding cadre of young men and women.



1996 FELLOWS: (Top row, left to right) Michael Humphreys, Harvey Chism, Kisha Miller, Joann Benoit, Rebecca Renard, Tracy Canard, Shawn Beckett, James Palmer (Center row) Justin Driver, Phillip Haynes, Marceline Jacobson, Alexis Beard, Cerwanda Williams, Samantha Xaymounry, Carmen Schmitt, Danetta Fisher-Raining Bird, Leticia Quintero (Bottom row) William Marroquin, Yvette Daugherty, Eileen Chen, Phelana Pang, Margaret Cheng, Lynda Chin, Sonia Velazquez, Teresita Leonido

In light of the success of the fellowship program, and recognizing the extraordinary leadership potential of the existing cadre of fellows, the RBF will be adding a new component to its education effort in late 1997 — an innovative leadership development initiative for fellows who have completed three continuous years of public school teaching. The new program will begin with a leadership institute for eligible fellows in the fall of 1997 and is designed to extend over three years, incorporating additional fellows as they complete three years of teaching. Leadership skill-building activities will include workshops, cohort meetings, mentoring, program grants, funded travel, and electronic networking. In launching this new initiative for fellows, the RBF hopes to contribute significantly to the capacity of these young people to lead the nation's schools and the students who attend them into a more promising future.

In late 1997 the Fund will launch an innovative new leadership development program for fellows who have completed three continuous years of public school teaching.

Given the complexities of implementing this leadership program, the Fund will not be making any new grants to other teacher recruitment or teacher education programs until further notice.

1996 ROCKEFELLER BROTHERS FUND FELLOWS AND MENTORS

FELLOWS

Alexis A. Beard *Pomona College*
Shawn R. Beckett *Swarthmore College*
Joann Benoit *Pace University*
Tracy L. Canard *Dartmouth College*
Eileen Chen *Duke University*
Margaret S. Cheng *Pomona College*
Lynda Chin *Princeton University*
Harvey V. Chism *Swarthmore College*
Yvette N. Daugherty *Spelman College*
Justin A. Driver *Brown University*
Danetta F. Fisher-Raining Bird *Montana State University*
Phillip L. Haynes *Howard University*
Michael M. Humphreys *Williams College*
Marceline S. Jacobson *Macalester College*
Teresita V. Leonido *Mount St. Mary's College*
William Y. Marroquin *University of California, Riverside*
Kischa K. Miller *Williams College*
James D. Palmer *Macalester College*
Phelana W. Pang *Duke University*
Leticia Quintero *Mount St. Mary's College*
Rebecca H. Renard *Oberlin College*
Carmen D. Schmitt *Dartmouth College*
Sonia Velazquez *Princeton University*
Cherwanda R. Williams *Emory University*
Samantha Xaymountry *Mount St. Mary's College*

MENTORS

Julie Benz *Macalester College*
Robert Binswanger *Dartmouth College*
Fred H. Bowers *Spelman College*
Wendy Hui Kyong Chun *Princeton University*
William Darrow *Williams College*
Lucy T. Davis *Duke University*
Christelle L. Estrada *Mount St. Mary's College*
Ruth Ferguson *Pace University*
Sr. Mary Evelyn Flynn *Mount St. Mary's College*
Lina Fruzzetti *Brown University*
Andrew Garrod *Dartmouth College*
Pamela Gist *Mount St. Mary's College*
Lisa Hajjar *Swarthmore College*
Dorothy E. Hartley *University of California, Riverside*
Wendy S. Hesford *Oberlin College*
Margaret McCormack *Princeton University*
Beth A. Quinn *Montana State University*
Peter Rachleff *Macalester College*
Hakim Rashid *Howard University*
Linda Reinen *Pomona College*
Cynthia Shaw *Emory University*
Patricia A. Smiley *Pomona College*
Lisa Smulyan *Swarthmore College*
Tom Ulmet *Duke University*
Alex Willingham *Williams College*

Education • 1996 Grants

EARLY CHILDHOOD

NATIONAL CENTER FOR THE EARLY CHILDHOOD WORKFORCE OF WASHINGTON, D.C.

Washington, D.C. \$100,000 over 2 years

For the Early Childhood Mentoring Alliance's efforts to improve professional training and career development for early childhood education teachers.

WHEELOCK COLLEGE

Boston, Massachusetts \$200,000 over 2 years

For its Center for Career Development in Early Childhood Education, which aims to improve professional development and program quality in the field.

PROJECTS OF PARTICULAR MERIT

CARNEGIE FOUNDATION FOR THE ADVANCEMENT OF TEACHING

Princeton, New Jersey \$25,000

General support in 1997 for projects launched by the late president Ernest L. Boyer, including collaboration between the foundation and China's National Center for Education Development Research.

HARVARD UNIVERSITY

Cambridge, Massachusetts \$150,000 over 2 years

For scholarship assistance to twenty minority students—judged to be exemplary candidates for teaching—in the Graduate School of Education.

MULTICULTURAL ALLIANCE, INC.

Ross, California \$50,000

To include public schools in its program, previously limited to private institutions, to place minority college students in teaching internships.

RECRUITING NEW TEACHERS, INC.

Belmont, Massachusetts \$100,000

To boost recruitment of minority teachers and to improve the professional development of teachers in urban schools.

TEACH FOR AMERICA

New York, New York \$75,000

Toward its Teachers of Color Initiative, an effort to institutionalize TFA's capacity to recruit minorities into the teaching corps.

New York City



New York City

The Fund's New York City program seeks to promote civic engagement and build community capacity, "twin" goals in the fullest sense of the word, since they are closely, if not inextricably, linked. Civic engagement and broad citizen participation are essential to sustained community revitalization (as funders of urban development have discovered, sometimes at great cost). By the same token, the very process of building community capacity — working together to produce positive change — often gives residents the hopefulness and confidence they need to become more fully engaged in civic issues.

Recognizing the link between these two goals, the RBF and a number of other foundations are now pursuing an approach to urban revitalization that treats residents as active partners in change, rather than passive recipients of assistance. This community-building model of urban development (as distinct from the earlier social welfare model) has several important dimensions. It consciously seeks to promote change from the inside out, rather than from the outside in, by helping community residents obtain the skills and tools they need to have an impact on the policies and processes that affect their lives. It focuses on identifying and addressing the strengths and not the deficiencies of individuals and institutions within the community. Accordingly, it often involves revitalizing and reconfiguring existing sets of institutions and civil society organizations, instead of inventing new ones. Finally, it requires a comprehensive and integrated view of urban problems, a view which more accurately reflects the life experience of residents than any fragmented or categorical approach possibly could.

All of these themes are illustrated in the Fund's New York City grants from 1996. The themes overlap, of course, as do the purposes of the grants, but they serve as useful windows into a program that embodies a fundamentally reconsidered and renewed approach to urban grantmaking.

CHANGE FROM THE INSIDE OUT

Promoting change from the inside out involves helping community residents acquire skills, access information, gain experience, and find opportunities that enable them to act collectively to improve the quality of life in their neighborhoods. Young people, in particular, often have the desire and energy to bring about positive change, but not the skills, knowledge, or support they need to be effective community leaders. Without these tools, idealistic young people may feel helpless and become frustrated and skeptical about the value of education and community involvement.

Promoting change from the inside out involves helping community residents obtain the skills, information, and experience they need to have an impact on the policies and processes that affect their lives.

Two 1996 RBF grantees, Global Kids and Do Something, offer comprehensive youth leadership development programs to promote civic engagement by fostering advocacy and community organizing skills in teens and



IN EARLY 1997, THE CHANCELLOR OF THE NEW YORK CITY BOARD OF EDUCATION ASKED RBF GRANTEE GLOBAL KIDS TO DESIGN AND LEAD A DAY-LONG STUDENT TOWN MEETING. The slogan of the meeting was “Responsibility + Involvement = Change,” and the agenda included workshops exploring obstacles to and action plans for the creation of caring school communities, where students are safe, respected, appreciated, and challenged.

young adults. Global Kids’ Power of Citizenry program operates from three New York City public schools and a central site to create a network of informed young citizens who are learning about issues of common concern, developing leadership skills, and designing and implementing projects that involve them actively in their communities and in the democratic process. The New York City Do Something Fund (one of several local funds created by the national Do Something organization) will partner with local schools and with established community-based groups to involve promising young community leaders in a set of interconnected activities, including leadership training, a grants program, a community coaches network, and a community-wide “visioning” or planning process. These two complementary programs seek to nurture young leaders who understand the complexity of the problems affecting their neighborhoods, but who approach those problems more effectively, confidently, and hopefully because of the skills they have acquired and the positive experiences they have had.

Another 1996 grant, to the Campaign for Fiscal Equity, will help create opportunities for the local stakeholders in New York City public education — including parent, education, civic, labor, and business groups — to find common ground in addressing the complex but critical issue of school finance reform. New York State’s school financing “system” (a highly unsystematic amalgam of inconsistent formulae, grants, caps, and other provisions that have emerged over years of compromise) short-changes New York City’s public school students, allocating 12 percent less aid per city pupil than it allocates per pupil in the rest of the state. This is despite the fact that the city enrolls 70 percent of the state’s poverty level students, 60 percent of the students in remedial programs, half of those with severe disabilities, and 80 percent of those with limited English proficiency. RBF funding will help the Campaign for Fiscal Equity undertake an ambitious program of stakeholder education about these inequities and promote stakeholder engagement in the process of developing options for reform. Without such

education and in the absence of such opportunities to work together, even the most concerned New York City residents and community groups would find it difficult to master the esoteric details of school finance or generate informed consensus around an alternative financing proposal.

BUILDING ON COMMUNITY ASSETS

Several of the Fund's grants in 1996 reflect its interest in strengthening existing civil society organizations and community organizing efforts, with the goal of enabling them to fulfill their maximum potential as agents for community capacity building and civic engagement. A grant to East Side House, Inc., for example, will help launch a ten-member Bronx Settlement House Community Action and Revitalization Program. In New York as in many American cities, settlement houses were once quintessential community development institutions, able to cut across class, ethnic, and racial divisions, encourage collaborative problem solving, and use their embeddedness in the community to ensure that community concerns were voiced in the large political arena. Over the past forty years the role of settlements has been eroded, weakened by a fragmented and categorical funding environment that focused on groups of needy residents rather than on the whole community. As the limitations of this approach are recognized by funders, and as Congress embraces devolution and welfare reform, settlement houses in New York City and elsewhere have an historic opportunity to position themselves once again as key institutional sponsors of community development. RBF support will help these ten settlement houses link their individual efforts in a borough-wide structure, identify and nurture local leaders, and create Community Action Groups, composed of staff and residents, to initiate projects on the ground.

Funders are showing increased interest in exploring the role that established community based organizations play in civic engagement and neighborhood development.

PROGRAM GUIDELINES NEW YORK CITY

Goal

To strengthen and enhance civil society in New York City by supporting efforts to build civic engagement and capacity in communities.

Strategies

- Encouraging the development of constituencies for public education, promoting civic responsibility for educational improvement, and fostering creative, responsible citizenship among youth.
- Assisting neighborhood-based projects that encourage respect and care for the physical and natural environment and that develop or reclaim public space in order to enhance the security and the civic, spiritual, and community life and history of neighborhoods.
- Supporting civic participation and inclusive public discourse, promoting accountability of institutions vested with the public trust, and forging a common sense of purpose within and among communities.

🔗 CROSS-REFERENCE

A HEALTHY AND VITAL NONPROFIT SECTOR IS ESSENTIAL TO A STRONG CIVIL SOCIETY. THE NEW YORK CITY PROGRAM SHARES WITH THE FUND'S NONPROFIT SECTOR PROGRAM AN INTEREST IN MAXIMIZING THE RESOURCES AND CAPACITIES OF LOCAL, CITIZEN-LED INITIATIVES.



Community groups in many urban areas are trying to rebuild the sense of cohesion and belonging that once helped to promote neighborhood self-esteem and civic participation.

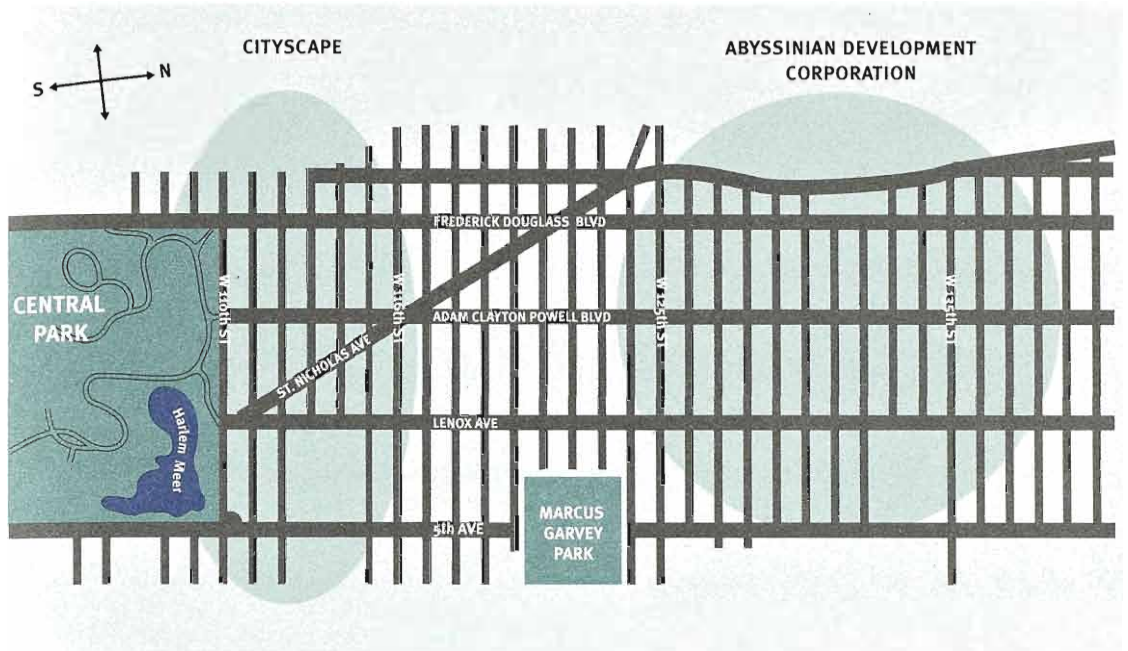
One way to approach this challenge is to concentrate first on a small area, even a single block. This is the strategy of the Building Block project of the New York Urban League, funded by the RBF in 1995, which provides an array of services in support of residents who are gradually restoring a sense of community on what was considered the worst block in Harlem just a few years ago. In Bedford Stuyvesant, the Neighborhood Capacity Building Project of the Community Service Society of New York — a 1996 grantee — is focusing on just two housing projects where significant social problems have affected the quality of life in the entire surrounding area. The project seeks to form a coalition of tenant associations, youth organizations, and local service providers to pursue a common goal: improving conditions in the complexes and transferring building ownership to tenants. Through this process, the project hopes to develop indigenous leadership, mobilize available resources toward shared ends, and create a sense of community ownership and responsibility. Success in these two complexes will demonstrate the effectiveness of this approach and may help inspire a broader community revitalization effort.

CROSS-REFERENCE

IN EAST CENTRAL EUROPE, THROUGH ITS SUSTAINABLE RESOURCE USE PROGRAM, THE RBF ALSO FOCUSES ON COMMUNITY REVITALIZATION. THERE, PRESERVING PUBLIC SPACES AND HISTORIC CENTERS FROM THE DAMAGE OR DESTRUCTION THAT CAN RESULT FROM RAMPANT CONSUMERISM AND UNSOUND TRANSPORTATION PLANNING IS A WAY OF CATALYZING SUSTAINABLE COMMUNITY DEVELOPMENT AND ENHANCING ENVIRONMENTAL SENSITIVITY.

A grant to the Donor's Education Collaborative (a coalition of foundations administered through the New York Community Trust) is designed to catalyze reform of school governance by helping to revitalize local advocacy, parent organizing, and other public information campaigns that have been weakened by a recent erosion of corporate and private foundation support for such efforts — an erosion that almost certainly reflects impatience with the slow and ungainly process of school reform. The Donor's Education Collaborative consists of the RBF and seventeen other New York City foundations that are committed to developing broad public engagement in the systemic reform of New York City schools by building an informed and organized constituency of parents, educators, business and community leaders, and concerned citizens.

Finally, a grant to the National Civic League for the establishment of a New York City Alliance for Local Renewal will strengthen individuals and organizations involved in building New York communities by bringing them together for quarterly meetings to network and exchange ideas; engage in collaborative problem solving; and form partnerships to plan and implement community improvement efforts. Several RBF grantees are already members of the alliance, including Global Kids and Do Something as well as the New York Urban League (recipient of a grant in 1995 for its Building Block project, which concentrates an array of programs and services on a single block in Harlem) and the Project for Public Spaces (a former New York City grantee now assisting the RBF in its community-building activities in East Central Europe). The New York City Alliance will be one of twenty local alliances that are now being launched across the country by the Alliance for National Renewal, which was created in 1994 under the leadership of John W. Gardner, a former RBF trustee, and is convened by the National Civic League to sustain and support the emerging community renewal movement. As part of this national network, members of the New York City Alliance will have access to informational and technical resources available through the Alliance for National Renewal's 171 partner organizations.



COMPLEMENTARY RBF-SUPPORTED PROJECTS ALONG THE HARLEM GATEWAY CORRIDOR (just above Central Park) and in the Central Park North area of Harlem are designed to involve neighborhood residents in planning and implementing comprehensive public space initiatives that will encourage a sense of community ownership and responsibility.

A COMPREHENSIVE APPROACH TO PROBLEM-SOLVING

Nowhere is the interconnectedness of urban problems — and of their solutions — more vividly suggested than in the context of urban public space development. Abandoned and neglected public spaces undermine neighborhood security, frighten away new business ventures, reduce property values, and discourage the kind of public discourse that can lead to community revitalization. Attractive community-designed public spaces, on the other hand, promote neighborhood self-esteem, increase safety, encourage commercial investment, and reclaim spaces for civic engagement.

Attractive community-designed public spaces address a variety of urban problems, simultaneously improving neighborhood security, enhancing community pride and sense of place, facilitating civic engagement, and generally helping to create a more civil city.

During 1996 the New York City program supported three public space initiatives, two in Harlem and one in the South Bronx. All three, it is hoped, will produce visible and noticeable results that authentically express community identity, create a total effect (social, aesthetic, and potentially economic), and inspire additional improvement in surrounding areas. All also emphasize a bottom-up approach to planning and implementation, and all are public-private partnerships with the potential for leveraging additional resources from both sectors. A grant to the Fund for the City of New York will help launch a Cityscape Institute project to design and implement a comprehensive renovation effort along the Harlem Gateway Corridor, just above Central Park. Started with the help of a 1995 planning grant from the RBF, Cityscape Institute is dedicated to promoting “the civic city” by advancing citizen-government partnerships that improve the management, design, and maintenance of outdoor public spaces. Although its perspective is global, Cityscape intends to use New York City as its learning and teaching laboratory, with projects in Brooklyn and mid-town Manhattan as well as in Harlem. In each case, Cityscape will provide leadership, coordination, and a share of the funding necessary to create coordinated streetscape or parkscape plans that have the support of government officials, community residents, and the general public. In the Harlem Gateway project, Cityscape hopes to show how a major scenic landmark, Central Park, can radiate a positive design influence



The Rockefeller Brothers Fund is one of the very few large New York City-based foundations that has a grantmaking program and a program officer focused exclusively on efforts to improve the quality of life in New York City. Commitment to New York City is a longstanding Rockefeller family tradition, too, as exemplified by the Fund's 1996 grant to the New York City Partnership Foundation for expansion of the David Rockefeller Fellows Program, which provides civic leadership training for senior business executives. This unique program was established in 1989, when David Rockefeller (shown above with Sarah Jones, 1996–1997 fellow) stepped down as chairman of the Partnership's board. Since then it has trained over forty corporate executives for creative public service through seminars, site visits, and meetings with public and private sector leaders. Many of these men and women have gone on to undertake important assignments for the City's nonprofit institutions and for both City and State administrations.

on an underdeveloped community, and to test a methodology for balancing citizen involvement and reliance on experts (architects, engineers, etc.) in public space planning.

Complementing its support of Cityscape, the RBF also made a grant to the Abyssinian Development Corporation in Harlem, which was launched in 1986 by members of the Abyssinian Baptist Church (one of New York's oldest African American congregations) and is currently acting as Cityscape's community "partner" for the Harlem Gateway Corridor project. Such partnerships enhance the prospects for success of any urban planning process and encourage a sense of community ownership and responsibility for public spaces. In addition, with RBF support, the Abyssinian Development Corporation will implement a Grass Roots Gardens program to turn empty lots into open green spaces, and help create a comprehensive improvement district in the Central Park North area by fostering the growth of tenant, block, and neighborhood associations and by supporting community-based leadership development.

RBF support for the Urban Assembly — an international network of "urbanists" (scholars, engineers, planners, and community activities) dedicated to making cities more livable, humane, and just — will help launch the Active Streets/Safe Neighborhoods project of the Assembly's Bronx Center. This project involves organizing a community-based, interdisciplinary planning process to optimize the investment of \$2 billion of public and private capital over the next ten years. Specifically, the project will work with community members, professionals, and government officials to identify and develop the kinds of activities, spaces, amenities, and physical features that would increase the security and vitality of the public environment in the South Bronx. In explicitly addressing urban security and economic development while also accommodating the distinctive public character of a particular location and incorporating community input in planning and implementation, this project exemplifies the integrative view of civic and community revitalization that increasingly guides the grantmaking of the Rockefeller Brothers Fund in its own neighborhood, New York City.

New York City 1996 Grants

SCHOOLS AND YOUNG PEOPLE

CAMPAIGN FOR FISCAL EQUITY

New York, New York \$60,000

For its public education and advocacy project on the need to reform the New York State school financing system, which currently produces inequities in funding for New York City students.

CENTER FOR VOTING AND DEMOCRACY

Washington, D.C. \$5,000

For public service radio announcements to encourage voter participation in New York City's community school board elections.

DO SOMETHING, INC.

New York, New York \$200,000 over 2 years

To launch a New York Do Something Fund, which joins forces with local community-based institutions to attract young people to training programs in community organizing and civic engagement.

GLOBAL KIDS, INC.

New York, New York \$80,000 over 2 years

For its Power of Citizenry program, which engages inner-city youths in a leadership development program aimed at increasing civic engagement and awareness of local and global issues.

NEW YORK COMMUNITY TRUST

New York, New York \$250,000 over 2 years

For the Donors' Education Collaborative and its efforts to promote broad public engagement in New York City systemic school reform.

COMMUNITY LIFE

ABYSSINIAN DEVELOPMENT CORPORATION

New York, New York \$90,000 over 2 years

To expand a network of neighborhood associations and to strengthen community involvement in public space development in central Harlem.

FUND FOR THE CITY OF NEW YORK

New York, New York \$100,000

Toward its Cityscape Institute project to advance citizen-government partnerships which improve the management, design, and maintenance of outdoor public spaces.

URBAN ASSEMBLY, THE

New York, New York \$50,000

To design a public environment plan in the South Bronx that will engage community participation in addressing issues of street safety and neighborhood attractiveness.

CIVIC PARTICIPATION

COMMUNITY SERVICE SOCIETY OF NEW YORK

New York, New York \$75,000

For the Neighborhood Capacity Building Project's efforts to encourage social and economic revitalization in a low-income minority community in Brooklyn.

EAST SIDE HOUSE, INC.

New York, New York \$300,000 over 3 years

To launch the Bronx Settlement House Community Action and Revitalization Program, a collaboration of ten settlement houses and local residents working to develop community building strategies.

NATIONAL CIVIC LEAGUE OF COLORADO

Denver, Colorado \$50,000 over 2 years

To foster communication and networking at the New York City Alliance for Local Renewal, a coalition working to revitalize New York City communities.

NEW YORK CITY PARTNERSHIP FOUNDATION

New York, New York \$100,000

For its David Rockefeller Fellows Program, a civic leadership training project designed to enhance the capacity of senior business executives to address issues of public concern in New York City.

South Africa



Special Concerns: South Africa

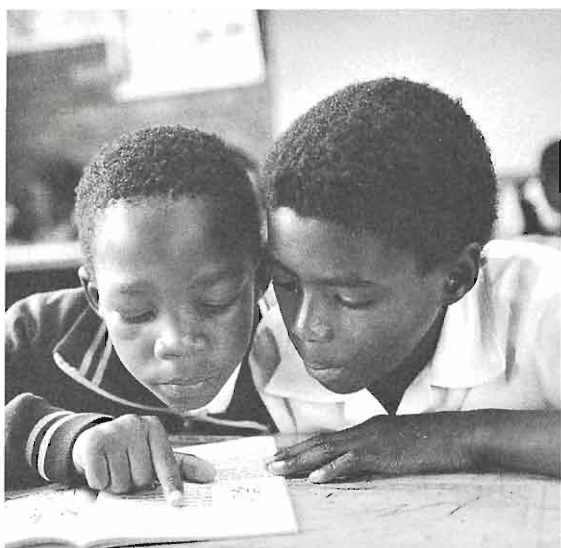
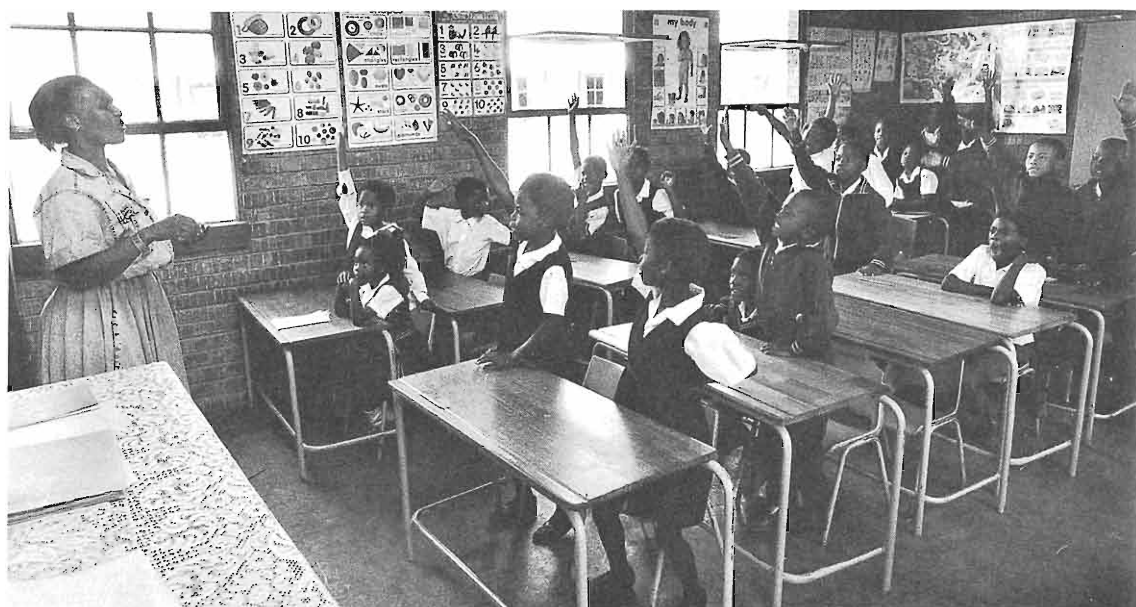
Capacity building is a theme that has been touched on in several sections of this annual report—in the Sustainable Resource Use program essay, for example (where strengthening the capacity for collective action was described as a goal of the international component of the program), and in the Nonprofit Sector program essay (where the capacity of the sector to meet the demands placed on it was described as a function of both its inherent strengths and its relationships with external constituencies). For the Fund’s program on South Africa, which focuses on basic education for children and adults, the notion of capacity building is again central. In this country where enormous economic and social disparities are the legacy of apartheid, educational capacity building is a matter not only of strengthening the capacities of institutional providers of education (whether schools or nongovernmental organizations), but also of strengthening informal family and community educational capacity, and of strengthening the bridges that link children and adults to educational resources which might otherwise be out of reach.

STRENGTHENING THE CAPACITY OF INSTITUTIONS

With the end of apartheid, children are flocking to the classroom after years of unrest, and primary school teachers are being confronted with a host of difficult questions. How can they break with a tradition of rote learning and improve their teaching practices? How can they teach in multilingual classrooms, using the languages of all students to facilitate learning? Addressing these questions and raising the level of primary school instruction are important components of the effort presently under way to create a modern and equitable education system in South Africa.

Training teachers to work effectively in multilingual, multiracial classrooms is critical to strengthening the education system in post-apartheid South Africa.

An early supporter of model in-service teacher training projects, the RBF is now providing additional support to some of its grantees in order to help enlarge the impact of their programs. The ELTIC Education Trust, for example, which had previously piloted a training course to help teachers function effectively in multilingual classrooms, received a grant at the end of 1995 (for 1996) to collaborate with the Education Department of the province of Gauteng in training teachers from a wide range of schools with different language-of-instruction policies. The Primary Mathematics Education Project at the University of Cape Town, established in the early 1990s with the help of a grant from the RBF, also received a grant (for 1995 and 1996) to extend its efforts to improve the teaching methodology and practices of mathematics teachers, increase its involvement in curriculum development and policy formation, and institutionalize its experience by merging its courses into a Further Diploma in Education program at the University of Cape Town. This last move will ensure that the project’s contribution fits into a broader institutional framework and provide certification and recognition for in-service teacher training efforts.



SEVERAL CURRENT AND RECENT RBF GRANTEES OFFER IN-SERVICE TRAINING TO TEACHERS IN THE EARLY GRADES OF SCHOOL. The Fund has identified this as an area of special interest because so many children drop out of school during these early years, and because lower primary school teachers have so little funding and so few opportunities to upgrade their skills. In its support of in-service training programs, the RBF is joined by several American, European, and South African foundations that also recognize the vital importance of improving the methodology and practices of lower primary school teachers.

In the area of adult basic education and training, nongovernmental organizations (NGOs) have already made significant progress — many with RBF support — in developing effective curricula and instructional materials. An important step toward strengthening these organizations and enhancing their impact was recently taken when the Independent Examinations Board in Johannesburg began to develop a set of standardized national examinations for adults at four levels of difficulty. The Board's new assessment system, literacy teachers believe, has had a strong positive influence, providing additional focus, purpose, and quality control for adult basic education institutions. In rural areas, however, provincial governments and NGOs in the literacy field still need guidance on how to make the best use of the new national exams. With RBF support, the Independent Examinations Board is now undertaking a three-year capacity building project that will train NGO leaders together with local education department officials (to promote cross-sectoral collaboration) in both conceptual and practical assessment issues. During this time, the Board also intends to develop, test, and publish special training materials and resources for adult basic education leaders, teachers, and students.

STRENGTHENING FAMILY AND COMMUNITY CAPACITY

Of the estimated 5.8 million black children under five in South Africa, fewer than one million are reached by early childhood education centers. That number is unlikely to increase rapidly, given current and foreseeable rates of poverty and unemployment. It is critical, therefore, to find ways of providing early childhood education to children being cared for by relatives and home-based daycare workers. The Learning for All Trust has developed one innovative approach, funded by the RBF in 1996. The Trust has established “Care Clubs” in rural areas for relatives and other care givers, which function as income generation projects for the unemployed. At club meetings, the Trust provides training in basic child development and encourages discussion of childcare and early education issues.

Fostering developmentally appropriate and stimulating learning environments for children who are not in early childhood education centers requires reaching out to parents, relatives, and other home-based caregivers.

The Trust has also developed and promoted the idea of “barefoot early childhood development workers” (Rehlahlilwe) — women from the community who are trained by the Trust to assist caregivers of young children, providing guidance on how to create a stimulating learning environment for children at home, how to build children’s self-confidence, and how to prepare children for reading, writing, and math instruction in school. Care Clubs and the Rehlahlilwe are already attracting positive attention from provincial governments, and have the potential for widespread replication.

STRENGTHENING BRIDGES TO LEARNING

Many of the nearly 25 percent of South African children who drop out of school in the first grade do so — and lose the benefits of early education — because they are unprepared for the “culture”

PROGRAM GUIDELINES SOUTH AFRICA

Goal

To improve the quality and accessibility of basic education in **SOUTH AFRICA** by supporting projects which provide a range of fundamental learning skills for children and adults.

Strategies

- Encouraging the development of appropriate literacy, reading, and learning materials as well as curricula for early childhood and adult basic education.
- Assisting innovative efforts to improve the teaching methodology and practice of lower primary school teachers.
- Supporting the improved capacity and effectiveness of nonprofit organizations focused on early childhood, lower primary, and adult basic education.

CROSS-REFERENCE

EARLY CHILDHOOD EDUCATION—PARTICULARLY TEACHER TRAINING AND PROFESSIONAL DEVELOPMENT—IS ALSO A FOCUS OF THE FUND’S DOMESTIC GRANTMAKING PROGRAM ON EDUCATION.



During the last years of apartheid, a network of sophisticated early childhood education centers was established in South Africa, reflecting educators' belief that preschool would help prepare and encourage more children to stay in primary school. But these programs still benefit only a small percentage of black children. Many other children drop out of first grade (nearly 25 percent of those enrolled) because they are unprepared for formal schooling or because the first year of study fails in some other way to meet their needs. The RBF and its grantees are working on all sides of this complex issue: to professionalize and expand the availability of early childhood education; to improve the capacity of primary schools and teachers to meet the challenges they face; and to help implement successfully the new "reception year" for five-year-olds that is designed to ease their entry into the formal education system.

and demands of formal schooling. To address this problem, the Ministry of Education and Training in South Africa has recommended the introduction of what it calls a "reception year" for five- and six-year-old children (roughly the equivalent of kindergarten) to bridge their entry into primary school. The year will be phased in over time, as funds become available. So far, however, few education projects have focused on developing curricula for the reception year and retraining primary school teachers to work with younger children. Without such preparation, delays and problems in implementing the reception year are likely to occur and the success of this bridge to formal education will be undermined. Through a grant to the 1000 Schools Project, the RBF hopes to assist in the bridge building process, using an approach that draws lessons from successful early childhood development initiatives (like those the Fund has consistently supported) and makes them available to lower primary school teachers. The 1000 Schools Project involves selected schools in the western Cape region, working in partnership with early childhood development agencies to produce a teacher training program and appropriate classroom materials for the reception year as well as policy guidelines for the national education department as the reception year is phased in.

The RBF has had experience both in early childhood development and in lower primary school education, making it an appropriate funder for efforts to develop curricula and in-service teacher training for South Africa's new "reception year," which will prepare five-year-olds for first grade.

The Fund's continued support of the Ulwazi Educational Radio Project, which was launched with RBF funding in 1994, represents a commitment to building another kind of bridge — distance learning — that connects illiterate adults in remote



CARE GIVERS OFTEN BRING THEIR CHILDREN TO MEETINGS OF THE CARE CLUB, a project of the RBF-funded Learning for All Trust. At club meetings adults pursue income-generating projects and receive guidance on early childhood development and childcare issues, while children engage in a variety of learning activities. So far, the Learning for All Trust has established twelve clubs in rural South Africa, with a total of about 220 members.

broadcast adult basic education programs, Ulwazi's experience will enable the project to play a valuable role in assisting nationwide efforts to broaden the distance learning bridge to rural communities.

rural areas of South Africa with adult basic education resources through radio. Prior to 1994, although over 90 percent of South African households owned radios, very few radio producers were trained to handle educational materials, and little suitable programming was available. Since then Ulwazi, a project of the South African Institute of Distance Education Trust, has developed many innovative programs and made significant progress in training educational radio producers. So far, the project has generated more than fifty feature programs and sixty-five dramas, including some that use the voices and shared experiences of real people. These programs have been produced in five languages and broadcast on thirteen public radio and community stations as part of a national campaign to promote adult basic education and reading. Over the coming months, as the South African government moves to require public broadcasters to produce and

Special Concerns: South Africa • 1996 Grants

BASIC EDUCATION

1000 SCHOOLS PROJECT

Cape Town, South Africa \$40,000

For curricula development and teacher-training programs designed to ease the entry of five-year-old children into the formal education system.

FREESA DEVELOPMENT FUND FOR SOUTH AFRICA, INC.

Boston, Massachusetts \$15,000

For the Letsema Ma'Afrika project, an initiative involving voluntary campaigns at South African worksites to encourage employees to pledge affordable amounts for support of local nongovernmental organizations.

INDEPENDENT EXAMINATIONS BOARD

Highlands North, South Africa \$150,000 over 3 years

To train South African provincial government and nongovernmental organization leaders to implement new national exams for adult basic education and training.

LEARNING FOR ALL TRUST

Johannesburg, South Africa \$78,000 over 2 years

To develop improved methods of early childhood education for children in home-based care.

SOUTH AFRICAN INSTITUTE FOR DISTANCE EDUCATION TRUST

Johannesburg, South Africa \$100,000 over 2 years

Continued support to the Ulwazi Educational Radio Project, an effort to develop radio as a tool for adult basic education in South Africa.

TEACHER TRUST, THE

Johannesburg, South Africa \$35,000

Toward the teacher development activities of a new national newspaper, *The Teacher*, which will help South African teachers address educational challenges inherent in the country's social and political changes.

Ramon Magsaysay Award Foundation



Ramon Magsaysay Award Foundation

The trustees of the Fund established the Ramon Magsaysay Awards in the late 1950s to honor individuals and organizations in Asia whose civic contributions and leadership “exemplify the greatness of spirit, integrity, and devotion to freedom of Ramon Magsaysay,” former president of the Philippines who died in an airplane crash. Often regarded as the Nobel Prizes of Asia, these awards are presented in five categories: government service, public service, community leadership, international understanding, and journalism, literature, and creative communication arts. Up to five awards of \$50,000 each are given annually by the board of trustees of the Ramon Magsaysay Award Foundation, which is headquartered in Manila and receives its principal support from the RBF.

In 1987 the Fund created a Program for Asian Projects to support initiatives in Asia that embody the spirit of the Ramon Magsaysay Awards and reflect the concerns of the RBF. Designed to help Magsaysay Awardees extend their work and to help the Magsaysay Award Foundation draw attention to the ideals it seeks to advance through the awards program, the program is administered, in conjunction with the Ramon Magsaysay Award Foundation, by an Asian board of advisors. Approval of grants rests with the Fund’s board of trustees.

At the 1996 annual meeting of the Program for Asian Projects, held in late October in Seoul, South Korea, the fourteen awardees from throughout the region who were in attendance issued a compelling call for reform to help alleviate the adverse effects of unchecked economic progress on the region’s traditional morals and values. Several months earlier at a ceremony in Manila on August 31, 1996, RBF chairman Abby M. O’Neill accepted the Golden Heart Presidential Award from President Fidel V. Ramos of the Philippines on behalf of the RBF. This award, created by Ramon Magsaysay in 1954, recognizes individuals or institutions for their distinguished contributions or noteworthy aid and encouragement to the Filipino people. In her acceptance speech, Mrs. O’Neill characterized the Magsaysay Awards as “a bridge across the Asian continent,” linking nations, peoples, and cultures. “It is that same broad spirit of bridging and linking,” she said, “that has motivated the RBF and the Rockefeller family in our long association with the Philippines and the Filipinos.”

RAMON MAGSAYSAY AWARD FOUNDATION

RAMON MAGSAYSAY AWARD FOUNDATION
Manila, Philippines \$150,000

For the Ramon Magsaysay Awards for 1996. Up to five awards of \$50,000 each are presented annually to individuals or organizations in Asia whose civic contributions and leadership reflect the ideals of Ramon Magsaysay, former president of the Philippines.

PROGRAM FOR ASIAN PROJECTS

ALCALA, ANGEL C.
Pasig City, Philippines \$10,000

ASIAN INSTITUTE OF MANAGEMENT
Makati, Philippines \$10,000

BEDI, KIRAN
New Delhi, India \$10,000

DALY, JOHN V.; JEI, PAUL JEONG GU
Seoul, Korea \$20,000

HANUM, ZAKIAH DATO, BINTI ABDUL
Kuala Lumpur, Malaysia \$10,000

HATA, PRATEEP U.; SRIMUANG, CHAMLONG
Bangkok, Thailand \$10,000

IM-SOON, KIM
Kyungnam, Korea \$10,000

RAMON MAGSAYSAY AWARD FOUNDATION
Manila, Philippines \$10,000
\$4,500

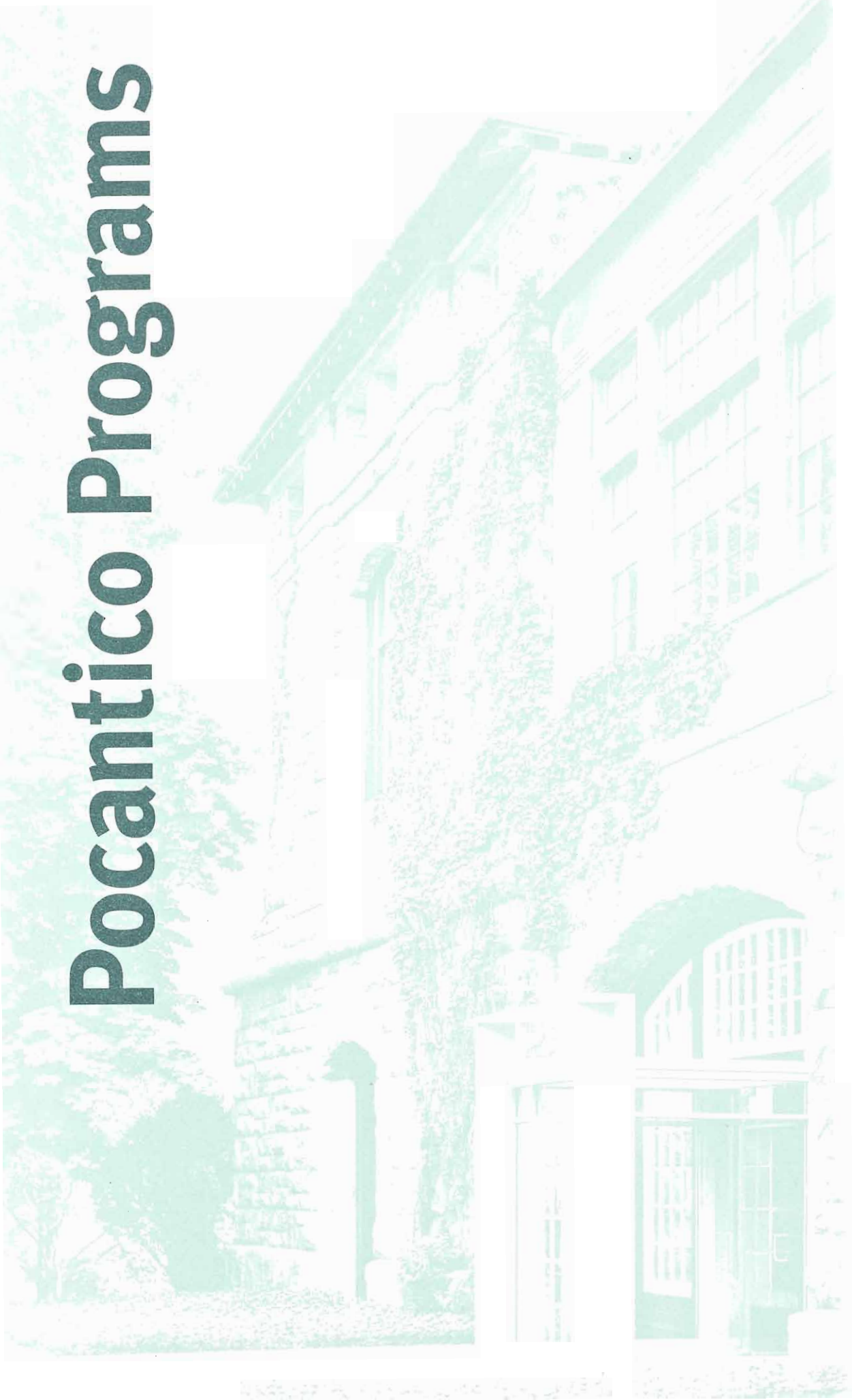
SHOURIE, ARUN
New Delhi, India \$10,000

SUBBANNA, K.V.
Heggodu, India \$10,000

TIMM, RICHARD W.
Dhaka, Bangladesh \$10,000

VIRAVAIIDYA, MECHAI; WASI, PRAWASE
Bangkok, Thailand \$15,000

Pocantico Programs



Pocantico Programs

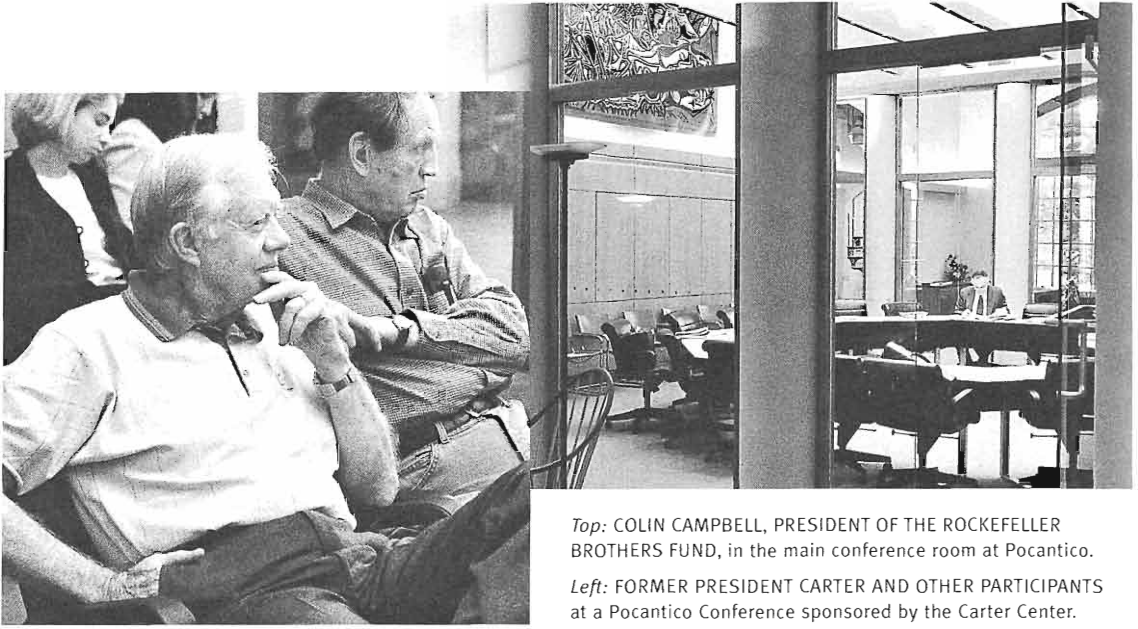
When the Rockefeller Brothers Fund opened the Pocantico Conference Center in April 1994, it was with an expectation that this new facility would complement and extend the impact of the Fund's grantmaking programs. That expectation has been fully met and indeed exceeded. After almost three years of operation, the Conference Center is clearly making an extraordinary contribution to the RBF's ability to engage the issues about which it is most deeply concerned.

Located twenty miles north of Manhattan in the Pocantico Historic Area — the heart of the Rockefeller family estate in New York's Westchester County — the Conference Center is situated on eighty-six acres of woodlands overlooking the Hudson River. The Historic Area, leased by the Fund from the National Trust for Historic Preservation in 1991, includes the estate's original Coach Barn (which has been converted into a fully equipped meeting facility) and Kykuit, the home of John D. Rockefeller, as well as the surrounding formal gardens and sculpture collections. The setting is quiet, gracious, and relatively secluded, ideal for small working groups and highly conducive to reflection and focused discussion.

POCANTICO CONFERENCES

By the end of 1996, over ninety meetings had been held in the Pocantico Conference Center. These meetings fall into two categories: Pocantico Conferences, which are directly related to specific programmatic interests of the Fund and are usually designed and sponsored by the Fund or its grantees; and meetings that are hosted at Pocantico for other nonprofit organizations whose missions are compatible with the Fund's. All of the meetings thus reflect the concerns of the Rockefeller Brothers Fund, and as such are complementary to the RBF's grantmaking. But the availability of the Conference Center has also enriched the content and enlarged the scope of the Fund's activities in several quite specific ways.

Most apparent, perhaps, is the way in which Pocantico Conferences have helped to *advance cross-sectoral and multidisciplinary initiatives*. Several of the Fund's major programmatic goals — such as the promotion of sustainable forestry management practices and the dissemination of solar energy in the developing world — require for their achievement the participation and commitment not only of NGOs and other foundations but also of various business sectors, consumer groups, academic disciplines, government agencies, and national and multilateral institutions. The Pocantico Conference Center gives the Fund a greatly enhanced capacity to bring such diverse groups and sectors together in a comfortable and reflective setting. The importance of this new capacity can be illustrated in the area of solar energy. A major 1995 meeting on financing the sale of household solar systems in impoverished rural areas, which brought together representatives from the science, business, and NGO communities, generated many new partnerships and collaborative activities designed to help jumpstart the development of new market mechanisms to finance and deliver household solar systems on a mass scale. At this meeting, participants noted that the uneven reliability of solar components would be an obstacle to scaling up household solar use — an observation which led directly to a 1996 conference on solar accreditation, attended by an equally diverse group of representatives from manufacturing companies and the investment community, specialists on



Top: COLIN CAMPBELL, PRESIDENT OF THE ROCKEFELLER BROTHERS FUND, in the main conference room at Pocantico.
Left: FORMER PRESIDENT CARTER AND OTHER PARTICIPANTS at a Pocantico Conference sponsored by the Carter Center.

development, and experts on solar photovoltaics. The 1996 meeting led to the formation of a Global Approval Program for Photovoltaics to administer a “quality seal” for solar components, bringing the large-scale distribution of solar home systems another step closer to reality.

Pocantico Conferences have also facilitated the kind of *collaborative funding* that the RBF believes to be critical for achieving progress on large, enduring issues. Funders’ meetings in the areas of sustainable forestry and early childhood education, for instance, have enabled groups of foundations concerned about those issues to review recent trends and developments in the field, familiarize themselves with NGO initiatives already under way, identify gaps in funding, and explore opportunities for grantmaking partnerships. At a 1996 Pocantico meeting, for example, the Early Childhood Funders Collaborative (which includes the RBF) invited experts to discuss individual licensure as an approach to improving professional development in the early childhood field, and debated this as an area for possible joint support.

The availability of a site for candid reflection and conversation has facilitated and broadened the process of *learning from experience*, for the RBF as well as for the larger foundation and nonprofit community with which the Fund is associated. In 1995 and 1996, for example, conferences on the USAID Democracy Network Initiative awards, established in 1994 to support the development of NGOs in East Central Europe, brought together a rare combination of interested parties — award recipients, officials from USAID and other government agencies, and representatives of several American and European foundations — to discuss their experiences, share their different perspectives, and consider the larger policy issues related to building democracy in the region.

Pocantico was also the site of a special 1996 conference, convened by the Bank Street College of Education, to consider how to meet the increased demand for childcare that is likely to result from various “workfare” provisions which encourage mothers of young children to enter the work force as quickly as possible. This meeting suggests how the availability of the Conference Center gives the Fund new *flexibility*, providing options other than grantmaking for advancing discussion on timely subjects.

Finally, the Conference Center’s location near New York City and its association with the Rockefeller family, which has long been a philanthropic presence in New York, makes Pocantico an ideal site for meetings designed to help *strengthen local institutions and organizations* that are involved with issues of concern to the Fund. This includes not only organizations which are grantees of the Fund under its New York City program — like the Campaign for Fiscal Equity, which launched its public engagement initiative on financing the city’s schools at a 1996 Pocantico Confer-

ence for New York City Education Reform — but also non-grantee organizations such as the United Nations, which has been the focus of several Pocantico meetings that reflect the Fund's interest in peace and world security.

OTHER POCANTICO PROGRAMS

According to the terms of the RBF's lease of the Pocantico Historic Area from the National Trust for Historic Preservation, the Fund is responsible for providing public access to the area and for its stewardship. The Rockefeller Brothers Fund therefore oversees a program of public visitation which is operated by Historic Hudson Valley between mid-April and the end of October. In 1996, the third year of this program, over 57,000 visitors toured Kykuit and its art galleries, gardens, and sculpture collections as well as the carriage and automobile collections that are still housed on the main floor of the Coach Barn.

In its capacity as steward of the Pocantico Historic Area, the Rockefeller Brothers Fund continued its efforts to preserve and conserve the collections and buildings in its care. Of particular note in 1996 was the conservation of Louise Nevelson's sculpture, *Atmosphere and Environment VI*, which required complete refinishing after nearly thirty years of exposure to the elements. In addition, historical research and physical testing were undertaken in preparation for the re-roofing of the Kykuit Grotto to prevent deterioration of the Grotto's sandstone carvings from water infiltration.



AN INFORMAL CONVERSATION between sessions at the Pocantico Conference Center.

POCANTICO PROGRAMS

Goals

To extend the reach of the RBF's grantmaking programs through conferences and meetings that address central concerns of the Fund;

To provide public access to the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York, through a program of public visitation;

To act as steward of the Pocantico Historic Area by carrying out maintenance, restoration, and conservation projects on behalf of the National Trust for Historic Preservation, from which the Fund leased the Pocantico Historic Area in 1991.

Pocantico Conference Center

The mission of the Pocantico Conference Center of the Rockefeller Brothers Fund is to provide a setting where nonprofit organizations and public sector institutions can bring together people of diverse backgrounds and perspectives to engage critical issues related to the Rockefeller Brothers Fund philanthropic program, leading to new levels of understanding and creative resolution of problems.

Programs for conferences are designed by RBF staff, grantees, and/or outside groups whose objectives are consistent with those of the Fund. Programs are selected based on five criteria:

- the direct and strong relationship of the conference to the RBF's program objectives;
- the diversity of perspectives, range of opinions, and breadth of experience that will be represented;
- the involvement of skilled, experienced conference leaders, organizers, or facilitators;
- the clarity of conference objectives, of the agenda that will accomplish those objectives, and, as appropriate, of the steps to be taken following the conference;
- the demonstrated added value of having the Pocantico Conference Center as the site of the meeting.

POCANTICO CONFERENCES

EARLY CHILDHOOD EDUCATION January 11–12
An RBF-sponsored gathering of national foundations concerned with improving professional development in early childhood education. Seeking to create partnerships among national, state and local, and public and private institutions to foster an integrated system of teacher training, the group discussed developing individual licensure as a strategy for possible funding. Results included a concept paper and the development of a nationally-recognized credential for directors of early childhood programs.

SOCIAL SCIENCE RESEARCH COUNCIL February 1–3
Organized by the Social Science Research Council, the Rockefeller Foundation, and the Harvard Center for Population and Development Sciences, this conference evaluated international organizations—such as U.N. agencies, multilateral banks, and NGOs—and their current performance and capacity in meeting today's world health challenges. Participants identified methods to strengthen these organizations' effectiveness.

THE ROCKEFELLER FOUNDATION February 12–13
A multidisciplinary gathering of academicians, community activists, clergy, policy analysts, and economic development and education specialists, this conference served as a brainstorming session on a plan for the national conversation on race. Participants evaluated the position of the African American community within a broad social framework, and identified tools to encourage change.

THE MILLENIUM INSTITUTE February 22–23
This meeting assembled a small group of leaders interested in creating a constructive plan for change in the millennium. Developed by the Millennium Institute, a strategy was proposed to channel the energy and excitement surrounding the millennium into a response to environmental and human problems facing the planet, with an emphasis on sustainability.

**ROCKEFELLER ARCHIVE CENTER/
ROCKEFELLER BROTHERS FUND** April 24–26
To mark the twentieth year of scholarly research at the Rockefeller Archive Center, leading scholars and representatives of philanthropic and nonprofit institutions gathered for a conference to deepen their understanding of the ways philanthropy has been engaged in institution-building in this century. The center, a collection of archives from several Rockefeller-related philanthropies, is a vital resource for scholars studying the development and role of society's philanthropic institutions.

**THE CONSERVATION FUND—
A NONPROFIT CORPORATION** May 28–30
A meeting of a nonprofit working group of corporate, academic, and nonprofit institutions formed to help draft a curriculum for the new Center for Conservation Leadership of the U.S. Department of the Interior. Future conservation leaders will need to be conversant in a broad spectrum of disciplines, including economics, law, natural sciences, public relations, marketing, fundraising, and business management.

CHILD CARE June 10–11
An RBF-sponsored conference to further the work of Partners in Change—a project of Wheelock College's Center for Career Development in Early Care and Education—and the New York State Career Development Initia-

tive, both RBF-funded efforts. Participants included representatives from unions, higher education, city agencies, and the resource agency Child Care, Inc., all concerned with increasing career development opportunities for early childhood staff. The meeting aimed to develop a cross-sector collaborative to enable paraprofessionals to obtain two- or four-year college degrees in their fields.

**THE NATIONAL TRUST FOR HISTORIC
PRESERVATION IN THE UNITED STATES** June 12–13
A workshop convening prominent educators, foundation executives, and private, corporate, and public lawyers in the field of historic preservation law. The conference sought to enhance teaching in the historic preservation field by providing an opportunity for participants to evaluate current trends—including potential congressional amendments to federal environmental and preservation laws—and to share course materials and methods.

CAMPAIGN FOR FISCAL EQUITY June 21
This RBF-sponsored meeting marked the first step in the Campaign for Fiscal Equity's (CFE) broad-based public engagement effort to involve stakeholders in New York City public education. As part of this effort, CFE is developing a comprehensive education reform proposal in connection with its pending challenge to the constitutionality of the State education finance system. Attendees included CFE's board—composed of representatives of key educational advocacy groups and school board groups—and its board of advisers—including senior officials of the New York City public school system.

SOLAR ACCREDITATION PROGRAM June 23–24
An RBF-sponsored conference on global accreditation of solar home systems, as a follow-up to an October 1995 Pocantico conference on financing solar energy in the developing world as a means to alleviate global warming. At the first conference, the issue of reliability of solar home systems was identified as the primary obstacle to increasing household solar use. This meeting convened solar home system manufacturers, members of the investment community, development specialists, and experts on solar photovoltaics, in an effort to develop an accreditation entity to certify solar home system reliability.

BANK STREET COLLEGE OF EDUCATION June 26–28
A RBF-sponsored meeting of researchers, practitioners, and state officials, designed to study the issue of training welfare recipients to become child care providers, within the larger framework of child care quality and the early childhood education profession. As a result of this meeting, a series of briefing papers were prepared, to be widely distributed and to serve as a basis for a second and larger meeting for state officials to be held in Washington, D.C.

NORTH AMERICAN BUYERS GROUP July 12–13
An RBF-sponsored planning meeting for the formation of the Forest Products Buyers' Group, scheduled for launch in early 1997. Designed as a membership organization comprised of private companies, environmental organizations, universities, and other large institutional buyers of forest products, the group will provide a forum for information exchange on sustainable forestry management, which produces high-quality forest products while preserving forests' ecological integrity. With the help of RBF grantee Environmental Advantage, the group aims to increase the use and awareness of certified wood products from sustainably managed sources.

**SUSTAINABLE FORESTRY
FUNDERS' RETREAT**

July 16–17

An RBF-sponsored forum for foundations sharing programmatic interests in sustainable forestry. Officers from U.S. foundations gathered to discuss and familiarize themselves with various sustainable forestry initiatives now under way in the United States. With presentations from RBF grantees and sustainable forestry experts, the meeting enabled attendees to maximize resources and explore grantmaking opportunities. A number of small working groups were formed, and funders planned several meetings for the following year.

SOCIAL SCIENCE RESEARCH COUNCIL

August 1–2

A group of nearly twenty international participants assembled to explore several strategic issues related to the Biodiversity Convention and to develop recommendations for its effective implementation. The meeting focused on organizing scientific research, the role of the private sector, and relationships among biodiversity-related conventions.

INTERNATIONAL PEACE ACADEMY

September 3–8

The International Peace Academy training program has played an important and pioneering role in developing a worldwide cadre of policymakers and practitioners. The first seminar of its kind on peacemaking and peacekeeping in New York, this conference was designed for members of the United Nations community in New York City, including senior officials from national missions to the U.N., the U.N. Secretariat, humanitarian agencies, NGOs, and officials from Washington, D.C. and Ottawa.

**UNITED NATIONS STUDIES AT
YALE UNIVERSITY**

September 14

An informal, one-day discussion of United Nations reform by a group of proactive Permanent Representatives to the U.N. With a strong interest in U.N. reform, Yale has sought to lend academic support to the process. This conference is a follow-up to Yale's work with the Independent Working Group on the Future of the United Nations, the subject of previous Pocantico conferences in 1994–1995.

**APPLIED RESEARCH AND DEVELOPMENT
INITIATIVE INTERNATIONAL**

September 26–28

A conference convening members of the research, nonprofit, and sector support communities to discuss the findings of ARDI's National Agenda for Applied Research on Nonprofit Management and Leadership project. Funded by a grant from the W.K. Kellogg Foundation, the project seeks to inform nonprofit organizations of nonprofit management and leadership skills which can help them to work more effectively, both by improving existing resources, and by applied research and development. At the conference, participants identified actions needed to ensure implementation of the agenda.

**BUILDING A CONSTITUENCY FOR
GLOBAL INTERDEPENDENCE**

October 7–8

An RBF- and World Bank-sponsored meeting of foundation executives, NGO leaders, officers of the World Bank, and other multilateral agencies to explore the need and possible opportunities for collaborative action to help build a broad, informed, and sustained public and political commitment to cooperative international engagement. The meeting explored issues surrounding why and to what extent the constituency for global interdependence has been shrinking, and evaluated cross-sectoral efforts to rebuild and enlarge that constituency.

**INTERNATIONAL NEGOTIATIONS
NETWORK**

October 20–22

A workshop convening academicians in conflict resolution and leaders of international conflict centers to evaluate the future of the INN as it evolves into an independent organization. Conference participants attempted to develop a framework in which the INN—a project of the Carter Center—might continue its work as a peacekeeping institute with a specific emphasis on conflicts that are currently receiving inadequate attention from international agencies.

**THE IMPACT OF PHILANTHROPY
ON SOCIETY**

October 28–30

An RBF-sponsored conference on the impact of philanthropy, organized by the Aspen Institute's Nonprofit Sector Research Fund. The meeting was a first step in a targeted effort to encourage policy-relevant research on philanthropy. Participants evaluated current knowledge about the impact of philanthropy, discussed new research commissioned for the conference, and identified topics for future study.

**USAID DEMOCRACY
NETWORK INITIATIVE**

November 18–20

An RBF-cosponsored conference on the impact and legacy of USAID Democracy Network (DemNet) Initiative in East Central Europe. The DemNet awards were established in 1994 to support the development of civil society organizations in East Central Europe. This meeting convened a diverse group of participants—award recipients, officials from USAID and other government agencies, and representatives from American and European foundations—to focus on sustainability issues in the region, and to address some of the larger policy issues related to building democracy in East Central Europe by strengthening local nonprofit initiatives.

OVERSEAS DEVELOPMENT COUNCIL

November 21–22

A diverse group of experts from government, academia, and NGOs convened for this first session of the Overseas Development Council's Multilateral Conference on the future of multilateral development banks (MDBs). The meeting focused particularly on the future of MDB concessional financing. Several factors—including a declining commitment to international cooperation; skepticism of the effectiveness of concessional aid; and increasing access to private capital—have recently converged, jeopardizing the future of the multilateral development system, and making an analytical examination of the issue particularly timely.

**EMERGING PARTNERSHIPS:
NEW WAYS IN A NEW WORLD**

December 2–3

Cosponsored by RBF, the Peter F. Drucker Foundation for Nonprofit Management, and Mutual of America Life Insurance Company, this conference addressed opportunities for and barriers to effective partnerships among the business, government, and nonprofit sectors. These issues are especially important in an era of shifting government responsibilities, corporate downsizing, and the blurring of boundaries between the sectors.

Asian Cultural Council



Asian Cultural Council

The Asian Cultural Council, a publicly supported operating foundation affiliated with the Rockefeller Brothers Fund, supports cultural exchange in the visual and performing arts between the United States and the countries of Asia. The primary focus of the ACC's grant program is on individual fellowship awards to artists, scholars, and specialists from Asia undertaking research, study, and creative exploration in the United States. Grants are also made to Americans pursuing similar work in Asia, to cultural institutions involved in particularly significant exchange projects, and to activities which encourage regional dialogue and cooperation within Asia.

The ACC's grant program was established by John D. Rockefeller 3rd as part of the JDR 3rd Fund in 1963. Approximately 3,000 individuals from throughout Asia and the United States have received fellowship support since that time. This extensive alumni network of grantees constitutes an extremely valuable resource for the growth and development of the Council's work and helps to make the ACC one of the most important and effective cultural organizations active in the Asia-Pacific region.

A special feature of the ACC's grant program is the professional, individually tailored assistance that is offered to grantees in helping them to fully realize their goals and objectives. ACC grants include both fellowship funding and a wide range of support services for the artists and scholars who receive awards. This unique approach to grantmaking is made possible through the financial support of a variety of endowment donors and annual contributors to the ACC, including both American and Asian foundations, corporations, individuals, and government agencies.

Asia-U.S. dialogue and exchange are taking on increasing importance in all dimensions of contemporary life, including arts and culture, and the demands placed on the Council's limited resources are greater today than ever before. The ACC is working to strengthen its programs by raising new funds and by forging partnerships with other donors and cultural institutions in Asia and the United States. These efforts bore special fruit in 1996. The first group of six grants was made in the ACC's new Taiwan Fellowship Program with the support of local donors in Taiwan; the first Blanchette H. Rockefeller Fellowship, created through the fundraising efforts of ACC grantees in Japan, was awarded in the Japan-United States Arts Program; a successful fundraising event for the Council's Hong Kong Arts Program was held in Hong Kong with film director (and former ACC grantee) Chen Kaige as guest of honor; and financial support from the Rockefeller Foundation enabled the ACC to firmly establish a successful Cambodian Artists Mentorship Program at the Royal University of Fine Arts in Phnom Penh.

The project in Cambodia deserves special mention, particularly in light of the troubling events taking place as this report is written (in mid-1997). Following the traumatic years of the Khmer Rouge regime in the 1970s, when over 90 percent of Cambodia's master performing artists died, the Royal University of Fine Arts (RUFA) has been the institution with primary responsibility for the research, study, and preservation of Cambodia's cherished dance and music traditions. The artists and teachers at the University, however, work under extremely difficult conditions, with limited facilities and little remuneration. The Cambodian Artists Mentorship Program provides supplementary



CHINESE COMPOSER WENJING GUO (right) REVIEWS A SCORE with information services coordinator Eero Richmond at the American Music Center in New York in October 1996.

financial assistance to senior master artists and to the younger faculty members who study with them. Over 130 program participants from the faculties of dance, music, theater, and circus arts are thus able to devote themselves full-time to their art forms without the need for secondary outside employment. The Mentorship Program also provides funds for the University's artists and teachers to participate in international conferences and symposia and to observe facilities and methodologies at other arts institutions in Asia. Additional grants from the ACC are supporting a teaching and research residency by a Cambodian-American ethnomusicologist, a University of Hawaii training program in archaeology for a RUFA graduate, an architectural training program at Taliesin for a RUFA faculty member, and a performing arts library development project.

The ACC continued to play an active role in the growth and development of the museum field in Asia during 1996, both through the Indonesian Museum Development Program and through the establishment of a new Japan-U.S. Museum Professionals Exchange Program. The Indonesia program, funded by the Ford Foundation, places Indonesian curators in internship positions at museums in the United States and Asia, and sends American and Asian professionals to Indonesia for workshops in various aspects of museology and conservation. The new Japan program is being planned and funded in collaboration with the Japan Foundation and begins in 1997 with a meeting of American and Japanese museum directors and curators in Tokyo. Both of these projects aim to develop stronger links between museums in the United States and those in Asia, to create training opportunities for Asian museum professionals, and to increase American understanding of museum procedures in Asia.

During 1996, the ACC was able to significantly expand its level of grantmaking in China, largely through the generosity of donors in Hong Kong who have provided support for fellowships to Chinese artists and scholars in the fields of music, dance, film, contemporary art, and architecture. In addition, funding from the Henry Luce Foundation has enabled the ACC to initiate its China On-Site Seminar Program for the study of Chinese art history in field seminars involving both American and Chinese scholars and graduate students. Adding further emphasis to China in the ACC's grant program, the Council's 1996 John D. Rockefeller 3rd Award, presented annually to an individual who has made a distinguished contribution to the international understanding and appreciation of Asian art and culture, was granted to the director of the Shanghai Museum, Dr. Chengyuan Ma.

In 1996, the ACC allocated a total of \$2,125,734 for grants and grant-related expenses to support 111 fellowships and project awards. Individuals from Burma, Cambodia, China, Hong Kong, India, Indonesia, Japan, Korea, Malaysia, Pakistan, the Philippines, Taiwan, Thailand, the United States, and Vietnam received grants during the year. The ACC's affiliation with the RBF adds an important cultural dimension to the RBF's own grant program and helps to place the ACC's focused activities within a larger context of international grantmaking.

Copies of the ACC annual report may be obtained from the Asian Cultural Council at 1290 Avenue of the Americas, Room 3450, New York, New York 10104.

**ROCKEFELLER
BROTHERS FUND
GRANTS PAID
1996**

One World: Sustainable Resource Use

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
GLOBAL					
CONSENSUS BUILDING INSTITUTE Cambridge, Massachusetts	To assist the Policy Dialogue on Trade and the Environment	45,000*		45,000	
CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY San Francisco, California	General support	40,000*	20,000	20,000	
DAVID SUZUKI FOUNDATION Vancouver, Canada	Report on the environmental impact of salmon farming	20,000		20,000	
E & CO. Bloomfield, New Jersey	To widen availability of solar systems in Bangladesh	75,000		75,000	
EARTHLIFE CANADA FOUNDATION Vancouver, Canada	BC Wild	100,000		100,000	
	Wild Salmon Coalition	50,000*		50,000	
ECOTRUST CANADA Vancouver, Canada	To use watershed assessment in ecosystem conservation	75,000		75,000	
ENVIRONMENTAL ADVANTAGE New York, New York	To support the development of a North American buyers group	50,000*		50,000	
ENVIRONMENTAL DEFENSE FUND New York, New York	Global strategy on climate change	150,000*		75,000	75,000
	Project on the global aquaculture industry	100,000		50,000	50,000
	Review of World Bank lending patterns in the agricultural sector	25,000		25,000	
FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW & DEVELOPMENT London, England	Trade and environment program	50,000*		50,000	
	International energy efficiency project	50,000*		50,000	
	General support	50,000			50,000
GREENPEACE ENVIRONMENTAL TRUST London, England	Oxford Solar Investment Summit	20,000		20,000	
INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC. Washington, D.C.	Sustainable transport program in China, and a program on global trade and energy efficiency	100,000		50,000	50,000
MIDWEST RESEARCH INSTITUTE Golden, Colorado	Expanding the household solar market in developing countries	50,000		50,000	
NATIONAL WILDLIFE FEDERATION Washington, D.C.	Global Forest Policy Project	70,000*	65,500	4,500	
NEW ENGLAND NATURAL RESOURCES CENTER North Ferrisburgh, Vermont	Developing North American certification standards for sustainably forested timber	150,000*	75,000	75,000	
SILVA FOREST FOUNDATION Slocan Park, Canada	Sustainable forestry practices in British Columbia	50,000		50,000	
SOLAR ELECTRIC LIGHT FUND Washington, D.C.	Developing model solar electrification projects in Vietnam	150,000		50,000	100,000

*Appropriation made prior to 1996

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
STOCKHOLM ENVIRONMENT INSTITUTE Stockholm, Sweden	Climate Network Europe	30,000		30,000	
TIDES CENTER San Francisco, California	Marine Conservation Biology Institute	50,000		50,000	
TIDES FOUNDATION San Francisco, California	Biodiversity Action Network	60,000*	30,000	30,000	
VIETNAM WOMEN'S UNION Hanoi, Vietnam	Providing household solar systems to villages in the Mekong Delta	15,000		15,000	
WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC. Morrilton, Arkansas	Covering costs associated with the presidency of the International Association of Agricultural Economists	25,000		25,000	
WORLDWATCH INSTITUTE Washington, D.C.	Strategic Plan for 1996-2000	100,000		100,000	

UNITED STATES

ALASKA CONSERVATION FOUNDATION Anchorage, Alaska	Alaska Rainforest Campaign and Alaska Marine Conservation Council	200,000*	100,000	100,000	
CENTER FOR MARINE CONSERVATION Washington, D.C.	Marine Conservation Biology Project	100,000*	50,000		50,000 ¹
CHAORDIC ALLIANCE, THE Pescadero, California	North American Marine Alliance	15,000		15,000	
CONSERVATION FUND—A NONPROFIT CORPORATION, THE Arlington, Virginia	NGO involvement in developing a conservation curriculum	25,000		25,000	
CONSERVATION LAW FOUNDATION Boston, Massachusetts	Community-based transportation reform in New England	75,000			75,000
	Fishery management advocacy project	50,000		50,000	
ENERGY FOUNDATION, THE San Francisco, California	Report and press packet on benefits of greenhouse gas reduction	14,000		12,000	2,000 ¹
ENVIRONMENTAL ADVOCATES Albany, New York	Statewide public education campaign for protection of Adirondack Park	60,000*	30,000	30,000	
ENVIRONMENTAL INFORMATION CENTER Washington, D.C.	Broaden constituency for climate protection in the U.S.	150,000			150,000
	Endangered Species Protection Public Education Campaign	50,000*		50,000	
INSTITUTE FOR AGRICULTURE AND TRADE POLICY Minneapolis, Minnesota	Certification efforts in the Great Lakes region	100,000		100,000	
KEYSTONE CENTER Keystone, Colorado	National Policy Dialogue on Ecosystem Management	105,000*	50,000	55,000	
LAND AND WATER FUND OF THE ROCKIES Boulder, Colorado	Models for energy efficiency and renewable energy use	75,000		37,500	37,500
LONG ISLAND PINE BARRENS SOCIETY Manorville, New York	Preservation of Long Island pine barrens forest	30,000		30,000	
NON-PROFIT RESOURCE CENTER, INC. Albany, New York	Clean drinking water campaign	200,000*	100,000	100,000	

*Appropriation made prior to 1996
¹ Lapsed

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
NORTH CAROLINA COASTAL FEDERATION Newport, North Carolina	Reconciling the interests of commercial and recreational fisheries	25,000		25,000	
OZONE ACTION Washington, D.C.	Climate-related efforts	25,000		22,500	2,500
PACIFIC RIVERS COUNCIL, INC. Eugene, Oregon	Long-term watershed conservation and restoration strategies	15,000		15,000	
REDEFINING PROGRESS San Francisco, California	Genuine Progress Indicator project	80,000*	40,000	40,000	
	Climate economics project	75,000			75,000
SIERRA CLUB FOUNDATION, THE San Francisco, California	Meteorologist education campaign on climate change	30,000		30,000	
SIERRA CLUB LEGAL DEFENSE FUND San Francisco, California	Ecosystem conservation and management activities	100,000*	50,000	50,000	
SOUTHERN ENVIRONMENTAL LAW CENTER Charlottesville, Virginia	Increasing energy efficiency investments in the southeastern United States	225,000*	150,000	75,000	
SURFACE TRANSPORTATION POLICY PROJECT Washington, D.C.	Public education efforts on alternative transportation systems	100,000		100,000	
TIDES CENTER San Francisco, California	Environmental Media Services project	150,000			150,000
	U.S. Climate Action Network	50,000			50,000
TIDES FOUNDATION San Francisco, California	Environmental Media Services project	120,000*	60,000	60,000	
	U.S. Climate Action Network	50,000*		50,000	
TRI-STATE TRANSPORTATION CAMPAIGN, INC. New York, New York	Citizen involvement in transportation policy-making	50,000		50,000	
UNION OF CONCERNED SCIENTISTS Cambridge, Massachusetts	Involving scientists in the public discussion of environmental issues	80,000*	40,000	40,000	
	Increasing scientists' visibility on environmental issues, including climate change	60,000			60,000
HENRY A. WALLACE INSTITUTE FOR ALTERNATIVE AGRICULTURE Greenbelt, Maryland	Policy research and evaluation work for national agricultural policy reform	150,000*	75,000	75,000	
WORLD RESOURCES INSTITUTE Washington, D.C.	Climate protection in the U.S.	50,000*		50,000	

EAST CENTRAL EUROPE

AMERICAN TRUST FOR AGRICULTURE IN POLAND McLean, Virginia	Foundation for the Development of Polish Agriculture	200,000		10,000	190,000
BENEFICIAL TO THE PUBLIC FUND Liptovsky Hradok, Slovakia	Alternative development plan	120,000*	40,000	40,000	40,000
CENTER FOR CLEAN AIR POLICY Washington, D.C.	Project on alternative transit in Plezen, Czech Republic	80,000			80,000
CENTRE FOR ENVIRONMENTAL STUDIES FOUNDATION Budapest, Hungary	General support	150,000*	100,000	50,000	
CLEAN AIR ACTION GROUP Budapest, Hungary	Central European sustainable transport initiative	25,000		10,000	15,000

*Appropriation made prior to 1996

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
ENVIRONMENTAL MANAGEMENT AND LAW ASSOCIATION Budapest, Hungary	General support	150,000*	100,000	50,000	
ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE - CZECH OFFICE Brno, Czech Republic	Community revitalization program	70,000		30,000	40,000
EUROPEAN NATURAL HERITAGE FUND Rheinbach/Bonn, Germany	Multilateral development bank monitoring project	225,000*	150,000	75,000	
FOUNDATION FOR A CIVIL SOCIETY, LTD. New York, New York	Czech Center for Community Revitalization	120,000		60,000	60,000
FOUNDATION FOR THE DEVELOPMENT OF POLISH AGRICULTURE Warsaw, Poland	Rural tourism project	100,000*	85,000	15,000	
FOUNDATION FOR THE SUPPORT ECOLOGICAL INITIATIVES Krakow, Poland	Central European sustainable transport initiative	25,000		10,000	15,000
FRIENDS OF THE EARTH (FRANCE) Paris, France	Environmental accountability in East Central European development	150,000		70,000	80,000
GERMAN MARSHALL FUND OF THE U.S. Washington, D.C.	Environmental Partnership for Central Europe	650,000*	450,000	200,000	
	Assessment of the Environmental Partnership for Central Europe	30,000		15,000	15,000
	Environmental Partnership for Central Europe	2,500		2,500	
GREENWAYS-ZELENE STEZKY Prague, Czech Republic	Developing greenways in the Czech Republic	90,000*	80,000		10,000
	General support	30,000			30,000
INSTITUTE FOR ENVIRONMENTAL POLICY Prague, Czech Republic	General support	170,000*		70,000	100,000
INSTITUTE FOR SUSTAINABLE DEVELOPMENT Warsaw, Poland	General support	275,000*	75,000	100,000	100,000
INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY New York, New York	Central European sustainable transport initiative	50,000		20,000	30,000
INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION - EUROPE London, England	Promoting energy efficiency in East Central Europe	200,000		50,000	150,000
POLISH ECOLOGICAL CLUB Krakow, Poland	Multilateral development bank monitoring project	180,000*	60,000	60,000	60,000
QUEBEC-LABRADOR FOUNDATION, INC. Ipswich, Massachusetts	Atlantic Center for the Environment programs	150,000*	100,000	50,000	
RESOURCES DEVELOPMENT FOUNDATION New York, New York	International Fellowship Program in Energy Efficiency	100,000*	50,000	50,000	
VERONICA Brno, Czech Republic	Eco-counseling network in the Czech Republic	165,000*	110,000	55,000	

EAST ASIA

ASHOKA Washington, D.C.	Biodiversity Fellowship program	150,000*	100,000	50,000	
ASIAN NGO COALITION RESEARCH FOUNDATION, INC. Manila, Philippines	NGO Working Group on the Asian Development Bank	160,000		80,000	80,000

*Appropriation made prior to 1996

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
AUSTRALIAN COUNCIL FOR OVERSEAS AID Canberra, Australia	Seminar on Australia's role in the electrification of Laos	15,000		15,000	
BOTANICAL RESEARCH INSTITUTE OF TEXAS Fort Worth, Texas	Restoration ecology proposal-writing workshop	36,000		36,000	
CANTHO, UNIVERSITY OF Cantho, Vietnam	Mekong Delta Farming Systems Institute: Acid Sulphate Soils Project	40,000*	30,000	10,000	
EARTH ISLAND INSTITUTE San Francisco, California	Mangrove Action Project	60,000*	30,000	30,000	
EARTH SUMMIT WATCH Washington, D.C.	The Shrimp Tribunal project	27,000		27,000	
EAST-WEST CENTER FOUNDATION Honolulu, Hawaii	Program on Environment's spatial information systems research network	119,000*	80,000	39,000	
ENERGY PROBE RESEARCH FOUNDATION Toronto, Canada	Tracking sustainable development progress in the Mekong River Basin	20,000		20,000	
FOCUS ON THE GLOBAL SOUTH Bangkok, Thailand	Macro-Micro Linkages Program	20,000		20,000	
GLOBAL ENVIRONMENT AND TRADE STUDY New Haven, Connecticut	"Trade, Competitiveness, and the Environment" conference	20,000		20,000	
GREEN KOREA Seoul, Korea	National seminar on Korea's role in Mekong River basin development	5,000			5,000
HANOI, UNIVERSITY OF Hanoi, Vietnam	Center for Natural Resources Management and Environmental Studies: Project on integrated coastal management in the Red River Delta	35,000*	25,000	10,000	
HARIBON FOUNDATION FOR THE CONSERVATION OF RESOURCES, INC. Quezon City, Philippines	National initiative in coastal management training	200,000*	150,000	50,000	
INTERNATIONAL INSTITUTE FOR ENVIRONMENT AND DEVELOPMENT Washington, D.C.	"Flood Management in the Mekong Basin" project	10,000		10,000	
INTERNATIONAL RIVERS NETWORK Berkeley, California	Sustainable resource use in the Mekong River region	20,000		20,000	
JAPAN CENTER FOR A SUSTAINABLE ENVIRONMENT AND SOCIETY Tokyo, Japan	Japan NGO working group on the Asian Development Bank	45,000			45,000
MALAYA, UNIVERSITY OF Kuala Lumpur, Malaysia	Institute for Advanced Studies: political ecology project	15,000*		15,000	
MEKONG REGION LAW CENTER FOUNDATION Bangkok, Thailand	Strengthening the Mekong River Commission and the National Mekong Committees	20,000		20,000	
NANJING INSTITUTE OF ENVIRONMENTAL SCIENCE Nanjing, China	Agroecosystem Division	90,000*	80,000	10,000	
NATIONAL COMMITTEE ON U.S.-CHINA RELATIONS, INC. New York, New York	Sustainable land use plan for the Ussuri Watershed	75,000*	25,000	50,000	
NAUTILUS OF AMERICA, INC. Berkeley, California	Asia Pacific Regional Environment Network	150,000		75,000	75,000
PESTICIDE ACTION NETWORK San Francisco, California	Monitoring sustainable agriculture policies of multilateral development banks in East Asia	100,000			100,000

*Appropriation made prior to 1996

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
RAINFOREST ALLIANCE, INC. New York, New York	Natural Resources and Rights Program	100,000*	50,000	50,000	
	Dissemination of manuscripts on Southeast Asian marine resource management	1,500		1,500	
SAVE THE CHILDREN FEDERATION, INC. Westport, Connecticut	Regional Initiative on Sustainable Agriculture	25,000		25,000	
SOUTHEAST ASIAN FISHERIES DEVELOPMENT CENTER Tigbauan, Iloilo, Philippines	Regional networking for coastal aquaculture, restoration ecology, and shrimp biodiversity	5,000		5,000	
TUFTS COLLEGE, TRUSTEES OF Medford, Massachusetts	Examining the effect of shrimp aquaculture on biodiversity	152,000		76,000	76,000
U.S.-INDOCHINA RECONCILIATION PROJECT OF THE FUND FOR RESEARCH AND DEVELOPMENT New York, New York	"Sustainable Development: The Challenge to Make It Responsible, Participatory, People Centered and Equitable" conference	10,000		10,000	
WETLANDS INTERNATIONAL ASIA-PACIFIC Kuala Lumpur, Malaysia	Publication of a directory of coastal restoration sites in Southeast Asia	15,000		15,000	
WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC. Morrilton, Arkansas	Farm and Community Forestry Program	120,000*	75,000	45,000	
WORLD WILDLIFE FUND, INC. Washington, D.C.	Sustainable resource use in the Mekong River basin	20,000		20,000	
YALE UNIVERSITY New Haven, Connecticut	School of Forestry and Environmental Studies: International Association for Studies in Common Property	95,000*	15,000	50,000	30,000
YORK UNIVERSITY North York, Canada	Joint Centre for Asia-Pacific Studies	12,000		12,000	
SUBTOTAL				4,530,500	2,351,000

*Appropriation made prior to 1996

One World: World Security

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
ASIAN CULTURAL COUNCIL, INC. New York, New York	General support	300,000		300,000	
CENTER FOR CULTURAL AND TECHNICAL INTERCHANGE BETWEEN EAST AND WEST, INC. Honolulu, Hawaii	"Asian Conceptions of Security: A Comparative Study" project	75,000*	57,500	17,500	
	"Asian Conceptions of Security: A Comparative Study" project	20,000		20,000	
CHARITABLE FUND "CARPATHIAN EUROREGION" Usghorod, Ukraine	General support	140,000*	75,000	65,000	
COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF New York, New York	East Asian Institute: "Culture and Diplomacy in Post-Cold War Asia" project	130,000*	65,000		65,000 ¹
GEORGETOWN UNIVERSITY Washington, D.C.	"Harmonization of Law and Policy in the Asia-Pacific Region" project	150,000*	100,000	50,000	
INSTITUTE FOR EASTWEST STUDIES New York, New York	Carpathian Euroregion initiative	375,000*	125,000	250,000	
INSTITUTE FOR INTERNATIONAL ECONOMICS Washington, D.C.	Projects on international financial flows and capital markets	250,000		250,000	
INSTITUTE OF SOUTHEAST ASIAN STUDIES Republic of Singapore	ASEAN-APEC project	190,000*	120,000	70,000	
JAPAN CENTER FOR INTERNATIONAL EXCHANGE, INC. Tokyo, Japan	General support	25,000		25,000	
JAPAN CENTER FOR INTERNATIONAL EXCHANGE, INC. New York, New York	General support	120,000*	80,000	40,000	
UNITED NATIONS ASSOCIATION OF THE UNITED STATES OF AMERICA, INC. New York, New York	"Confronting U.N. Insolvency: The United States and the U.N. Financial Crisis" conference	15,000		15,000	
UNITED NATIONS RESEARCH INSTITUTE FOR SOCIAL DEVELOPMENT Petit-Saconnex, Geneva	Globalization and citizenship conference	25,000		25,000	
SUBTOTAL				1,127,500	

*Appropriation made prior to 1996

¹ Lapsed

Nonprofit Sector

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
DEVELOPMENT OF RESOURCES					
ASIA FOUNDATION, THE San Francisco, California	Asia Pacific Philanthropy Consortium	150,000*	100,000	50,000	
CIVIL SOCIETY DEVELOPMENT FOUNDATION – HUNGARY Budapest, Hungary	Training programs for NGO leaders in Hungary	100,000		50,000	50,000
CIVIL SOCIETY DEVELOPMENT FOUNDATION – POLAND Warsaw, Poland	General support	100,000		50,000	50,000
COUNCIL FOR EXCELLENCE IN GOVERNMENT, THE Washington, D.C.	<i>The Prune Book: Washington's Toughest Jobs for the Country's Toughest Challenges, and related projects</i>	25,000		25,000	
COUNCIL ON FOUNDATIONS Washington, D.C.	Enhancing the Effectiveness of Family Foundations project	100,000		50,000	50,000
	Program for Leadership in International Philanthropy	50,000		25,000	25,000
FOUNDATION CENTRAL EUROPEAN CENTER FOR BEHAVIOURAL ECONOMICS Lublin, Poland	Lublin Self-Help Center	62,000		31,000	31,000
FOUNDATION FOR A CIVIL SOCIETY, LTD. New York, New York	General support	125,000*	75,000	50,000	
HEALTHY CITY FOUNDATION Banska Bystrica, Slovakia	General support	105,000		37,000	68,000
HUNGARIAN FOUNDATION FOR SELF-RELIANCE Budapest, Hungary	General support	200,000*	150,000	50,000	
INFORMATION CENTER FOR FOUNDATIONS AND OTHER NOT-FOR-PROFIT ORGANIZATIONS Prague, Czech Republic	NGOs in the Czech Republic	60,000		30,000	30,000
INSTITUTE FOR DEVELOPMENT RESEARCH Boston, Massachusetts	Support Organization Initiative	42,000		42,000	
	Session on capacity-building at CIVICUS' World Assembly	10,000		10,000	
INTERNATIONAL YOUTH FOUNDATION Baltimore, Maryland	Children and Youth Foundation of Slovakia	50,000		50,000	
JOHNS HOPKINS UNIVERSITY Baltimore, Maryland	Institute for Policy Studies: International Fellows in Philanthropy	150,000*	50,000	50,000	50,000
NATIONAL CENTER FOR NONPROFIT BOARDS Washington, D.C.	Expanding the center's membership program	180,000*	120,000	60,000	
NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS Washington, D.C.	Assistance to State Associations of Nonprofit Organizations Project	150,000*	50,000	50,000	50,000

*Appropriation made prior to 1996

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
NEW YORK COMMUNITY TRUST New York, New York	Fund for Community and National Service	10,000		10,000	
POLISH CHILDREN AND YOUTH FOUNDATION Warsaw, Poland	General support	150,000		90,000	60,000
PRO EXCELLENTIA Budapest, Hungary	Training programs for nonprofit leaders in early childhood education	50,000		23,000	27,000
ROCKEFELLER FAMILY FUND New York, New York	General support	25,000*	21,000	4,000	
ROCKEFELLER FAMILY FUND New York, New York	Technology Project	15,000		15,000	
SLOVAK ACADEMIC INFORMATION AGENCY Bratislava, Slovakia	General support	100,000		59,000	41,000
SUPPORT OFFICE FOR THE MOVEMENT OF SELF-HELP INITIATIVES, THE Warsaw, Poland	Volunteer Center Project	120,000*	60,000	60,000	
SYNERGOS INSTITUTE, INC., THE New York, New York	Funding mechanisms for local NGOs using international development aid	300,000		100,000	200,000

INCREASED UNDERSTANDING

ASPEN INSTITUTE, INC. Washington, D.C.	Nonprofit Sector Research Fund	300,000*	200,000	100,000	
ASSOCIATION FOR RESEARCH ON NONPROFIT ORGANIZATIONS AND VOLUNTARY ACTION Indianapolis, Indiana	25th Anniversary conference	5,000		5,000	
CIVICUS: WORLD ALLIANCE FOR CITIZEN PARTICIPATION Washington, D.C.	Increase understanding and visibility of civil society	75,000		34,000	41,000
PETER F. DRUCKER FOUNDATION FOR NONPROFIT MANAGEMENT New York, New York	Pocantico Conference on emerging partnerships among government, business and nonprofit sectors	28,000		28,000	
HARVARD UNIVERSITY Cambridge, Massachusetts	John F. Kennedy School of Government: Nonprofit Policy and Leadership Program	225,000*	75,000	75,000	75,000
INDEPENDENT SECTOR Washington, D.C.	Public education on philanthropy and the nonprofit sector	150,000		50,000	100,000
JOHNS HOPKINS UNIVERSITY Baltimore, Maryland	Institute for Policy Studies: Comparative Nonprofit Sector project	180,000*	60,000	60,000	60,000
NEW PRESS, THE New York, New York	General support	150,000*	100,000		50,000
YALE UNIVERSITY New Haven, Connecticut	Institution for Social and Policy Studies: Program on Non-Profit Organizations	150,000*	134,700	15,300	

PHILANTHROPIC SUPPORT ORGANIZATIONS

COUNCIL ON FOUNDATIONS Washington, D.C.	General support	34,600		34,600	
FOUNDATION CENTER New York, New York	General support	60,000		30,000	30,000

*Appropriation made prior to 1996

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
FUNDERS CONCERNED ABOUT AIDS New York, New York	General support	1,000		1,000	
INDEPENDENT SECTOR Washington, D.C.	General support	10,400		10,250	150 ¹
NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS New York, New York	General support	9,000		9,000	
ROCKEFELLER FAMILY FUND New York, New York	The Environmental Grantmakers Association	1,000		1,000	
TIDES CENTER San Francisco, California	Grantmakers for Children, Youth and Families project	1,000		1,000	
SUBTOTAL				1,525,150	1,088,000

*Appropriation made prior to 1996
¹ Lapsed

Education

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
RBF FELLOWS					
GRANTS FOR FELLOWS AND MENTORS				352,150	1,099,750
EARLY CHILDHOOD					
NATIONAL CENTER FOR THE EARLY CHILDHOOD WORKFORCE OF WASHINGTON, D.C. Washington, D.C.	Early Childhood Mentoring Alliance	100,000		50,000	50,000
WHEELOCK COLLEGE Boston, Massachusetts	Center for Career Development in Early Care and Education	200,000		100,000	100,000
PROJECTS OF PARTICULAR MERIT					
BANK STREET COLLEGE OF EDUCATION New York, New York	Principals Institute	200,000*	171,000	29,000	
CARNEGIE FOUNDATION FOR THE ADVANCEMENT OF TEACHING Princeton, New Jersey	General support	25,000		25,000	
HARVARD UNIVERSITY Cambridge, Massachusetts	Scholarship assistance to minority students in the Graduate School of Education	150,000		142,000	8,000
MULTICULTURAL ALLIANCE, INC. Ross, California	Minority Teacher Internship Program	50,000		50,000	
RECRUITING NEW TEACHERS, INC. Belmont, Massachusetts	General support	100,000		100,000	
SOUTHERN EDUCATION FOUNDATION Atlanta, Georgia	Summer Scholars Program	200,000*	100,000	100,000	
SUMMERBRIDGE NATIONAL, INC. San Francisco, California	Staff recruitment coordinator	150,000*	100,000	50,000	
TEACH FOR AMERICA New York, New York	Teachers of Color Initiative	75,000		75,000	
SUBTOTAL				1,073,150	1,257,750

*Appropriation made prior to 1996

New York City

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
SCHOOLS & YOUNG PEOPLE					
CAMPAIGN FOR FISCAL EQUITY, INC. New York, New York	Educational and organizing program for public education stakeholders	60,000		60,000	
CENTER FOR VOTING AND DEMOCRACY Washington, D.C.	Encourage voter participation in school board elections	5,000		5,000	
DO SOMETHING, INC. New York, New York	New York Do Something Fund	200,000		100,000	100,000
GLOBAL KIDS, INC. New York, New York	Developing a network of informed and engaged young citizens	80,000		40,000	40,000
MOTHERS ON THE MOVE, INC. Bronx, New York	Parents Organizing Consortium	265,000*	112,500	152,500	
NEW YORK COMMUNITY TRUST New York, New York	Donors' Education Collaborative	250,000		150,000	100,000
COMMUNITY LIFE					
ABYSSINIAN DEVELOPMENT CORPORATION New York, New York	Public space development in central Harlem	90,000		45,000	45,000
FUND FOR THE CITY OF NEW YORK, INC. New York, New York	Cityscape Institute	100,000		100,000	
URBAN ASSEMBLY, THE New York, New York	Public environment plan in the South Bronx	50,000		50,000	
CIVIC PARTICIPATION					
COMMUNITY SERVICE SOCIETY OF NEW YORK New York, New York	Neighborhood Capacity Building Project	75,000		75,000	
EAST SIDE HOUSE, INC. Bronx, New York	Bronx Settlement House Community Action and Revitalization Program	300,000		150,000	150,000
NATIONAL CIVIC LEAGUE OF COLORADO, INC. Denver, Colorado	New York City Alliance for Local Renewal	50,000		25,000	25,000
NATIONAL COUNCIL OF THE CHURCHES OF CHRIST IN THE U.S.A. New York, New York	Civic Conversation Program	200,000*	100,000	100,000	
NEW YORK CITY PARTNERSHIP FOUNDATION New York, New York	David Rockefeller Fellows Program	100,000		100,000	
SUBTOTAL				1,152,500	460,000

*Appropriation made prior to 1996

Special Concerns: South Africa

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
BASIC EDUCATION					
1000 SCHOOLS PROJECT: WESTERN CAPE TRUST Cape Town, South Africa	Teacher curricula and training programs	40,000		40,000	
ABE DEVELOPMENT SERVICES TRUST Diep River, South Africa	Adult basic education materials and curricula	100,000*	50,000	50,000	
CAPE EDUCATIONAL TRUST Glosderry, South Africa	Early Learning Resource Unit	118,000*	77,000	41,000	
CAPE TOWN, UNIVERSITY OF Cape Town, South Africa	Primary Mathematics Education Project	84,000*	28,000	56,000	
FREESA DEVELOPMENT FUND FOR SOUTH AFRICA, INC. Boston, Massachusetts	Letsema Ma'Afrika project	15,000		15,000	
INDEPENDENT EXAMINATIONS BOARD Highlands North, South Africa	Training for NGO and government leaders in adult basic education and training	150,000		26,000	124,000
LEARNING FOR ALL TRUST Johannesburg, South Africa	Models for early childhood development	78,000		39,000	39,000
NEW SCHOOL FOR SOCIAL RESEARCH New York, New York	South Africa Partnership Project	46,000*		46,000	
SOUTH AFRICAN INSTITUTE FOR DISTANCE EDUCATION TRUST Johannesburg, South Africa	Ulwazi Educational Radio Project	100,000		50,000	50,000
TEACHER TRUST, THE Braamfontein, South Africa	Teacher development activities of the new national newspaper, "The Teacher"	35,000		35,000	
USWE TRUST Cape Town, South Africa	Teacher training program	70,000*	41,000	29,000	
WESTERN CAPE, UNIVERSITY OF THE Cape Town, South Africa	Teacher In-service Project	100,000*	62,000	38,000	
SUBTOTAL				465,000	213,000

*Appropriation made prior to 1996

Ramon Magsaysay Awards

Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
RAMON MAGSAYSAY AWARD FOUNDATION					
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Ramon Magsaysay Awards for 1996	150,000		150,000	
PROGRAM FOR ASIAN PROJECTS					
ALCALA, ANGEL C. Pasig City, Philippines	Reforestation and management project for coastal areas in the Philippines	10,000			10,000
ARIYARATNE, A.T. Moratuwa, Sri Lanka	Establishing an educational facility at the Vishva Niketan Peace Center	10,000*		10,000	
ASIAN INSTITUTE OF MANAGEMENT Makati, Philippines	"Emergent Institutions in Asia: Six Case Studies" project	10,000			10,000
BEDI, KIRAN New Delhi, India	Improving the welfare of children with parents holding criminal records	10,000			10,000
CHANG, KEE-RYO Pusan, Korea	Improving the welfare of autistic children	10,000*		10,000	
CHOWDHURY, AMITABHA Hong Kong, China	Increasing cooperative activities among the national press institutes of Asia	10,000*		10,000	
COYAJI, BANOO Rasta Peth, Pune, India	Teaching goat husbandry to women	10,000*		10,000	
DALY, JOHN V. JEI, PAUL JEONG GU Seoul, Korea	Researching low-income housing issues in Korea	20,000			20,000
FEI, HSIAO TUNG Beijing, China	Rural economic development plan	9,500*		9,500	
HANUM, ZAKIAH DATO, BINTI ABDUL HAMID Kuala Lumpur, Malaysia	Documentary on Malaysian culture	10,000			10,000
HATA, PRATEEP U. SRIMUANG, CHAMLONG Bangkok, Thailand	"Young Women's Development Group of the Toey Klong Slum" project	10,500			10,500
IM-SOON, KIM Kyungnam, Korea	Enabling mentally retarded people to work at a vocational training farm	10,000			10,000
KAWAKITA, JIRO Tokyo, Japan	Toward the English publication of Revitalization of Rural Areas Based on Ecology and Community	10,000*		10,000	
MCGLINCHEY, PATRICK J. Seoul, Korea	"Asian Issues and Trends for Development" assembly	10,000*		10,000	
PRESS FOUNDATION OF ASIA Manila, Philippines	Increasing cooperative activities among the national press institutes of Asia	10,000*		10,000	

*Appropriation made prior to 1996

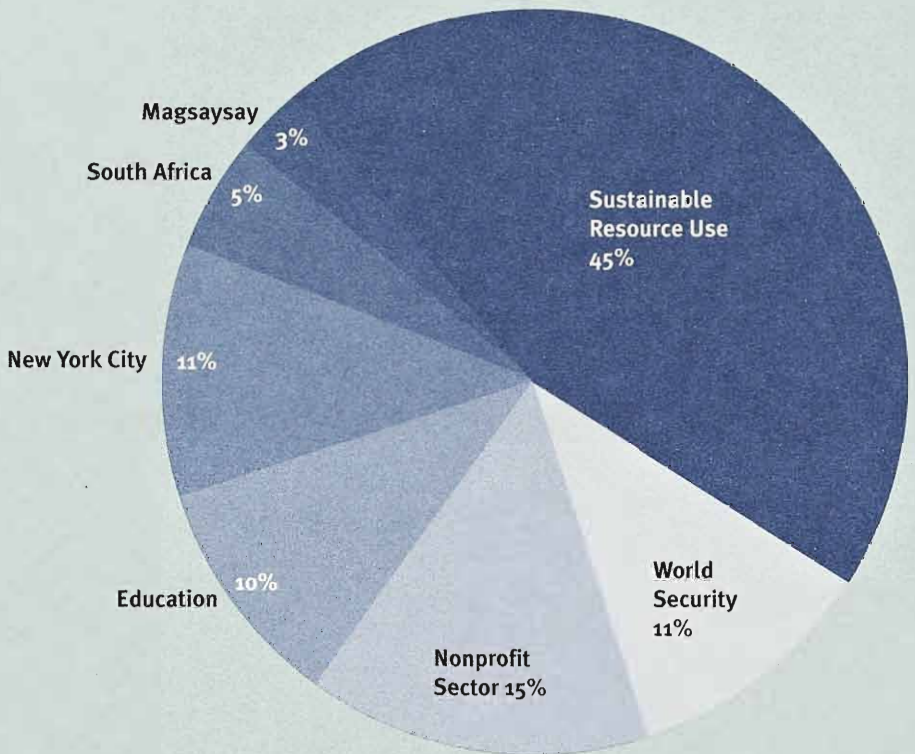
Grantee	Grant Description	Total Appropriation	Paid in Previous Years	Payment in 1996	Unpaid Balance
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Publication of Volume II of the <i>Ramon Magsaysay Award Foundation Book of Records, the Ramon Magsaysay Awards, and the Awardees' Pamphlet Series</i>	20,000*		20,000	
	"Asian Issues and Trends for Development" assembly	10,000*		10,000	
	"Asian Issues and Trends for Development" assembly	10,000			10,000
	Continuing publication of <i>The Magsaysay Awardee</i>	3,500*		3,500*	
	Continuing publication of <i>The Magsaysay Awardee</i>	4,500			4,500
	Magsaysay Award Fellowships	5,000*		5,000	
SAMAR, SIMA Quetta, Pakistan	Girls' schools for Afghan refugees	10,000*		10,000	
SHOURIE, ARUN New Delhi, India	Publication of books on Indian institutional reform	10,000			10,000
SUBBANNA, K.V. Heggodu, India	Culture programs in rural India	10,000			10,000
TIMM, RICHARD W. Dhaka, Bangladesh	Booklets on human rights	10,000			10,000
VIRAVAIIDYA, MECHAI WASI, PRAWASE Bangkok, Thailand	Vegetable Bank irrigation system	15,000			15,000
YOON, SUK-JOONG Seoul, Korea	"Asian Issues and Trends for Development" assembly	10,000*		10,000	
SUBTOTAL				288,000	140,000

*Appropriation made prior to 1996

Grants Summary

SUMMARY OF PAYMENTS MADE IN 1996

One World: Sustainable Resource Use	4,530,500
One World: World Security	1,127,500
Nonprofit Sector	1,525,150
Education	1,073,150
New York City	1,152,500
Special Concerns: South Africa	465,000
Ramon Magsaysay Awards	288,000
<hr/>	
Total	10,161,800
Payments matching employee contributions to charitable institutions	27,875
Appropriations paid in 1996	10,189,675



Reconciliation of Grants Paid During the Years or Approved for Future Payment

UNPAID APPROPRIATIONS, DECEMBER 31, 1995

Principal Fund	\$6,071,300	
Ramon Magsaysay Award Foundation	-0-	
Asian Projects Fund	138,000	
		\$6,209,300

APPROPRIATIONS AUTHORIZED IN 1996

Principal Fund	9,377,000	
Ramon Magsaysay Award Foundation	150,000	
Asian Projects Fund	140,000	
	<u>9,667,000</u>	
Less:		
Appropriations Lapsed: Principal Fund	154,750	
		9,512,250

APPROPRIATIONS PAID IN 1996

Principal Fund	9,873,800	
Ramon Magsaysay Award Foundation	150,000	
Asian Projects Fund	138,000	
		<u>10,161,800</u>

UNPAID APPROPRIATIONS, DECEMBER 31, 1996

Principal Fund	5,419,750	
Ramon Magsaysay Award Foundation	-0-	
Asian Projects Fund	140,000	
		<u><u>\$5,559,750</u></u>

**ROCKEFELLER
BROTHERS FUND
FINANCIAL REPORT**

Financial Report

REPORT OF INDEPENDENT ACCOUNTANTS

To the Board of Trustees of the Rockefeller Brothers Fund, Inc.:

In our opinion, the accompanying combined statement of financial position and the related combined statements of activities and cash flows present fairly, in all material respects, the financial position of the Rockefeller Brothers Fund, Inc. and Combined Affiliate (the "Fund") at December 31, 1996 and 1995, and the changes in its net assets and its cash flows for the years then ended, in conformity with generally accepted accounting principles. These financial statements are the responsibility of the Fund's management; our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audits of these statements in accordance with generally accepted accounting standards, which require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for the opinion expressed above.

As discussed in Notes 2, 6 and 10 to the financial statements, the Fund adopted Statement of Financial Accounting Standards ("SFAS") 106, "Employer's Accounting for Postretirement Benefits Other Than Pensions;" SFAS 116, "Accounting for Contributions Received and Contributions Made;" SFAS 117, "Financial Statements of Not-for-Profit Organizations;" and AICPA Statement of Position 94-3, "Reporting of Related Entities by Not-for-Profit Organizations" in 1995.

Our audit was made for the purpose of forming an opinion on the basic financial statements taken as a whole. The schedule of functional expenses (Exhibit I) is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

Price Waterhouse LLP
New York, New York
April 25, 1997

ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE COMBINED STATEMENT OF FINANCIAL POSITION

December 31, 1996 with Comparative 1995 Totals

ROCKEFELLER BROTHERS FUND ("RBF")

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1996	Total 1995
ASSETS									
Cash	\$703,935	\$205,602	\$ -	\$107,956	\$57,775	\$1,075,268	\$756,605	\$1,831,873	\$724,181
Accounts receivable	267,028	-	-	-	12,756	279,784	38,935	318,719	39,732
Contributions receivable	-	-	-	-	-	-	339,144	339,144	305,120
Interest and dividends receivable	1,755,460	261,622	17,077	15,807	10,448	2,060,414	88,312	2,148,726	1,970,378
Due from brokers and dealers	2,243,855	328,268	21,621	19,746	4,320	2,617,810	-	2,617,810	1,749,814
Investments, at market value	330,034,460	50,538,700	3,395,595	2,933,900	1,269,575	388,172,230	22,941,196	411,113,426	378,505,972
Program-related investments:									
Program mortgage loans	3,300,000	-	-	-	-	3,300,000	-	3,300,000	3,420,000
Real estate	510,000	-	-	-	-	510,000	-	510,000	510,000
Recoverable taxes paid	-	-	-	-	-	-	-	-	625,257
Prepaid expenses	567,039	770	-	-	-	567,809	24,023	591,832	639,678
Fixed assets, net	346,015	10,188,329	-	-	-	10,534,344	28,002	10,562,346	11,351,673
Interfund	3,110,599	(2,487,810)	(318,475)	(204,205)	(100,109)	-	-	-	-
Total assets	\$342,838,391	\$59,035,481	\$3,115,818	\$2,873,204	\$1,254,765	\$409,117,659	\$24,216,217	\$433,333,876	\$399,842,007

The accompanying notes are an integral part of these financial statements.

**ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE
COMBINED STATEMENT OF FINANCIAL POSITION**

December 31, 1996 with Comparative 1995 Totals

ROCKEFELLER BROTHERS FUND ("RBF")									
	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1996	Total 1995
LIABILITIES AND NET ASSETS									
<i>Liabilities:</i>									
Grants payable	\$5,419,750	\$ -	\$ -	\$140,000	\$ -	\$5,559,750	\$587,964	\$6,147,714	\$6,873,379
Due to brokers and dealers	3,546,099	535,277	35,578	32,795	-	4,149,749	-	4,149,749	7,767,002
Accounts payable and accrued liabilities	1,525,494	93,099	-	-	141	1,618,734	571,642	2,190,376	2,000,236
Taxes payable	645,666	-	-	-	-	645,666	-	645,666	16,389
Total liabilities	11,137,009	628,376	35,578	172,795	141	11,973,899	1,159,606	13,133,505	16,657,006
<i>Commitments</i>									
<i>Net assets:</i>									
Unrestricted	331,701,382	58,407,105	3,080,240	2,700,409	1,254,624	397,143,760	5,244,732	402,388,492	366,739,561
Temporarily Restricted	-	-	-	-	-	-	4,998,768	4,998,768	4,201,592
Permanently Restricted	-	-	-	-	-	-	12,813,111	12,813,111	12,243,848
Total liabilities and net assets	\$342,838,391	\$59,035,481	\$3,115,818	\$2,873,204	\$1,254,765	\$409,117,659	\$24,216,217	\$433,333,876	\$399,842,007

The accompanying notes are an integral part of these financial statements.

ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE COMBINED STATEMENT OF ACTIVITIES

For the Year Ended December 31, 1996 with Comparative 1995 Totals

ROCKEFELLER BROTHERS FUND ("RBF")

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1996	Total 1995
REVENUES									
Dividend income	\$3,450,410	\$489,246	\$32,108	\$29,299	\$12,442	\$4,013,505	\$348,973	\$4,362,478	\$3,652,688
Interest income	7,738,062	1,078,904	70,806	64,610	27,308	8,979,690	276,869	9,256,559	8,930,977
Other investment income (loss)	1,813,275	255,677	16,779	15,311	54,097	2,155,139	176,115	2,331,254	1,745,014
Contributions	-	-	-	-	342,863	342,863	1,904,180	2,247,043	1,224,214
	13,001,747	1,823,827	119,693	109,220	436,710	15,491,197	2,706,137	18,197,334	15,552,893
EXPENSES									
Functional expenses (Exhibit I):									
Direct charitable activities	1,174,061	2,467,188	-	-	71,527	3,712,776	33,412	3,746,188	3,273,230
Program and grant management	11,705,436	-	192,991	194,411	47,282	12,140,120	1,147,934	13,288,054	14,592,892
Investment management	2,593,675	278,707	12,621	11,505	4,927	2,901,435	143,567	3,045,002	1,771,575
General management	2,632,357	347,334	-	-	164	2,979,855	1,462,322	4,442,177	3,751,759
	18,105,529	3,093,229	205,612	205,916	123,900	21,734,186	2,787,235	24,521,421	23,389,446
Deficiency of revenues over expenses	(5,103,782)	(1,269,402)	(85,919)	(96,696)	312,810	(6,242,989)	(81,098)	(6,324,087)	(7,836,553)

The accompanying notes are an integral part of these financial statements.

**ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE
COMBINED STATEMENT OF ACTIVITIES**

For the Year Ended December 31, 1996 with Comparative 1995 Totals

ROCKEFELLER BROTHERS FUND ("RBF")

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1996	Total 1995
GAIN ON INVESTMENTS									
Net realized gain from securities sales	\$27,081,505	\$3,839,986	\$252,009	\$229,958	\$97,653	\$31,501,111	\$1,825,707	\$33,326,818	\$22,521,058
Net change in unrealized gain on investments	7,431,013	1,048,052	68,781	66,198	26,653	8,640,697	1,371,942	10,012,639	34,765,744
	34,512,518	4,888,038	320,790	296,156	124,306	40,141,808	3,197,649	43,339,457	57,286,802
Change in net assets before cumulative effect of accounting change	29,408,736	3,618,636	234,871	199,460	437,116	33,898,819	3,116,551	37,015,370	49,450,249
Cumulative effect of accounting change	-	-	-	-	-	-	-	-	(1,121,000)
Change in net assets:									
Unrestricted	29,408,736	3,618,636	234,871	199,460	437,116	33,898,819	1,750,112	35,648,931	47,362,170
Temporarily restricted	-	-	-	-	-	-	797,176	797,176	934,864
Permanently restricted	-	-	-	-	-	-	569,263	569,263	32,215
Total change in net assets	29,408,736	3,618,636	234,871	199,460	437,116	33,898,819	3,116,551	37,015,370	48,329,249
NET ASSETS									
beginning of year	302,292,646	54,788,469	2,845,369	2,500,949	817,508	363,244,941	19,940,060	383,185,001	334,855,752
NET ASSETS									
end of year	\$331,701,382	\$58,407,105	\$3,080,240	\$2,700,409	\$1,254,624	\$397,143,760	\$23,056,611	\$420,200,371	\$383,185,001

The accompanying notes are an integral part of these financial statements.

ROCKEFELLER BROTHERS FUND, INC. & COMBINED AFFILIATE
COMBINED STATEMENT OF CASH FLOWS

For the Years Ended December 31, 1996 and 1995

	Total 1996 All Funds	Total 1995 All Funds
CASH FLOWS FROM OPERATING ACTIVITIES		
Change in net assets	\$37,015,370	\$48,329,249
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Net realized and unrealized (gain) or loss on investments	(43,339,457)	(57,286,802)
Depreciation	870,660	867,743
Contributions restricted for endowment	(569,263)	(32,215)
Interest and dividends restricted for endowment	(184,623)	(183,647)
(Increase) decrease in accounts receivable	(278,987)	(23,992)
(Increase) decrease in contributions receivable	(33,824)	68,407
(Increase) decrease in interest and dividends receivable	(178,348)	27,479
(Increase) decrease due from brokers and dealers	(867,996)	(81,452)
(Increase) decrease in recoverable taxes paid	625,257	(264,872)
(Increase) decrease in prepaid expenses	47,846	36,714
Increase (decrease) in grants payable	(725,665)	(986,104)
Increase (decrease) in due to brokers and dealers	(3,617,253)	4,769,938
Increase (decrease) in accounts payable and accrued liabilities	190,140	869,911
Increase (decrease) in taxes payable	629,277	(374,522)
Net cash used by operating activities	(10,416,866)	(4,264,165)
CASH FLOWS FROM INVESTING ACTIVITIES		
Proceeds from sales of investments	846,015,321	880,500,722
Purchases of investments	(835,283,319)	(876,166,017)
Loans disbursed for program-related investments	-	(1,208,579)
Reductions of program-related investments	120,000	764,960
Purchases of fixed assets	(81,330)	(2,556,304)
Net cash provided by investing activities	10,770,672	1,334,782
CASH FLOWS FROM FINANCING ACTIVITIES		
Proceeds from contributions restricted for investments in endowment	569,263	32,215
Interest and dividends restricted for endowment	184,623	183,647
Net cash provided by financing activities	753,886	215,862
Net increase (decrease) in cash	1,107,692	(2,713,521)
Cash at beginning of year	724,181	3,437,702
Cash at end of year	\$1,831,873	\$724,181

Notes to Financial Statements

1. ORGANIZATIONS AND PURPOSE

Rockefeller Brothers Fund, Inc. (the "Fund") is a not-for-profit, charitable corporation existing under the New York not-for-profit corporation law and is classified as a private foundation as defined in the Internal Revenue Code. The Fund's principal purpose is to make grants to local, national, and overseas philanthropic organizations. The Fund also provides fellowships for minority students entering the teaching profession.

The Board of Trustees has designated the allocation from the Principal Fund and other funds to the following special purpose funds:

Pocantico Fund: For the preservation, maintenance and operation of the Pocantico Historic Area at Pocantico Hills, New York, as an historic park benefiting the public.

Ramon Magsaysay Award Foundation Fund: To increase the amount of the Ramon Magsaysay Awards and other support for the activities of the Ramon Magsaysay Award Foundation, Inc.

Asian Projects Fund: Income to be used for a period of twenty years for special projects which exemplify the spirit of the Ramon Magsaysay Awards and Asian program concerns of the Fund.

Pocantico Program Fund: For use by the Fund for philanthropic programs at the Pocantico Conference Center.

Upon completion of the renovation of the Pocantico Historic Area, effective January 1, 1997, the Board of Trustees approved the transfer of the Pocantico Program Fund's capital assets to the Pocantico Fund.

Asian Cultural Council, Inc. ("ACC") is a not-for-profit, charitable corporation existing under the New York not-for-profit corporation law and has been determined to be a publicly supported organization as defined in the Internal Revenue Code. ACC provides fellowship awards to Asian and American individuals in the visual and performing arts, and also awards grants to cultural institutions engaged in international exchange projects. The Fund is the sole member of the ACC.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The financial statements of the Fund and ACC have been prepared on an accrual basis. The significant accounting policies followed are described below:

Accounting changes: Effective January 1, 1995, the Fund and ACC adopted the following Statements of Financial Accounting Standards ("SFAS"):

SFAS 106- "Employers' Accounting for Postretirement Benefits Other Than Pensions." SFAS 106 requires the use of the accrual method of accounting for postretirement benefits other than pensions. (See Note 6).

SFAS 116- "Accounting for Contributions Received and Contributions Made." SFAS 116 requires entities that make contributions to record noncurrent promises to give at net present value and to not record promises to give that include donor-imposed conditions until the conditions are met by the grantee.

SFAS 117- "Financial Statements for Not-for-Profit Organizations." SFAS 117 establishes standards for external financial statements that enhance the comparability of financial statements issued by not-for-profit organizations. SFAS 117 requires not-for-profit organizations to present a statement of cash flows and three classes of net assets-permanently restricted, temporarily restricted, and unrestricted.

Additionally, effective January 1, 1995, the Fund adopted AICPA Statement of Position ("SOP") 94-3, "Reporting of Related Entities by Not-for-Profit Organizations." SOP 94-3 gives uniform guidance concerning the reporting of related entities and required the combination of ACC of which the Fund is the sole member. (See Note 10).

Principles of Combination: The financial statements of the Fund include ACC of which it is the sole member. The accompanying statement of financial position and related statements of activities and of cash flows, and the schedule of functional expenses, as of December 31, 1996 and 1995, and for the years then ended, are presented on a combining basis to reflect the separate financial position and results of operations of the Fund and ACC. All significant interfund balances and transactions are eliminated in combination.

Investments: Investments in securities are carried at quoted market prices. Unrealized gains or losses are determined using quoted market prices at the respective balance sheet dates. Realized gains or losses from sales of securities are determined on a specific identification basis as of the trade date. Security costs are determined on a first-in first-out basis.

Investments in limited partnerships are valued on the basis of the Fund's equity in the net assets of such partnerships. In certain instances, portions of the underlying investment portfolios of the limited partnerships contain non-marketable or thinly traded investments which have been recorded at fair value as determined by management of the limited partnerships. As of December 31, 1996 and 1995, approximately \$7,200,000 and \$7,900,000, respectively, of the Fund's investments in limited partnerships were recorded at fair value as determined by the Fund's management or their designee, which might differ significantly from the market value that would have been used had a ready market for the investment existed.

Investments of the Principal Fund, Pocantico Fund, Ramon Magsaysay Award Foundation Fund, Asian Projects Fund and Pocantico Program Fund are pooled; interest and dividend income and realized and unrealized gains or losses are allocated to each fund using the unitized investment method.

Grants payable: Grants are recorded at the time of approval by the trustees and notification to the recipient. The Fund and ACC estimate that the grants payable balance as of December 31, 1996 will be paid as follows:

1997: \$4,500,877 1998: \$1,262,237 1999: \$250,200 2000: \$78,000 2001: \$54,000 2002: \$2,400 Total: \$6,147,714

The net present value of grants payable is not materially different from amounts committed to be paid.

Fellowships for minority students are awarded in three stages, for summer projects, graduate study and student loan repayments.

Tax status: The Fund is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code and has been classified as a "private foundation." Provision has been made for the Federal excise tax on net investment income. The Fund is subject to unrelated business income tax related to its investment in Lipco Partners, L.P., and the appropriate provision has been made.

ACC is incorporated as a not-for-profit organization and is exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code, and has been determined to be a publicly supported organization.

Fixed assets: The Fund capitalizes fixed assets which includes leasehold improvements, furniture and fixtures and office equipment. Depreciation and amortization of the fixed assets are provided over the following estimated useful service lives: leasehold improvements: life of lease; office equipment: 7 years; computer equipment: 5 years; computer software: 3 years. Fixed assets are presented net of accumulated depreciation and amortization of \$3,506,000 and \$2,638,000, respectively.

Expenses: The Fund and ACC report expenses on a functional basis, with all expenses charged either to a particular program or supporting service. Overhead expenses, including occupancy, telephone and insurance, are allocated to functional areas based upon space used or actual usage, if specifically identifiable. The allocation of salary and related expenses for management and supervision of program service functions are made by management based on the estimated time spent by executives in the various program service functions.

Use of estimates: The preparation of financial statements in accordance with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reported period. Actual results could differ from those estimates.

Prior year's financial statements: Certain reclassifications of the 1995 financial information have been made to conform to the 1996 presentation. The financial information presented for 1995 in the accompanying financial statements is intended to provide a basis for comparison and reflects summarized totals only.

3. INVESTMENTS

Investments at December 31, 1996 and 1995 are summarized as follows:

	December 31, 1996			December 31, 1995	
	Cost	Unrealized Appreciation/ (Depreciation)	Market	Cost	Market
Short-term investments	\$31,365,445	\$ 23	\$31,365,468	\$24,723,292	\$24,722,935
Stocks	203,067,465	47,993,771	251,061,236	160,862,709	192,747,207
Bonds	116,295,543	1,836,351	118,131,894	108,256,585	113,619,136
Limited partnerships	11,098,659	(712,808)	10,385,851	44,372,816	46,744,761
Foreign currency fluctuations		168,977	168,977	-	671,933
	<u>\$361,827,112</u>	<u>\$49,286,314</u>	<u>\$411,113,426</u>	<u>\$338,215,402</u>	<u>\$378,505,972</u>

The cost of investments in each fund at December 31, 1996 and 1995 is as follows:

	December 31, 1996	December 31, 1995
Principal Fund	\$287,600,016	\$268,880,634
Pocantico Fund	48,815,122	46,055,893
Ramon Magsaysay Award Foundation Fund	3,185,564	3,006,008
Asian Projects Fund	2,787,024	2,628,004
Pocantico Program Fund	1,182,024	829,043
Asian Cultural Council, Inc.	18,257,362	16,815,820
	<u>\$361,827,112</u>	<u>\$338,215,402</u>

The Fund, through its investment advisors, periodically invests in foreign exchange contracts. Such contracts are recorded in investments at market in the accompanying financial statements. All transactions are executed by the Fund's investment managers in accordance with policies established by the Fund's Finance Committee. Gains and losses on these instruments are included in the determination of net realized and unrealized gains on investments, depending on whether the positions had settled prior to December 31, 1996. The terms of these contracts are generally 3 months or less. The table below summarizes, by major currency, the notional principal amounts of the Fund's foreign exchange contracts outstanding at December 31, 1996 and 1995. The "buy" amounts represent U.S. dollar equivalents of commitments to purchase the respective currency and the "sell" amounts represent the commitments to sell the respective currency.

	December 31, 1996			December 31, 1995		
	Buy	Sell	Unrealized Currency Gain/(Loss)	Buy	Sell	Unrealized Currency Gain/(Loss)
Japanese Yen	\$6,749,000	\$6,580,000	\$169,000	\$5,355,000	\$4,749,000	\$606,000
Deutsche Mark	-	-	-	4,689,000	4,624,000	65,000

4. PROGRAM-RELATED INVESTMENTS

The Fund's program-related investments have limited or no marketability and are stated at the lower of cost or estimated fair value. The Fund's real estate has been leased rent-free to a not-for-profit organization under the terms of an agreement which expires in the year 2056.

In February 1994, the Fund entered into a loan agreement with the Ramon Magsaysay Award Foundation ("RMAF") which authorized RMAF to borrow up to three million dollars during the period the loan commenced through December 31, 1995. The underlying promissory note bears interest on the unpaid principal at the rate of 6 percent per year; such interest accrued beginning January 1, 1995. Payment of principal of \$120,000 and related interest is to be made annually over the term of the loan and on December 31, 2019, the outstanding balance will be payable in full. The Fund had loaned RMAF the full amount authorized as of December 31, 1995 and received the appropriate repayments of principal and interest in the years ended December 31, 1996 and 1995.

During 1995, the Fund reserved approximately \$765,000 for one of its program-related investments based on a review of its estimated fair value.

5. PENSION PLAN

The Fund and ACC participate in the Retirement Income Plan for Employees of Rockefeller Brothers Fund, Inc., et al., a non-contributory plan covering substantially all its employees. The Fund's and ACC's policy is to make contributions to maintain the plan on a sound financial basis.

The following table sets forth the plan's funded status and amounts recognized in the financial statements at December 31, 1996 and 1995 and for the years then ended:

Actuarial present value of benefit obligations:	1996	1995
Accumulated benefit obligation, including vested benefits of \$2,424,470 and \$2,405,262, respectively	\$2,672,115	\$2,670,961
Projected benefit obligation for services rendered to date	\$3,890,661	\$3,726,628
Plan assets at fair value	4,800,999	4,506,861
Plan assets in excess of projected benefit obligation	910,338	780,233
Unrecognized prior service cost	(47,885)	(49,692)
Unrecognized net gain from past experience different from that assumed and effects of changes in assumptions	(165,826)	92,809
Unamortized transitional net asset	(308,513)	(336,560)
Prepaid pension cost included in prepaid expenses	\$388,114	\$486,790
Net pension cost included the following components:		
Service cost—benefits earned during period	\$273,283	\$234,639
Interest cost on projected benefit obligation	260,864	235,982
Actual return on plan assets	(636,594)	(790,111)
Net amortization and deferral	201,123	425,175
Net periodic pension cost	\$98,676	\$105,685

The weighted-average discount rate and rate of increase in future compensation levels used in determining the actuarial present value of the projected benefit obligation were 7.5 percent and 5 percent in 1996 and 7.5 percent and 4.5 percent in 1995, respectively. The expected long-term rate of return on assets was 9 percent in 1996 and 1995.

6. POSTRETIREMENT HEALTHCARE BENEFITS

In addition to providing pension benefits, the Fund provides certain health care benefits for retired employees. Substantially all of the Fund's and ACC's employees may become eligible for these benefits if they reach age 55 while employed by the Fund and have accumulated at least five years of service. Such benefits are provided through an insurance company.

Effective January 1, 1995, the Fund and ACC adopted SFAS 106 "Employers' Accounting for Postretirement Benefits other than Pensions". In connection with the adoption of this statement, the Fund and ACC elected to accrue the entire transition obligation, aggregating \$1,121,000, in 1995.

The following table sets forth the plan's status as of December 31, 1996 and 1995:

	1996	1995
Accumulated postretirement benefit obligation ("APBO"):		
Retirees	\$379,000	\$446,000
Active participants fully eligible for benefits	160,000	171,000
Active participants not fully eligible for benefits	591,000	636,000
	<hr/>	<hr/>
	1,130,000	1,253,000
Unrecognized net gain (loss)	228,000	(7,000)
	<hr/>	<hr/>
Accrued postretirement benefit cost	\$1,358,000	\$1,246,000

The net periodic postretirement benefit cost included the following components:

	1996	1995
Service retirement cost	\$65,000	\$69,000
Interest cost	78,000	88,000
	<hr/>	<hr/>
Net periodic postretirement benefit cost	\$143,000	\$157,000

Actual retiree premiums paid by the Fund and ACC during 1996 and 1995 amounted to \$31,000 and \$32,000, respectively.

The discount rate assumed in determining the APBO was 7.5% in 1996 and 7.0% in 1995. The medical cost trend rates assumed were 11% and declining to 5% over a seven year period for 1996 and 1995. Increasing the assumed medical cost trend rate by 1% each year would result in increases in both the APBO and the net periodic postretirement cost of approximately \$198,000 and \$37,000 in 1996 and \$220,000 and \$39,000 in 1995, respectively.

7. RELATED PARTY TRANSACTIONS

The Fund paid Rockefeller and Co., Inc., fees of approximately \$174,000 and \$160,000 in 1996 and 1995, respectively, as one of its investment advisors and fees of \$44,000 and \$40,000 in 1996 and 1995, respectively, for the management of the Fund's qualified pension plans and other services. The Fund was reimbursed \$204,000 and \$178,000 in 1996 and 1995, respectively, for the fair value of certain expenses, including accounting and occupancy, by the Rockefeller Family Fund, Inc. The Fund was also reimbursed \$257,000, \$23,000 and \$7,000 in 1996 and \$237,000, \$58,000 and \$6,000 in 1995 for the fair value of certain expenses, including accounting and occupancy, by ACC, the Consultative Group on Biological Diversity, Inc., and the David Rockefeller Fund, respectively.

The Fund paid fees in 1996 and 1995 of approximately \$1,355,000 and \$1,200,000, respectively, for maintenance of the Pocantico properties to Greenrock Corporation, which is wholly owned by Rockefeller family members.

As of December 31, 1995, the Fund's investment portfolio included approximately \$19,700,000 in funds held in Lipco Partners, L.P., which is managed by a board member. This investment was liquidated in 1996.

8. FEDERAL TAXES

As a private foundation, the Fund is assessed an excise tax by the Internal Revenue Code. This tax is generally equal to 2 percent of net investment income; however, it is reduced to 1 percent if a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. For 1996, the Fund provided for taxes on net investment income at the rate of 2 percent. For 1995, the Fund qualified for the reduced tax rate of 1 percent of net investment income.

The Fund is subject to unrelated business income tax on a certain amount of the income derived from its investment in Lipco Partners, L.P. In 1995, the Fund applied for federal and state refunds of 1992 and 1993 unrelated business income tax ("UBIT") totalling approximately \$296,000, which refund claims resulted from a carryback of capital losses incurred in 1994 with respect to the Fund's investment in LIPCO Partners, L.P. In connection with its review of the refund claims, the IRS raised the unrelated issue of whether the Fund was entitled to claim as a deduction against ordinary income the full amount of its allocable share of investment interest expense incurred by LIPCO Partners, or whether it was entitled to deduct only a portion of such expense. After receiving written technical advice from the IRS National Office, the IRS examining agent has determined that the Fund should be allowed to deduct only a portion of such interest expense. The Fund intends to petition for further review of its arguments supporting deduction of the full amount of interest expense, such review to take place at the Appeals Office of the IRS. If it were finally determined that only a portion of the interest expense is allowable as a deduction, among other things (i) the Fund would be entitled to no refund for the 1992 and 1993 years; (ii) the Fund would be subject to additional liability for federal and

state UBIT for the 1992 through 1994 years of approximately \$240,000; (iii) the Fund would be required to return to the IRS approximately \$240,000 of a \$329,000 refund already received with respect to the 1995 year; and (iv) the Fund would be required to pay an additional \$75,000 in state UBIT for 1995. Although the Fund believes it has substantial arguments for deducting the full amount of the interest expense, it is more likely than not that the Appeals Officer will sustain the examining agent's determination. Accordingly, for financial accounting purposes, the Fund has accrued as amounts due the additional unrelated business income taxes due (or required to be returned) for the 1992 through 1995 years, on the assumption that the Fund will be allowed to deduct only a portion of its interest expense. The Fund disposed of its investment in LIPCO Partners during 1996.

9. COMMITMENTS

The Fund, together with its affiliates, occupies office facilities which provide for minimum annual rental commitments excluding escalation as follows:

Fiscal Year	
1997	\$642,000
1998	\$642,000

The lease expires on December 31, 1998.

On January 1, 1992, the Fund entered into a formal arrangement with the National Trust for Historic Preservation in the United States, whereby the Fund assumes the costs associated with maintenance and operations of the Pocantico Historic Area, including all utilities, real estate and other taxes, and impositions assessed against the property. In 1996 and 1995, these costs aggregated approximately \$1,586,000 and \$1,504,000 respectively. Under the same agreement, the Fund agreed to conduct a program of public visitation of the Pocantico Historic Area. Historic Hudson Valley was engaged by the Fund to operate this program on its behalf. The public visitation program commenced in April 1994.

10. ASIAN CULTURAL COUNCIL, INC.

In 1994, the American Institute of Certified Public Accountants issued SOP 94-3, "Reporting of Related Entities by Not-For-Profit Organizations," giving uniform guidance concerning the reporting of related entities. The Fund adopted this SOP in 1995. The impact of the adoption in the financial statements is the additional presentation of the financial results of ACC.

Summarized financial results of the Asian Cultural Council, Inc. for the year ended December 31, 1996 and 1995 are presented below:

	1996				1995			
	Unrestricted	Temporarily restricted	Permanently restricted	Total	Unrestricted	Temporarily restricted	Permanently restricted	Total
Net assets, beginning of year	\$3,494,620	\$4,201,592	\$12,243,848	\$19,940,060	\$1,577,771	\$3,266,728	\$12,211,633	\$17,056,132
Total support and revenue	\$3,388,176	\$1,946,347	\$569,263	\$5,903,786	\$3,705,339	\$2,018,213	\$32,215	\$5,755,767
Net assets released from restriction	1,149,171	(1,149,171)	-	-	1,083,349	(1,083,349)	-	-
Program expenses	(2,205,557)	-	-	(2,205,557)	(2,090,383)	-	-	(2,090,383)
General management expenses	(581,678)	-	-	(581,678)	(637,456)	-	-	(637,456)
Cumulative effect of accounting change (SFAS 106)	-	-	-	-	(144,000)	-	-	(144,000)
Change in net assets	\$1,750,112	\$797,176	\$569,263	\$3,116,551	\$1,916,849	\$934,864	\$32,215	\$2,883,928
Net assets, end of year	\$5,244,732	\$4,998,768	\$12,813,111	\$23,056,611	\$3,494,620	\$4,201,592	\$12,243,848	\$19,940,060

All contributions are considered to be available for unrestricted use unless specifically restricted by the donor. Unrestricted net assets represent resources over which the Board of Trustees has full discretion with respect to use. Temporarily restricted net assets represent expendable resources which have been time or purpose restricted by the donor. When a donor restriction expires, that is, when a stipulated time restriction ends or a purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as net assets released from restrictions.

Permanently restricted net assets represent contributions and other gifts which require that the corpus be maintained intact and that only the income be used as designated by the donor. Depending upon the donor's designation, such income is reflected in the statement of activities as either temporarily restricted or unrestricted income.

EXHIBIT I: SCHEDULE OF FUNCTIONAL EXPENSES

For the Year Ended December 31, 1996 with Comparative 1995 Totals

ROCKEFELLER BROTHERS FUND ("RBF")

Direct Charitable Activities

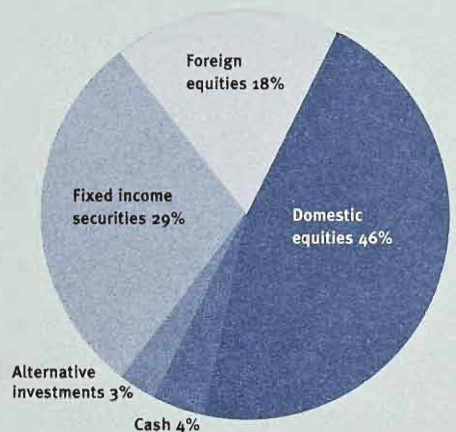
	General Programs	Pocantico Fund	Pocantico Program Fund	Program and Grant Management	Investment Management	General Management	RBF Total 1996	Asian Cultural Council, Inc.	Combined Total 1996	Total 1995
SALARIES AND EMPLOYEE BENEFITS										
Salaries	\$447,048	\$215,375	\$ -	\$1,175,462	\$108,579	\$731,531	\$2,677,995	\$532,391	\$3,210,386	\$2,837,251
Employee benefits	108,114	53,096	-	428,629	36,596	254,678	881,113	210,625	1,091,738	925,446
	555,162	268,471	-	1,604,091	145,175	986,209	3,559,108	743,016	4,302,124	3,762,699
OTHER EXPENSES										
Grants awarded	-	-	-	9,512,250	-	-	9,512,250	1,108,122	10,620,372	11,611,004
Fellowship program expenses	128,521	-	-	-	-	-	128,521	-	128,521	117,996
Federal excise and other taxes (Notes 2 and 8)	-	-	-	-	-	1,052,152	1,052,152	39,812	1,091,964	370,850
Unrelated business income tax (Notes 2 and 8)	-	-	-	-	925,434	-	925,434	-	925,434	-
Consultants' fees	66,367	17,582	-	101,613	23,958	15,200	224,720	98,294	323,014	220,610
Investment services	-	-	-	-	1,625,624	-	1,625,624	143,567	1,769,191	1,567,251
Legal and audit fees	3,620	16,773	-	-	78,723	138,465	237,581	20,251	257,832	252,467
Travel	76,585	5,955	-	261,714	7,709	48,651	400,614	87,679	488,293	464,565
Rent and electricity	79,844	-	-	324,367	23,259	226,302	653,772	124,476	778,248	762,814
Program conferences and events	115,777	-	71,067	-	-	-	186,844	2,505	189,349	140,715
Facilities maintenance and operations (Note 9)	-	1,585,393	-	-	-	-	1,585,393	18,792	1,604,185	1,519,909
Telephone	8,785	22,686	-	32,282	4,348	30,586	98,687	17,902	116,589	115,095
General office expenses	107,931	77,771	460	211,456	18,269	181,707	597,594	231,097	828,691	754,807
Publications	15,956	-	-	340	-	68,401	84,697	22,027	106,724	95,942
Allowance for decline in value	-	-	-	-	-	-	-	-	-	764,959
Fundraising expenses	-	-	-	-	-	-	-	120,230	120,230	-
Depreciation and amortization	15,513	472,557	-	92,007	48,936	232,182	861,195	9,465	870,660	867,743
	\$1,174,061	\$2,467,188	\$71,527	\$12,140,120	\$2,901,435	\$2,979,855	\$21,734,186	\$2,787,235	\$24,521,421	\$23,389,446

Endowment Management

The overall objective of the management of the Fund's endowment assets is to provide a relatively stable stream of spendable revenue that increases over time at least as fast as the general rate of inflation, as measured by the Consumer Price Index. If this is to be achieved over the long term, the real (inflation-adjusted) value of endowment assets must be preserved net of annual distributions.

The trustees of the Fund, through the Finance Committee, delegate investment decisions to investment managers who operate within investment policies established by the trustees. The investment policies require that the endowment be diversified both by asset class and within asset classes, so that no single security or class of securities will have a disproportionate impact on the performance of the total endowment. At the end of 1996 the Fund's portfolio was managed by five domestic equity managers, two foreign or global equity managers, and two fixed income managers, representing a range of both types of investments and styles of investing. In addition, in the category of alternative investments the Fund participates in a number of venture capital and real estate limited partnerships.

On December 31, 1996, the market value of the Fund's investments (not including the endowment of the Asian Cultural Council) was \$388,172,230 compared with \$358,378,260 on December 31, 1995. The accompanying chart sets forth the asset allocation at year end. The total return on the Fund's marketable securities portfolio in 1996 was 14.7 percent, compared to 22.9 percent for the Standard and Poor's 500 Index; 6.1 percent for the Morgan Stanley Capital International's Europe, Asia and the Far East (EAFE) Index; and 2.9 percent for the Lehman Brothers Government/Corporate Bond Index.



In November of 1996, with the goal of further increasing the diversification of the Fund's portfolio, the Finance Committee revised the target asset allocation, reducing the fixed income target from 35 percent of the portfolio to 25 percent and increasing the total equity target to from 65 percent to 75 percent, including an explicit target of 10 percent for alternative investments and a range of 15 percent to 25 percent for foreign equities.

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CONSULTANT

James R. Rush

¹ Until December 31, 1996

² Until June 1997

³ Effective April 8, 1996

⁴ Effective May 6, 1996

⁵ Effective September 16, 1996

How To Apply For A Grant

To qualify for a grant from the RBF, as from most other foundations, a prospective grantee in the United States must be either a tax-exempt organization or an organization seeking support for a project that would qualify as educational or charitable. A prospective foreign grantee must satisfy an RBF determination that it would qualify, if incorporated in the United States, as a tax-exempt organization or that a project for which support is sought would qualify in the United States as educational or charitable. A grantee must also be engaged in work that fits generally within the Fund's guidelines.

A preliminary letter of inquiry is recommended for an initial approach to the Fund. Such a letter, which need not be more than two or three pages in length, should include a succinct description of the project or organization for which support is being sought and its relationship to the Fund's program, information about the principal staff members involved, a synopsis of the budget, and an indication of the amount requested from the Fund. Letters of inquiry should be addressed to Benjamin R. Shute, Jr., Secretary and Treasurer, at the offices of the Fund. The review of inquiries is ongoing throughout the year.

Although the RBF has made substantial gifts to organizations and programs in which it has considerable interest, most grants run between \$25,000 and \$300,000, often payable over more than one year but typically not more than three.

The Fund does not support building projects or land acquisition. Neither, as a general rule, does the Fund make grants to individuals nor does it support research, graduate study, or the writing of books or dissertations by individuals. There are two exceptions. First, the Rockefeller Brothers Fund Fellowships, under the education program, have been awarded since 1992 to individuals selected from colleges that, because of their particular support of minority students, have been invited by the Fund to participate in the fellowship program. No new fellowships will be awarded after 1997. Second, through the Program for Asian Projects, the Fund supports projects that exemplify both the spirit of the Ramon Magsaysay Awards and the program concerns of the Fund; these grants are available only to Ramon Magsaysay Awardees, including individuals, and to the Ramon Magsaysay Award Foundation.

THE GRANTMAKING PROCESS

Each letter of inquiry to the RBF is reviewed by one or more members of the staff, who try to be prompt in notifying applicants if their plans do not fit the current program guidelines or budgetary restraints. If a project is taken up for grant consideration, staff members will ask for additional information, including a detailed proposal, and almost certainly for a meeting with the principal organizers of the project.

A detailed proposal, when requested, is expected to include a complete description of the purpose of the project or organization, the background and the research that have led to the development of the proposal, the methods by which the project is to be carried out, the qualifications and experience of the project's or organization's

principal staff members, a detailed, carefully prepared, and realistic budget, and a list of those who serve as board members or advisers to the project. Attached to each proposal must be a copy of the organization's tax exemption notice and classification from the Internal Revenue Service, dated after 1969, and a copy of its most recent financial statements, preferably audited. Proposals from former grantees of the Fund will be considered only after earlier grants have been evaluated and grantees have submitted necessary reports of expenditures of those grants.

Grants are awarded by the trustees, who meet regularly throughout the year.

Fund grantees are required to submit financial and narrative reports at specified intervals and at the end of each grant period. In addition, RBF staff members follow projects along throughout the life of the grant and evaluate the project at the end of the period. The evaluations become part of the Fund's permanent records.

ADDITIONAL INFORMATION

The Fund maintains a World Wide Web site at www.rbf.org that includes information about the Fund's program guidelines, descriptions of recent grants, and a list of currently available publications. Publications may be requested via e-mail at the following addresses:

ANNUAL REPORTS: anreport@rbf.org

GUIDELINES: guidelines@rbf.org

OTHER PUBLICATIONS: publications@rbf.org

(occasional papers and press releases)

In addition to publishing an annual report, the Rockefeller Brothers Fund submits grants information on a regular basis to the Foundation Center for inclusion in its publications, including *The Foundation Grants Index Quarterly* and *The Foundation 1000*. Foundation Center grants data also appear online via DIALOG. The Foundation Center maintains reference libraries in New York, New York; Washington, D.C.; Atlanta, Georgia; Cleveland, Ohio; and San Francisco, California; and Cooperating Collections in more than 200 locations nationwide provide a core collection of Foundation Center publications. Information about the location of Cooperating Collections can be obtained from the Foundation Center by calling 1-800-424-9836 (toll-free). The Foundation Center Web site, www.fdncenter.org, contains additional information about Foundation Center materials and services.

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