

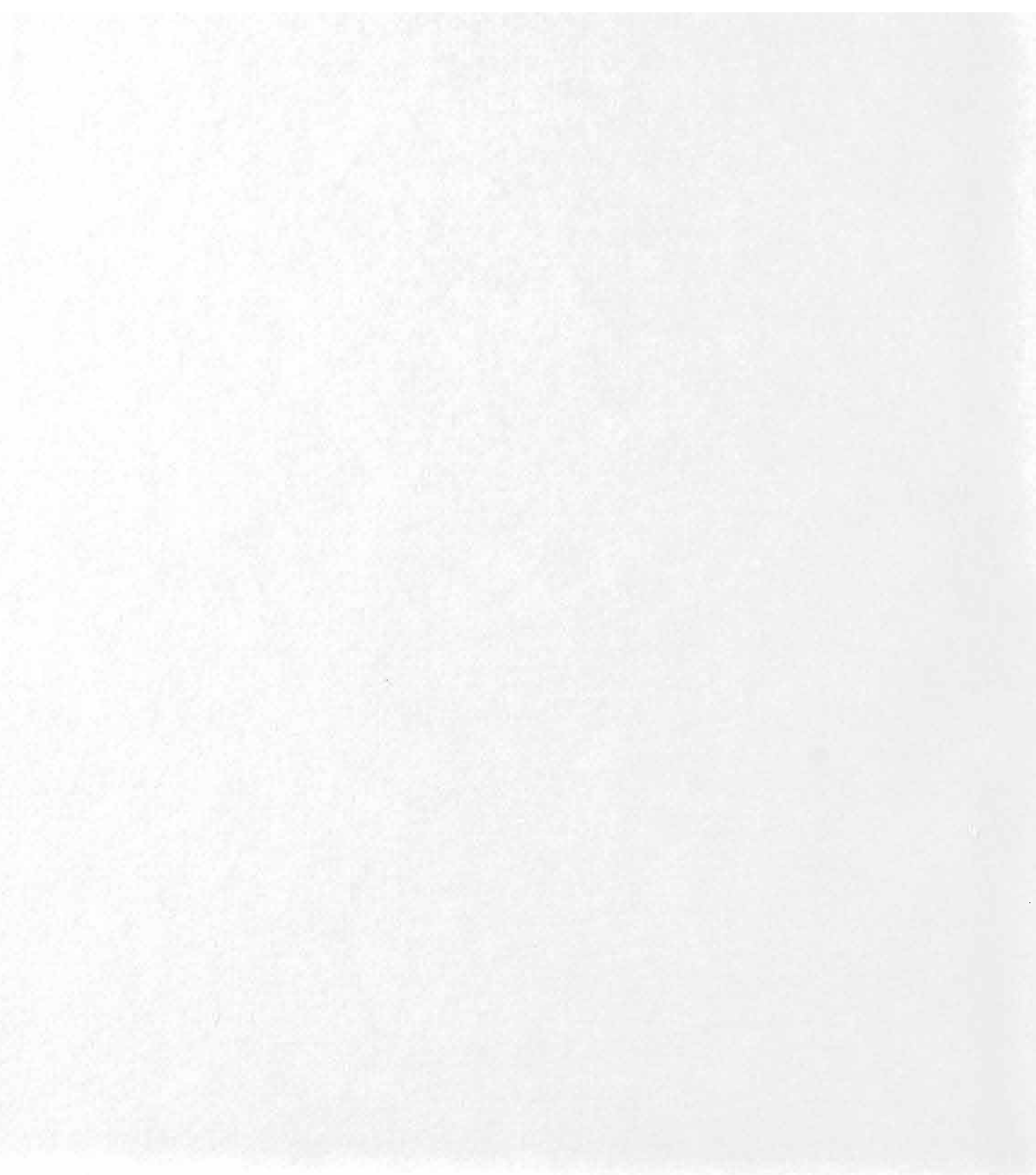
# ROCKEFELLER BROTHERS FUND ANNUAL REPORT 1976

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## In Memory of Abby Rockefeller Mauzé

With a sense of personal loss and sadness, the Rockefeller Brothers Fund notes the passing of Abby Rockefeller Mauzé, who died at her home in New York on May 27, 1976, at the age of 72. The eldest of John D. Rockefeller, Jr.'s six children, Mrs. Mauzé joined her five brothers as a trustee of the RBF in 1955 and served until her death. From the time of her election as a trustee, Mrs. Mauzé was a faithful contributor to the RBF, making gifts to the Fund that totaled more than \$1.5 million.

In 1962, in her honor, the RBF and Mrs. Mauzé's brother, Laurance S. Rockefeller, jointly endowed the Abby Rockefeller Mauzé Professorship for a distinguished woman scholar at the Massachusetts Institute of Technology. Seven women have held the post, one of them the winner of a Nobel Prize in chemistry.

For many years, Mrs. Mauzé was secretary of the Rehearsal Club, an organization founded in 1914 primarily to house and help young women start performing arts careers. The club's building on West 53rd Street was bought and renovated for the club by Mrs. Mauzé's father; it has been owned by the RBF since 1973. Mrs. Mauzé was not only a member of the club's board, but one of its strongest financial supporters; she made annual gifts to the club and named it as a beneficiary in her will.

As a philanthropist, Mrs. Mauzé was especially interested in population, the welfare of hospital patients and conservation. As an early supporter of planned parenthood programs, initially in New York City, she took an active interest in birth control long before it became a subject of general public discussion.

In hospital care, she had a particular concern for those suffering from cancer. She contributed generously to Memorial Sloan-Kettering Cancer Center in New York, where her personal gifts amounted to nearly \$8.8 million over a period of 20 years. A bequest in her will has been used to create an entire floor at Memorial as a recreation pavilion, dedicated "in tribute to her compassion and concern for the well-being of patients and their families."

In addition, she made a bequest of \$1 million to Rockefeller University in the "hope that it can be used to support research related, whether directly or indirectly, to the prevention and treatment of cancer." The bequest made possible the establishment of the Abby Rockefeller Mauzé Professorship. Mrs. Mauzé was also an anonymous benefactor of other hospitals in the city.

Her joy in giving was never greater than in the creation of a small park on the East Side of Manhattan. Although Mrs. Mauzé had contributed to various conservation and environmental programs over the years, she discovered in Greenacre Foundation, which she established in 1968, a way to combine her love of New York City and her interest in conservation.

Through this foundation, Mrs. Mauzé built Greenacre Park in a commercial and residential area on East 51st Street and dedicated it in 1971 as a gift to the people of the City of New York. Designed by landscape architect Hideo Sasaki, Greenacre Park – with its 25-foot-high waterfall and grove of honey locust trees – occupies three adjoining lots in the middle of the block.

One of the elements of the park is a fountain and pool complex, to which the RBF contributed construction costs in 1971. After its completion, Mrs. Mauzé continued to give the park her personal concern and attention. She derived much pleasure from selecting shrubs and flowers and overseeing their placement for the most pleasing and restful effect. In her will, Greenacre Foundation is the beneficiary of a substantial bequest to perpetuate care of the park.

Mrs. Mauzé's many benefactions will be long remembered in the institutions that received them. Few memorials to her, however, could be more fitting than Greenacre Park, daily testimony to the difference one thoughtful philanthropist can make in the life and spirit of a great urban metropolis by providing, as she hoped, "some moments of serenity in this busy world."

## About the RBF

The Rockefeller Brothers Fund is a foundation of \$209,161,359 in assets that disbursed \$10,374,106 in grants in 1976. Since it was established in 1940 by the five Rockefeller brothers, it has made contributions totaling \$170,453,073.

The RBF makes grants under three programs – national, New York City, and international. Descriptions of these programs follow.

### RBF Programs

Each of the RBF's three programs is administered by a small staff responsible for implementing the policy guidelines established by the Fund's trustees. Expenditure figures and the number of grants listed with each program area are meant to give a general idea of how the Fund allocates its available grant money.

**The National Program.** Total expenditures in 1976: \$4,334,433 (121 payments). Under the Fund's national program, grants are made in the four areas listed here. Where possible and practical, the Fund supports projects that overlap these program divisions.

**ECONOMIC OPPORTUNITY AND DEVELOPMENT.** Expenditures in 1976: \$935,000 (20 payments). Emphasis: projects that can affect jobs and economic conditions among minorities and in economically deprived regions of the country. The Fund aims here to support models of economic development in low-income communities.

**ENVIRONMENTAL INTEGRITY.** Expenditures in 1976: \$1,468,500 (23 payments). Emphasis: ways to help the United States achieve long-term balance among population, resources, economic development, environmental pollution, and technological progress; methods and institutions for environmental planning at either the regional or national level.

**EQUAL RIGHTS.** Expenditures in 1976: \$882,036 (24 payments). Emphasis: support of projects and organizations that assist minority population groups in the United States to attain their rights as U. S. citizens, with special attention to the monitoring of national commitments to equal rights in public policy and practice.

**CIVIC AND CULTURAL VALUES.** Expenditures in 1976: \$1,075,622 (49 payments). Education, the arts, national values, and the process by which these are communicated to the citizenry (publishing, television and radio, and other forms of public communication) are all joined under this program. Special attention is given to finding an appropriate way for the private sector to help cultural and educational institutions during the present difficult period. Emphasis: in education, private secondary schooling and open-classroom programs; in the arts, national service organizations, the visual arts, and new means of financing the arts; in values, ethics in governmental and corporate policies, theological studies; and in communications, public television and symposia.



**PHILANTHROPIC SERVICE ORGANIZATIONS.** Expenditures in 1976: \$73,275 (5 payments). Together with other foundations, the RBF supports several organizations that provide services to the philanthropic community as a whole, such as the Council on Foundations and The Foundation Center.

**The New York City Program.** Expenditures in 1976: \$4,017,928 (75 payments), including \$312,000 added by the RBF board for projects directly related to the city's fiscal crisis and payments on five special grants – to the Metropolitan Museum, the Museum of Modern Art, the Columbia-Presbyterian Medical Center Fund, Memorial Sloan-Kettering Cancer Center, and Educational Broadcasting Corporation – totaling \$2,150,000.

The objective of the Fund's New York City program is to improve the quality of life in New York, the RBF's home community, by encouraging more comprehensive, efficient, and publicly accountable approaches to problems in the four areas below.

**HOUSING AND COMMUNITY DEVELOPMENT.** Expenditures in 1976: \$436,986 (14 payments). Emphasis: ways to stabilize existing housing in the city and to revitalize moderate- and middle-income neighborhoods through preventive therapy, rehabilitation, new patterns of maintenance and ownership, and the encouragement of community development and self-help efforts.

**PUBLIC EDUCATION.** Expenditures in 1976: \$596,500 (13 payments), including \$225,000 for a special grant. Emphasis: attempts to strengthen private agencies outside the public school system that work with the New York City Board of Education to effect change and efforts within the public system that try to improve the schools' performance. Grants are made to projects in parent education and information, school experiments, legal rights and litigation, renewal for principals and teachers, and research, evaluation, and documentation of successful programs.

**HUMAN SERVICES.** Expenditures in 1976: \$1,679,692 (25 payments), including \$1.05 million in payments on special grants. The RBF has long given support to the city's voluntary health and welfare organizations for their social and recreational services to the city's poor. Present emphasis: cooperative relations between public and private agencies, action-oriented studies that have broad implications for the human service field, selected major voluntary organizations, and techniques to improve the accountability and management of publicly funded programs.

**ARTS AND CULTURE.** Expenditures in 1976: \$1,304,750 (23 payments), including \$875,000 in payments on special grants. The Fund supports the arts in New York City in the belief that they contribute to the city's social, economic, and educational life. Emphasis: broad-constituency service organizations, programs that link the resources of cultural organizations to the public school system, selected major institutions, community-based organizations that express the vitality of the city's cultural mix, and projects that address issues and policies affecting the well-being of the cultural scene as a whole.

**The International Program.** Total expenditures in 1976: \$1,921,745 (59 payments). The RBF's international program is directed at two objectives – structuring interdependence among nations and helping the developing countries of Africa, Asia, and Latin America provide for their basic needs.

**STRUCTURING INTERDEPENDENCE.** Expenditures in 1976: \$692,050 (25 payments). Emphasis: projects that try to translate the concept of interdependence among nations and peoples into reality. Grants are concentrated on specific projects in international economic management, international cooperation, and science and technology.

**DEVELOPING COUNTRIES.** Expenditures in 1976: \$1,229,695 (34 payments). Emphasis: selected needs and aspirations expressed by people themselves in the developing countries of Africa, Asia, and Latin America. Grants currently concentrate on the expansion and diversification of rural economic opportunities, especially the direct generation of employment through small business advancement and practical training and on the management of wildland resources, such as forest lands, parks, and allocated natural areas. Geographic focus is on southern and West Africa, Central America and the Caribbean, and Southeast Asia.

### How to apply for a grant

To qualify for a grant from the RBF, as from most other private foundations, a prospective grantee must either be a tax-exempt organization or an organization seeking

support for a project that would qualify as tax-exempt. A grantee must also be engaged in work that fits generally within one of the three programs outlined here.

Proposals to the RBF should 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 list of those who serve as board members or advisers to the project, and a carefully prepared, realistic budget. 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 statement, 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.

Although the RBF has made substantial gifts to organizations and programs in which it has considerable interest, most grants run between \$5,000 and \$50,000, the average between \$25,000 and \$35,000.

It should be noted that the Fund does not make grants to individuals nor does it, as a general rule, support research, graduate study, or the writing of books or dissertations by individuals.

### **Grant procedure**

Each proposal to the RBF is reviewed by one or more members of the staff, who try to be prompt in notifying applicants if their proposals cannot be accepted. If a project seems promising, staff members may ask for further information and almost certainly for a meeting with the principal organizers of the project. Grants are awarded by the trustees, who meet regularly.

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 are expected to follow projects along throughout the life of the grant and to evaluate the project at the end of the period. These evaluations become part of the Fund's permanent records.

## RBF-Sponsored Projects of Special Interest in 1976

The RBF made more than 250 payments during 1976 to what it considers important and worthy projects, but there are a few that might be described in a bit more detail here. In most cases, they have grown from the Fund's deep interest in a particular subject or geographical area and thus are the result not only of a good deal of trustee and staff time but often of specific initiatives the Fund has taken – either on its own or, more often, with other foundations and nonprofit organizations – to try to produce solutions to basic problems.

### The National Program

**Equal Rights, Economic Opportunity and Development.** For many years the RBF has been active in both the North and South in trying to help members of American minority groups achieve greater participation in the social, legal, economic, and political life of the country. Much of the Fund's effort has been focused on programs that help to enfranchise minorities, provide for their legal defense, and extend their chances for education.

Although the Fund continues to support such programs (see list of grants under both Equal Rights and Economic Opportunity and Development), in the last few years the RBF has turned increasingly to efforts, particularly in the South, that help low-income people advance economically.

The RBF's Economic Opportunity and Development program follows several strategies here. One is to help local, regional, and national development groups expand their operations by making available to them capital for planning, generating new ideas, and exploring new forms of cooperation.

- **OPPORTUNITY FUNDING CORPORATION (OFC)**, for example, is a privately based minority lending institution created in 1970 by the Office of Economic Opportunity to provide models for economic development in low-income areas and to increase the flow of private capital and credit in such communities. The corporation has become an important resource to a variety of investors interested in the rehabilitation of low-income areas and in rural economic development. In 1976, OFC and the Cooperative Assistance Fund invested in the Southern Agriculture Corporation (SAC), a profit venture launched in 1975 to give small farmers access to capital investment, modern technology, management services, joint purchasing, and profitable markets. SAC's method is to find those commodities that small landholders can successfully produce and market at relatively low risk, in some cases by operating under subcontracts and cooperative arrangements. The RBF has been a supporter of OFC since 1974; the Fund's 1976 grants have brought its total contributions to \$393,000.

Another strategy is to assist organizations that are trying to make the most of their present equity base.

- **THE EMERGENCY LAND FUND (ELF)**, established in 1971, is a foundation that tries to slow the growing rate at which minorities in the South are losing their land (black-owned land in the seven Southeastern states dropped from 16 million acres in 1910 to less than 6 million acres in 1969, a recent loss rate of 330,000 acres a year) by providing them with legal, financial, technical, and public information services. ELF is also helping these landowners put their land into profitable production by introducing the kind of agricultural and energy-saving ideas that are practical for small farmers. RBF contributions to the Emergency Land Fund since 1973, including a 1976 grant of \$50,000, total \$220,000.

A third strategy is to recommend changes in government policies that traditionally neglect the poor and the minorities and that were focused during the '50s and '60s primarily on the urban areas, often to the exclusion of rural needs.

• **THE SOUTHERN REGIONAL COUNCIL**, as one illustration of this strategy, organized a Task Force on Southern Rural Development in 1975 to provide a comprehensive background for government organizations, private foundations, and businesses active in the South. The task force was composed of 26 prominent industrialists, governors, educators, and community leaders. Their recommendations, contained in the report, *Increasing the Options*, covered such subjects as national growth policy, regional development policy, rural finance, transportation, and land use; rural employment problems, manpower policies and programs; rural organizations and the political process; and agricultural, energy, and industrialization policies. The RBF contributed \$56,000 to the task force in 1975 and \$50,000 in 1976 toward the council's general operations and a conference on the task force report.

A fourth strategy was developed in part out of the work of this task force – a specific program to provide information on rural problems to policymakers.

• **THE NATIONAL RURAL CENTER** was created in 1975 to develop information about the needs of people in rural areas; to recommend rural policies and programs to decision makers in and out of government (business, labor unions, financial and credit institutions, colleges and universities); and to monitor and report the results. Although nearly half the nation's poor live in rural areas and many of the country's most pressing problems have originated in the displacement of millions of rural people who have no preparation for urban living, most of the nation's human resource development policies are formulated with urban rather than rural conditions in mind. The result is that, except for agribusiness, mining, and rural electrification interests, rural problems have received little attention from government leaders; few rural specialists have been developed to design and implement rural programs; and rural transportation, communications, cultural, health care, and legal services, which urban dwellers take for granted, are limited at best and in some rural areas virtually nonexistent. The center maintains close contact with rural organizations, undertakes some demonstration projects, and publicizes rural problems, in addition to gathering information and advising on public policy. Funding for the center, which is located in Washington, comes primarily from the departments of Labor, Commerce, Agriculture, and Health, Education and Welfare, and from several foundations, including the RBF, which contributed \$57,000 to the center's startup budget in 1976.

A fifth strategy the RBF has employed in its Economic Opportunity and Development program is to support organizations that seek the enforcement of equal opportunity provisions of civil rights legislation.

• **THE LAWYERS' COMMITTEE FOR CIVIL RIGHTS UNDER LAW** has received several grants from the Fund; the most recent, in 1976, for \$95,000 brings the RBF's total contributions to \$412,450. The Lawyers' Committee, finding that state and local governments are often slower to hire minorities than private corporations, has brought several suits in behalf of minorities who have been prevented from holding government jobs.

• **THE COUNCIL FOR PUBLIC INTEREST LAW**, to which the Fund has made several grants under its Equal Rights program, has undertaken several activities that are closely related to the Lawyers' Committee project. The council encourages individual lawyers and law firms, especially those with interests in minority rights, to undertake *pro bono publico* activities. Formed in 1974 as the result of a meeting of leaders in the legal profession, the council has filed a major *amicus curiae* brief on the awarding of attorneys' fees in employment discrimination cases under Title VII of the Civil Rights Act; it has also completed a comprehensive research project on the financial needs in public interest law and met with local and state bar associations around the country to solicit their interest and further contributions to *pro bono* legal activity. The RBF was one of the original supporters of the council, along with the Edna McConnell Clark Foundation and the American Bar Association Endowment. The Fund's grants to the council over the last three years have totaled nearly \$160,000.

**Environmental Integrity.** Since its earliest years, one of the RBF's major program areas has been in projects to study and protect the natural environment. In 1976, environment-related grants amounted to about a third of the national program expenditure. Some of these grants have gone to organizations that are experimenting with new sources of energy and ways to conserve it, but most of the Fund's environmental grants are now concentrated on bringing to the attention of the public the information it needs to make intelligent, long-range environmental policy decisions.

• **WORLDWATCH INSTITUTE** is an organization that was established in 1974, largely with RBF support, as an early warning system on global problems and social trends. Worldwatch has published five books and a dozen papers on such subjects as the firewood crisis (more than a third of the world's population uses wood for cooking), the worldwide pressures on North American food supplies, the case for energy conservation, the impact of the changing status of women on society, the loss of productive land, and the rise of environmentally induced illnesses. The papers are circulated among policymakers, government leaders, journalists, and the general public on every continent. They are used to inform the making of national policies around the world and have been the subject of hundreds of editorials and articles in the public media. The RBF has granted \$500,000 to the institute since its founding; other supporters are the United Nations Environment Program, the U. N. Fund for Population Activities, the Edna McConnell Clark and Kettering foundations, and private individuals.

• **THE ENVIRONMENTAL AGENDA PROJECT** was organized by the RBF in mid-1976 as a way of formulating an explicit agenda for constructive action on the problems that environmentalists think will be the most urgent in the next decade. The project, which was based at the RBF, sponsored a task force of the most knowledgeable leaders of U. S. environmental groups – among them the National Audubon Society, the Sierra Club, the National Wildlife Federation, the Environmental Defense Fund, and the Natural Resources Defense Council. The task force sought from 63 experts – lawyers, scientists, engineers, journalists, and other professionals in the environmental field – assessments of the most critical environmental issues and ultimately edited these ideas into a report called, *The Unfinished Agenda*, which was published in early 1977 by Thomas Y. Crowell Company as a “citizen's policy guide to environmental issues.” The report makes 75 recommendations, calling for such measures as removal of tax and other incentives for large families, progressively increased taxes on gasoline, withdrawal of subsidies to nuclear energy industries and phasing out of existing nuclear plants, and a halt to the conversion of prime agricultural lands to other uses. The \$65,000 study was paid for and administered by the RBF.

**Civic and Cultural Values.** Few U. S. institutions have escaped the effects of the current tight economy and the leveling off of population growth, but educational institutions – especially private secondary schools and colleges – have suffered some of the most noticeable difficulties. Enrollments have declined for many of these schools; because middle-class families often cannot afford them, their population tends to divide between wealthy students and those on scholarships; the traditional private-school curriculum has seemed to be of marginal utility in today's job market; and there has been growing dissatisfaction among private-school leaders with their institutional goals and mission.

As part of its effort to help such institutions during this period, the Fund has been working with several school associations to find some answers to the immediate future.

• **THE COMMISSION ON EDUCATIONAL ISSUES**, operated under the auspices of the National Association of Independent Schools, is the most comprehensive of these attempts. The association, which represents 800 leading independent schools throughout the United States, founded the commission in 1974 “to define and advocate an enlarged public mission for the independent school and to relate the activities of these schools to the broader issues in education,” in the belief that independent schools were not making as much of a contribution to educational practices as they could and that they had something valuable to offer the educational community.

The commission's program has prodded several schools to provide its students with experiences outside their cloistered halls; to make underused private facilities available to public school students; to experiment with age-integrated education that involves alumni, parents, and older friends; to publish the results of their uniquely successful programs for the benefit of public agencies and other educators; and to study educational ideas and national trends so they can plan more intelligently for the future. In the three years that the commission has been in operation, the RBF has contributed \$150,000 to its work; the third and final grant in 1976 was matched by gifts from other sources, through which the commission expects to continue the program.

## New York City Program

The last two years, 1975 and 1976, were among the most difficult in New York City's history. They brought to a head a period in which the city has lost businesses and jobs to other parts of the country, contended with spreading decay in housing, had to cut back on a variety of services including support of its cultural institutions, and tried to sustain a dependent population of 1.1 million people – one out of every eight persons in the city – who are on welfare. New York City has long been the country's main acculturation center for successive waves of new immigrants, and its comprehensive human service programs, aimed largely at the poor, account for a large proportion – two-thirds in 1976 – of the city's annual budget. It is generally agreed that the costs of human services, combined with an eroding tax base and years of borrowing, have nearly bankrupted the city.

Although there are obvious limits to what one relatively small foundation can do to improve New York's plight, the RBF has made several grants in collaboration with other foundations and private agencies to help devise sensible changes in the city's financial planning and to preserve a reasonable quality of life for New York.

**Housing and Community Development.** It has become a common urban problem that as residential areas begin to decline, property owners determined to stay in neighborhoods where they have their roots are unable to get loans to renovate their homes. Banks consider their applications high risk because they fear that a combination of low incomes, rising abandonments, and overcrowding indicate an irreversible trend. Several efforts have been made in New York and other cities to restore the confidence of both the banks and the homeowners.

• **NEIGHBORHOOD HOUSING SERVICES OF JAMAICA, INC.** (JNHS) is one of the most successful of these programs. First tried in Pittsburgh in 1968, the NHS concept is to form an alliance of homeowners, citizens, city officials, bankers, and local foundations to assemble a revolving loan fund for homeowners who do not qualify for conventional bank loans. JNHS provides counseling, helps homeowners negotiate with reputable contractors, gives courses in maintenance, and arranges inspections and supervision of rehabilitation work. The Jamaica program, organized in 1974, has had significant effect

in stabilizing a deteriorating section of Queens. Banks have broadened their definition of what constitutes a bankable loan, several bankers have joined the board of JNHS, and 34 high-risk loans were granted for home renovation during the first year, only three of which resulted in delinquencies. The RBF has made two grants to JNHS, \$60,000 in 1974 and \$30,000 in 1976, both to the JNHS revolving loan fund.

**Public Education.** The RBF has made many grants over the years to education projects in New York, but in 1973, after an exhaustive study of the city's schools, the Fund included public education in its New York City program as one area of special interest. The RBF study found that not only was the city's expensive school system failing to educate a large proportion of its students and this failure contributing to the exodus of many families from the city, but in spite of the hard-fought struggle that New York communities had won in the late 1960s to decentralize control of the schools, more and more decisions were being made without the participation – and even knowledge – of the system's clients and the taxpaying public.

RBF grants to two projects in 1976 were meant to increase the participation of parents, community groups, and advocacy organizations in board of education decisions and to inform parents and the public about the schools.

• One grant, to the **CITIZENS' COMMITTEE FOR CHILDREN**, has paid for the logistical support of the Educational Priorities Panel, initiated with RBF support in 1975. From a tentative beginning, the panel has grown to include 16 of the most prominent educational, community, and civic organizations in the city. The purpose of the panel is to represent the interests of parents and other taxpayers in the budget reductions made by the New York City board of education as the result of cutbacks forced on the schools in the city's continuing fiscal crisis. The panel's research and public

reports have resulted in significant changes in board of education priorities. In one instance, the panel's analysis of a budget item shifted \$5 million from questionable central administrative programs to the restoration of classroom services. Perhaps equally important, the panel has demonstrated that a coalition of private organizations in the city – long advocated by leaders of educational reform in New York – can operate effectively in behalf of better schools. The panel has now generated support from other foundations, as well as the RBF. The total amount contributed to the panel's work by the Fund in 1975 and 1976 was \$54,000.

• **CITY SCHOOL NEWS, INC.**, created in 1976 with grants from the RBF and the Exxon Corporation, is a nonprofit organization whose purpose is to provide information about the schools, primarily to parents. The method City School News uses to reach the public is one- to three-minute programs on local radio stations, which agree to air the programs as part of their public affairs mandate. In addition to its regular radio programs, City School News operates a referral service for parents who call with particular problems; it also helps radio and television stations find people to take part in discussions about school issues. Since City School News was organized, the RBF has contributed \$125,000 toward its operating expenses, including a \$75,000 grant in 1976.

**Human Services.** Public and private agencies in New York City spent an estimated \$5.5 billion in fiscal 1976 to deliver a variety of services to people in need. New York City, in fact, is second only to the federal government in its expenditures for health, education, welfare, unemployment benefits, housing, and similar support systems. Public-assistance rolls have nearly tripled since 1961; the 1.1 million people on welfare now in New York City constitute the largest welfare population in the country.

• **THE TASK FORCE ON THE NEW YORK CITY CRISIS** is one such effort. It is a temporary, *ad hoc* coalition of the principal voluntary human service networks in the city – the Federation of Protestant Welfare Agencies, the Federation of Jewish Philanthropies, the Catholic Charities of New York and Brooklyn, United Neighborhood Houses, to name a few – many of which have not worked closely together before. The task force's principal purposes are to obtain and disseminate accurate, up-to-date information on the city's financial condition; to analyze the impact of the continuing fiscal crisis on human services programs and clients; to perform a wide variety of advocacy functions in public and private sectors; and to offer to appropriate city, state, and federal officials recommendations for maintaining and improving the delivery of human services to New York City citizens in need. The task force is sponsored by the Community Council of Greater New York and funded cooperatively by the Greater New York Fund, the New York Community Trust, and the RBF. The RBF's contributions to the task force since it was organized in 1975 total \$83,000.

**Arts and Culture.** A mayoral study group in 1974 estimated that there are more than 1,500 cultural organizations in New York City. They constitute what is easily the largest, liveliest, and most varied cultural community in the world. In its New York City arts and culture program, the RBF has tried to consider the needs of this varied community, and its grants have gone to the great established institutions that serve a national and international constituency as well as arts groups created by and for the city's individual neighborhoods.

• **THE METROPOLITAN MUSEUM OF ART** is perhaps typical of the cultural institutions in New York that the RBF has supported over the years. Most recently the Fund's gifts to the museum have been made for the integration of the Museum of Primitive Art – an institution founded in 1954 to further recognition of the arts of Africa, Oceania, and the Americas – into the Metropolitan as the museum's new Department of Primitive Art. The department is to be housed in the Michael C. Rockefeller wing, now under construction. Since the agreement between the two museums was signed in 1969, the RBF has made grants to the Metropolitan totaling \$1.625 million for construction of the wing and installation of the collections. Of this sum, \$350,000 was appropriated in 1976 for installation, and \$250,000, for the building, remains on a \$1 million pledge to be paid by 1981.

For smaller arts groups, rather than select a few for annual budgetary grants, the Fund has chosen to support organizations that serve either an entire segment of the arts or several small community-based centers whose common problems can be answered, at least in part, by training, consultation, and shared expertise.

• **THE VOLUNTEER URBAN CONSULTING GROUP (VUCG)** is a nonprofit consulting firm that helps other nonprofit groups solve business problems. Founded in 1969 by the Harvard Business School Club of New York, VUCG draws on the volunteered services of the alumni of eight business schools and, on some assignments, professional organizations and corporations. Volunteers can provide help in almost every phase of organizational operations, from finance and accounting to marketing. In 1975, grants from the RBF and the New York State Council on the Arts enabled VUCG to expand its services significantly to New York City arts organizations. Grants totaling \$40,000 in 1975 and 1976 provided many cultural groups with access to managerial and technical expertise that they otherwise could not afford and enabled the RBF to strengthen more agencies than it might have done through individual general budgetary grants.

**Economic Development.** Because New York City's fiscal policies have been dictated over the years more by politics than economics, city and state leaders were little prepared either for the 1975 fiscal crisis or for the kind of decisions it thrust upon them. Although New York City abounds with financial experts – in banks, corporations, and business schools – they have not often been called on to solve the city's problems. But the present crisis has aroused enough concern about the city's economy among experienced forecasters outside City Hall so that forms of cooperation are now possible that might not have been brought to bear on the city's problems before.

• **PACE UNIVERSITY** and the **WHARTON ECONOMETRIC FORECASTING ASSOCIATES** were among the first institutions to organize a cooperative project that would assemble information and try to understand the city's underlying economic situation in order to predict its future. The purpose of the Pace-Wharton effort is to construct an econometric model of the city and its surrounding region by analyzing the kind of economic activity that has taken place here in the last 25 years – in such areas as employment, production, sources of income in various sectors, tax rates and yields, energy consumption, intergovernmental transfers – and to study the model to discover what the economic effects would be of various decisions. For example, what policies would do the most to reverse the exodus of business and a skilled labor force from the city? How much does the suburban ring depend on the economic health of the city, and vice versa? How much do real estate taxes have to be cut and how much new housing has to be built to bring middle-income residents back to the city? What kind of tax package might provide needed revenues for essential public services and still allow New York City to be economically competitive? The project, which is estimated to take two years, is being supported by a group of banks, insurance companies, public agencies, and foundations, including the RBF, which contributed \$50,000 in 1976.



## International Program

The Fund's international program is based on these assumptions: (1) Many international problems have become so complex and intractable that they often elude solution through conventional channels; there is thus a critical need for initiatives by private institutions, such as foundations, that are not stifled by politics or bureaucracy. (2) Attempts to solve international problems do not always require massive expenditures. Limited amounts of money, carefully placed, can effectively foster international cooperation and help developing countries with their problems.

The RBF currently concentrates its grants in two areas – structuring interdependence and working with developing countries in Africa, Asia, and Latin America as they create their own futures.

**Structuring Interdependence.** That interdependence among nations and peoples is now a global reality has been most graphically demonstrated in recent years by a single commodity, oil. Almost every decision made by either a producing or consuming nation on this subject reverberates in the rest of the world. Yet international life often functions as though nations were still isolated from each other – as though confrontation rather than cooperation were an acceptable international style. It is the belief of the Fund that the nature of interdependence and the ways in which it can be structured need to be more widely understood and that an opportunity exists to mold a new appreciation of common problems and to work from them toward relatively harmonious solutions.

International program grants are directed toward these specific targets that have a direct bearing on structuring interdependence:

- (a) international economic management, especially in food, energy, trade, and producer- and consumer-country relations;
- (b) international cooperation, with emphasis on (1) relations between the United States and Europe, Japan, Canada, and the developing countries, (2) international law and human rights, and (3) humanitarian assistance;
- (c) science and technology, with intensified interest in the development of intermediate technology and the revolution in global communications.

- Perhaps the best known of the RBF-supported organizations at work on issues of interdependence is the **TRILATERAL COMMISSION**, which was founded in 1973. The commission was created at a time when U.S. relations with its allies were at a low ebb and leading citizens from the developed democracies of Western Europe, North America, and Japan felt the need for a private mechanism through which they could discuss major issues facing the three regions. The commission is made up of about 200 individuals, who meet twice a year to consider reports from commission task forces. The reports have dealt with such subjects as the world monetary system, the crisis in international cooperation, directions for world trade in the 1970s, the need and strategy for a trilateral approach to the energy crisis, a global perspective on the oceans, commodity supplies, and East-West relations. Several members of the commission – including President Jimmy Carter and his secretaries of State, Treasury, and Defense – have become part of the new administration in Washington. The RBF has made grants to the commission totaling \$370,000, including an appropriation made in 1976 for the fiscal years 1977-1979.

**Developing Countries.** More than half of the international program budget in 1976 went to projects dealing with basic needs and aspirations that people in the developing countries of Africa, Asia, and Latin America have articulated themselves. In order to have maximum effect, the Fund is focusing on rural development and management of natural and cultural resources in southern and west Africa, Central America and the Caribbean, and southeast Asia.

**Rural Development.** One-third of the world's people, those living in the high income countries, consume three-quarters of the world's protein. Of the 2 billion people in the hundred developing countries, 800 million – 40 percent – are barely surviving. These people need not only food but jobs, education, health care, and dignity. The Fund's rural development grants are aimed specifically at generating employment in rural areas, through self-help projects and practical training in small agricultural and nonagricultural business. One example:

- **KWENENG RURAL DEVELOPMENT ASSOCIATION (KRDA).** The Fund's largest program in Africa is in Botswana, which is developing an open, stable society that has become a model for the troubled surrounding southern African region. RBF support for the association has

become a basic component in this program. Formed in 1969 and organized as a nonprofit trust in 1971, KRDA provides training and employment in the Kweneng district at the edge of the Kalahari Desert. The association, widely acclaimed as an outstanding self-help rural job creation agency, now operates a garment-making cooperative, a building supply workshop, a forestry program, a modest hotel, and a garage/workshop/service station. The Fund has supported KRDA since 1973. The primary purpose of its grants (the first, a total of \$70,000 to launch the garage and service station) was to help stem the high rate of outmigration of young people from the Kweneng district. In 1976, the Fund pledged \$70,000 to help KRDA expand its forestry program, the first reforestation and soil reclamation program in Botswana; launch a pilot bee-keeping project, designed to be self-sufficient in three years; and develop a reserve fund to ease cash flow problems.

#### **Management of Natural and Cultural Resources.**

Wildlands, which constitute more than 50 percent of the land mass of the developing world, are an important source of food, fuel, and water. Yet if present trends continue, it is estimated that population growth and resource exploitation will destroy or severely degrade most of these areas by the year 2000, and up to one million species of plants and animals will become extinct. The Fund is therefore helping with wildland management planning, training of professional and technical personnel, related public education, and demonstration projects that make use of wildland resources for jobs and economic development without destroying them. In carrying out this work the RBF usually teams up with operating agencies from developing countries as well as other donors. An example:

- **THE TROPICAL AGRICULTURAL CENTER FOR RESEARCH AND TRAINING CENTER (CATIE)** in Turrialba, Costa Rica. The six countries in Central America face critical pressures on their wildland resources – particularly water, forests, and wildlife. CATIE, an agricultural research and training institution serving the region, has responded to these pressures with an integrated program aimed both at the economic and social conditions of the people in the rural areas and at the long-term management of the wildland resources on which they depend. As a part of this program, CATIE's forest sciences department will

assist in the management and development of a pilot national park or similar reserve in each country of the region; help in the possible establishment of a management authority for wildland resources in a region covering parts of Honduras, Nicaragua, and Costa Rica; provide in-service training for middle management personnel in the administration of reserve and wildland areas; help launch a Central American regional committee to guide efforts to manage wisely the natural and cultural resources of the region; and sponsor limited research on crucial resource management issues. The Fund made two grants in 1976 to CATIE. The first (\$3,500) helped pay for the cost of a workshop to plan the program. Subsequently the Fund pledged \$182,750 to CATIE over a 2½-year period to implement the program.

#### **Major Capital Gifts in 1976**

Four relatively large contributions – to the Center for Inter-American Relations, the Ramon Magsaysay Award Foundation, the Metropolitan Museum of Art, and The Riverside Church – were made during the year. These are the first of several such special grants the RBF will be considering in the next few years to organizations in which the Fund, working with its trustees, has played a major role, either through initiation of the project, through leadership, or through substantial support over the years.

## Grants and Contributions Paid or Approved for Future Payments During the Year

### NATIONAL PROGRAM: Civic and Cultural Values (\$1,075,622 – Paid)

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>American Philosophical Association</b> <i>Newark, Delaware</i> For general budgetary support of the association's Committee on Philosophy and Medicine, which serves as a clearinghouse for information concerning research and teaching developments in the areas where philosophy and medicine interact.	\$ 4,000	\$ –	\$ 4,000	\$ –
<b>American Political Science Association, The</b> <i>Washington, D.C.</i> Toward the association's Congressional Fellowship Program, which, in part, provides, through an internship program, selected young political scientists and political journalists with exposure to the operation of the national legislative process.	45,000*	30,000	15,000	–
<b>Aspen Institute for Humanistic Studies</b> <i>New York, New York</i> For general budgetary support of this organization devoted to thought and action in the areas of contemporary life that will be most affected by the changes transforming the modern world. Toward its Program on Communications and Society, a long-term project to identify major issues relating to the communications media and to formulate policies and actions for dealing with those issues.	30,000 100,000*	– –	30,000 50,000	– 50,000
<b>Association of American Dance Companies, Inc.</b> <i>New York, New York</i> For general budgetary support of this national service organization for dancers and dance companies.	5,000	–	5,000	–
<b>Bank Street College of Education</b> <i>New York, New York</i> Toward its Center for Research and Training in Open Education which offers to professional educators a program of residencies, internships, and short-term institutes.	235,000*	135,000	100,000	–
<b>British-American Associates, Inc.</b> <i>Washington, D.C.</i> Toward costs of the London exhibition, "Two Thousand Years of North American Indian Art."	10,000	–	10,000	–
<b>Cambridge School, Inc.</b> <i>Weston, Massachusetts</i> Toward its Life-Dorm Planning Project, in which students and faculty will design, build, and live in a home incorporating experimental concepts in resource use, energy conservation, and alternative technologies.	16,000	–	5,000	11,000
<b>Center for Policy Research, Inc.</b> <i>New York, New York</i> Toward a study, under the direction of Waldemar A. Nielsen, of the concepts and procedures employed in several advanced nations for the support of the nonprofit sector.	50,000*	25,000	25,000	–

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Cohoes Music Hall, Inc.</b> <i>Cohoes, New York</i> Toward restoration of the hall, which is the third oldest theater in the United States.	\$ 5,000	\$ -	\$ 5,000	\$ -
<b>Colonial Williamsburg Foundation</b> <i>Williamsburg, Virginia</i> To underwrite a contingent commitment incurred in the acquisition of Carter's Grove Plantation, Virginia, for exhibition as an historic property.	290,000*	-	-	290,000
<b>Conference Board, Inc., The</b> <i>New York, New York</i> Toward a research project to develop and disseminate reliable data concerning the scope and character of education and training programs currently being provided by corporations for their employees in the United States.	30,000*	15,000	15,000	-
<b>Dallas, University of</b> <i>Irving, Texas</i> Toward support of the International Conference on Psychology and Social Policy to explore how psychology can be better utilized in political, economic, and social problem decision-making and policy formation.	11,300	-	11,300	-
<b>Dartmouth College, Trustees of</b> <i>Hanover, New Hampshire</i> Toward the college's Public Affairs Center for a new program in policy studies designed to integrate student and faculty field experience in regional environmental and economic problems with their academic courses.	30,000	-	30,000	-
<b>Educational Testing Service</b> <i>Princeton, New Jersey</i> Toward a comprehensive assessment program on reading, undertaken in collaboration with teachers from open classroom schools and advisories across the country.	42,500	-	42,500	-
<b>Emma Willard School</b> <i>Troy, New York</i> A supplementary contribution toward a study of women's secondary education in the United States.	1,200	-	1,200	-
<b>Far West Laboratory for Educational Research and Development</b> <i>San Francisco, California</i> Toward support of a nationwide information and resources exchange for teacher centers.	20,000	-	20,000	-
<b>Fund for Theological Education, Inc., The</b> <i>Princeton, New Jersey</i> Toward the expenses of the Hispanic Ministerial Fellowship Program and the Hispanic Doctoral Fellowship Program in the year ending June 30, 1977.	27,500	-	27,500	-
For expenses of the program in 1978.	30,000	-	30,000	-

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>George Washington University</b> <i>Washington, D.C.</i> Toward the initial operating costs of the university's National Museum Education Center which will collect and disseminate information about museum education programs to the museum profession.	\$ 25,000	\$ -	\$ 25,000	\$ -
<b>Graduate Theological Union</b> <i>Berkeley, California</i> For general budgetary support of GTU's Center for Ethics and Social Policy, which promotes the study of the ethical considerations involved when major policy decisions are made by corporations, governmental bodies, and public service agencies.	20,000	-	20,000	-
To promote closer coordination of the nonacademic activities of the member seminaries of the Graduate Theological Union.	35,000*	20,154	12,070	2,776
<b>Harvard University</b> <i>Cambridge, Massachusetts</i> Toward a reassessment of early American history through an archival study of the recruitment, development, and character of the American population from the beginning of settlement until the end of the 19th century.	212,522*	24,181	44,751	143,590
<b>Indiana University, The Trustees of</b> <i>Bloomington, Indiana</i> Toward a special study project, "The Moral Foundations of American Institutions," conducted by the university's Poynter Center which seeks to educate citizens in the analysis and evaluation of American institutions.	5,000	-	5,000	-
<b>Institute of Religion, The</b> <i>Houston, Texas</i> Toward the "Lay Pastoral Care Project" to provide clinical training that will enable lay persons to make helpful visits to the homes of their fellow local church members at times of distress.	15,000	-	15,000	-
<b>Institute of Society, Ethics and the Life Sciences, Inc.</b> <i>Hastings-on-Hudson, New York</i> Toward the education program of the institute, which is evaluating on cross-disciplinary bases the ethical questions arising from research developments in the life sciences.	75,000*	55,000	20,000	-
<b>Interchurch Center, The</b> <i>New York, New York</i> Toward "Project FORWARD '76," which is assisting organizations in providing a religious dimension to the American Bicentennial observance.	30,000	-	30,000	-
<b>Lindisfarne Association, Inc., The</b> <i>New York, New York</i> Toward the education program at the New York center of the association, a learning community offering a university-level program to individuals seeking a new sense of meaning for human existence.	45,000	-	15,000	30,000

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Mimbres Foundation</b> <i>Mimbres, New Mexico</i> Toward the foundation's work in excavating and preserving prehistoric archaeological sites in the Mimbres Valley, an early dwelling place of the Mimbres, a pueblo people.	\$ 35,000	\$ —	\$ 35,000	\$ —
<b>Museum of the American Indian (Heye Foundation)</b> <i>New York, New York</i> Toward the development of a plan for the museum, which has the largest and most comprehensive collection of North and South American Indian artifacts in the world.	35,000	—	—	35,000
<b>National Association of Independent Schools, Inc.</b> <i>Boston, Massachusetts</i> For general budgetary support of the Institute of Education, organized to encourage and assist in the development of alternative approaches to elementary and secondary education.	50,000	—	50,000	—
Toward the development of a program for strengthening trustee participation in the affairs of independent schools.	16,000	—	16,000	—
<b>National Corporate Fund for Dance, Inc., The</b> <i>New York, New York</i> For general budgetary support of this organization, which coordinates the raising of funds from corporate sources for eight national touring dance companies of high quality.	10,000	—	10,000	—
<b>National Council of the Churches of Christ in the United States of America</b> <i>New York, New York</i> For general budgetary support.	5,000	—	5,000	—
<b>National Endowment for the Arts</b> <i>Washington, D.C.</i> Toward the Arts in Education Study of the American Council for the Arts in Education, which is considering appropriate means for expanding the role of the arts in all levels of education.	75,000*	41,000	34,000	—
<b>New England Association of Schools and Colleges, Inc.</b> <i>Burlington, Massachusetts</i> Toward a study of twenty-five private schools serving a quasi-public role to determine how well they have maintained the traditional qualities of discipline and a basic education.	18,000	—	18,000	—
<b>New York, City University of, Research Foundation of the</b> <i>New York, New York</i> Toward the general program and evaluation of the Workshop Center for Open Education, a resource center for teachers, administrators, paraprofessionals, and parents who are involved in open classroom/integrated day education in the New York City area.	45,000	—	45,000	—
<b>New York State Council of Churches, Inc.</b> <i>Syracuse, New York</i> For general budgetary support.	1,000	—	1,000	—

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>North Dakota, University of</b> <i>Grand Forks, North Dakota</i> Toward its Center for Teaching and Learning to help in building a communications network among teacher centers across the country.	\$ 25,000	\$ --	\$ 25,000	\$ --
<b>Palace of Arts and Science Foundation</b> <i>San Francisco, California</i> Toward the development activities of this exploratorium, whose 200 perceptual exhibitions offer students first-hand experience of natural phenomena.	35,000	--	35,000	--
<b>Phillips Academy, Trustees of</b> <i>Andover, Massachusetts</i> Toward its Complementary Schools Project, an attempt to make the resources and opportunities of the boarding school experience broadly accessible to young people whose main school base will remain their local public schools.	45,000*	35,000	10,000	--
<b>Princeton Education Center at Blairstown</b> <i>Princeton, New Jersey</i> Toward costs of an education development officer for the center, which through camping and other programs tries to promote a greater understanding of both human and physical environments based on the concept of learning by doing.	70,000	--	35,000	35,000
<b>Prospect School, Inc.</b> <i>North Bennington, Vermont</i> Toward this elementary school's Adjunct Services Program, which assists in the training of teachers, administrators, and non-professional people in the open classroom/integrated day techniques.	175,925*	130,930	44,994	--
<b>Smithsonian Institution</b> <i>Washington, D.C.</i> Toward "Kin and Communities: The Peopling of America," a program which seeks to increase understanding of the diversity of family traditions and population patterns in the evolution of America.	10,000	--	10,000	--
<b>Union Church of Pocantico Hills</b> <i>Tarrytown, New York</i> For general budgetary support of this nondenominational church located near Tarrytown, New York.	25,807	--	25,807	--
<b>United Church of Christ</b> <i>New York, New York</i> Toward a New York regional workshop of the "Check Your Local Stations" project, with the objective of making thoughtful citizens aware that active citizen participation is required to ensure that the broadcaster is responsive to the public.	10,000	--	10,000	--
<b>United States Conference for the World Council of Churches, Inc., The</b> <i>New York, New York</i> For general budgetary support.	2,500	--	2,500	--

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Westledge School, Inc.</b> <i>West Simsbury, Connecticut</i> Toward the planning and development of the Center of Education, which will be set up as a separate organization supplying educational and other services to a wide variety of clients, including the school.	\$ 40,000	\$ —	\$ 15,000	\$ 25,000
<b>Woodrow Wilson National Fellowship Foundation</b> <i>Princeton, New Jersey</i> Toward the development of a new kind of fellowship, based on the foundation's network in liberal arts colleges, aimed at improving public secondary school teaching in New Jersey.	15,000	—	15,000	—
<b>Zen Center, A Corporation Sole</b> <i>San Francisco, California</i> For general budgetary support of the center and its effort to translate Buddhist ideas and sense of community into direct involvement with its own neighborhood.	30,000	—	10,000	20,000
<b>Zen Studies Society, Inc., The</b> <i>New York, New York</i> Toward developing the education program for American students at the society's International Dai Bosatsu Zendo.	30,000	—	10,000	20,000
<b>NATIONAL PROGRAM: Economic Opportunity and Development (\$935,000 – Paid)</b>				
<b>Black Child Development Institute, Inc.</b> <i>Washington, D.C.</i> For its Southern Technical Assistance Program to stimulate new employment opportunities in the day-care field in the South and toward the institute's new headquarters building in Washington.	39,500	—	39,500	—
<b>Center for Community Change</b> <i>Washington, D.C.</i> Toward the center's program of assistance to community and economic development organizations in the South.	70,000*	—	70,000	—
<b>Cooperative League Fund, Inc.</b> <i>Washington, D.C.</i> Toward its program of assistance to crafts production and marketing groups.	40,000*	20,000	20,000	—
<b>Delta Foundation, The</b> <i>Greenville, Mississippi</i> To assist the foundation, operating to increase opportunities for low-income residents in the Delta region of Mississippi, with its agricultural land ownership and development activities.	35,000	—	35,000	—
<b>Emergency Land Fund</b> <i>Atlanta, Georgia</i> Toward this organization's program of assistance to agricultural land acquisition development programs in the South.	50,000	—	50,000	—

\*Appropriation made prior to 1976



<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Federation of Southern Cooperatives</b> <i>Epes, Alabama</i> Toward the federation's training center and demonstration farm for its membership of 135 rural farm cooperatives in 14 southern states.	\$ 70,000*	\$ -	\$ 70,000	\$ -
<b>Interracial Council for Business Opportunity</b> <i>New York, New York</i> For general budgetary support of this national organization and its local councils, which provide financial and managerial guidance for black-owned small businesses.	40,000	-	40,000	-
<b>Lawyers' Committee for Civil Rights Under Law</b> <i>Washington, D.C.</i> Toward the committee's Public Law Reform Project, which is working to reduce discriminatory employment practices at all levels of public employment.	75,000	-	75,000	-
<b>National Commission for Manpower Policy</b> <i>Washington, D.C.</i> Toward the non-federally funded activities of the commission organized to identify critical issues relating to national manpower needs and to develop recommendations for action in response to these needs.	25,000*	12,500	12,500	-
<b>National Council of La Raza</b> <i>Washington, D.C.</i> Toward the general program in economic development of the council, which is dedicated to improving the social and economic conditions of the Mexican American in the southwestern United States.	73,500	-	73,500	-
<b>National Rural Center, The</b> <i>Washington, D.C.</i> For general budgetary support of its programs of rural policy development research and of technical and financial assistance to rural community development organizations.	57,000	-	57,000	-
<b>Opportunity Funding Corporation</b> <i>Washington, D.C.</i> Toward a program to coordinate the efforts of foundations, corporations, and economic development groups on behalf of minority economic development.	70,000	-	70,000	-
Toward the Project Development Fund of OFC, which coordinates the efforts of foundations, corporations, and economic development groups on behalf of minority economic development.	47,500	-	47,500	-
<b>PUSH Foundation, The</b> <i>Chicago, Illinois</i> Toward the foundation's PUSH for Excellence, aimed at strengthening the motivation and dedication of black youths through programs in the public schools.	30,000	-	30,000	-

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Rural Advancement Fund of the National Sharecroppers Fund, Inc.</b>				
<i>Charlotte, North Carolina</i>				
Toward a program providing technical planning, monitoring, and financial assistance to cooperatives and other local community development groups in the South.	\$ 70,000*	\$ —	\$ 70,000	\$ —
<b>Southern Development Foundation</b>				
<i>Lafayette, Louisiana</i>				
Toward its program of technical, managerial, and financial assistance to agricultural cooperatives in the South.	50,000	—	50,000	—
<b>Southern Regional Council, Inc.</b>				
<i>Atlanta, Georgia</i>				
Toward a conference of foundations and public agencies to consider ways in which to implement the recommendations of the council's Task Force on Southern Rural Development.	20,000	—	20,000	—
<b>Virginia Community Development Organization, Inc.</b>				
<i>Petersburg, Virginia</i>				
For general budgetary support of VCDO, which facilitates, through local community organizations, the participation of residents of an 18-county southeastern Virginia area in government decisions which bear directly on their lives.	5,000	—	5,000	—
<b>Witherspoon Development Corporation, The</b>				
<i>New York, New York</i>				
To help launch the economic development projects for Hispanic-Americans in the southwestern part of the United States of the corporation, which was created by the Presbyterian Church, U.S.A. and the Presbyterian Economic Development Corporation.	25,000	—	25,000	—
<b>Work in America Institute, Inc.</b>				
<i>Scarsdale, New York</i>				
For general budgetary support of the institute, jointly established by management, labor, government, and nonprofit sources, to provide practical expertise and guidance on ways of improving productivity in the United States through better utilization of human resources.	225,000*	50,000	75,000	100,000

\*Appropriation made prior to 1976

**NATIONAL PROGRAM: Environmental Integrity (\$1,468,500 – Paid)**

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>American Conservation Association, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization working to increase public understanding of the need for conservation and the wise use of natural resources.	\$ 250,000*	\$ 100,000	\$ 150,000	\$ -
For general budgetary support in 1977.	250,000	-	150,000	100,000
<b>Association for the Study of Abortion, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization providing abortion information and education services to professionals and lay public.	10,000	-	10,000	-
<b>Commonwealth of Massachusetts, Executive Office for Administration and Finance, Office of State Planning</b> <i>Boston, Massachusetts</i> Toward a project of the Office of State Planning which is designed to increase citizen participation in the making of public policy with respect to issues related to physical and economic development.	25,000	-	25,000	-
<b>Community for Environmental Changes (The Farallones Institute)</b> <i>Occidental, California</i> Toward increasing the staff of the institute, which teaches and undertakes applied research in energy conservation techniques such as solar design, waste management, and independent food preparation.	25,000	-	25,000	-
<b>Conservation Foundation, Inc., The</b> <i>Washington, D.C.</i> Toward a project, "In Search of a Common Language: Economics and the Environment," conducted by the foundation, which is engaged in conservation research, information, and education.	50,000	-	50,000	-
<b>Dartmouth College, Trustees of</b> <i>Hanover, New Hampshire</i> Toward completion of a comparative analysis, in non-technical language, of regional and national planning computer models.	5,000	-	5,000	-
<b>Design Science Institute</b> <i>Kent, Ohio</i> Toward the preparation of "Design Revolution '76 – The World Game," an international conference focused on the application of R. Buckminster Fuller's World Game planning technique.	13,500	-	13,500	-
<b>Education Development Center, Inc.</b> <i>Cambridge, Massachusetts</i> Toward support of "Growth and the Earth's Future," a project which is developing a secondary school curriculum to help students understand the implications of societal growth and the problem of global survival.	29,500	-	29,500	-
<b>Franklin Institute, The</b> <i>Philadelphia, Pennsylvania</i> Toward expenses of the meeting in Philadelphia of the Club of Rome, an informal private international organization encouraging discussion and cooperation on global problems.	15,000	-	15,000	-

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>League of Women Voters Education Fund</b> <i>Washington, D.C.</i> Toward research, publication, and distribution of a series of six reports on the themes of national growth, designed to stimulate public awareness of growth issues.	\$ 30,000	\$ —	\$ 30,000	\$ —
<b>Massachusetts Audubon Society, Inc.</b> <i>Lincoln, Massachusetts</i> Toward a program designed to provide professionals at all levels in the public and private sectors with sophisticated, short-term student assistance in dealing with environmental problems and at the same time attract the student interns to careers in the environmental field.	23,000	—	23,000	—
<b>National Recreation and Park Association, Incorporated</b> <i>Arlington, Virginia</i> Toward the association's "Street Life Project," conducted by William H. Whyte, Jr., which is focused on ways to improve the design of urban space principally through the study of the use of outdoor plazas and streets in New York City.	20,000	—	20,000	—
<b>Natural Resources Defense Council, Inc.</b> <i>Washington, D.C.</i> Toward a program of assistance to foreign environmental groups through the provision of technical information.	30,000	—	30,000	—
<b>New Alchemy Institute, The</b> <i>Woods Hole, Massachusetts</i> For general budgetary support of the institute, which is creating new energy and food growing strategies and bioshelters with appropriate technologies.	25,000	—	25,000	—
<b>Northern Rockies Action Group, Inc.</b> <i>Helena, Montana</i> For general budgetary support of NRAG, which acts as a management consulting and training organization for population and environmental groups in Wyoming, Montana, and Idaho.	50,000	—	50,000	—
<b>Planned Parenthood of New York City, Inc.</b> <i>New York, New York</i> For United Planned Parenthood Campaign, the joint annual fund-raising effort on behalf of three planned parenthood organizations serving, respectively, at local, national, and international levels.	100,000	—	100,000	—
<b>Population Council, Inc., The</b> <i>New York, New York</i> For general budgetary support over the three years 1975-1977 of the council's program in research, training, technical assistance, and information exchange in the areas of demography, reproductive physiology and contraceptive development, family planning, and population policy.	975,000*	400,000	375,000	200,000

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Population Education, Inc.</b> <i>Cambridge, Massachusetts</i> Toward an evaluation of the Project on Human Sexual Development, which is designed to bring questions of human sexual development to the attention of public policy makers in a form that will facilitate thoughtful consideration and action.	\$ 7,500	\$ -	\$ 7,500	\$ -
<b>Trust for Alaska</b> <i>Anchorage, Alaska</i> For general budgetary support of this public interest advocacy organization concerned with long-range environmental values and resource management in Alaska.	15,000	-	15,000	-
<b>Trust for Public Land, The</b> <i>San Francisco, California</i> Toward a training program to create a new profession of skilled land counselors equipped to work with and develop the new techniques of land acquisition.	120,000	-	80,000	40,000
<b>Union of Concerned Scientists Fund, Inc.</b> <i>Cambridge, Massachusetts</i> For general budgetary support of this organization, which conducts scientific analyses of major energy questions.	40,000	-	40,000	-
<b>Worldwatch Institute, Inc.</b> <i>Washington, D.C.</i> Toward initial operating expenses of the institute, which will seek to identify emerging public problems and make a concerted effort to create a climate in which these problems can be rationally discussed and possible responses can be formulated. For general budgetary support of the institute in 1977.	500,000* 200,000	300,000 -	200,000 -	- 200,000
<b>NATIONAL PROGRAM: Equal Rights (\$882,036 - Paid)</b>				
<b>American Civil Liberties Union Foundation, Inc.</b> <i>New York, New York</i> Toward the foundation's Southern Voter Law Project, which monitors and seeks enforcement of the Voting Rights Act of 1965. Toward support of the foundation's school desegregation litigation involving schools in a number of metropolitan areas.	70,000 20,000	- -	70,000 20,000	- -
<b>American Indian Lawyer Training Project, Inc.</b> <i>Oakland, California</i> Toward support services for the organization's fellowship program for younger Indian attorneys who are establishing private practices on or near Indian reservations.	86,500*	69,164	7,500	9,836
<b>Catholic University of America, The</b> <i>Washington, D.C.</i> For general budgetary support of the university's Center for National Policy Review, which monitors a broad range of civil rights matters in fields of federal activity such as employment, education, and housing.	50,000	-	50,000	-

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Center for Community Change</b> <i>Washington, D.C.</i> Toward the core operating budget of the center, which works with a broad range of low-income community development organizations across the country.	\$ 20,000*	\$ 10,000	\$ 10,000	\$ -
A supplemental grant toward the core operating budget of the center.	25,000	-	10,000	15,000
<b>Center for Law and Social Policy</b> <i>Washington, D.C.</i> Toward litigation activity of this public interest law firm relating to health services for minority groups and the poor.	65,000	-	65,000	-
<b>Children's Foundation, The</b> <i>Washington, D.C.</i> For general budgetary support of this organization providing information and technical assistance to groups working to increase the availability and adequacy of federal food programs for children.	40,000	-	40,000	-
<b>Council for Public Interest Law</b> <i>Washington, D.C.</i> For general budgetary support of the council, which is considering the nature and extent of the <i>pro bono publico</i> activities of the legal profession and the ways in which these can be extended and financed.	54,536	-	54,536	-
<b>DNA-People's Legal Services</b> <i>Window Rock, Arizona</i> Toward the programs of this poverty-law organization that serves the Navajo reservation.	25,000	-	25,000	-
<b>King, Martin Luther, Jr., Center for Social Change</b> <i>Atlanta, Georgia</i> Toward the center's auditorium, which will be used for, among other projects, a film showing the evolution and implementation of Martin Luther King, Jr.'s philosophy of nonviolent social change.	250,000*	-	-	250,000
<b>Lawyers' Committee for Civil Rights Under Law</b> <i>Washington, D.C.</i> Toward its Southern Voter Law Project which monitors and seeks enforcement of the Voting Rights Act of 1965.	20,000	-	20,000	-
<b>Mental Health Law Project</b> <i>Washington, D.C.</i> For general budgetary support of the project's efforts to improve the rights and opportunities of the mentally handicapped.	25,000	-	25,000	-
<b>Mexican American Legal Defense and Educational Fund</b> <i>San Francisco, California</i> For general budgetary support of this national legal organization for Mexican Americans and other Spanish-speaking citizens.	50,000	-	50,000	-
<b>Mississippi Council on Human Relations, Inc.</b> <i>Jackson, Mississippi</i> Toward the council's work of coordinating the program activities in the corrections field of the State Human Relations Councils and other citizen groups in the South.	30,000	-	30,000	-

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>NAACP Legal Defense and Educational Fund, Inc.</b> <i>New York, New York</i> Toward the general litigation program of this organization handling crucial civil rights cases.	\$ 45,000	\$ -	\$ 45,000	\$ -
<b>NAACP Special Contribution Fund</b> <i>New York, New York</i> For general budgetary support of this national civil rights organization.	50,000	-	50,000	-
<b>National Black United Fund, Inc.</b> <i>Los Angeles, California</i> Toward a training program to meet the manpower needs of emerging black United Fund organizations.	50,000	-	50,000	-
<b>National Urban League, Inc.</b> <i>New York, New York</i> For general budgetary support of the league, which plays a leading role in a wide variety of concerns relating to black citizens, including housing, health, employment, and education.	50,000	-	50,000	-
<b>Puerto Rican Legal Defense and Education Fund, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization's program to protect the civil rights of Puerto Rican citizens and upgrade their living standards through legal action in the courts and education efforts in the community.	40,000	-	40,000	-
<b>Southern Regional Council, Inc.</b> <i>Atlanta, Georgia</i> Toward the council's general program of research, information, and monitoring of federal programs in the broad field of race relations and social policy development.	30,000	-	30,000	-
<b>Southwest Voter Registration Education Project, Inc.</b> <i>San Antonio, Texas</i> For general budgetary support of the project, which is the coordinating agency for voter registration and education in the Southwest.	60,000	-	30,000	30,000
<b>Urban League of Westchester County, Inc.</b> <i>White Plains, New York</i> Toward the league's Community Education and Information Center in Mount Vernon, New York.	75,000*	25,000	25,000	25,000
<b>Voter Education Project, Inc.</b> <i>Atlanta, Georgia</i> For general budgetary support of this program of voter registration drives, election analyses, and citizenship education in the South.	50,000	-	50,000	-
<b>Washington Research Project, Inc.</b> <i>Washington, D.C.</i> Toward the project's Children's Defense Fund aimed at mobilizing broad support for effective public policies which benefit children.	35,000	-	35,000	-

\*Appropriation made prior to 1976

**NATIONAL PROGRAM: Philanthropic Service Organizations (\$73,275 – Paid)**

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Center for Community Change</b>				
<i>Washington, D.C.</i>				
Toward the first year expenses of the National Committee for Responsive Philanthropy, organized to undertake research and analysis of foundation performance, dissemination of information about philanthropy, and cooperative efforts with foundations and other nonprofit institutions.	\$ 25,000	\$ –	\$ 25,000	\$ –
<b>Commission on Private Philanthropy and Public Needs</b>				
<i>Washington, D.C.</i>				
A supplementary contribution toward follow-up activities in connection with the commission's in-depth study of philanthropy, its relationship to government, and its role in American society.	10,000	–	10,000	–
<b>Council on Foundations, Inc.</b>				
<i>New York, New York</i>				
To cover the Fund's full membership contribution for 1977 in this national service agency for foundations.	19,775	–	19,775	–
<b>Foundation Center, The</b>				
<i>New York, New York</i>				
For general budgetary support in 1976 of the center, which collects and disseminates factual information on the foundation field through programs of library service, publications, and research for the benefit and use of the public, government agencies, and individual foundations.	15,000*	–	15,000	–
For general budgetary support in 1977.	20,000*	–	–	20,000
For general budgetary support in 1978.	20,000	–	–	20,000
<b>National Committee for Responsive Philanthropy</b>				
<i>Washington, D.C.</i>				
Toward the first year expenses of the committee organized to undertake research and analysis of foundation performance, dissemination of information about philanthropy, and cooperative efforts with foundations and other nonprofit institutions. (See Center for Community Change entry.)	25,000	–	–	25,000 <sup>(1)</sup>
<b>National Information Bureau, Inc.</b>				
<i>New York, New York</i>				
For general budgetary support of the bureau's review of standards of sound philanthropy and maintenance of advisory services for contributors.	3,500	–	3,500	–

(1) Lapsed

\*Appropriation made prior to 1976



**NEW YORK CITY PROGRAM: Cultural (\$1,304,750 - Paid)**

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>A Bunch of Experimental Theatres of N.Y., Inc.</b> <i>New York, New York</i> Toward expenses of maintaining a central administrative office for the seven member theaters.	\$ 7,500	\$ -	\$ 7,500	\$ -
<b>American Crafts Council</b> <i>New York, New York</i> To assist with the long-range development plans of the council, which preserves the skills and furthers the work of the artisan and his craft.	100,000	-	60,000	40,000
<b>Amigos del Museo del Barrio, Inc.</b> <i>New York, New York</i> For general budgetary support of this East Harlem visual arts facility, which transmits the artifacts, literature, and music of Puerto Rico through community education programs.	146,960*	116,710	30,250	-
<b>Association of Independent Conservatories of Music</b> <i>New York, New York</i> For general budgetary support of the association, which assists principal conservatories in mutual cooperation and in gaining public support.	15,000	-	15,000	-
<b>Brooklyn Arts and Culture Association, Inc.</b> <i>Brooklyn, New York</i> To assist the association in bringing community arts activities into Long Island University's Library Learning Center complex, which is located in Brooklyn.	10,000	-	10,000	-
<b>Chelsea Theatre Center, Inc.</b> <i>Brooklyn, New York</i> For general budgetary support of this off-Broadway theater.	15,000	-	15,000	-
<b>Circle Repertory Theater Company, Inc.</b> <i>New York, New York</i> For general budgetary support of this repertory theater in New York City.	10,000	-	10,000	-
<b>Cultural Council Foundation</b> <i>New York, New York</i> For general budgetary support of Seven Loaves, a coalition of seven arts organizations on the Lower East Side of Manhattan which have joined together for shared management and development services. Toward an examination of the ways in which New York City's cultural institutions can best use their individual and collective resources in the service of the public, particularly in light of reduced state and city funding.	20,000* 75,000	12,000	8,000 75,000	- -
<b>Frederick Douglass Creative Arts Centers, Inc.</b> <i>New York, New York</i> Toward program development of the centers which offer, in Harlem, training in creative writing, journalism, film, and playwriting.	25,000	-	15,000	10,000

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Metropolitan Museum of Art, The</b> <i>New York, New York</i>				
Toward the expansion of the museum's department and collection of primitive art.	\$1,000,000*	\$150,000	\$600,000	\$250,000
Toward the costs of integrating the Museum of Primitive Art into the Metropolitan Museum of Art.	275,000*	175,000	100,000	—
A supplemental grant toward the costs of integrating the Museum of Primitive Art into the Metropolitan Museum of Art.	350,000	—	—	350,000
<b>Museum of Modern Art, The</b> <i>New York, New York</i>				
Toward the costs of consultants for the feasibility study of commercial development of the air rights appurtenant to the museum's real estate.	100,000	—	100,000	—
Toward costs associated with the museum's proposed expansion and real estate development project.	75,000	—	75,000	—
<b>Museums Collaborative, Inc.</b> <i>New York, New York</i>				
Toward the collaborative's cultural voucher demonstration project designed to make the resources of New York City's cultural institutions available to a more broadly based public.	15,000	—	15,000	—
<b>New York Botanical Garden, The</b> <i>Bronx, New York</i>				
Toward its capital campaign to improve facilities and strengthen endowment.	150,000*	—	50,000	100,000
<b>New York Public Library, The</b> <i>New York, New York</i>				
Toward a study of various aspects of the library's structure and financing as an aid to its long-term viability.	15,000	—	10,000	5,000
<b>New York Shakespeare Festival</b> <i>New York, New York</i>				
Toward the renovation of the Delacorte Theater, the location of the festival's "Shakespeare in the Park" performances.	25,000	—	25,000	—
<b>Off-Off Broadway Alliance, Inc.</b> <i>New York, New York</i>				
Toward the development of a computerized mailing and audience data system for the off-off Broadway theater groups in New York City.	14,000	—	14,000	—
<b>Opportunity Resources for the Arts, Inc.</b> <i>New York, New York</i>				
For general budgetary support of this organization attempting to improve the administrative competence of arts groups through a data bank designed to match specific managerial needs with available personnel.	15,000	—	15,000	—
<b>Paul Taylor Dance Foundation, Inc.</b> <i>New York, New York</i>				
For general budgetary support of the Paul Taylor Dance Company.	10,000	—	10,000	—

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Studio Museum in Harlem, Inc., The</b> <i>New York, New York</i> For general budgetary support of this museum serving the Harlem community with a program of educational services and toward assistance with its Curatorial Council.	\$ 25,000	\$ -	\$ 25,000	\$ -
<b>Volunteer Urban Consulting Group, Inc.</b> <i>New York, New York</i> Toward the group's arts services component, which makes available to nonprofit cultural organizations in New York City skills in systems and financial analyses, accounting, and personnel and production management.	20,000	-	20,000	-
<b>NEW YORK CITY PROGRAM: Housing &amp; Community Development (\$436,986 – Paid)</b>				
<b>Association of Neighborhood Housing Developers, Inc., The</b> <i>New York, New York</i> Toward a program of technical assistance to neighborhood-based organizations in New York City concerned with the improvement and management of existing housing for residents of low and moderate income.	65,000	-	65,000	-
<b>Citizens' Committee for New York City, Inc.</b> <i>New York, New York</i> Toward the creation of a community self-help fund to encourage New Yorkers to increase their participation in neighborhood self-help projects.	25,000	-	25,000	-
<b>Citizens' Housing and Planning Council of New York, Inc.</b> <i>New York, New York</i> Toward a research project to identify possible revisions in administrative regulations and procedures that will enable federal housing programs to be conducted more effectively in New York City.	16,936	-	16,936	-
<b>City Planning Department Fund</b> <i>New York, New York</i> Toward the construction of a new system of collecting and arranging relevant tax data so as to give New York City accurate information about the impact of taxes on the city's commercial and manufacturing sectors.	50,000	-	50,000	-
<b>Columbia University in the City of New York, The Trustees of</b> <i>New York, New York</i> Toward a study, by the university's Conservation of Human Resources Project, analyzing the factors involved in decisions concerning the location of a corporation's headquarters in New York City.	67,500	-	67,500	-

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Housing Conservation Coordinators, Inc.</b> <i>New York, New York</i> Toward a program for representatives of community housing groups to assist them in establishing training courses in home maintenance skills in their respective neighborhoods in New York City.	\$ 22,550	\$ -	\$ 22,550	\$ -
<b>Little Italy Restoration Association, Inc.</b> <i>New York, New York</i> For general budgetary support of the association's efforts to stimulate and coordinate activities to revitalize New York City's neighborhood of Little Italy.	20,000	-	20,000	-
<b>Metro North Association, Inc.</b> <i>New York, New York</i> Toward a program of coordinating and operating community housing and support services in a section of East Harlem.	20,000	-	20,000	-
<b>Morris Heights Neighborhood Improvement Association, Inc.</b> <i>Bronx, New York</i> Toward establishing a local organization in the West Bronx of New York City to own and manage apartment buildings in which the owners have lost interest until alternative ownership by tenants or others can be created.	10,000	-	10,000	-
<b>Neighborhood Housing Services of Jamaica, Inc.</b> <i>Jamaica, New York</i> Toward a high-risk revolving loan fund operated by NHSJ which conducts several related programs to encourage residents, lenders, and city government to reinvest in a declining inner-city neighborhood composed largely of privately owned houses.	30,000	-	30,000	-
<b>New School for Social Research</b> <i>New York, New York</i> Toward a project to develop a newsletter for public and private officials containing information about and impartial analyses of the progress of fiscal reforms in New York City.	25,000	-	25,000	-
<b>Pace University</b> <i>New York, New York</i> Toward the development of an econometric model of New York City and the surrounding region to provide a vehicle for testing alternative public policy approaches to problems.	50,000	-	50,000	-
<b>Regional Plan Association, Inc.</b> <i>New York, New York</i> For general budgetary support of the association's efforts in connection with the planning and development of the New York City metropolitan region.	5,000	-	5,000	-
<b>Settlement Housing Fund, Inc.</b> <i>New York, New York</i> For a project to match vacancies in the existing New York City housing supply with the needs of low and moderate income residents eligible under Section 8 of the Federal Housing Community Development Act of 1974.	30,000	-	30,000	-

**NEW YORK CITY PROGRAM: Human Services (\$1,679,692 – Paid)**

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Advocates for Children of New York, Inc.</b>				
<i>Long Island City, New York</i>				
Toward its Central Service and Advocacy Unit, which provides organizational skills and basic management assistance to community complexes, including public schools in New York City, that deliver educational and counseling services to emotionally handicapped children. (This organization was formerly known as Alternative Solutions for Exceptional Children, Inc.)	\$ 10,000	\$ –	\$ 10,000	\$ –
<b>American Red Cross in Greater New York, The</b>				
<i>New York, New York</i>				
Toward the organization of a trial system for mass immunization to be tested in the fall of 1976.	15,000	–	15,000	–
<b>City Planning Department Fund</b>				
<i>New York, New York</i>				
Toward the establishment of a Human Services Planning office in the Office of the First Deputy Mayor of New York City to help city officials coordinate policy and budget decisions relating to social welfare services.	25,000	–	25,000	–
<b>Columbia-Presbyterian Medical Center Fund, Inc.</b>				
<i>New York, New York</i>				
Toward the capital campaign to modernize and expand one of New York City's major medical research and teaching centers as a key step in the continuation of the delivery of quality training and health care within the city.	500,000*	–	500,000	–
<b>Community Council of Greater New York, Inc.</b>				
<i>New York, New York</i>				
Toward a special program of assistance to neighborhood organizations in deprived areas of New York City which have been especially affected by the drastically reduced availability of government funds.	75,000	–	75,000	–
Toward the Task Force on the New York City Crisis, which is helping nonprofit social service agencies reshape their activities and revise their priorities for meeting essential human needs in the face of declining public funds.	23,000	–	23,000	–
A supplemental grant for the Task Force on the New York City Crisis.	60,000	–	60,000	–
<b>Community Participation Educational Program, Inc.</b>				
<i>New York, New York</i>				
Toward the program for mentally retarded and emotionally handicapped children of this community-based organization in Harlem working to improve the quality of public education.	45,000*	35,000	10,000	–
<b>Council of Churches of the City of New York, Inc., The</b>				
<i>New York, New York</i>				
For general budgetary support of this religious organization, which coordinates the activities of 1,700 local churches in the New York City area.	3,000	–	3,000	–

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Day Care Council of New York, Inc.</b> <i>New York, New York</i> For general budgetary support of this program, which enables community groups to organize and qualify as sponsors of day-care centers and which provides ongoing technical and managerial assistance to the new centers.	\$ 60,000*	\$ 30,000	\$ 20,000	\$ 10,000
<b>Federation of Protestant Welfare Agencies, Inc.</b> <i>New York, New York</i> For general budgetary support and toward a fund for direct support of member agencies seeking to improve community services.	75,000	—	50,000	25,000
<b>Graduate School and University Center-City University of New York</b> <i>New York, New York</i> Toward research for the Temporary Commission on City Finances, which is examining the financial aspects of various publicly funded programs in New York City. (The grant was subsequently refunded and another grant for the same purpose was made to The Nova Institute, Incorporated.)	36,572	—	36,572	—
<b>Greater New York Fund, Incorporated, The</b> <i>New York, New York</i> Toward an assessment of the long-term impact of public money on services of the voluntary health and welfare agencies in New York City.	25,000	—	25,000	—
<b>Lenox Hill Neighborhood Association, Inc.</b> <i>New York, New York</i> Toward a new program in community congregate living which will provide a combination of services to older citizens enabling them to maintain their independence without resorting to nursing home care.	37,500*	20,000	12,500	5,000
<b>Memorial Sloan-Kettering Cancer Center</b> <i>New York, New York</i> Toward the building program of this complex of medical research, educational, and patient-care services.	2,500,000*	1,150,000	550,000	800,000
<b>Mount Vernon Young Men's Christian Association</b> <i>Mount Vernon, New York</i> Toward its capital renovation fund.	25,000	—	25,000	—
<b>New York City Mission Society</b> <i>New York, New York</i> Toward a special program to assist the society in developing an overall strategic agenda to reorganize its programs, which provide significant social services in many communities of New York City.	200,000*	130,000	40,000	30,000
Toward establishing a sound administrative structure for Accion Civica Evangelica, the community service organization of some 450 churches serving the Hispanic community in New York City.	25,000	—	15,000	10,000

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>New York Community Trust, The</b> <i>New York, New York</i> Toward its Camp Management Project, which is promoting cooperation among the 72 camping and recreational facilities managed by New York City voluntary nonprofit agencies.	\$ 75,000	\$ —	\$ 50,000	\$ 25,000
<b>Nova Institute, Incorporated, The</b> <i>New York, New York</i> Toward research for the Temporary Commission on City Finances, which is examining the financial aspects of various publicly funded programs in New York City.	34,620	—	34,620	—
<b>Puerto Rican Institute for Social Research, The</b> <i>Flushing, New York</i> For initial general budgetary expenses of the institute, which serves as a resource organization for identifying needs and setting priorities for action by public and private groups on behalf of Puerto Ricans living in New York City.	150,000*	100,000	—	50,000 <sup>(2)</sup>
<b>Riverside Church, The</b> <i>New York, New York</i> For general budgetary support of this nondenominational church in New York City. A special contribution toward the church's program endowment fund.	40,000 750,000	— —	40,000 —	— 750,000
<b>State Communities Aid Association</b> <i>New York, New York</i> Toward the implementation of Network, the association's project working at the state level on behalf of human services during the New York City fiscal crisis.	20,000	—	20,000	—
<b>United Way of Westchester, Inc.</b> <i>White Plains, New York</i> For general budgetary support.	10,000	—	10,000	—
<b>Urban League of Greater New York, Inc., The</b> <i>New York, New York</i> Toward the Department of Program Planning and Development of the league, which conducts a variety of programs in New York City concerned with on-the-job training, education, and housing for minorities.	75,000	—	25,000	50,000
<b>Young Women's Christian Association of the City of New York, The</b> <i>New York, New York</i> Toward the joint YMCA/YWCA Camping Program.	5,000	—	5,000	—

(2) Lapsed

\*Appropriation made prior to 1976

**NEW YORK CITY PROGRAM: Public Education (\$596,500 – Paid)**

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid In Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Citizens' Committee for Children of New York, Inc.</b>				
<i>New York, New York</i>				
Toward the Program Development Fund of the committee, a child advocacy organization whose activities touch on every aspect of the lives of children in New York City.	\$100,000*	\$ 80,000	\$ 20,000	\$ –
Toward a citizens' task force to assist the New York City Board of Education in reviewing expenditures and establishing educational and managerial priorities.	37,000	–	37,000	–
For general budgetary support of the Educational Priorities Panel, the on-going organization of the citizens task force to assist the New York City Board of Education in reviewing expenditures and establishing educational and managerial priorities.	54,000	–	54,000	–
<b>City School News, Inc.</b>				
<i>New York, New York</i>				
For general budgetary support of a public service radio program to educate parents about issues that affect them and their children in the New York City public schools.	75,000	–	75,000	–
<b>Educational Broadcasting Corporation</b>				
<i>New York, New York</i>				
Toward the Major Gifts Campaign of WNET Channel 13, the public television station serving the New York City metropolitan region.	500,000*	275,000	225,000	–
<b>Experiential Systems, Inc.</b>				
<i>New York, New York</i>				
Toward "Principal Leadership Study," a project which will assist a group of New York City elementary school principals in setting up model workshops in which they can continue their professional development.	25,000	–	25,000	–
<b>Family Service Association of Nassau County, Inc.</b>				
<i>Hempstead, New York</i>				
Toward the association's Parent and Child Training Program, a group approach to helping disadvantaged mothers of three- to six-year-olds prepare themselves and their children to make maximum use of the local public schools.	65,000	–	35,000	30,000
<b>Hamilton-Madison House, Inc.</b>				
<i>New York, New York</i>				
Toward the development of a comprehensive school and community center program on the Lower East Side of New York City.	58,000*	29,000	29,000	–
<b>New York City School Volunteer Program, Inc.</b>				
<i>New York, New York</i>				
Toward a program coordinating volunteers working in the New York City public schools.	50,000	–	25,000	25,000
<b>Public Education Association</b>				
<i>New York, New York</i>				
For general budgetary support of the association's programs to improve the public school system in New York City.	40,000	–	25,000	15,000

\*Appropriation made prior to 1976



<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Puerto Rican Legal Defense and Education Fund, Inc.</b> <i>New York, New York</i> Toward the fund's Education Rights Project on behalf of Hispanic students in New York City schools.	\$ 10,000	\$ -	\$ 10,000	\$ -
<b>United Parents Associations of New York City, Inc.</b> <i>New York, New York</i> For general budgetary support of this federation of parents associations, which promotes parent education, provides leadership training, and seeks to further effective parent/school/community relations.	40,000	-	15,000	25,000
Toward a special program for children with learning disabilities at Public School 101 in Forest Hills (Community School District 28).	21,500	-	21,500	-
<b>INTERNATIONAL PROGRAM: Structuring Interdependence (\$692,050 – Paid)</b>				
<b>American Association for the International Commission of Jurists, Inc.</b> <i>New York, New York</i> For general budgetary support of this program seeking to secure international protection of human rights.	10,000	-	10,000	-
<b>American Council for Emigres in the Professions, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization's efforts to channel refugee professionals into creative work in the United States.	20,000	-	20,000	-
<b>American Friends Service Committee, Inc.</b> <i>Philadelphia, Pennsylvania</i> For general budgetary support of this organization providing humanitarian assistance in situations of special need.	20,000	-	20,000	-
<b>American Society of International Law</b> <i>Washington, D.C.</i> Toward support of the Philip C. Jessup International Law Moot Court Competition which is conducted by the society annually.	15,000	-	7,500	7,500
<b>American Universities Field Staff, Inc.</b> <i>Washington, D.C.</i> Toward a comparative study of the interactions between the development of nations and problems of international public policy.	35,000	-	20,000	15,000
<b>Brookings Institution, The</b> <i>Washington, D.C.</i> A supplemental contribution toward the institution's Foreign Policy Studies' project, "Trade and Employment Effects of Multilateral Trade Liberalization."	1,300	-	1,300	-
<b>Canadian Arctic Resources Committee</b> <i>Ottawa, Ontario</i> Toward its Northern Resources and Land Use Policy Program to encourage the organization of a national long range development plan for the Arctic as an integrated unit.	15,000	-	15,000	-

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Center for Law and Social Policy</b> <i>Washington, D.C.</i> For the center's International Project, which represents the public in the formulation of U.S. foreign policy and before international agencies in the economic, social, and environmental areas.	\$ 75,000*	\$ 25,000	\$ 25,000	\$ 25,000
<b>Columbia University in the City of New York, The Trustees of</b> <i>New York, New York</i> Toward "The U.S. and Japan in Multilateral Diplomacy" research project of Columbia's East Asian Institute.	40,000*	—	20,000	20,000
<b>Council on Foreign Relations, Inc.</b> <i>New York, New York</i> Toward the capital campaign of the council, which through meetings, study groups, and publications provides a private forum for the consideration of foreign policy issues.	1,000,000*	200,000	165,000	635,000
<b>Institute of International Education, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization administering student exchange programs.	15,000	—	15,000	—
<b>International Association for Cultural Freedom</b> <i>Paris, France</i> A supplementary contribution toward a feasibility study for "Contact: The Journal of Middle East and World Affairs."	3,250	—	3,250	—
<b>International Federation of Institutes for Advanced Study</b> <i>Solna, Sweden</i> Toward a study, with international participation, of the social, economic, political, and ethical consequences of drought on human life.	40,000*	20,000	20,000	—
<b>International House, New York</b> <i>New York, New York</i> Toward the Half Century Capital Campaign.	750,000*	250,000	—	500,000 <sup>(3)</sup>
<b>International Institute of Communications, Ltd.</b> <i>London, England</i> For general budgetary support of the institute, created to identify and study problems associated with accelerated technological developments in all media. (This organization was formerly known as International Broadcast Institute, Ltd.)	75,000	—	30,000	45,000
<b>International Institute for Strategic Studies, The</b> <i>London, England</i> For general budgetary support of this private institute of international relations whose membership is drawn from the West, Japan, and India.	5,000	—	5,000	—
<b>Japan Center for International Exchange</b> <i>Tokyo, Japan</i> For general budgetary support of JCIE, which seeks to improve Japanese communication with other nationalities and to encourage greater Japanese participation in international activities.	20,000	—	20,000	—

(3) Lapsed

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Japan Society, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization providing a binational focal point for studies and exchanges relating to cultural, educational, and public affairs interests of Japan and the United States.	\$ 40,000*	\$ -	\$ 40,000	\$ -
<b>Massachusetts Institute of Technology</b> <i>Cambridge, Massachusetts</i> Toward M.I.T.'s Workshop on Alternative Energy Strategies, an examination of energy options in the 1980's for Japan, Europe, and North America.	50,000	-	25,000	25,000
<b>Natural Resources Defense Council, Inc.</b> <i>New York, New York</i> Toward a project in the management of animal and plant species and rain forests in tropical Africa, Asia, and Latin America.	50,000	-	50,000	-
<b>Stanford University (Board of Trustees of the Leland Stanford Junior University)</b> <i>Stanford, California</i> Toward the Contemporary Japan Program of the Inter-University Center for Japanese Language Studies, an advanced language training facility in Tokyo.	50,000	-	50,000	-
<b>Survival International</b> <i>London, England</i> For general budgetary support of this program to protect the rights and promote the needs of threatened indigenous (usually considered primitive) peoples in various countries of the world.	20,000	-	10,000	10,000
<b>Sussex, The University of</b> <i>Brighton, England</i> Toward the Research Project on European Food Policies of the university's Centre for Contemporary European Studies.	35,000	-	-	35,000
<b>Trilateral Commission (North America), The</b> <i>New York, New York</i> For general budgetary support of the commission, which, with membership drawn from private persons in the United States, Europe, and Japan, proposes policies that the members' countries can follow in their economic, political, and defense relations.	120,000	-	65,000	55,000
<b>Tufts College, Trustees of</b> <i>Medford, Massachusetts</i> Toward research being undertaken by a Japanese-American program on United States-Asian communications, jointly organized by the Edward R. Murrow Center of Public Diplomacy of the Fletcher School of Law and Diplomacy and Keio University in Tokyo.	20,000	-	20,000	-
<b>United Nations Association of the United States of America, Inc.</b> <i>New York, New York</i> Toward the joint U.S.-U.S.S.R. policy studies program, which is focusing on "New Approaches to Collective Security."	10,000	-	10,000	-

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Volunteers in Technical Assistance, Inc.</b>				
<i>Mt. Rainier, Maryland</i>				
Toward the publications program of VITA, which offers a wide range of handbooks on self-help, low-level technology approaches to solving practical problems in Africa, Asia, and Latin America.	\$ 25,000	\$ -	\$ 25,000	\$ -
<b>Youth for Understanding</b>				
<i>Ann Arbor, Michigan</i>				
Toward YFU's Japan Project which is designed to increase high-school-age exchanges between Japan and the United States.	37,500	-	-	37,500
<b>INTERNATIONAL PROGRAM: Developing Countries – Africa (\$464,500 – Paid)</b>				
<b>African-American Institute, The</b>				
<i>New York, New York</i>				
For general budgetary support of this private agency for improving American contacts with Africans.	55,000	-	55,000	-
Toward its Twenty-Fifth Anniversary Capital Fund Drive.	250,000*	50,000	200,000	-
Toward costs of participation by a specialist in non-formal education on the National Commission on Education established by the government of Botswana.	22,000	-	22,000	-
<b>African Wildlife Husbandry Development Association</b>				
<i>Vancouver, British Columbia</i>				
Toward start-up costs of the Nazinga Game Ranch Project in Upper Volta.	50,000	-	50,000	-
<b>African Wildlife Leadership Foundation, Inc.</b>				
<i>Washington, D. C.</i>				
Toward a game ranching research and development project aimed at attacking the two basic problems of marginal land management and protein production.	15,000	-	15,000	-
<b>American Friends Service Committee, Inc.</b>				
<i>Philadelphia, Pennsylvania</i>				
Toward the West African International Dialogues Program providing contacts between English-speaking and French-speaking Africans.	17,500	-	17,500	-
<b>Botswana, The Republic of, Wildlife Training Centre</b>				
<i>Gaborone, Botswana</i>				
Toward a Wildlife Training Centre which will provide functional training for staff involved in wildlife conservation and the national parks in Botswana.	125,000*	-	-	125,000
Toward a program to coordinate tribal land development.	20,000	-	-	20,000 <sup>(4)</sup>

(4) Lapsed

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Kweneng Rural Development Association</b>				
<i>Molepolole, Botswana</i>				
Toward a small business development program to outfit a garage/workshop and train mechanics and technicians in this district of Botswana at the edge of the Kalahari Desert.	\$ 10,000	\$ -	\$ 10,000	\$ -
Toward the expansion of the association's forestry program and the creation of an apiculture program, both designed to generate employment and provide practical training.	70,000	-	40,000	30,000
<b>Maru a Pula Foundation</b>				
<i>Gaborone, Botswana</i>				
Toward scholarship support for students from majority-ruled countries in Africa to attend the Maru a Pula School, the first international multiracial, coeducational, private secondary school in Botswana.	30,000*	10,000	10,000	10,000
<b>Pelegano Village Industries</b>				
<i>Gaborone, Botswana</i>				
For general budgetary support of this community self-help organization assisting with projects which relate to small business development, employment generation, and practical training in the small village of Gabane.	15,000	-	10,000	5,000
<b>School for the Training of Wildlife Specialists</b>				
<i>Garoua, Cameroon</i>				
Toward the scholarship needs of this school designed to train personnel in wildlife management for parks and reserves in French-speaking West and Central Africa.	20,000*	10,000	10,000	-
<b>South African Institute of Race Relations</b>				
<i>Johannesburg, South Africa</i>				
Toward the Research and Library Trust and the National Education Trust of the institute, which engages in research and information dissemination on all aspects of race relations.	25,000	-	25,000	-
<b>INTERNATIONAL PROGRAM: Developing Countries - Asia (\$362,500 - Paid)</b>				
<b>Agricultural Development Council, Inc., The</b>				
<i>New York, New York</i>				
For general budgetary support of the council's teaching, fellowship, and research programs relating to the economic and human problems of agricultural and rural development in Asia.	75,000	-	75,000	-
<b>Asia Foundation, The</b>				
<i>San Francisco, California</i>				
Toward three projects involving Chinese-English translation conducted at the Chinese University of Hong Kong.	31,000	-	31,000	-

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Asia Society, Inc., The</b> <i>New York, New York</i> Toward the Capital and Program Fund of the society, which is dedicated to deepening American understanding of Asia and promoting thoughtful transpacific international exchange.	\$1,000,000*	\$ -	\$180,000	\$820,000
<b>National Committee on United States-China Relations, Inc.</b> <i>New York, New York</i> For the general activities of the committee, which conducts educational programs about contemporary China and U.S.-China relations.	35,000	-	35,000	-
<b>Overseas Education Fund of the League of Women Voters</b> <i>Washington, D.C.</i> Toward its Asian program to help volunteer women in Indonesia, Korea, Malaysia, and Thailand to acquire skills they need in order to participate more effectively in the economic and social development of their countries.	25,000	-	15,000	10,000
<b>Stanford University (Board of Trustees of the Leland Stanford Junior University)</b> <i>Stanford, California</i> Toward the university's United States-China Relations Program.	28,000	-	14,000	14,000
<b>World Foundation for Girl Guides and Girl Scouts, Inc.</b> <i>New York, New York</i> Toward travel costs of Asian participants in the Asia-Pacific Regional Seminar in India of the World Association of Girl Guides and Girl Scouts.	12,500	-	12,500	-
<b>INTERNATIONAL PROGRAM: Developing Countries – Latin America (\$332,695 – Paid)</b>				
<b>Association for Caribbean Transformation</b> <i>Port of Spain, Trinidad</i> Toward initial expenses of an organization to provide technical assistance, training, and education to agricultural cooperatives, worker groups, and others at the bottom of the economic ladder in several of the Caribbean countries.	40,000	-	-	40,000
<b>Center for Inter-American Relations, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization informing North Americans about the cultural, economic, and public affairs of Latin America.	120,000	-	60,000	60,000
Toward the center's capital fund drive.	1,000,000	-	-	1,000,000

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>Food and Agriculture Organization of the United Nations</b> <i>Rome, Italy</i> Toward the first meeting of the Regional Committee for the Conservation of the Natural and Cultural Heritage of Central America, an integral part of a planned larger program in the development of an efficiently operated system of managed wildland areas within the Central American region.	\$ 10,000*	\$ 1,700	\$ -	\$ 8,300
<b>Fundacion Nicaraguense de Desarrollo</b> <i>Managua, Nicaragua</i> Toward the organization by FUNDE of a union of small merchant, artisan, farmer and related cooperatives in Nicaragua.	30,000	-	30,000	-
<b>International Union for Conservation of Nature and Natural Resources</b> <i>Morges, Switzerland</i> Toward the development of an integrated resource-management and employment-generation program in Central America.	20,000*	13,430	6,570	-
<b>Michigan, University of</b> <i>Ann Arbor, Michigan</i> Toward the Latin American wildland management project of the university's School of Natural Resources.	52,000*	47,000	5,000	-
A supplemental grant toward the Latin American wildland management project.	4,200	-	4,200	-
A further contribution to enable a six-month extension of the Latin American wildland management project.	20,000	-	18,200	1,800
<b>Overseas Education Fund of the League of Woman Voters</b> <i>Washington, D.C.</i> For general budgetary support of this effort in citizenship education, which consists primarily of leadership training and field services for Latin American women.	5,000	-	5,000	-
<b>Oxfam-America, Inc.</b> <i>Boston, Massachusetts</i> Toward the earthquake reconstruction program in Guatemala of this private international voluntary organization.	15,000	-	15,000	-
<b>Smithsonian Institution</b> <i>Washington, D.C.</i> Toward a new policy-oriented program on Latin American and Inter-American affairs of the Woodrow Wilson International Center for Scholars.	70,000	-	41,000	29,000
Toward the Smithsonian's collaborative Peace Corps Environmental Program to provide technical support and in-service training for volunteers working with environmental and related problems in less-developed countries.	13,225	-	13,225	-

\*Appropriation made prior to 1976

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1976</i>	<i>Unpaid Balance</i>
<b>SOLIDARIOS (Council of American Development Foundations)</b>				
<i>Guatemala, Guatemala</i>				
Toward a training program for managers of Latin American development foundations which provide soft-loans and technical support to poor individuals and groups involved with rural and agricultural development.	\$ 16,000	\$ -	\$ 16,000	\$ -
<b>Tropical Agriculture Center for Research and Training</b>				
<i>Turrialba, Costa Rica</i>				
Toward a planning meeting for a new program for the center's Forestry Department which is involved in projects related to stemming the destruction of forests and watershed areas throughout Central America.	3,500	-	3,500	-
Toward a program for the management and development of natural and agricultural resources in Central America.	182,750	-	115,000	67,750
<b>INTERNATIONAL PROGRAM: Developing Countries – General (\$70,000 – Paid)</b>				
<b>International Union for Conservation of Nature and Natural Resources</b>				
<i>Morges, Switzerland</i>				
For general budgetary support of this organization, which is active through a variety of projects and programs in international environmental affairs.	40,000*	20,000	20,000	-
<b>Overseas Development Council</b>				
<i>Washington, D.C.</i>				
For general budgetary support of this organization seeking to increase American understanding of the problems faced by the developing countries and the importance of these countries to the United States.	50,000*	-	50,000	-
		Total	<u>\$10,374,106</u>	<u>\$7,358,052<sup>(5)</sup></u>

(5) Total does not include lapsed items.

\*Appropriation made prior to 1976



## Reconciliation of Appropriations Paid With Financial Statements

<b>Unpaid Appropriations, December 31, 1975</b>		
Principal Fund	\$8,906,791	
Fund for the Advancement of Contemporary Social and Cultural Studies	-0-	
Special Fund	14,846	\$ 8,921,637
<hr/>		
<b>Appropriations Authorized in 1976</b>		
Principal Fund	8,461,021	
Fund for the Advancement of Contemporary Social and Cultural Studies	107,000	
Special Fund	837,500	
Less - Appropriations lapsed Principal Fund	595,000	8,810,521
<hr/>		
17,732,158		
<b>Appropriations Paid in 1976</b>		
Principal Fund	10,167,536	
Fund for the Advancement of Contemporary Social and Cultural Studies	107,000	
Special Fund	99,570	10,374,106
<hr/>		
<b>Unpaid Appropriations, December 31, 1976</b>		
Principal Fund	6,605,276	
Fund for the Advancement of Contemporary Social and Cultural Studies	-0-	
Special Fund	752,776	7,358,052
<hr/>		

## Summary Statement of Assets at Cost and Market Values at December 31, 1976

	<i>Cost</i>	<i>Market Value</i>
<b>Principal Fund</b>		
Cash	\$ 301,520	\$ 301,520
Short-term investments	10,857,000	10,857,000
Investments:		
U.S. Government and Agency bonds	8,243,750	8,715,625
U.S. Treasury Notes	11,694,241	12,274,020
Foreign Governments & other foreign bonds	1,260,620	969,977
Corporate bonds	17,828,899	17,972,656
Corporate notes	18,097,889	13,708,928
First Mortgage Loan receivable	1,460,041	765,859
Cooperative Assistance Fund	1,000,000	1,000,000
Common stocks	87,167,203	138,130,567
	157,911,163	204,696,152
<b>Special Fund</b>		
Cash	6,208	6,208
Short-term investments	1,068,000	1,068,000
Bonds	871,260	703,417
Second Mortgage Leasehold Bonds, 5½%, due January 1, 1988	540,000	540,000
Real Estate	580,000	580,000
	3,065,468	2,897,625
<b>Fund for the Advancement of Contemporary Social and Cultural Studies</b>		
Cash	2,582	2,582
Short-term investments	1,565,000	1,565,000
	1,567,582	1,567,582
<b>Total</b>	<u>\$162,544,213</u>	<u>\$209,161,359</u>

## Financial Information

Following the certificate of Coopers & Lybrand, Independent Certified Public Accountants, are financial statements comprising:

Financial Statements:

- Balance Sheets, December 31, 1976 and 1975
- Statements of Changes in Principal Fund Balance for the years ended December 31, 1976 and 1975
- Statements of Changes in Other Fund Balances for the years ended December 31, 1976 and 1975
- Notes to Financial Statements

Supporting Schedules:

- Schedules of Expenses, Principal Fund for the years ended December 31, 1976 and 1975
- Schedule of Investments, Principal Fund, December 31, 1976
- Schedules of Net Realized and Unrealized Gain on Investments, Principal Fund for the years ended December 31, 1976 and 1975
- Schedule of Investments, Other Funds, December 31, 1976

The following additional information is required by Section 6056 of the Internal Revenue Code:

**Revenues**

1. Amount of gifts, grants, bequests and contributions received for the year		-0-
2. Gross income for the year:		
Dividends and interest	\$9,922,169	
Gains on sale of securities	7,505,522	
Other	83,671	\$17,511,362
<hr/>		
3. Total		<hr/> \$17,511,362

**Disbursements & Expenses**

4. Disbursements for the year (including administrative expense)		\$12,280,820
5. Expenses attributable to gross income (Item 2 above) for the year		199,263

## Auditor's Report

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

We have examined the balance sheets of ROCKEFELLER BROTHERS FUND, INC. as of December 31, 1976 and 1975, and the related statements of changes in principal fund balance and other fund balances for the years then ended, and the supporting schedules of expenses, investments and net realized and unrealized gain on investments. Our examinations were made in accordance with generally accepted auditing standards and, accordingly, included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances. Securities owned at December 31, 1976 and 1975 were confirmed to us by the custodian.

In our opinion, the financial statements referred to above (pages 49 through 53) present fairly the financial position of Rockefeller Brothers Fund, Inc. at December 31, 1976 and 1975, and the changes in principal fund balance and other fund balances for the years then ended, and the supporting schedules (pages 54 through 63) present fairly the information included therein, all in conformity with generally accepted accounting principles applied on a consistent basis.

COOPERS & LYBRAND

New York, April 12, 1977

## Rockefeller Brothers Fund, Inc., Balance Sheets,

December 31, 1976 and 1975

	1976	1975
<b>Assets:</b>		
Principal Fund:		
Cash	\$ 301,520	\$ 685,070
Short-term investments, at cost, which approximates market value, as annexed	10,857,000	12,333,371
Investments, at value, as annexed (cost: 1976, \$146,752,643; 1975, \$139,873,005) (Note 1)	193,537,632	168,374,332
	204,696,152	181,392,773
Other Funds (Note 2)	4,465,207	4,362,330
	<u>\$209,161,359</u>	<u>\$185,755,103</u>
<b>Liabilities and Funds:</b>		
Principal Fund:		
Federal excise tax payable	\$ 480,404	\$ 361,397
Fund balance, as annexed:		
Unpaid appropriations	6,605,276	8,906,791
Unappropriated	197,610,472	172,124,585
	204,215,748	181,031,376
	204,696,152	181,392,773
Other Funds:		
Federal excise tax payable	9,187	11,536
Fund balances, as annexed	4,456,020	4,350,794
	4,465,207	4,362,330
	<u>\$209,161,359</u>	<u>\$185,755,103</u>

See accompanying notes.

## Statements of Changes in Principal Fund Balance

for the years ended December 31, 1976 and 1975

	1976	1975
<b>Unpaid appropriations:</b>		
Appropriations authorized	\$ 8,461,021	\$ 10,692,977
Appropriations paid or lapsed	10,762,536	12,365,699
Net decrease in unpaid appropriations	2,301,515	1,672,722
Beginning balance	8,906,791	10,579,513
Ending balance	6,605,276	8,906,791
<b>Unappropriated:</b>		
Additions:		
Contribution, cash		1,000
Income from securities:		
Dividends	\$5,206,464	\$5,430,904
Interest	4,486,037	9,215,409
Other, net	83,671	24,344
	9,776,172	9,240,753
Deductions:		
Appropriations authorized	8,461,021	10,692,977
Less, appropriations lapsed	595,000	2,607,826
	7,866,021	8,085,151
Authorized payments for expenditures incurred by the Environmental Agenda Task Force Project	21,956	
Expenses, as annexed:		
Program support	902,967	817,348
Advisory activities	221,023	191,667
Investment services	124,869	113,145
Administration	582,609	615,524
	1,831,468	1,737,684
Less, reimbursements, as annexed	120,380	118,760
	1,711,088	1,618,924
Federal excise tax	480,404	359,992
	10,079,469	10,064,067
Net decrease before security transactions	303,297	823,314
Net realized and unrealized gain on investments, as annexed	25,789,184	35,448,183
Net increase in unappropriated fund balance	25,485,887	34,624,869
Beginning balance	172,124,585	137,499,716
Ending balance	197,610,472	172,124,585
Total principal fund balance, end of year	<u>\$204,215,748</u>	<u>\$181,031,376</u>

## Statements of Changes in Other Fund Balances

for the years ended December 31, 1976 and 1975

	1976		1975	
	Special Fund	Fund for the Advancement of Contemporary Social and Cultural Studies	Special Fund	Fund for the Advancement of Contemporary Social and Cultural Studies
<b>Unpaid appropriations:</b>				
Appropriations authorized	\$ 837,500	\$ 107,000		\$ 115,000
Appropriations paid	99,570	107,000	\$ 6,959	115,000
Net increase (decrease) in unpaid appropriations	737,930	—	(6,959)	—
Beginning balances	14,846		21,805	
Ending balance	752,776		14,846	
<b>Unappropriated:</b>				
Additions:				
Income from securities:				
Interest	139,815	89,853	141,289	147,112
	139,815	89,853	141,289	147,112
Deductions:				
Appropriations authorized	837,500	107,000		115,000
Federal excise tax	5,593	3,594	5,652	5,884
	843,093	110,594	5,652	120,884
Net increase (decrease) before securities transactions	(703,278)	(20,741)	135,637	26,228
Net realized and unrealized gain on investments	91,315		51,700	
Net increase (decrease) in unappropriated fund balances	(611,963)	(20,741)	187,337	26,228
Beginning balances	2,751,219	1,584,729	2,563,882	1,558,501
Ending balances	2,139,256	1,563,988	2,751,219	1,584,729
Total fund balances, end of year	2,892,032		2,766,065	
	1,563,988	\$1,563,988	1,584,729	\$1,584,729
Total other fund balances, end of year	\$4,456,020		\$4,350,794	

See accompanying notes.

## Notes to Financial Statements

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### 1. Summary of Significant Accounting Policies:

Income and expenses are generally accounted for on the cash basis and office furniture and equipment are charged to expense when acquired. However, the accompanying financial statements are not materially different from statements which would result from use of the accrual basis of accounting.

Investments in securities traded on a national securities exchange are valued based on the last reported sales price on the last business day of the year; securities traded in the over-the-counter market and listed securities for which no sale was reported on that date are valued based on the last bid price. Investments in corporate notes purchased through direct negotiation (aggregate value as of December 31, 1976 approximates \$13,700,000) are valued based on prices determined by an independent investment banking firm. Certain other investments (aggregate value as of December 31, 1976

approximates \$1,800,000) with limited or no marketability are valued at fair value as determined by the Fund.

No provision has been made for federal excise tax which would be allocable to the unrealized gains on investments carried at amounts in excess of tax bases, as such provision would be immaterial in these statements.

Security transactions are recorded as of the settlement date (date cash payment is due for delivery of securities).

The cost of donated securities is the market value at date of gift.

Realized gains and losses from sales of securities are determined on the specific identification basis.



## Notes to Financial Statements, *continued*

### 2. Other Funds:

Other Funds comprise the Special Fund and the Fund for the Advancement of Contemporary Social and Cultural Studies.

The assets, liabilities and fund balances for these funds as of December 31, 1976 and 1975 are as follows:

	<i>December 31,</i>	
	<i>1976</i>	<i>1975</i>
Special Fund:		
Cash	\$ 6,208	\$ 21,515
Short-term investments, at cost, which approximates market value, as annexed	1,068,000	991,000
Investments, at value, as annexed (cost: 1976, \$871,260; 1975, \$898,360) (Note 1)	703,417	639,202
The Interchurch Center, \$540,000 second mortgage leasehold bonds, 5½%, due January 1, 1988, at cost	540,000	540,000
Real estate, at amounts based on cost to the donor or appraisal at date donated	580,000	580,000
Total assets	2,897,625	2,771,717
Less, Federal excise tax payable	5,593	5,652
Fund balance	<u>\$2,892,032</u>	<u>\$2,766,065</u>
Fund for the Advancement of Contemporary Social and Cultural Studies:		
Cash	\$ 2,582	\$ 9,613
Short-term investments, at cost, which approximates market value, as annexed	1,565,000	1,581,000
Total assets	1,567,582	1,590,613
Less, Federal excise tax payable	3,594	5,884
Fund balance	<u>\$1,563,988</u>	<u>\$1,584,729</u>
Total assets, Other Funds	<u>\$4,465,207</u>	<u>\$4,362,330</u>

### 3. Pension Expense:

The Fund has a noncontributory retirement income plan covering substantially all of its employees. Total pension expense under this plan was \$103,005 and \$110,402 in 1976

and 1975, respectively. The Fund's policy is to fund pension cost accrued.

### 4. Expenses:

"Program Support" covers expenses directly related to the processes of program management encompassing functions of planning and development as well as control and evaluation of grants. "Advisory Activities" comprise amounts expended by

the Fund in providing advisory or consultative services on subjects of mutual interest to charitable organizations outside the context of a grantee relationship.

## Schedules of Expenses, Principal Fund

for the years ended December 31, 1976 and 1975

	<i>Program Support</i>	<i>Advisory Activities</i>	<i>Investment Services</i>	<i>Admin- istration</i>	<i>1976 Total</i>	<i>1975 Total</i>
<b>Salaries and related expenses:</b>						
Salaries	\$498,941	\$137,953		\$346,352	\$ 983,246	\$ 891,351
Retirement plan contributions	52,265	14,452		36,288	103,005	110,402
Group life insurance	5,489	1,518		3,810	10,817	16,222
Thrift plan	25,910	7,165		17,990	51,065	41,818
Other employee benefits	28,408	7,855		19,724	55,987	53,691
Unemployment and disability insurance	7,034	1,945		4,884	13,863	13,552
Social security tax	17,520	4,844		12,164	34,528	30,880
	635,567	175,732		441,212	1,252,511	1,157,916
<b>Other expenses:</b>						
Consultants' fees	104,618				104,618	127,585
Investment services			\$124,869		124,869	113,145
Legal and audit fees				23,793	23,793	20,664
New York State transfer tax				13,513	13,513	12,191
Travel	40,870	11,300			52,170	55,448
Rent and electricity	80,035	22,130		55,570	157,735	147,003
Telephone	16,041	4,435		11,137	31,613	28,269
Furniture and equipment	1,884	521		1,308	3,713	4,282
General office expenses	23,952	6,905		18,971	49,828	38,774
Publications				17,105	17,105	27,407
Authorized payments for expenditures incurred by the Special Task Force of the Citizens Advisory Committee on Environmental Quality						5,000
	\$902,967	\$221,023	\$124,869	\$582,609	1,831,468	1,737,684
Less, Reimbursement received for share of expenses:						
Rockefeller Family Fund, Inc.					110,000	110,000
Charitable Trust under the will of Winthrop Rockefeller					10,380	8,760
					120,380	118,760
					<u>\$1,711,088</u>	<u>\$1,618,924</u>

## Schedule of Investments, Principal Fund

December 31, 1976

### Recapitulation of Investments:

	<i>Cost</i>	<i>Value (Note 1)</i>
<b>Short-term investments</b>	<b>\$ 10,857,000*</b>	
<b>Investments:</b>		
U.S. Government and Agency Bonds	\$ 8,243,750	\$ 8,715,625
U.S. Treasury Notes	11,694,241	12,274,020
Foreign Governments and Other Foreign Bonds	1,260,620	969,977
Corporate Bonds	17,828,899	17,972,656
Corporate Notes	18,097,889	13,708,928
Common Stocks	87,167,203	138,130,567
Other Investments	2,460,041	1,765,859
	<u>\$146,752,643</u>	<u>\$193,537,632</u>

	<i>Principal Amount</i>	<i>Cost*</i>
<b>Short-term investments:</b>		
Commercial paper:		
Sears Roebuck Acceptance Corp., 5.192%, January 12, 1977	\$ 1,000,000	\$ 1,000,000
Notes due on demand (at prevailing market interest rates):		
Allstate Financial Corp.	3,514,000	3,514,000
General Electric Credit Corp.	1,234,000	1,234,000
Sears Roebuck Acceptance Corp.	5,109,000	5,109,000
		9,857,000
<b>Total short-term investments</b>		<u>\$ 10,857,000</u>

	<i>Principal Amount</i>	<i>Cost</i>	<i>Value (Note 1)</i>
<b>U.S. Government and agency bonds:</b>			
Federal Home Loan Banks:			
9.1%, November 27, 1978	\$1,000,000	\$ 1,000,000	\$ 1,062,500
9.45%, February 26, 1979	1,000,000	1,000,000	1,072,500
8.1%, November 25, 1985	1,000,000	1,021,250	1,070,000
		3,021,250	3,205,000
Federal Land Banks:			
6.6%, October 20, 1977	1,250,000	1,250,000	1,265,625
Federal National Mortgage Association:			
8.5%, June 10, 1980	1,000,000	992,500	1,071,250
8.2%, July 10, 1984	1,000,000	980,000	1,066,250
7.9%, October 10, 1985	2,000,000	2,000,000	2,107,500
		3,972,500	4,245,000
<b>Total U.S. Government and agency bonds</b>		<u>\$ 8,243,750</u>	<u>\$ 8,715,625</u>

continued

\*Approximates market value  
See accompanying notes.

## Schedule of Investments, Principal Fund, *continued*

	<i>Principal Amount</i>	<i>Cost</i>	<i>Value (Note 1)</i>
<b>U.S. Treasury notes:</b>			
8.25%, August 31, 1977	\$1,000,000	\$ 999,440	\$ 1,021,880
8.375%, September 30, 1977	1,000,000	998,650	1,025,000
7.25%, December 31, 1977	2,000,000	1,998,160	2,045,620
7.625%, August 15, 1978	1,000,000	997,030	1,035,000
8.5%, September 30, 1979	500,000	499,220	534,530
7.5%, March 31, 1980	2,000,000	2,001,244	2,095,620
8%, May 15, 1982	2,000,000	2,000,000	2,150,000
8%, February 15, 1983	200,000	200,000	215,750
7.875%, May 15, 1986	2,000,000	2,000,497	2,150,620
<b>Total U.S. Treasury notes</b>		<u>\$ 11,694,241</u>	<u>\$ 12,274,020</u>
<b>Foreign governments and other foreign bonds:</b>			
City of Winnipeg, Canada, 4¾%, November 1, 1989	500,000	\$ 500,000	\$ 363,750
TransCanada Pipelines Ltd.: 5½%, May 1, 1985	124,000	124,620	108,500
6¾%, August 1, 1987	636,000	636,000	497,727
<b>Total foreign governments and other foreign bonds</b>		<u>\$ 1,260,620</u>	<u>\$ 969,977</u>
<b>Corporate bonds:</b>			
Utilities:			
American Telephone and Telegraph Co., 8.8%, May 15, 2005	1,000,000	\$ 1,000,000	\$ 1,092,500
General Telephone and Electronics Corp., convertible subordinated debentures: 4%, March 15, 1990	115,000	117,300	81,219
5%, December 15, 1992	500,000	500,000	372,500
Mountain States Telephone and Telegraph Co., 7¾%, June 1, 2013	750,000	750,000	750,000
Northern Illinois Gas Company, 6%, August 1, 1991	425,000	321,406	355,938
Pacific Gas and Electric Co., 5%, June 1, 1989	250,000	196,818	196,250
Pacific Power and Light Company, 3½%, August 1, 1984	200,000	209,500	149,500
Pacific Telephone and Telegraph Co., 6%, November 1, 2002	500,000	427,500	395,625
Southern Bell Telephone Co., 7¾%, March 15, 2013	750,000	750,000	753,750
Tennessee Gas Transmission Co., 5½%, May 1, 1981	451,000	451,000	418,302
Western Maryland Railway Co., 7¾%, October 1, 1978	1,000,000	931,600	1,037,500
		5,655,124	5,603,084

## Schedule of Investments, Principal Fund, *continued*

	<i>Principal Amount</i>	<i>Cost</i>	<i>Value (Note 1)</i>
<b>Corporate bonds, <i>continued</i></b>			
Financials:			
American Express Credit Corp., 6½%, April 1, 1977	\$1,000,000	\$ 1,007,500	\$ 1,000,000
Beneficial Finance Co., 4⅞%, June 1, 1981	830,000	750,092	741,812
Charter New York Corp., 5¾%, August 1, 1991	500,000	458,775	396,875
C.I.T. Financial Corp., 5⅞%, January 15, 1980	300,000	251,670	290,250
Commonwealth Edison Co., 9%, June 15, 1979	1,000,000	1,007,500	1,062,500
First Chicago Corp., 6¼%, July 15, 1978	1,000,000	985,000	1,000,000
General Motors Acceptance Corp., 4⅞%, March 1, 1983-2071	900,000	821,903	810,000
Inter American Development Banks, 6⅝%, November 1, 1993	410,000	329,025	366,950
International Bank for Reconstruction and Development: 8.15%, January 15, 1985	1,000,000	990,000	1,047,500
5%, February 15, 1985	100,000	100,000	87,500
4¼%, January 15, 1979	200,000	173,500	193,500
John Deere Credit Co., Deb.: Series B, 4¾%, April 1, 1981	500,000	493,750	455,625
Series A, 4⅞%, October 31, 1985	650,000	583,813	544,375
Macy Credit Corp., Deb.: 4¾%, November 1, 1981	700,000	650,392	614,250
4⅞%, June 1, 1985	250,000	247,625	176,250
		8,850,545	8,787,387
Industrials:			
Amerada Hess Corp., 6¾%, March 15, 1996	500,000	417,500	429,375
Standard Oil Co. (Indiana), 9.2%, July 15, 2004	1,000,000	1,000,000	1,115,000
Union Tank Car Co. Equipment Trust, 9⅞%, July 1, 1990	908,000	905,730	971,560
Union Oil Co. of California, 8⅞%, December 1, 1982	1,000,000	1,000,000	1,066,250
		3,323,230	3,582,185
<b>Total corporate bonds</b>		<u>\$ 17,828,899</u>	<u>\$ 17,972,656</u>

*continued*

## Schedule of Investments, Principal Fund, *continued*

	<i>Principal Amount</i>	<i>Cost</i>	<i>Value (Note 1)</i>
<b>Corporate notes:</b>			
ARCO Pipeline Co., 8%, January 15, 1982	\$1,000,000	\$ 995,000	\$ 1,056,250
Bank of Hawaii, 4.7%, October 15, 1989	225,000	225,000	151,031
Bell Telephone Co. of Canada, 4 $\frac{7}{8}$ %, May 1, 1988	200,000	199,280	154,000
Central Trust Co. (Rochester, N.Y.), 4 $\frac{7}{8}$ %, June 1, 1989	174,000	174,000	102,737
Chemical Bank, New York Trust Co., 5 $\frac{7}{8}$ %, January 1, 1992	400,000	398,700	303,500
Chrysler Financial Corp., 6 $\frac{7}{8}$ %, September 15, 1987	600,000	600,000	344,442
Chrysler Realty Corp., 6%, January 1, 1995	861,540	861,540	684,925
City National Bank (Detroit, Mich.), 4 $\frac{3}{4}$ %, February 1, 1990	190,000	190,000	108,640
Commercial Credit Co. (Baltimore, Md.), 4 $\frac{3}{4}$ %, November 1, 1980	400,000	395,563	366,500
Continental Mortgage Investors: 5 $\frac{1}{2}$ %, January 1, 1980	900,000	828,738	1
5%, April 1, 1989	500,000	500,000	1
Eastern Air Lines, Inc.: 6%, December 1, 1986	220,625	220,625	135,896
5%, November 1, 1992	1,000,000	1,000,000	527,500
Emerald Coal & Coke Co., 5%, April 1, 1979	97,157	97,157	97,157
Ethyl Corp., 5 $\frac{3}{4}$ %, November 1, 1982	750,000	583,110	648,885
Family Finance Corp., 5 $\frac{1}{2}$ %, June 1, 1981	165,000	165,000	115,667
Fansteel Metallurgical Corp., 5 $\frac{1}{2}$ % Convertible, January 31, 1988	333,000	333,000	194,405
Farrington Manufacturing Co., 6%, October 1, 1983	500,000	25,000	1
First Jersey National Bank (Jersey City, N.J.), 4 $\frac{3}{4}$ %, June 1, 1990	175,000	175,000	116,594
Ford Motor Credit Co., 6 $\frac{7}{8}$ %, March 15, 1978	750,000	754,125	755,625
Glens Falls National Bank & Trust Co. (Glens Falls, N.Y.), 4 $\frac{7}{8}$ %, September 1, 1989	187,000	187,000	109,683
Global Marine Inc., 5%, December 1, 1984	750,000	608,252	570,000
Great Western Savings & Loan Assoc., Capital Notes, Convertible, 5%, December 15, 1983	441,176	441,176	288,529
Heritage Bancorp., 5 $\frac{1}{2}$ %, March 15, 1994	800,000	800,000	443,832
Hilo Electric Light Co., Ltd., 5 $\frac{7}{8}$ %, March 1, 1989	396,000	396,000	299,570

See accompanying notes.

## Schedule of Investments, Principal Fund, *continued*

	<i>Principal Amount</i>	<i>Cost</i>	<i>Value (Note 1)</i>
<b>Corporate notes, <i>continued</i></b>			
Industrial Acceptance Corp., Ltd., 5½%, October 15, 1987	\$ 250,000	\$ 250,000	\$ 176,907
International Telephone & Telegraph Credit Corp., 5.10%, December 1, 1984	250,000	250,000	192,658
Iowa Electric Light and Power Co., 5½%, January 1, 1991	500,000	500,000	373,125
Michigan Gas Utilities Co., 4.70%, February 1, 1990	238,000	238,000	173,442
Norfolk and Western Railway Co., Convertible: 4%%, October 1, 1981	2,000,000	1,564,000	1,569,100
4%%, January 1, 1983	1,200,000	907,800	891,876
Pennsylvania Life Co., Convertible, 5%, August 1, 1983	607,477	607,477	356,225
Pennsylvania Railroad Co., Conditional Sales Contracts, 5¾%, February 15, 1986	166,666	166,666	106,583
Ryan Homes Inc., Convertible, 6%, July 15, 1991	300,000	300,000	255,000
Sears Roebuck and Co., 8.375%, December 31, 1986	1,000,000	998,000	1,053,750
Virginia National Building Corp., 4.70%, May 1, 1990	412,680	412,680	233,016
Westinghouse Credit Corp., 7.20%, May 15, 1978	750,000	750,000	751,875
<b>Total corporate notes</b>		<u>\$18,097,889</u>	<u>\$13,708,928</u>
	<i>Shares</i>	<i>Cost</i>	<i>Value (Note 1)</i>
<b>Common stocks:</b>			
Automotive Equipment, Machinery, and Machine Parts:			
Caterpillar Tractor Co.	48,000	\$ 1,345,921	\$ 2,784,000
General Motors Corp.	30,000	2,071,580	2,355,000
Purolator, Inc.	60,000	3,827,370	1,702,500
		7,244,871	6,841,500
Building Products and Homebuilding:			
Georgia-Pacific Corp.	30,000	1,025,135	1,151,250
Masco Corp.	74,000	1,022,249	1,951,750
Weyerhaeuser Co.	68,280	1,999,989	3,175,020
		4,047,373	6,278,020
Chemicals:			
Dow Chemical Co.	125,000	1,406,380	5,421,875
Du Pont (E.I.) de Nemours & Co., Inc.	21,000	3,332,205	2,837,625
		4,738,585	8,259,500
Computer and Office Equipment:			
International Business Machines Corp.	33,465	1,905,009	9,340,918
Xerox Corp.	18,000	1,834,209	1,053,000
		3,739,218	10,393,918

*continued*

**Schedule of Investments, Principal Fund, *continued***

	<i>Shares</i>	<i>Cost</i>	<i>Value (Note 1)</i>
<b>Common stocks, <i>continued</i></b>			
Consumer Products and Services:			
American Express Co.	100,000	\$ 2,489,740	\$ 4,062,500
Colgate Palmolive Co.	50,000	1,432,703	1,375,000
Eastman Kodak Co.	30,000	177,963	2,580,000
Procter and Gamble and Co.	55,000	4,306,291	5,149,375
		8,406,697	13,166,875
Drugs:			
Merck & Co., Inc.	37,000	1,743,677	2,520,625
Pfizer Inc.	45,000	1,703,835	1,321,875
Squibb Corp.	60,000	2,287,904	1,770,000
		5,735,416	5,612,500
Electrical Equipment:			
General Electric Co.	60,000	1,751,843	3,337,500
Grainger (W. W.), Inc.	85,000	1,247,860	2,550,000
		2,999,703	5,887,500
Financials:			
Beneficial Corp.	70,000	3,114,658	1,898,750
Chase Manhattan Corp.	100,000	2,498,980	3,062,500
Wells Fargo & Company	100,000	2,554,008	2,700,000
		8,167,646	7,661,250
Foreign:			
Selected Risk Investments, S.A.	56,600	333,396	285,604
Insurance:			
Connecticut General Insurance Co.	70,000	3,472,881	4,086,250
Continental Corp.	75,000	2,941,371	4,106,250
		6,414,252	8,192,500
Metals and Minerals:			
Aluminum Co. of America	32,000	1,466,973	1,832,000
Freeport Minerals Co.	40,000	1,121,024	1,180,000
		2,587,997	3,012,000
Oils and Oil Services:			
Exxon Corporation	370,000	7,145,440	19,841,250
Halliburton Co.	40,000	2,240,376	2,605,000
Mobil Corp.	210,000	3,950,520	13,650,000
Smith International, Inc.	90,000	1,426,135	3,600,000
Standard Oil Company of California	100,000	1,790,500	4,100,000
		16,552,971	43,796,250
Railroads:			
Norfolk & Western Railway Co.	20,000	661,600	632,500
Southern Railway Co.	25,000	1,239,300	1,550,000
		1,900,900	2,182,500

See accompanying notes.



## Schedule of Investments, Principal Fund, *continued*

	<i>Shares</i>	<i>Cost</i>	<i>Value (Note 1)</i>
<b>Common stocks, <i>continued</i></b>			
Retail:			
Federated Department Stores	78,100	\$ 3,005,108	\$ 3,826,900
Sears, Roebuck & Co.	40,000	383,424	2,760,000
		3,388,532	6,586,900
Textile:			
Collins and Aikman Corp.	120,000	3,376,278	1,560,000
Utilities:			
American Telephone & Telegraph Co.	50,000	2,788,518	3,175,000
Commonwealth Edison Co.	30,000	891,015	948,750
Duke Power Co.	50,000	915,550	1,100,000
Northern States Power Co.	40,000	1,036,455	1,180,000
Texas Utilities Co.	50,000	986,666	1,087,500
Virginia Electric & Power Co.	60,000	915,164	922,500
		7,533,368	8,413,750
<b>Total common stocks</b>		<u>\$87,167,203</u>	<u>\$138,130,567</u>
<b>Other investments:</b>			
Cooperative Assistance Fund		\$1,000,000	\$1,000,000
Ramon Magsaysay Award Foundation, first mortgage loan receivable, 6% payable annually through December 31, 1993		1,460,041	765,859
<b>Total other investments</b>		<u>\$ 2,460,041</u>	<u>\$ 1,765,859</u>

See accompanying notes.

## Schedules of Net Realized and Unrealized Gain on Investments, Principal Fund

for the years ended December 31, 1976 and 1975

	1976	1975
Realized gain from security transactions (excluding short-term investments):		
Proceeds from sales and redemptions	\$34,360,309	\$25,879,103
Identified cost of securities sold and redeemed	26,854,787	22,241,208
Net realized gain	7,505,522	3,637,895
Unrealized appreciation (depreciation) on investments:		
Beginning of year	28,501,327	(3,308,961)
End of year	46,784,989	28,501,327
Net unrealized appreciation	18,283,662	31,810,288
Net realized and unrealized gain on investments	<u>\$25,789,184</u>	<u>\$35,448,183</u>

## Schedule of Investments, Other Funds

December 31, 1976

	<i>Principal Amount</i>	<i>Cost*</i>	<i>Value (Note 1)</i>
<b>Special fund:</b>			
Short-term investments:			
Notes due on demand (at prevailing market interest rates):			
C.I.T. Financial Corp.	\$ 286,000	\$ 286,000	
General Electric Credit Corp.	223,000	223,000	
Sears Roebuck Acceptance Corp.	559,000	559,000	
		<u>\$1,068,000</u>	
Bonds:			
Bell Telephone Co. of Canada:			
4 $\frac{7}{8}$ %, May 1988	50,000	\$ 49,820	\$ 38,500
4.85%, September 1, 1995	100,000	100,000	68,500
Celanese Corporation of America, Capital Note,			
4 $\frac{3}{4}$ %, April 1, 1990	143,500	143,500	94,754
Eurofima Dollar Notes,			
5 $\frac{7}{8}$ %, May 15, 1978	41,000	41,000	40,898
Hilo Electric Light Company, Ltd.,			
5 $\frac{7}{8}$ %, March 1, 1989	198,000	198,000	149,785
Transcontinental Gas Pipe Line Corporation,			
5%, November 1, 1981	44,000	44,565	39,105
U.S. Postal Service,			
6 $\frac{7}{8}$ %, February 1, 1997	300,000	294,375	271,875
		<u>\$ 871,260</u>	<u>\$703,417</u>
<b>Fund for the Advancement of Contemporary</b>			
<b>Social and Cultural Studies:</b>			
Short-term investments:			
Notes due on demand (at prevailing market interest rates):			
Allstate Financial Corp.	1,012,000	\$1,012,000	
Sears Roebuck Acceptance Corp.	553,000	553,000	
		<u>\$1,565,000</u>	

\*Approximates market value.  
See accompanying notes.

## Trustees

**Richard N. Cooper<sup>(1)</sup>**

230 Everit Street  
New Haven, Connecticut 06511

**Dana S. Creel**

Room 5450, 30 Rockefeller Plaza  
New York, New York 10020

**William M. Dietel**

Room 5450, 30 Rockefeller Plaza  
New York, New York 10020

**Gerald M. Edelman**

The Rockefeller University  
York Avenue & 66th Street  
New York, New York 10021

**John W. Gardner**

2030 M Street, N.W.  
Washington, D.C. 20036

**Neva R. Kaiser**

Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**William McChesney Martin, Jr.**

800 17th Street, N.W.  
Washington, D.C. 20006

**Abby R. Mauzé<sup>(2)</sup>**

Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**Abby M. O'Neill**

Room 4528, 30 Rockefeller Plaza  
New York, New York 10020

**David Rockefeller**

Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**David Rockefeller, Jr.**

929 Massachusetts Avenue  
Cambridge, Massachusetts 02139

**John D. Rockefeller 3rd**

Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**Laurance S. Rockefeller**

Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**Margaretta F. Rockefeller**

Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**Nelson A. Rockefeller<sup>(3)</sup>**

Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**Hope R. Spencer**

Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

(1) Resigned January 19, 1977

(2) Deceased May 27, 1976

(3) Effective January 21, 1977

## Officers

**Laurance S. Rockefeller, Chairman**  
Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**David Rockefeller, Vice Chairman**  
Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**Dana S. Creel, Vice Chairman**  
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New York, New York 10020

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Room 5450, 30 Rockefeller Plaza  
New York, New York 10020

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Room 5450, 30 Rockefeller Plaza  
New York, New York 10020

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Room 5450, 30 Rockefeller Plaza  
New York, New York 10020

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Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

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Room 5450, 30 Rockefeller Plaza  
New York, New York 10020

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Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**John E. Lockwood, Counsel<sup>(1)</sup>**  
Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

**Donal C. O'Brien, Jr., Counsel<sup>(2)</sup>**  
Room 5600, 30 Rockefeller Plaza  
New York, New York 10020

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**Richard N. Cooper\***  
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**Eli Shapiro**

(1) Retired October 28, 1976

(2) Effective October 28, 1976; associate counsel until that date

\*Resigned January 19, 1977

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 Karin Younkings<sup>(7)</sup>  
 (1) Until July 22, 1976  
 (2) Effective July 19, 1976  
 (3) Effective June 1, 1976  
 (4) Effective September 15, 1976  
 (5) Until July 1, 1976  
 (6) Effective September 27, 1976  
 (7) Until August 31, 1976

### Consultants

John R. Camp  
 James N. Hyde  
 Gene W. Setzer  
 Albert R. Ravenholt  
 Marjorie S. Ravenholt

### Contributions

Foundation managers who have made a number of contributions to the Rockefeller Brothers Fund are John D. Rockefeller 3rd, Laurance S. Rockefeller, Nelson A. Rockefeller, David Rockefeller, and the late Abby R. Mauzé and Winthrop Rockefeller. Only Winthrop Rockefeller has contributed more than two per cent of the total contributions received by the Fund.

In addition to a major gift which he made in 1951, the late John D. Rockefeller, Jr., bequeathed one-half of his estate to the Fund in 1960. In 1971, following the death of Martha B. Rockefeller, the Fund was the beneficiary of a trust in which she held a life interest and of a trust which she had created in the Fund had a contingent beneficial interest.

### Foundation Managers

Trustees and officers as listed are "foundation managers" within the meaning of Sec. 4946(b) of the Internal Revenue Code with respect to all activities of the Fund.

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