

RBF

ROCKEFELLER BROTHERS FUND ANNUAL REPORT 1977

#1 of 2

RBF

Rockefeller Brothers Fund
30 Rockefeller Plaza
New York, New York 10020

JOHN D. ROCKEFELLER 3rd

1906-1978

The trustees and staff of the Rockefeller
Brothers Fund mourn the tragic loss of
John D. Rockefeller 3rd, co-founder, trustee,
and former chairman of the Fund, who died
July 10, 1978.

Annual Report of
ROCKEFELLER BROTHERS FUND, INC.

1977

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Table of Contents

About the RBF	3
<hr/>	
The RBF Program in Equal Opportunity	5
<hr/>	
List of Grants	11
National Program	11
New York City Program	25
International Program	33
<hr/>	
Financial Data	42
<hr/>	
Trustees	62
<hr/>	
Officers	63
<hr/>	
Staff	64
<hr/>	
Index of Grants	65

About the RBF

The Rockefeller Brothers Fund is a foundation whose assets at the end of 1977 were \$182,391,632. During 1977 the Fund made 280 separate payments totaling \$16,969,528. Since it was established in 1940 by the five Rockefeller brothers, the RBF has disbursed a total of \$187,422,601 in grants.

The Fund makes grants in three areas—national, New York City, and international. The program under each of these areas is outlined here.

RBF Programs

The RBF's grants are administered by a program staff of twelve responsible for carrying out 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 RBF allocated its available grant money in 1977.

The National Program. Total expenditures in 1977: \$7,563,042 (117 payments). Under the Fund's national program, grants are made in the five categories listed here. Where possible and practical, the Fund supports projects that overlap these program divisions.

CIVIC AND CULTURAL VALUES. Expenditures in 1977: \$2,760,581 (52 payments), including a special payment of \$1,000,000 to The Rockefeller University for the Rockefeller Archive Center.

ECONOMIC OPPORTUNITY AND DEVELOPMENT. Expenditures in 1977: \$1,516,650 (19 payments).

ENVIRONMENTAL INTEGRITY. Expenditures in 1977: \$2,422,500 (22 payments), including a special payment of \$1,000,000 to The Population Council, Inc.

EQUAL RIGHTS. Expenditures in 1977: \$797,336 (20 payments).

PHILANTHROPIC SERVICE ORGANIZATIONS. Expenditures in 1977: \$65,975 (4 payments).

The New York City Program. Total expenditures in 1977: \$5,294,011 (71 payments). The objective of the 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 areas below.

ARTS AND CULTURE. Expenditures in 1977: \$2,590,041 (27 payments), including two special payments—\$600,000 to The Metropolitan Museum of Art and \$1,500,000 to The Metropolitan Opera Association.

ECONOMIC DEVELOPMENT. Expenditures in 1977: \$224,470 (6 payments).

HOUSING AND COMMUNITY DEVELOPMENT. Expenditures in 1977: \$180,000 (6 payments).

HUMAN SERVICES. Expenditures in 1977: \$2,144,500 (26 payments), including two special payments—\$800,000 to Memorial Sloan-Kettering Cancer Center and \$750,000 to The Riverside Church.

PUBLIC EDUCATION. Expenditures in 1977: \$155,000 (6 payments).

The International Program. Total expenditures in 1977: \$4,112,475 (68 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 1977: \$2,445,113 (33 payments), including a special payment of \$1,500,000 to the Japan Society, Inc.

DEVELOPING COUNTRIES. Expenditures in 1977: \$1,567,362 (35 payments), including two special payments—\$160,000 to The Asia Society, Inc. and \$618,600 to the Center for Inter-American Relations.

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.

The RBF Program in Equal Opportunity

Although civil rights and equal opportunity for racial minorities were not commonly chosen fields of activity for foundations in 1940, the year the Rockefeller Brothers Fund was established, the RBF has made grants in pursuit of these objectives from the beginning of the Fund. During its thirty-seven years, a substantial portion of the Fund's expenditures—in education, the arts, housing, human service, economic development, and spiritual values—have gone to projects that in one way or another encourage greater opportunity for members of minority groups, especially black Americans.

The RBF's interest in the problems minorities face in the United States reflects a Rockefeller family concern about race relations and slavery that was evident before the Civil War. John D. Rockefeller, Sr.'s wife, Laura Spelman, came from a family of abolitionists and was herself deeply interested in Negro welfare. Spelman College, which was named after her, and the Atlanta University complex, among black colleges in the South, have long received RBF support, as have the National Urban League and several welfare agencies and settlement houses in New York City.

At first, the Fund's grants to these institutions represented the combined "citizenship" giving of the five sons and daughter of John D. Rockefeller, Jr., and the contributions were made to worthy organizations in New York and elsewhere as a way for the Fund to carry on the family's traditional interests. As the RBF's experience in the human rights field grew during the forties and fifties and the nation as a whole began to appreciate the dimensions of its racial problems, the Fund developed a more refined strategy. By the late nineteen sixties and early seventies, the Fund's equal rights giving had become one of the foundation's larger programs. This report describes that program in some detail.

Readers should understand at the outset that, useful as the Fund's efforts may have been in these years, the RBF makes no claims to large or permanent successes with its equal opportunity program. With a problem as pervasive and intractable as race and civil rights in America, a private foundation with a limited amount of money to spend—at its highest, the RBF's giving in equal opportunity has been about \$2.5 million in a single

year—cannot achieve miraculous results. In some instances, the Fund's contributions have purchased little more than survival for a few agencies and organizations that were trying to serve the poor and the discriminated against in cities and rural areas around the country. In other cases, projects that have appeared as great symbols of hope to the participants who struggled to create and sustain them have sometimes produced less favorable reactions within the tenuous coalitions of foundations and corporations that helped to support them. There have been times, too, when it has seemed that the issues of race and equal opportunity have attracted so little public interest that no amount of private effort could keep them alive.

Yet, as one foundation among several that have stayed with these issues over the years, the RBF has made contributions to many organizations whose work, it now seems clear, has been important to the civil rights field as a whole. In the process, the Fund has tried to adapt its program to the lessons it has learned from these organizations, from the people who manage them, and from the changes that have taken place along the way.

The great urban migration

Throughout the early nineteen sixties the RBF made most of its civil rights grants in New York City and to a few national agencies, like the Urban League and the National Association for the Advancement of Colored People, with which the Fund had a long relationship. The most important exception was the Southern Regional Council, introduced to the Fund by one of the RBF's trustees, the late Governor Winthrop Rockefeller. The council, a coalition of black and white businessmen, educators, and government and community leaders, was working to promote desegregation in the South. The RBF's contributions went principally to the council's work with human relations groups in the South and to the council's Voter Registration Project—which, with the help of contributions from many foundations, helped add more than two million black voters to Southern rolls. Later RBF grants to the council helped to support basic literacy and citizenship education for these new voters.

For the RBF, as for many other private foundations, its equal opportunity program was given a higher priority as the civil rights movement's demands for greater minority participation and better jobs, education, and housing took hold. In the mid-sixties the trustees increased the RBF's giving in equal rights and opportunity and in 1968 authorized an additional \$1 million annually for a special program in race relations and urban problems. National attention had been diverted from desegregation programs in the rural South by then to the results of black migration to the Northern cities, where most of the racial riots were taking place. The statistics showed that in the two decades after World War II 25 million people left rural life for the cities. A high percentage of these migrants were young Southern blacks, and many of them were pushed out of the South by increased automation, massive unemployment, gross discrepancies between Southern rural and Northern urban welfare payments, and national economic and agricultural policies that favored urbanization and large landowners at the expense of small farmers and the rural poor. The RBF, like several other private foundations in those years, made grants to agencies that were trying to create jobs for the new migrants, improve education, establish cultural identity, and rebuild decayed and burned-out neighborhoods in the country's urban slums.

Those who studied civil and human rights issues in the troubled end of the nineteen sixties found an inseparable link between rural and urban poverty. As President Johnson's rural poverty commission pointed out in "The People Left Behind," the more money and attention given to the cities without comparable improvement in rural areas, the greater the incentives for poor and black people to move to the cities. Furthermore, little was being done to develop independent indigenous institutions in either the urban or rural areas that could promote the leadership for community and economic development in these poor communities.

In an effort to help correct the imbalance, the RBF in 1970 established its Southern Program, which initially authorized annual expenditures of more than a half million dollars for economic, social, and leadership development projects that would demonstrate how out-migration from the rural South could be reduced. Under the program, the Fund gave grants at first to organizations that offered technical assistance to newly elected black officials, challenged discriminatory election laws, conducted voter registration and education campaigns, and represented minority concerns in policymaking in Washington. The Fund also began to help focus attention on the land being lost by minorities in the South (between 1950 and 1970 black-owned land in the South went from 12.5 to 5.5 million acres, a loss of 7 million acres), and it supported the development of farm and marketing cooperatives for the benefit of those who wanted to stay in their home communities.

A slowdown in rights enforcement

As the Fund's Southern Program took form in the early seventies, it was becoming clear that the national interest in improving race relations, so active in the nineteen sixties, had flagged, government priorities had changed, and extraordinary efforts were required by several groups, including foundations, to keep the issue of equal opportunity alive. In 1973 the RBF's trustees formally established an Equal Rights and Opportunity Program, with a budget of over \$1 million a year.

With this added money, the Fund increased its contributions to national civil rights organizations and at the same time expanded its support for voter education, voter registration, and monitoring of certain government programs and policies, such as the 1965 Voting Rights Act. The RBF also began to give regular support to several organizations that have been instrumental, through their monitoring activities, in revising and strengthening multi-billion-dollar government programs in revenue sharing, training, community development, health, food, and nutrition.

During this period, when the enforcement of civil rights laws was at best uneven, the representation of minority rights before the courts and other offices of government was often left to legal defense funds and other privately supported public-interest groups, some of which were formed in these years specifically to take up the slack between Congressional and Constitutional intent and governmental practice. The Children's Foundation, for example, was established in 1969 (the RBF has contributed to it since 1973) for the sole purpose of making sure that the intended beneficiaries of federal food programs for children actually receive the food Congress mandated for them. The foundation has an admirable record of tracking these programs, helping the Department of Agriculture implement them, and conducting research on administration of the programs at the state and local government levels, where most of the problems arise.

During this period, too, several RBF grantees created and sustained private institutions in minority communities that have been important in providing services and development assistance in those communities and in representing minority views before local, state, and federal officials.

The Task Force on Southern Rural Development.

Through its Southern Program, meanwhile, the RBF was becoming increasingly involved in economic development projects as the Fund and those its grants were helping to support learned more and more about the problems of the rural poor and the issues of rural migration in the South. One of the first public leaders to address these problems was Winthrop Rockefeller, who as governor of Arkansas not only advocated rural economic development as a way of balancing national growth but initiated several programs in Arkansas to reverse outmigration from the state. He established a strong, decentralized industrial base in Arkansas, created thousands of new jobs, and instituted job training and education programs.

Governor Rockefeller also tried to promote rural development on the national level. In the late nineteen sixties he organized the National Rural Coalition, meant to bring rural economic problems to the attention of the federal government and the general public. But the country was preoccupied with the troubles of the cities in those years, and the coalition foundered for lack of public interest. The governor decided to start a new planning process whose ultimate objective was the same—a comprehensive national rural policy—but whose initial focus was regional. With the support of the Southern Regional Council, the RBF, and the Ford and Edna McConnell Clark foundations, a Task Force on Southern Rural Development was formed in 1974. Its immediate purpose was to identify policies and programs that would upgrade employment and economic ownership opportunities for poor people in the South. The members of the task force were Southern corporate, academic, governmental, and racial leaders, and its director was Ray Marshall, currently Secretary of Labor.

The governor died shortly before the task force began its work, but in the next three years, under the co-chairmanship of Alexander Heard, chancellor of Vanderbilt University, and the late Vivian Henderson, president of Clark College, the task force produced policy recommendations in several areas, including energy, agriculture, education, health, credit, manpower, and community development.

The National Rural Center. One early outgrowth of the force's work is the National Rural Center, a privately based organization founded in 1976 under the presidency of Ray Marshall (who resigned when he was named Labor secretary) and located in Washington, D. C., with field offices in the South and Southwest and others being planned for New England, the Midwest, and Far West. The center's primary concerns are in the areas of employment, agriculture, health, education, economic development, and law. It deals with these fields principally by (1) monitoring and evaluating federal programs, (2) recommending new federal procedures where administrative regulations are found to have a pro-urban bias, (3) supporting a national network of local rural development groups, and (4) providing up-to-date and reliable information on rural affairs to policymakers in Washington, D.C. and elsewhere.

In practice, the center has begun to design a national system of regional development banks. It has outlined administrative and evaluation procedures for the national health insurance proposals by the Department of Health, Education, and Welfare. And it is also working closely on special projects with the departments of Commerce, Labor, and Agriculture and with the White House staff. The best example of the last partnership was a meeting jointly sponsored by the center and the White House Conference on Balanced National Growth, whose purpose was to learn from twelve European and Canadian experts how to use financial incentives to promote regional development.

Trial projects in economic development and rural policy. At the same time that the RBF was helping to organize the Task Force on Southern Rural Development and the National Rural Center, the Fund's Southern Program grants were going to projects that concentrated on the primary causes of minority migration. Like the Fund's Equal Rights and Opportunity Program, the Southern Program emphasized voter education, technical assistance to newly elected officials, litigation challenging discriminatory election laws, and representation of minority concerns in federal policymaking.

In another area, jobs, the Southern Program has funded several organizations whose aim is to demonstrate that so-called unemployables can work productively and that successful companies can be created and maintained in poor rural areas. Although not all of these projects have survived, several are still in business, and they are proving the point. The most impressive companies are those operated by the Delta Foundation in Mississippi. The foundation's holding company, Delta Enterprises, has created manufacturing and agricultural businesses, health delivery programs, and housing construction and maintenance projects in the 14-county delta area. Major support for the Delta Foundation and its community organization arm, Mississippi Action for Community Education, has come from several agencies of the federal government. Supplemental support for more experimental undertakings has been provided by the Ford Foundation, RBF, and other foundations.

Other development projects that have received assistance from the RBF have been primarily in the agriculture area. Production and marketing cooperatives and other agricultural enterprises in dairy goat products and swine have concentrated on the needs of the smaller producer. These groups have begun to benefit from an informal alliance with another RBF grantee, the Winrock International Livestock Research and Training Center. The center was founded in 1975 when the conference facilities of Governor Winthrop Rockefeller's farm were converted for charitable use in the field of animal agriculture. Winrock's program is designed to improve the management, production, and marketing systems of "ruminant" animals, such as cattle, sheep, goats, rabbits, water buffalo, and eland, which offer one of the world's best hopes for high-quality protein from grass and other feedstuffs that cannot otherwise be used directly by man. The center is especially concerned with livestock producers of small and modest size—the so-called smallholder who produces 80 percent of the world's livestock. At present, the center is directly involved in planning and implementing research and training projects that promote livestock production in Africa, the Caribbean, Mexico, and the Southwestern, Southeastern, and Northeastern parts of the United States.

Economic development needs in the South and beyond: a national development bank

Important as model development projects are, it has seemed to the RBF and other agencies in this field that the long-term economic problems of the central cities and depressed rural areas are unlikely to be solved by model projects alone, no matter how widely replicated they may become. It has also seemed that many equal opportunity issues can be addressed, at least in part, in the broader context of economic development of depressed communities.

In 1977, the RBF joined government officials and other leaders from private organizations in urging the Opportunity Funding Corporation to explore the need for a domestic bank. The study was also to analyze the proposed development bank models and present some preliminary suggestions about how it might operate. The bank's purpose would be to provide longer-term investment capital and guarantees that might attract additional investments, grants, and training funds from traditional public and private financial and funding agencies to help restore depressed rural and urban areas. Such development banks have been important not only to developing countries but to the depressed areas in European countries as well. In the United States there are no direct counterparts to these banks and therefore few organizations and institutions that have long-term interests and incentives for developing depressed areas.

With grants from the RBF and other foundations, OFC reviewed the basic features of several existing development bank models and analyzed the many models that have been proposed for domestic purposes in the United States. OFC described these models in a report and on the basis of them presented a list of principles and criteria to be satisfied in the design of any U.S. version of the bank. Primarily through seminars, the report and additional staff research by OFC and the National Rural Center have been made available to groups in government, private industry, the local economic development field, and the financial community. For the first time, there is now a forum for competing views on the development bank idea and an opportunity for wide-ranging discussion with most of the relevant facts in hand.

In the nearly four decades it has worked in this field, the RBF has seen some encouraging changes in the nation's perception of human rights and equal opportunity issues. At the same time, it has become very clear that the United States has a long way to go before this country has conquered the most elemental obstacles to full equality for its minorities and its poor. In 1972, Rev. Theodore M. Hesburgh, chairman of the United States Commission on Civil Rights, laid down a kind of challenge to organizations like ours. He said:

Most of our domestic problems are exacerbated by our problem with color. In fact, until we recognize this and begin to understand that failing to cope with color means inevitably failing to cope with the other domestic problems, we are condemning ourselves as a nation to a constant lowering of our quality of life, to a continual negation of the hopes of an increasing number of Americans who are now without much hope of real equality. Moreover, while this is very much a minority problem in its pinch, it must be very much a majority problem in its solution.

For private foundations, it has seemed to us that few problems could be more pressing, few could better test our ingenuity, our patience, or our will. In the Fund's effort here, it has met at every turn the commitment and determination of people in government agencies, other foundations, and community organizations all over the country, who have found ways of changing the status quo and, however slowly at times, opening up new possibilities. They have been crucial to any program the Fund has helped to support.

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

NATIONAL PROGRAM: Civic and Cultural Values (\$2,760,581—Paid)

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
American Institute of Buddhist Studies <i>Amherst, Massachusetts</i> Toward the development of the institute's undergraduate program in Asian studies.	\$ 25,000	\$ —	\$ —	\$ 25,000
Arts, Education and Americans, Inc., The <i>New York, New York</i> Toward the costs of disseminating the findings and recommendations of this organization's report, <i>Coming to Our Senses</i> , a three-year survey of the status of the arts in the nation's schools.	40,000	—	40,000	—
Aspen Institute for Humanistic Studies <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.	70,000	—	35,000	35,000
Toward its Program on Communications and Society concerned with the identification of major issues in the communications field and with the formulation of policies and actions relating to those issues.	100,000*	50,000	50,000	—
Toward the Program on Communications and Society in 1978.	50,000	—	—	50,000
Associated Councils of the Arts <i>New York, New York</i> For general budgetary support of this national service organization, which provides information and guidance to state and local arts councils.	10,000	—	10,000	—
Association of Independent Conservatories of Music <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.	7,500	—	7,500	—
Association of Religious Communities, Inc. <i>Danbury, Connecticut</i> Toward the association's program to train lay persons in providing support and assistance when visiting chronically and terminally ill persons.	5,600	—	5,600	—
Cambridge School, Inc. <i>Weston, Massachusetts</i> Towards 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 ⁽¹⁾
Center for Public Resources, Inc. <i>New York, New York</i> Toward the initial operating expenses of the center, organized to develop the potential of business in meeting public needs and to make it easier for business resources to be used in solving social problems.	25,000	—	25,000	—

(1) Lapsed

* Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Center for Study of Public Policy, Inc. <i>Cambridge, Massachusetts</i> Toward the center's project, "The First Amendment and the Structure of Schooling," which will explore the confusion over the legal status of private schools in American education and the degree to which they should be supported and financed from public funds.	\$ 18,000	\$ —	\$ 18,000	\$ —
Children's Museum, The <i>Boston, Massachusetts</i> Toward the museum's reorganization of its funding efforts to establish long-range support for the museum's education programs.	26,000	—	26,000	—
Cleveland Museum of Art, The <i>Cleveland, Ohio</i> Toward final publishing and promotion activities of the study, <i>The Art Museum as Educator</i> , sponsored by the Council on Museums and Education in the Visual Arts.	25,000	—	25,000	—
Colonial Williamsburg Foundation <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
Colorado Mountain Trails Foundation <i>Littleton, Colorado</i> Toward the foundation's "walkabout program," which, using a Colorado trail as an outdoor classroom, is to design and field-test walkabout learning experiences for public and private secondary-school students.	41,000	—	25,000	16,000
Cornell University <i>Ithaca, New York</i> Toward a program at the New York State College of Agriculture and Life Sciences, which will seek to evoke and facilitate reflection on values and ethical issues in the context of a curriculum that is heavily technical and vocational.	70,000	—	—	70,000
Frederick Douglass Museum of African Art <i>Washington, D.C.</i> Toward the museum's emergency funding program.	15,000	—	15,000	—
Family Service Association of Nassau County, Inc. <i>Hempstead, New York</i> Toward the mother-child home program component of the association's Verbal Interaction Project, which attempts to prevent educational disadvantage by showing mothers how to teach their young children verbal abilities.	72,000	—	17,000	55,000
Fund for Theological Education, Inc., The <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, 1979.	30,000	—	30,000	—

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
George Washington University <i>Washington, D.C.</i> For general budgetary support of the university's national Center for Museum Education, which collects and disseminates information about education programs to the museum profession.	\$ 50,000	\$ —	\$ 25,000	\$ 25,000
Good Hope School, Inc. <i>St. Croix, Virgin Islands</i> Toward the school's collaborative learning disabilities resource center, which will provide a full-service diagnostic and teaching resource for the private and public schools on St. Croix.	61,500	—	24,000	37,500
Graduate Theological Union <i>Berkeley, California</i> To promote closer coordination of the non-academic activities of the member seminaries of the Graduate Theological Union.	35,000*	32,224	1,100	1,676 ⁽²⁾
Harvard University <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*	68,932	45,997	97,593
Toward the core activities of the Program on Information Resources Policy.	5,000	—	5,000	—
Hospice, Inc. <i>New York, New York</i> Toward the cost of establishing a National Hospice Association to provide organizational information to the growing number of local hospices—teams of chaplains, social workers, visiting nurses, and volunteer workers who provide companionship and counseling to terminally ill patients.	17,500	—	17,500	—
Howard University <i>Washington, D.C.</i> Toward the Urban Ministries Program of the university's School of Religion, which is providing specialized training for black seminary students who intend to become pastors of inner-city churches and chaplains of prisons and hospitals.	150,000	—	150,000	—
Institute of Society, Ethics and the Life Sciences, Inc. <i>Hastings-on-Hudson, New York</i> Toward the institute's project on the teaching of ethics.	25,000	—	25,000	—
Lindisfarne Association, Inc., The <i>New York, New York</i> Toward the education program at the New York City 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	15,000	15,000

(2) Lapsed

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Los Angeles County Museum of Natural History Foundation <i>Los Angeles, California</i> Toward the development of a code of ethics for the museum profession, to be drafted by the Ethics Committee of the American Association of Museums.	\$ 10,100	\$ —	\$ 10,100	\$ —
Maryland, University of <i>College Park, Maryland</i> For general budgetary support of the university's Center for Philosophy and Public Policy, which reviews selected policies and programs of the U.S. government and assesses their philosophical implications.	25,000	—	25,000	—
Mimbres Foundation <i>Mimbres, New Mexico</i> Toward site surveys and analyses of recovered materials by this foundation, which is excavating and preserving prehistoric archaeological sites in the Mimbres Valley, an early dwelling place of the Mimbres, a pueblo people, from the 6th to 12th centuries.	33,600	—	33,600	—
Museum of the American Indian (Heye Foundation) <i>New York, New York</i> Toward the development of a reorganization 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	—
National Association of Independent Schools, Inc. <i>Boston, Massachusetts</i> Toward the Independent School Grants Program of the association's Commission on Educational Issues, which is directed to strengthening the institutional capacity, such as long-range planning and complementary programing with public schools, of independent secondary schools.	75,000	—	75,000	—
National Association of Neighborhoods <i>Washington, D.C.</i> Toward a program to expand the membership of the association, which assists neighborhood organizations and city-wide coalitions in understanding public policies relating to the survival of urban communities.	25,000	—	25,000	—
National Endowment for the Humanities <i>Washington, D.C.</i> Toward the expenses of an "Institute on Law and Ethics" held under the direction of the Council for Philosophical Studies.	12,500	—	12,500	—
National Research Center of the Arts, Inc. <i>New York, New York</i> Toward the Arts Trend Data Study, which will assemble information on the finances and administration of nonprofit arts organizations throughout the U.S.	25,000	—	12,500	12,500

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
National Trust for Historic Preservation in the United States <i>Washington, D.C.</i> Toward stipends for apprentices at the Restoration Workshop at Lyndhurst, a program designed to expand the number of persons trained in the crafts of preservation	\$ 50,000	\$ —	\$ 50,000	\$ —
New York Institute of Technology <i>Old Westbury, New York</i> Toward the first year costs of the development program for the institute's New York College of Osteopathic Medicine.	111,500	—	111,500	—
Oakwood School <i>Poughkeepsie, New York</i> Toward the school's "Adventure in Quaker Education," an extensive reorganization of the 11th and 12th grades for the purpose of balancing academic work with practical skills, community service, and outdoor leadership.	22,000	—	22,000	—
Palace of Arts and Science Foundation <i>San Francisco, California</i> Toward the development program of the Exploratorium, whose 200 exhibits offer visitors first-hand experience of natural phenomena.	50,000	—	25,000	25,000
Phelps Memorial Hospital Association <i>North Tarrytown, New York</i> Toward the hospital's new intensive care/cardiac care unit.	40,500	—	40,500	—
Police Foundation <i>Washington, D.C.</i> Toward the costs of production and distribution to the public of a nontechnical summary and explanation of the foundation's research report on firearms.	25,000	—	25,000	—
Princeton Education Center at Blairstown <i>Princeton, New Jersey</i> Toward costs of an education development officer for the center, which through camping and other programs, based on the concept of learning by doing, tries to promote a greater understanding of both human and physical environments.	70,000*	35,000	35,000	—
Prospect School, Inc. <i>Bennington, Vermont</i> A final grant to help consolidate the work of the school's Adjunct Services Program, which assists in the training of teachers, administrators, and nonprofessional people in the open classroom/integrated day techniques.	23,065	—	23,065	—
Quebec-Labrador Mission Foundation, Inc., The <i>Ipswich, Massachusetts</i> Toward the environmental education program of the foundation, which assists with the education of persons living in isolated communities of northeastern Canada and northern Maine.	75,000	—	25,000	50,000

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Rockefeller University, The <i>New York, New York</i> Toward a fund functioning as endowment for the university's Rockefeller Archive Center.	\$ 1,000,000	\$ —	\$ 1,000,000	\$ —
St. Luke's Hospital Center <i>New York, New York</i> For general budgetary support of the hospital's Hospice Program, a team of chaplains, social workers, visiting nurses, and volunteer workers who provide companionship and counseling to terminally ill patients.	12,500	—	12,500	—
Smithsonian Institution <i>Washington, D.C.</i> Toward a conference on Government Reorganization sponsored by the Woodrow Wilson International Center for Scholars.	15,000	—	15,000	—
Social Science Research Council <i>New York, New York</i> Toward a study of the current state of diagnosis, remediation, and research in the field of neurologically based learning disabilities (dyslexia).	34,500	—	34,500	—
Spelman College <i>Atlanta, Georgia</i> Toward several special projects to strengthen the college's recruitment and admissions program and to support an examination of the college's future.	75,000	—	75,000	—
Union Church of Pocantico Hills <i>Tarrytown, New York</i> For general budgetary support of this nondenominational church located near Tarrytown, New York.	25,119	—	25,119	—
United Negro College Fund, Inc. <i>New York, New York</i> For general budgetary support of UNCF's campaign to raise unrestricted funds for its forty member institutions.	20,000	—	20,000	—
Virginia Union University <i>Richmond, Virginia</i> Toward strengthening the faculty and the fundraising capability of the university's School of Theology.	275,000	—	275,000	—
Wellesley College <i>Wellesley, Massachusetts</i> For general budgetary support of the college's Center for Research on Women in Higher Education and the Professions.	70,000	—	35,000	35,000
Westledge School, Inc. <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	—

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Zen Center, A Corporation Sole <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	\$ 10,000	\$ 10,000
Zen Studies Society, Inc., The <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	10,000	10,000
NATIONAL PROGRAM: Economic Opportunity and Development (\$1,516,650—Paid)				
Black Child Development Institute, Inc. <i>Washington, D.C.</i> Toward its Southern Technical Assistance Program in the day-care field in the South and toward the institute's new headquarters building in Washington.	35,000	—	35,000	—
Center for Community Change <i>Washington, D.C.</i> Toward the center's program of assistance to community and economic development organizations in the South.	280,000	—	140,000	140,000
Dartmouth College, Trustees of <i>Hanover, New Hampshire</i> Toward the establishment of a clearinghouse for information relating to economic growth, so as to help teachers and policy-makers stay abreast of developments in the debate about growth.	19,650	—	19,650	—
Delta Foundation, The <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.	52,000	—	52,000	—
Emergency Land Fund <i>Atlanta, Georgia</i> Toward this organization's program of assistance to agricultural land acquisition and development programs in the South.	60,000	—	60,000	—
Federation of Southern Cooperatives <i>Epes, Alabama</i> Toward the federation's training center and demonstration farm.	70,000	—	70,000	—
Interracial Council for Business Opportunity <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 businesses.	40,000	—	40,000	—

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Lawyer's Committee for Civil Rights Under Law <i>Washington, D.C.</i> Toward the committee's work in the areas of public employment discrimination, voter rights, and attorneys' fees.	\$ 200,000	\$ —	\$ 100,000	\$ 100,000
National Congress for Community Economic Development, Inc. <i>Washington, D.C.</i> Toward an effort to help extend manpower training funds for privately-based rural economic development groups, the project to be conducted in conjunction with the National Rural Development and Finance Corporation.	225,000	—	225,000	—
National Rural Center, The <i>Washington, D.C.</i> For general budgetary support of its rural information and policy programs, economic development, and research assistance to rural community development organizations.	75,000	—	75,000	—
North Carolina Center for Public Policy Research, Inc., The <i>Durham, North Carolina</i> Toward the center's research and analysis in the area of state economic development policy.	50,000	—	50,000	—
Opportunity Funding Corporation <i>Washington, D.C.</i> Toward the design of a domestic development bank and for seminars to refine and promote the development bank as a feature of national development policy.	250,000	—	175,000	75,000
Toward a program to coordinate the efforts of foundations, corporations, and economic development groups on behalf of minority economic development.	70,000	—	70,000	—
Penn Community Services, Inc. <i>St. Helena Island, South Carolina</i> Toward a joint demonstration and extension center project with Clemson University, designed to further Penn's work in economic development and job-creating activities in the Coastal Plains regions of the Carolinas.	30,000	—	15,000	15,000
Rural Advancement Fund of the National Sharecroppers Fund, Inc. <i>Charlotte, North Carolina</i> Toward a program providing planning, monitoring, and financial assistance to cooperatives and other local community development groups in the South.	75,000	—	75,000	—

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Southern Development Foundation <i>Lafayette, Louisiana</i> Toward its program of technical, managerial, and financial assistance to agricultural cooperatives in the South.	\$ 70,000	\$ —	\$ 70,000	\$ —
Southern Regional Council, Inc. <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 and toward its program of technical and financial assistance to community development groups.	70,000	—	70,000	—
Winrock International Livestock Research and Training Center, Inc. <i>Morrilton, Arkansas</i> For general budgetary support of the center's program of research, training, and technical assistance in the livestock field.	75,000	—	75,000	—
Work in America Institute, Inc. <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*	125,000	100,000	—
NATIONAL PROGRAM: Environmental Integrity (\$2,422,500—Paid)				
Alliance to Save Energy <i>Washington, D.C.</i> For general budgetary support of the alliance's public education programs to increase awareness of the need for energy conservation.	25,000	—	25,000	—
American Conservation Association, Inc. <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*	150,000	100,000	—
Brookings Institution, the <i>Washington, D.C.</i> Toward a study of possible alternative national immigration policies and their likely effects on environmental and population matters.	70,000	—	70,000	—
Rachel Carson Trust for the Living Environment, The <i>Washington, D.C.</i> Toward a bibliography project on the conservation ethic in philosophy and religion.	40,000	—	—	40,000

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Conservation Foundation, Inc., The <i>Washington, D.C.</i> For general budgetary support of the foundation, which conducts a wide variety of educational and research programs in the conservation and environmental field.	\$ 200,000	\$ —	\$ 100,000	\$ 100,000
Environmental Agenda Project <i>New York, New York</i> Toward follow-up activity related to the project's task force report, <i>The Unfinished Agenda: The Citizens Policy Guide to Environmental Issues</i> .	25,000	—	—	25,000
Environmental Defense Fund, Incorporated <i>New York, New York</i> Toward the fund's Toxic Chemical Program, which has as its objective the reduction of involuntary human exposure to chemical carcinogens in food, air, and water.	70,000	—	35,000	35,000
Alan Guttmacher Institute, The, A Corporation for Research, Policy Analysis and Public Education <i>New York, New York</i> Toward a national survey of abortion needs and services.	25,000	—	25,000	—
INFORM, Inc. <i>New York, New York</i> Toward a study on fluidized bed combustion technology for coal, a process that could yield both economic and environmental benefits.	10,000	—	10,000	—
Louisiana State University and Agricultural and Mechanical College <i>Baton Rouge, Louisiana</i> Toward a project aimed at expanding economic theory to include an accounting of the ecological services of the biosphere, so as to make possible the management of resource and environmental problems with fewer regulations and controls.	37,500	—	37,500	—
Massachusetts Audubon Society, Inc. <i>Lincoln, Massachusetts</i> Toward the society's Land Use Resource Center, designed to demonstrate strategies and methods for achieving better use of land.	30,000	—	—	30,000 ⁽³⁾
National Audubon Society <i>New York, New York</i> Toward an evaluation of the society's environmental education programs and for the general budgetary support of these programs.	200,000	—	130,000	70,000
National Organization for Non-Parents <i>Baltimore, Maryland</i> For general budgetary support of N.O.N., which is engaged in research and the production of educational materials relating to childfree alternative careers for women.	50,000	—	25,000	25,000

(3) Lapsed

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
National Park Foundation <i>Washington, D. C.</i> Toward the foundation's national public education and information program on the proposed national parks in Alaska.	\$ 50,000	\$ —	\$ 50,000	\$ —
Natural Resources Defense Council, Inc. <i>New York, New York</i> For general budgetary support of NRDC, an organization of scientists and lawyers contributing to the enforcement of the nation's conservation laws.	150,000	—	50,000	100,000
Nature Conservancy, The <i>Arlington, Virginia</i> Toward a program to identify and locate endangered wildlife and habitats.	75,000	—	75,000	—
New Alchemy Institute <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.	75,000	—	30,000	45,000
Northern Rockies Action Group, Inc. <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.	45,000	—	30,000	15,000
Planned Parenthood of New York City, Inc. <i>New York, New York</i> For general budgetary support and toward PPNYC's program on teenage pregnancy.	75,000	—	75,000	—
Population Council, Inc., The <i>New York, New York</i> For general budgetary support over the three years, 1975-1977, of the council's programs 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*	775,000	200,000	—
For general budgetary support of the council during the three year period, 1978-1980, and toward the policy related aspects of the council's programs.	3,750,000	—	1,000,000	2,750,000
Princeton University <i>Princeton, New Jersey</i> Toward the Program on Nuclear Policy Alternatives of the university's Center for Environmental Studies.	165,000	—	110,000	55,000
Project for Public Spaces, Inc. <i>New York, New York</i> Toward support of a project on the management of national parks, using observational techniques to determine what people want in their use of park space.	5,000	—	5,000	—

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Trust for Public Land, The <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 for public use.	\$ 120,000*	\$ 80,000	\$ 40,000	\$ —
Worldwatch Institute, Inc. <i>Washington, D.C.</i> For general budgetary support of the institute, which seeks to identify emerging public problems and to make a concerted effort to create a climate in which these problems can be rationally discussed and possible responses formulated.	200,000*	—	200,000	—
For general budgetary support of the institute over the three years, 1978-1980.	375,000	—	—	375,000
NATIONAL PROGRAM: Equal Rights (\$797,336—Paid)				
American Civil Liberties Union Foundation, Inc. <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.	70,000	—	70,000	—
American Indian Lawyer Training Project, Inc. <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*	76,664	9,836	—
Catholic University of America, The <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 such as employment, education, and housing.	50,000	—	50,000	—
Center for Community Change <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.	25,000*	10,000	15,000	—
Center for Law and Social Policy <i>Washington, D.C.</i> Toward the center's program to improve health services for minority groups and the poor.	65,000	—	65,000	—

*Appropriation made prior to 1977.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Children's Foundation, The <i>Washington, D.C.</i> For general budgetary support of this organization, which provides technical assistance to groups working to increase the availability and adequacy of federal food programs for children.	\$ 40,000	\$ —	\$ 40,000	\$ —
DNA-People's Legal Services <i>Window Rock, Arizona</i> Toward the programs of this poverty-law organization that serves the Navajo reservation.	20,000	—	20,000	—
Housing Action Council, Inc. <i>White Plains, New York</i> Toward a survey of housing needs and attitudes in 15 Westchester County communities, the final component of a comprehensive program to gain local support for construction of multi-family housing.	10,000	—	10,000	—
Martin Luther King, Jr., Center for Social Change <i>Atlanta, Georgia</i> Toward the auditorium part of the King Center, which will be used for, among other projects, showing film segments on the life of Martin Luther King, Jr.	250,000*	—	—	250,000
Law Students Civil Rights Research Council <i>Atlanta, Georgia</i> For general budgetary support of the council, which provides summer internships for law students in organizations concerned with equal rights and opportunities.	12,500	—	7,500	5,000 ⁽⁴⁾
Mexican American Legal Defense and Educational Fund <i>San Francisco, California</i> For general budgetary support of this national legal organization for Mexican Americans and other citizens.	50,000	—	50,000	—
Mississippi Council on Human Relations, Inc. <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.	50,000	—	25,000	25,000
NAACP Legal Defense and Educational Fund, Inc. <i>New York, New York</i> For general budgetary support of this organization, which continues to handle numerous major civil rights cases.	55,000	—	55,000	—
NAACP Special Contribution Fund <i>New York, New York</i> For general budgetary support of this national civil rights organization.	50,000	—	50,000	—
National Black United Fund <i>Los Angeles, California</i> Toward a training program to meet the manpower needs of emerging black United Fund organizations.	50,000	—	50,000	—

(4) Lapsed

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
National Urban League, Inc. <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	\$ —
Puerto Rican Legal Defense and Education Fund, Inc. <i>New York, New York</i> For general budgetary support of this legal organization for Puerto Rican citizens.	45,000	—	45,000	—
Southwest Voter Registration Education Project, Inc. <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	—
Urban League of Westchester County, Inc. <i>White Plains, New York</i> Toward the league's Community Education and Information Center in Mount Vernon, New York.	75,000*	50,000	25,000	—
Voter Education Project, Inc. <i>Atlanta, Georgia</i> For general budgetary support of this program of nonpartisan voter registration, citizenship education, and technical assistance to elected officials from minority groups.	60,000	—	60,000	—
Washington Research Project, Inc. <i>Washington, D. C.</i> Toward the project's Children's Defense Fund, which is aimed at mobilizing broad support for effective public policies that benefit children.	70,000	—	70,000	—

NATIONAL PROGRAM: Philanthropic Service Organizations (\$65,975—Paid)

Council on Foundations, Inc. <i>New York, New York</i> To cover the Fund's full membership contribution for 1978 in this national service agency for foundations.	19,775	—	17,475	2,300 ⁽⁵⁾
Foundation Center, The <i>New York, New York</i> For general budgetary support in 1977 of the center, which collects and disseminates factual information on the foundation field.	20,000*	—	20,000	—
For general budgetary support in 1978.	20,000*	—	—	20,000
For general budgetary support in 1979.	20,000	—	—	20,000

(5) Lapsed

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
National Committee for Responsive Philanthropy <i>Washington, D.C.</i> For general budgetary support of the committee, which undertakes research and analysis on questions related to society's current needs and the extent to which they are, or are not, being met by private philanthropy.	\$ 25,000	\$ —	\$ 25,000	\$ —
National Information Bureau, Inc. <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	—
NEW YORK CITY PROGRAM: Cultural (\$2,590,041—Paid)				
A Bunch of Experimental Theatres of N. Y., Inc. <i>New York, New York</i> Toward expenses of maintaining a central administrative office for the seven member theaters.	6,000	—	6,000	—
American Crafts Council <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	30,000	10,000
Brooklyn Academy of Music, Inc., The <i>Brooklyn, New York</i> For general budgetary support of the country's oldest performing arts center.	75,000	—	50,000	25,000
Brooklyn Arts and Culture Association, Inc. <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.	17,500	—	10,000	7,500
Collective for Living Cinema, Inc., The <i>New York, New York</i> For general budgetary support of this experimental film organization that provides a place for the new, independent filmmaker to show and discuss his work, offers courses in filmmaking, and publishes two film magazines.	5,000	—	5,000	—

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Cultural Council Foundation				
<i>New York, New York</i>				
Toward costs of computerizing the fiscal management system of the foundation, which provides fiscal management services to more than 200 small arts agencies and projects and for government cultural funds in New York City.	\$ 15,000	\$ —	\$ 15,000	\$ —
Toward the Center for Arts Information, which provides information about arts services, fundraising, administration, and government funding guidelines to artists, arts organizations, and donors.	15,000	—	15,000	—
Toward the Cultural Institutions Assistance Center set up by the Commission on Cultural Affairs of the City of New York to develop projects aimed at providing cultural institutions with alternative ways of raising income and cutting expenses.	75,000	—	75,000	—
Frederick Douglass Creative Arts Centers, Inc.				
<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	—
Foundation for the Open Eye, Inc.				
<i>New York, New York</i>				
Toward an experimental program, which will enable small performing arts companies to make use of theater space during periods when it is not being utilized by home companies.	4,000	—	4,000	—
Greater Jamaica Development Corp.				
<i>New York, New York</i>				
Toward the costs of restructuring the corporation's Jamaica Arts Center as an independent entity.	15,000	—	15,000	—
Harlem School of the Arts, Inc., The				
<i>New York, New York</i>				
Toward the costs of furnishing the new building for the school, which provides arts instruction, outside the public school system, to talented students from Harlem and other parts of New York City.	25,000	—	25,000	—
Henry Street Settlement				
<i>New York, New York</i>				
Toward the costs of a film documenting the historical development of black theater in America.	9,200	—	9,200	—
Metropolitan Museum of Art, The				
<i>New York, New York</i>				
Toward the expansion of the museum's department and collection of primitive art.	1,000,000*	750,000	250,000	—
Toward the costs of integrating the Museum of Primitive Art into the Metropolitan Museum of Art.	350,000*	—	350,000	—
Metropolitan Opera Association, Inc., The				
<i>New York, New York</i>				
Toward the association's campaign for emergency funds.	1,500,000	—	1,500,000	—

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Museum of Modern Art, The <i>New York, New York</i>				
Toward the museum's 50th Anniversary Capital Funds campaign.	\$9,825,000	\$ —	\$ —	\$9,825,000
Museums Collaborative, Inc. <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	
New York Botanical Garden, The <i>Bronx, New York</i>				
Toward the garden's capital campaign to improve facilities.	150,000*	50,000	50,000	50,000
Toward strengthening the garden's development program.	60,000	—	60,000	—
New York Public Library, The <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	4,941	59 ⁽⁶⁾
Opportunity Resources for Arts, Inc. <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	—
Organization of Independent Artists, Inc. <i>New York, New York</i>				
For general budgetary support of the organization, which assists in mounting exhibitions of its members' work in public buildings.	5,000	—	5,000	—
Playwrights Horizons, Inc. <i>New York, New York</i>				
Toward audience development costs of the Queens Theatre-in-the-Park, which is located on the New York City world's fair site.	10,400	—	10,400	—
South Street Seaport Museum <i>New York, New York</i>				
Toward strengthening the long-term capability of the museum, which is devoted to preserving the history of New York City's seaport district.	172,500	—	23,000	149,500
TAG Foundation, Ltd. <i>New York, New York</i>				
For general budgetary support of this management consultant group for dance organizations and toward its "Dance Umbrella" project.	20,000	—	20,000	—

(6) Lapsed

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Volunteer Lawyers for the Arts <i>New York, New York</i> For general budgetary support of this organization, which provides free legal assistance to indigent artists and small cultural organizations.	\$ 7,500	\$ —	\$ 7,500	\$ —
Volunteer Urban Consulting Group, Inc. <i>New York, New York</i> Toward the group's services component, which makes available to nonprofit cultural organizations in New York City volunteers who are skilled in business practices.	10,000	—	10,000	—
NEW YORK CITY PROGRAM: Economic Development (\$224,470—Paid)				
City Planning Department Fund <i>New York, New York</i> Toward the planning of a program to assist in stabilizing the existing housing stock in the Corona area of the borough of Queens in New York City.	7,500	—	7,500	—
Columbia University in the City of New York, The Trustees of <i>New York, New York</i> A supplemental contribution toward a study, by the university's Conservation of Human Resources Project, analyzing the factors affecting the location of corporate headquarters and related service firms in New York City.	11,970	—	11,970	—
CONEG Policy Research Center, Inc. <i>Albany, New York</i> Toward development of the format of a proposed multi-state investment corporation to help revitalize the deteriorated economies of the Northeast and New York City.	35,000	—	35,000	—
Natural Resources Defense Council, Inc. <i>New York, New York</i> Toward costs of a study of ways to improve the management of transportation in the New York City metropolitan area.	75,000	—	75,000	—
New York City Business Marketing Center, Inc. <i>New York, New York</i> Toward the design and development of a bank of information about New York City, which will help the center publicize the city's unique facilities and assets to American and international business executives as a part of an outreach effort to stabilize the city's tax base.	50,000	—	50,000	—
Regional Plan Association, Inc. <i>New York, New York</i> Toward costs of a case study on global and national economic, environmental, and technological factors affecting the future of the Manhattan central business district.	45,000	—	45,000	—

NEW YORK CITY PROGRAM: Housing & Community Development (\$180,000—Paid)

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Bronx Frontier Development Corporation, The <i>Bronx, New York</i> Toward support of a program to redevelop the South Bronx section of New York City, with emphasis on converting vacant land into a more attractive environment for housing and industry.	\$ 27,000	\$ —	\$ 27,000	\$ —
Cathedral Church of St. John the Divine <i>New York, New York</i> Toward the work of the cathedral's Urban Homesteading Assistance Board in providing technical assistance for the rehabilitation of abandoned multi-family buildings through local self-help homesteading projects.	25,000	—	25,000	—
Citizens' Housing and Planning Council of New York, Inc. <i>New York, New York</i> Toward an analysis and documentation of housing policies that can attract and retain the maximum number of persons working in the city as city residents.	38,000	—	38,000	—
42nd Street Local Development Corporation <i>New York, New York</i> Toward an effort to renew the westerly end of 42nd Street in New York City by focusing architectural, legal, financial, and transportation planning on 14 pieces of key property with the aim of changing ownership and use.	50,000	—	25,000	25,000
Pratt Institute <i>Brooklyn, New York</i> Toward the program of the institute's Center for Community and Environmental Development, which provides technical assistance to community-based housing rehabilitation and maintenance groups.	30,000	—	30,000	—
Settlement Housing Fund, Inc. <i>New York, New York</i> Toward further development of a central housing referral system 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.	35,000	—	35,000	—

NEW YORK CITY PROGRAM: Human Services (\$2,144,500—Paid)

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Citizens' Committee for New York City, Inc. <i>New York, New York</i> Toward its fund to provide emergency assistance to businesses in New York City that suffered arson, damages, and other losses as a result of the 1977 power blackout.	\$ 50,000	\$ —	\$ 50,000	\$ —
Community Council of Greater New York, Inc. <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.	50,000	—	50,000	—
Toward the Task Force on the New York City Crisis, a coalition of voluntary agency leaders analyzing the impact of the fiscal crisis on the human services agencies and offering recommendations to appropriate government officials to improve the delivery of human services.	35,000	—	35,000	—
Community Service Society of New York <i>New York, New York</i> Toward the society's technical assistance to community boards created by New York City's revised city charter.	25,000	—	25,000	—
Day Care Council of New York, Inc. <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*	50,000	10,000	—
Economic Development Council of New York City, Inc. <i>New York, New York</i> Toward a study of the New York City Family Court and the Special Services for Children division of the city's Human Resources Administration, with the objective of improving the accountability for the services these agencies are to provide for the city's children.	50,000	—	50,000	—
Family Service of Westchester, Inc. <i>White Plains, New York</i> Toward the costs of implementing the merger of the Adoption and Children's Services of Westchester into the Family Service of Westchester.	18,000	—	18,000	—
Federation of Protestant Welfare Agencies, Inc. <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	—

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Fort Greene-Crown Heights Youth Service Coalition Corporation <i>Brooklyn, New York</i> Toward development costs of the Fort Tilden park and recreation complex in New York City's borough of Brooklyn, which will provide recreational facilities for the programs of the 30 youth-service agencies in the coalition.	\$ 25,000	\$ —	\$ 25,000	\$ —
Girl Scout Council of Greater New York, Inc. <i>New York, New York</i> Toward costs of consultative assistance in planning and developing a new fund-raising strategy for the council.	30,000	—	30,000	—
Greater New York Fund Incorporated, The <i>New York, New York</i> Toward costs of an agency review program to assist donors in evaluating hospitals and health and welfare agencies.	7,500	—	7,500	—
Institute of Public Services Performance, Inc. <i>New York, New York</i> Toward a study of ways to improve productivity in the New York City Income Maintenance Division of Procedures and Staff Development of the Department of Welfare.	16,000	—	16,000	—
Lenox Hill Neighborhood Association, Inc. <i>New York, New York</i> Toward a new program in community congregate living, which will provide a combination of services to older citizens and thus enable them to maintain their independence without resorting to nursing home care.	37,500*	32,500	5,000	—
Lower East Side Family Union <i>New York, New York</i> For general budgetary support of a cooperative family service program to assist children with serious psychiatric problems so as to make it unnecessary to separate them from their families.	25,000	—	25,000	—
Memorial Sloan-Kettering Cancer Center <i>New York, New York</i> Toward the building program of this complex of medical research, education, and patient-care services.	2,500,000*	1,700,000	800,000 ^(a)	—
New York City Mission Society <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*	170,000	20,000	10,000
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	—

(a) This appropriation was made in securities with a value on the date of payment of \$803,025. The amount in excess of \$800,000 was charged as an administrative expense of the Fund.

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
New York Community Trust, The <i>New York, New York</i> Toward its Camp Management Project, which is promoting cooperation among the camping and recreational facilities managed by New York City voluntary nonprofit agencies.	\$ 75,000*	\$ 50,000	\$ 25,000	\$ —
Nova Institute, Incorporated, The <i>New York, New York</i> Toward a program to assist community boards in New York City in monitoring the effectiveness of services provided by city agencies to local communities.	25,000	—	25,000	—
Puerto Rican Association for Community Affairs, Inc. <i>New York, New York</i> Toward the association's foster care project, which will provide guidance to Hispanic foster families in the care of children under their supervision.	27,000	—	27,000	—
Queens Federation of Youth Organizations, Inc. <i>Jamaica, New York</i> For general budgetary support of the federation, which provides the link between its members and public agencies in the joint planning and development of youth services in New York City's borough of Queens.	40,000	—	25,000	15,000
Riverside Church, The <i>New York, New York</i> A special contribution toward the program endowment fund of this nondenominational church.	750,000*	—	750,000	—
State Communities Aid Association <i>New York, New York</i> Toward support of Network, the association's project working at the state level on behalf of human services groups—their organization, finances, and administration—during the New York City fiscal crisis.	16,000	—	16,000	—
United Neighborhood Houses of New York, Inc. <i>New York, New York</i> To assist with changes in the administration of this organization's "cluster" program, which links a number of settlement houses in Manhattan, Brooklyn, and the Bronx to help them plan and organize cooperative approaches to programing and funding.	40,000	—	25,000	15,000
Urban League of Greater New York, Inc., The <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	25,000	25,000
Young Women's Christian Association of the City of New York, The <i>New York, New York</i> Toward the Joint YMCA-YWCA Camping Services capital development campaign to complete the funding needed for the Greenkill sports center.	25,000	—	25,000	—

*Appropriation made prior to 1977

NEW YORK CITY PROGRAM: Public Education (\$155,000—Paid)

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Citizens' Committee for Children of New York, Inc. <i>New York, New York</i> For general budgetary support of the Educational Priorities Panel, a citizens' task force that monitors and reviews expenditures and educational priorities of the New York City Board of Education.	\$ 50,000	\$ —	\$ 50,000	\$ —
City School News, Inc. <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.	50,000	—	25,000	25,000
Family Service Association of Nassau County, Inc. <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	20,000	10,000
New York City School Volunteer Program, Inc. <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	—
Public Education Association <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	—
United Parents Associations of New York City, Inc. <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	20,000	5,000

INTERNATIONAL PROGRAM: Structuring Interdependence (\$2,445,113—Paid)

American Association for the International Commission of Jurists, Inc. <i>New York, New York</i> Toward the establishment of the commission's Geneva-based Centre for the Independence of Lawyers and Judges to bring assistance to lawyers and judges around the world who are intimidated by authoritarian regimes.	60,000	—	30,000	30,000
Toward an emergency fund to send lawyers to attend important trials and investigate situations where the rule of law and human rights are being repressed or threatened.	20,000	—	10,000	10,000

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
American Council for Emigres in the Professions, Inc. <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	\$ —
Toward the council's special Program for Soviet Emigre Scholars.	35,000	—	35,000	—
American Council for Nationalities Service <i>New York, New York</i>				
For general budgetary support of this organization, which aids refugees and immigrants.	4,000	—	4,000	—
American Friends Service Committee, Inc., The <i>Philadelphia, Pennsylvania</i>				
For general budgetary support of this organization providing humanitarian assistance in situations of special need.	25,000	—	25,000	—
American Jewish Committee, The <i>New York, New York</i>				
Toward the Harold W. Rosenthal Fellowship in International Relations.	10,000	—	10,000	—
American Society of International Law <i>Washington, D.C.</i>				
Toward support of the Philip C. Jessup International Law Moot Court Competition, which draws law students from the United States and other parts of the world.	15,000*	7,500	7,500	—
American Universities Field Staff, Inc. <i>Hanover, New Hampshire</i>				
Toward an analysis of the confrontation between national pressures and international need in food policy formulation.	35,000*	20,000	15,000	—
Atlantic Council of the U.S., The <i>Washington, D.C.</i>				
Toward the council's "Beyond Diplomacy Project," which is analyzing the role of NATO and the steps participating nations might take to meet changing security needs.	10,000	—	10,000	—
Brookings Institution, The <i>Washington, D.C.</i>				
Toward a study of current U.S. foreign aid programs, to help the public consider policy alternatives relating to official development assistance.	15,000	—	15,000	—
Carnegie Endowment for International Peace <i>New York, New York</i>				
Toward the endowment's International Fact-Finding Center, which obtains and disseminates information on a selected number of emerging issues that threaten inter-state conflict or large-scale human suffering.	50,000	—	25,000	25,000

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<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Center for Law and Social Policy <i>Washington, D.C.</i> Toward 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*	\$ 50,000	\$ 25,000	\$ —
Columbia University in the City of New York, The Trustees of <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	—
Council on Foreign Relations, Inc. <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*	365,000	385,000	250,000
Foreign Policy Association <i>New York, New York</i> Toward the public outreach activities of the association, which sponsors adult education programs covering a wide range of foreign affairs topics.	10,000	—	10,000	—
International House of Japan, Inc., The <i>Tokyo, Japan</i> Toward costs of the revised edition of <i>The Connoisseur's Guide to Japanese Museums</i> .	5,000	—	5,000	—
International Institute of Communications, Ltd. <i>London, England</i> For general budgetary support of the institute, which identifies and studies problems associated with accelerated technological developments in all media.	75,000*	30,000	25,000	20,000
International Institute for Strategic Studies, The <i>London, England</i> For general budgetary support of this private institute of international relations, which provides analyses of a number of complex global security issues.	7,500	—	7,500	—
International League for the Rights of Man, Inc., The <i>New York, New York</i> Toward a cooperative effort with the Council of New York Law Associates to organize a public interest law project for young New York City lawyers to participate on a volunteer basis in efforts to redress international human rights violations.	50,000	—	30,000	20,000
International Studies Association <i>Pittsburgh, Pennsylvania</i> Toward initial support of Human Rights Internet, an information communications network of over 350 scholars, activists, and policy makers in the human rights field.	25,000	—	10,000	15,000

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Japan Center for International Exchange <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	\$ —
Toward the Fourth Shimoda Conference, a bilateral meeting of Japanese and American participants to consider the international challenges confronting their countries, particularly in Asia.	25,000	—	25,000	—
Japan Society, Inc. <i>New York, New York</i> For general budgetary support of this organization, which provides 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	—
Toward a contingency fund to be used to sustain and further the objectives of the society.	1,500,000	—	1,500,000	—
Massachusetts Institute of Technology <i>Cambridge, Massachusetts</i> Toward M.I.T.'s Workshop on Alternative Energy Strategies, an examination of energy options in the 1980s for Japan, Europe, and North America.	50,000*	25,000	25,000	—
Natural Resources Defense Council, Inc. <i>Washington, D.C.</i> Toward the council's examination of threatened forest resources in tropical countries and assessment of the economic-ecological trade-offs of their exploitation.	15,000	—	15,000	—
Salzburg Seminar in American Studies, Inc. <i>Cambridge, Massachusetts</i> Toward support of a seminar in Austria on the political economy of world resources, involving a distinguished American faculty and East and West Europeans at the beginning of their careers.	5,000	—	5,000	—
Survival International <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	—
University of Sussex, The <i>Brighton, England</i> Toward the Research Project on European Food Policies of the university's Centre for Contemporary European Studies.	35,000*	—	13,613	21,387
Trilateral Commission (North America), The <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	40,000	15,000

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Volunteers in Technical Assistance, Inc. <i>Mt. Rainier, Maryland</i> Toward revision, after 10 years of successful use in overseas rural areas, of the <i>Village Technology Handbook</i> , which presents ideas for agricultural development, small business advancement, and employment generation.	\$ 30,000	\$ —	\$ 15,000	\$ 15,000
Youth for Understanding <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*	—	12,500	25,000
INTERNATIONAL PROGRAM: Developing Countries—Africa (\$261,245—Paid)				
African-American Institute, The <i>New York, New York</i> For general budgetary support of this private agency for improving American contacts with Africans.	50,000	—	50,000	—
Toward support of the institute's expanded activities relating to Southern Africa, including a biweekly newsletter on civil and economic liberties inside South Africa.	70,000	—	28,182	41,818
African Wildlife Leadership Foundation, Inc. <i>Washington, D.C.</i> Toward a wildlife survey project, which will assist Botswana in developing a comprehensive wildlife-management plan.	6,000	—	6,000	—
Botswana, The Republic of <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*	—	50,000	75,000
Toward assistance with the formation of a refugee policy and with related refugee matters.	25,000	—	—	25,000
Kweneng Rural Development Association <i>Molepolole, Botswana</i> 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	17,063	12,937
Toward the establishment of Molepolole Village Dam Park, a combined agricultural center and recreation area in Botswana.	34,000	—	25,000	9,000
Maru a Pula Foundation <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 pre-university level school in Botswana.	30,000*	20,000	10,000	—

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
National Council of the Churches of Christ in the United States of America <i>New York, New York</i> Toward the initial administrative expenses of the Emergency Fund for Southern Africa, organized to raise money for humanitarian needs of African refugees in Southern Africa and to educate black Americans about conditions in South Africa.	\$ 25,000	\$ —	\$ 25,000	\$ —
Pelegano Village Industries <i>Gaborone, Botswana</i> For general budgetary support of this community self-help organization assisting with projects that relate to small business development, employment generation, and practical training in the small village of Gabane.	15,000*	10,000	5,000	—
Seven Springs Center, Inc. <i>Mount Kisco, New York</i> Toward support of a symposium, "South Africa: Issues and Policy Implications for the United States."	15,000	—	7,500	7,500 ⁽⁷⁾
South African Institute of Race Relations <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.	50,000	—	25,000	25,000
Waterford-Kamhlaba Treasury Association <i>Mbabane, Swaziland</i> Toward scholarship support for students at the Waterford- Kamhlaba School, a multiracial secondary educational institution for students from throughout Africa.	25,000	—	12,500	12,500
INTERNATIONAL PROGRAM: Developing Countries—Asia (\$363,280—Paid)				
Asia Foundation, The <i>San Francisco, California</i> Toward two projects involving Chinese-English translation, conducted at the Chinese University of Hong Kong, and for support of a research project to encourage local private philanthropy in Taiwan.	63,655	—	39,280	24,375
Asia Society, Inc., The <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	160,000	660,000
Toward the "Values and Revolution in China" project of the society's China Council.	25,000	—	25,000	—
Ramon Magsaysay Award Foundation <i>Manila, Philippines</i> Toward the annual Ramon Magsaysay Awards.	50,000	—	50,000	—

(7) Lapsed

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
National Academy of Sciences <i>Washington, D. C.</i> For general budgetary support of the Committee on Scholarly Communication with the People's Republic of China, which organizes exchanges of scholars between the U.S. and the P. R. C.	\$ 25,000	\$ —	\$ 25,000	\$ —
National Committee on United States-China Relations, Inc. <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.	75,000	—	40,000	35,000
Overseas Education Fund of the League of Women Voters <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	—
Stanford University (Board of Trustees of the Leland Stanford Junior University) <i>Stanford, California</i> Toward the university's United States-China Relations Program.	28,000*	14,000	14,000	—
INTERNATIONAL PROGRAM: Developing Countries—Latin America (\$977,837—Paid)				
Association for Caribbean Transformation <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 ⁽⁸⁾
CADEC Incorporated, Limited (Christian Action for Development in the Caribbean) <i>Bridgetown, Barbados</i> Toward initial costs of a business advisory service to help individual entrepreneurs, cooperatives, and community groups with basic management practices, particularly in the Windward and Leeward Islands.	75,000	—	25,000	50,000
Caribbean Agro-Economic Society, The <i>Bridgetown, Barbados</i> For general budgetary support of the society, which is the principal professional organization in the Caribbean for agriculture and related disciplines.	10,000	—	5,000	5,000

(8) Lapsed

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
Caribbean Conservation Association				
<i>St. Michael, Barbados</i>				
Toward the association's eastern Caribbean wildland management and utilization program.	\$ 210,000	\$ —	\$ 22,800	\$ 187,200
Center for Inter-American Relations				
<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*	—	618,600	381,400
Dominica Community High School				
<i>Roseau, Dominica</i>				
Toward the initial capital and general expenses of this new school emphasizing the development of practical agricultural skills.	25,000	—	15,000	10,000
Food and Agriculture Organization of the United Nations				
<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
Michigan, University of				
<i>Ann Arbor, Michigan</i>				
A further contribution to enable a six-month extension of the Latin American wildland management project.	20,000*	18,200	—	1,800 ⁽⁹⁾
Toward the Latin American wildland management project of the university's School of Natural Resources, designated for a subproject in the Caribbean.	70,000	—	70,000	
Toward a project of the university's School of Natural Resources to develop and test criteria and guidelines for incorporating and integrating environmental monitoring and assessment into the management of protected wildland areas in the Caribbean and Central America.	125,000	—	69,187	55,813
Organization for Rural Development, The				
<i>Kingston, St. Vincent</i>				
For general budgetary support of this community organization set up to create jobs, improve agriculture, and raise nutrition standards in the rural areas of St. Vincent.	30,000	—	22,500	7,500
Smithsonian Institution				
<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	20,000	9,000

(9) Lapsed

*Appropriation made prior to 1977

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1977</i>	<i>Unpaid Balance</i>
SOLIDARIOS (Council of American Development Foundations)				
<i>Guatemala, Guatemala</i>				
Toward launching a development fund at the council, which will enable major lending institutions in the Americas to channel loan money to the individual national development foundations in Latin America with minimum administrative time and costs.	\$ 15,000	\$ —	\$ 7,500	\$ 7,500
Trinidad and Tobago Development Foundation, Ltd.				
<i>Port of Spain, Trinidad</i>				
Toward a program assisting poor rural and urban individuals and groups to secure credit for small businesses and community projects in Trinidad and Tobago.	20,000	—	10,000	10,000
Tropical Agriculture Center for Research and training (CATIE)				
<i>Turrialba, Costa Rica</i>				
Toward a program for the management and development of natural and cultural resources in Central America.	182,750*	115,000	32,250	35,500
INTERNATIONAL PROGRAM: Developing Countries—General (\$65,000—Paid)				
Overseas Development Council				
<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 in an interdependent world.	50,000	—	50,000	—
Society for International Development				
<i>Washington, D. C.</i>				
For general budgetary support of the society, a nongovernmental organization devoted to improving economic and social conditions in Africa, Asia, and Latin America.	25,000	—	15,000	10,000
		Total	<u>\$16,969,528</u>	<u>\$17,454,823⁽¹⁰⁾</u>

(10) Total does not include lapsed items

*Appropriation made prior to 1977

Reconciliation of Appropriations Paid With Financial Statements

Unpaid Appropriations, December 31, 1976

Principal Fund		\$ 6,605,276	
Fund for the Advancement of Contemporary Social and Cultural Studies		-0-	
Special Fund		752,776	
Ramon Magsaysay Award Foundation		-0-	\$ 7,358,052

Appropriations Authorized in 1977

Principal Fund		26,516,634	
Fund for the Advancement of Contemporary Social and Cultural Studies		204,000	
Special Fund		455,000	
Ramon Magsaysay Award Foundation		50,000	
Less—Appropriations lapsed			
Principal Fund	\$132,659		
Special Fund	1,676	134,335	27,091,299

34,449,351

Appropriations Paid in 1977

Principal Fund		15,534,428	
Fund for the Advancement of Contemporary Social and Cultural Studies		179,000	
Special Fund		1,206,100	
Ramon Magsaysay Award Foundation		50,000	16,969,528

Unpaid Appropriations, December 31, 1977

Principal Fund		17,454,823	
Fund for the Advancement of Contemporary Social and Cultural Studies		25,000	
Special Fund		-0-	
Ramon Magsaysay Award Foundation		-0-	\$17,479,823

Summary Statement of Assets at Cost and Market Values at December 31, 1977

	<i>Cost</i>	<i>Market Value</i>
Principal Fund		
Cash	\$ 551,869	\$ 551,869
Short-term investments	13,950,845	13,950,845
Investments:		
U.S. Government and Agency Bonds	6,993,750	7,080,800
U.S. Treasury Notes	10,692,401	10,755,921
Foreign Governments & other foreign bonds	1,190,550	947,139
Corporate bonds	16,305,561	16,016,242
Corporate notes	11,250,341	8,874,047
Common stocks	86,937,930	118,320,211
Program—related investments	2,374,156	1,728,847
	150,247,403	178,225,921
Special Fund		
Cash	5,475	5,475
Short-term investments	342,000	342,000
Long-term investments	360,940	320,405
Second Mortgage Leasehold Bonds, 5½%, due January 1, 1988	540,000	540,000
Real Estate	580,000	580,000
	1,828,415	1,787,880
Fund for the Advancement of Contemporary Social and Cultural Studies		
Cash	433	433
Short-term investments	1,474,000	1,474,000
	1,474,433	1,474,433
Ramon Magsaysay Award Foundation		
Cash	1,049	1,049
Short-term investments	4,000	4,000
Long-term investments	946,305	898,349
	951,354	903,398
Total	\$154,501,605	\$182,391,632

Financial Information

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

Financial Statements:

- Balance Sheets, December 31, 1977 and 1976
- Statements of Support, Revenue, Expenses, and Changes in
Principal Fund Balance for the years ended December 31, 1977 and 1976
- Statements of Revenue, Expenses, and Changes in
Other Fund Balances for the years ended December 31, 1977 and 1976
- Notes to Financial Statements

Supporting Schedules:

- Schedule of Functional Expenses, Principal Fund for the
year ended December 31, 1977 with Comparative 1976 Totals
- Schedule of Investments, Principal Fund, December 31, 1977
- Schedules of Net Realized and Unrealized Gain (Loss) on
Investments, Principal Fund for the years ended December 31, 1977 and 1976
- Schedule of Investments, Other Funds, December 31, 1977

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		\$ 40,497
2. Gross income for the year:		
Dividends and interest	\$10,372,399	
Gains on sale of securities	1,078,859	
Other	14,194	11,465,452
3. Total		<u>\$11,505,949</u>

Disbursements & Expenses

4. Disbursements for the year (including administrative expense)	\$19,350,048
5. Expenses attributable to gross income (Item 2 above) for the year	198,509

Report of Independent Certified Public Accountants

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

We have examined the balance sheets of ROCKEFELLER BROTHERS FUND, INC. as of December 31, 1977 and 1976, and the related statements of support, revenue, expenses, and changes in principal fund balance and other fund balances for the years then ended, and the supporting schedules. 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, 1977 and 1976 were confirmed to us by the custodian.

In our opinion, the financial statements referred to above (pages 46 through 51) present fairly the financial position of Rockefeller Brothers Fund, Inc. at December 31, 1977 and 1976, and the results of its operations, and the changes in its principal fund balance and other fund balances for the years then ended, and the supporting schedules (pages 52 through 61) present fairly the information included therein, all in conformity with generally accepted accounting principles applied on a consistent basis.

COOPERS & LYBRAND

New York, New York
April 20, 1978.

Rockefeller Brothers Fund, Inc. Balance Sheets,

December 31, 1977 and 1976

	1977	1976
Assets:		
Principal Fund:		
Cash	\$ 551,869	\$ 301,520
Short-term investments, at cost, which approximates market value, as annexed	13,950,845	10,857,000
Long-term investments, at market value, as annexed (cost: 1977, \$133,370,533; 1976, \$144,292,602) (Note 1)	161,994,360	191,771,773
Program-related investments, at value, as annexed (cost: 1977, \$2,374,156; 1976, \$2,460,041) (Note 1)	1,728,847	1,765,859
	178,225,921	204,696,152
Other Funds (Note 3)	4,165,711	4,465,207
	<u>\$182,391,632</u>	<u>\$209,161,359</u>
Liabilities and Funds:		
Principal Fund:		
Federal excise tax payable	\$ 395,769	\$ 480,404
Fund balance, as annexed:		
Unpaid appropriations	17,454,823	6,605,276
Unappropriated	160,375,329	197,610,472
	177,830,152	204,215,748
	178,225,921	204,696,152
Other Funds:		
Federal excise tax payable	8,539	9,187
Fund balances, as annexed	4,157,172	4,456,020
	4,165,711	4,465,207
	<u>\$182,391,632</u>	<u>\$209,161,359</u>

Statements of Support, Revenue, Expenses, and Changes in Principal Fund Balance

for the years ended December 31, 1977 and 1976

	1977	1976
Unappropriated:		
Support and revenue:		
Contribution, securities	\$ 40,497	
Dividend income	5,842,378	\$ 5,206,464
Interest income	4,316,554	4,486,037
Other, net	14,194	83,671
	10,213,623	9,776,172
Expenses:		
Program related:		
Appropriations authorized (net of appropriations lapsed of \$132,659 in 1977, and \$595,000 in 1976) (Note 5)	26,383,975	7,866,021
Authorized payments for expenditures incurred by the Environmental Agenda Task Force Project	55,866	21,956
Program support, as annexed	871,437	902,967
Advisory activities, as annexed	277,750	221,023
	27,589,028	9,011,967
Other:		
Investment services, as annexed	130,039	124,869
Administration, as annexed	767,133	582,609
Federal excise tax	499,792	480,404
	1,396,964	1,187,882
Less, Reimbursements, as annexed	116,810	120,380
	28,869,182	10,079,469
Deficiency of support and revenue over expenses before gain (loss) on investments	(18,655,559)	(303,297)
Net realized and unrealized gain (loss) on investments, as annexed	(17,579,584)	25,789,184
Excess (deficiency) of support and revenue over expenses after gain (loss) on investments	(36,235,143)	25,485,887
Beginning balance	197,610,472	172,124,585
Less, Trust created for the Ramon Magsaysay Award Foundation (Note 3)	1,000,000	
Ending balance	160,375,329	197,610,472
Unpaid appropriations:		
Appropriations authorized (Note 5)	26,516,634	8,461,021
Appropriations paid or lapsed	15,667,087	10,762,536
Net increase (decrease) in unpaid appropriations	10,849,547	(2,301,515)
Beginning balance	6,605,276	8,906,791
Ending balance (Note 5)	17,454,823	6,605,276
Total principal fund balance, end of year	<u>\$177,830,152</u>	<u>\$204,215,748</u>

Statements of Revenue, Expenses, and Changes in Other Fund Balances (Note 3)

for the years ended December 31, 1977 and 1976

	1977			1976	
	Special Fund	Fund for the Advancement of Contemporary Social and Cultural Studies	Fund for the Ramon Magsaysay Award Foundation	Special Fund	Fund for the Advancement of Contemporary Social and Cultural Studies
Unappropriated:					
Revenue:					
Interest income	\$ 122,668	\$ 89,445	\$ 1,354	\$ 139,815	\$ 89,853
Expenses:					
Program related:					
Appropriations authorized (net of appropriation lapsed)	453,324	204,000	50,000	837,500	107,000
Other:					
Federal excise tax	4,907	3,578	54	5,593	3,594
	458,231	207,578	50,054	843,093	110,594
Deficiency of revenue over expenses before gain (loss) on investments	(335,563)	(118,133)	(48,700)	(703,278)	(20,741)
Net realized and unrealized gain (loss) on investments	(20,720)		(47,956)	91,315	
Deficiency of revenue over expenses after gain (loss) on investments	(356,283)	(118,133)	(96,656)	(611,963)	(20,741)
Beginning balances	2,139,256	1,563,988		2,751,219	1,584,729
Transfer of cash from Principal Fund			1,000,000		
Ending balances	1,782,973	1,445,855	903,344	2,139,256	1,563,988
Unpaid appropriations:					
Appropriations authorized	455,000	204,000	50,000	837,500	107,000
Appropriations paid or lapsed	1,207,776	179,000	50,000	99,570	107,000
Net increase (decrease) in unpaid appropriations	(752,776)	25,000		737,930	
Beginning balances	752,776			14,846	
Ending balances	—	25,000	—	752,776	—
Total fund balances, end of year	1,782,973			2,892,032	\$1,563,988
	1,470,855	\$1,470,855		1,563,988	
	903,344		\$ 903,344		
Total other fund balances, end of year	\$4,157,172			\$4,456,020	

Notes to Financial Statements

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 New York Stock Exchange composite index 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, 1977 approximates \$8,200,000) are valued based on prices determined by an independent investment banking firm. Certain other investments (aggregate value as

of December 31, 1977 approximates \$1,700,000) 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).

Donated securities are recorded at the fair market value at date of gift.

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

Certain donated services and facilities are provided by related parties. The value of such services and facilities is not reflected in the accompanying financial statements.

2. Organization and Purpose:

Rockefeller Brothers Fund, Inc. is a nonprofit charitable corporation existing under the New York Not-for-Profit Corporation Law and is classified as a private foundation as

defined in the Internal Revenue Code. The Fund's principal purpose is to make grants to local, national and international philanthropic organizations.

Notes to Financial Statements, *continued***3. Other Funds:**

Other Funds comprise the Special Fund and the Fund for the Advancement of Contemporary Social and Cultural Studies as of December 31, 1976. In addition, the Trust for the Ramon Magsaysay Award Foundation was created under

a special trust agreement in 1977. The assets, liabilities and fund balances for these funds as of December 31, 1977 and 1976 are as follows:

	<i>December 31,</i>	
	<i>1977</i>	<i>1976</i>
Special Fund:		
Cash	\$ 5,475	\$ 6,208
Short-term investments, at cost, which approximates market value, as annexed	342,000	1,068,000
Long-term investments, at market value, as annexed (cost: 1977, \$360,940; 1976, \$871,260) (Note 1)	320,405	703,417
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	1,787,880	2,897,625
Less, Federal excise tax payable	4,907	5,593
Fund balance	<u>\$1,782,973</u>	<u>\$2,892,032</u>
Fund for the Advancement of Contemporary Social and Cultural Studies:		
Cash	\$ 433	\$ 2,582
Short-term investments, at cost, which approximates market value, as annexed	1,474,000	1,565,000
Total assets	1,474,433	1,567,582
Less, Federal excise tax payable	3,578	3,594
Fund balance	<u>\$1,470,855</u>	<u>\$1,563,988</u>
Trust for the Ramon Magsaysay Award Foundation:		
Cash	\$ 1,049	
Short-term investments, at cost, which approximates market value, as annexed	4,000	
Long-term investments, at market value, as annexed (cost: \$946,305) (Note 1)	898,349	
Total assets	903,398	
Less, Federal excise tax payable	54	
Fund balance	<u>\$ 903,344</u>	
Total assets, Other Funds	<u>\$4,165,711</u>	<u>\$4,465,207</u>

Notes to Financial Statements, *continued*

4. Pension Expense:

The Fund has a noncontributory retirement income plan covering substantially all of its employees. Total pension expense under this plan was \$114,644 and \$103,005

in 1977 and 1976, respectively. The Fund's policy is to fund pension cost accrued.

5. Appropriations:

Appropriations authorized in 1977 include certain conditional grants which are generally contingent upon the grantee receiving a similar amount of contributions from

other donors. Approximately \$12,100,000 of such conditional grants is included in unpaid appropriations as of December 31, 1977.

6. 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.

7. Reclassifications:

Certain of the 1976 amounts have been reclassified for comparative purposes.

Schedule of Functional Expenses, Principal Fund

For the year ended December 31, 1977 with Comparative 1976 Totals

	Program Support (Note 6)	Advisory Activities (Note 6)	Investment Services	Admin- istration	1977 Total	1976 Total
Salaries and related expenses:						
Salaries	\$449,647	\$161,208		\$437,760	\$1,048,615	\$ 983,246
Retirement plan contributions (Note 4)	49,159	17,624		47,861	114,644	103,005
Group life insurance	18,156	6,509		17,676	42,341	10,817
Thrift plan	24,182	8,670		23,543	56,395	51,065
Other employee benefits	29,716	10,654		28,930	69,300	55,987
Unemployment and disability insurance	6,288	2,254		6,122	14,664	13,863
Social security tax	14,747	5,287		14,358	34,392	34,528
	591,895	212,206		576,250	1,380,351	1,252,511
Other expenses:						
Consultants' fees	99,238				99,238	104,618
Investment services			\$130,039		130,039	124,869
Legal and audit fees				21,369	21,369	23,793
New York State transfer tax				4,165	4,165	13,513
Travel	46,720	16,751			63,471	52,170
Rent and electricity	85,657	30,709		83,394	199,760	157,735
Telephone	17,917	6,424		17,444	41,785	31,613
Furniture and equipment	306	110		298	714	3,713
General office expenses	29,704	11,550		36,574	77,828	49,828
Publications				27,639	27,639	17,105
	\$871,437	\$277,750	\$130,039	\$767,133	2,046,359	1,831,468
Less, Reimbursement received for share of expenses:						
Rockefeller Family Fund, Inc.					106,000	110,000
Charitable Trust under the will of Winthrop Rockefeller					10,810	10,380
					116,810	120,380
					<u>\$1,929,549</u>	<u>\$1,711,088</u>

Schedule of Investments, Principal Fund

December 31, 1977

Recapitulation of Investments:

	<i>Cost</i>	<i>Value (Note 1)</i>
Short-term investments	\$ 13,950,845*	
Long-term investments:		
U.S. Government and Agency Bonds	\$ 6,993,750	\$ 7,080,800
U.S. Treasury Notes	10,692,401	10,755,921
Foreign Governments and Other Foreign Bonds	1,190,550	947,139
Corporate Bonds	16,305,561	16,016,242
Corporate Notes	11,250,341	8,874,047
Common Stocks	86,937,930	118,320,211
	<u>\$133,370,533</u>	<u>\$161,994,360</u>
Program-related investments	\$ 2,374,156	\$ 1,728,847
	<u>\$135,744,689</u>	<u>\$163,723,207</u>
	<i>Principal Amount</i>	<i>Cost*</i>
Short-term investments:		
Commercial paper:		
Bank of America, 6.45%, January 5, 1978	\$2,021,000	\$ 2,021,000
Brown Brothers Harriman & Co., 6.55%, January 13, 1978	731,000	731,000
Chase Manhattan Bank, 6.55%, January 23, 1978	3,333,000	3,333,000
General Motors Acceptance Corp., 6.662%, January 27, 1978	1,523,000	1,523,000
Southwestern Bell Telephone Co., 6.59%, January 17, 1978	3,163,000	3,144,022
Western Electric Co., Inc., 6.571%, January 13, 1978	1,000,000	989,170
		11,741,192
Notes due on demand (at prevailing market interest rates):		
General Electric Credit Corp.	651,000	651,000
Sears Roebuck Acceptance Corp.	1,136,000	1,136,000
		1,787,000
U.S. Treasury Bill: due September 19, 1978	450,000	422,653
Total short-term investments		\$ 13,950,845

continued

*Approximate market value.
See accompanying notes.

Schedule of Investments, Principal Fund, *continued*

	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investments:			
U.S. Government and agency bonds:			
Federal Home Loan Banks:			
9.1%, November 27, 1978	\$1,000,000	\$ 1,000,000	\$ 1,010,800
9.45%, February 26, 1979	1,000,000	1,000,000	1,022,500
8.1%, November 25, 1985	1,000,000	1,021,250	1,013,750
		3,021,250	3,047,050
Federal National Mortgage Association:			
8.5%, June 10, 1980	1,000,000	992,500	1,021,250
8.2%, July 10, 1984	1,000,000	980,000	1,015,000
7.9%, October 10, 1985	2,000,000	2,000,000	1,997,500
		3,972,500	4,033,750
Total U.S. Government and agency bonds		\$ 6,993,750	\$ 7,080,800
U.S. Treasury notes:			
7.25%, December 31, 1977	2,000,000	\$ 1,998,160	\$ 2,000,000
7.625%, August 15, 1978	1,000,000	997,030	1,001,600
8.5%, September 30, 1979	500,000	499,220	510,315
7.5%, March 31, 1980	2,000,000	2,001,244	2,011,880
8%, May 15, 1982	2,000,000	2,000,000	2,035,000
8%, February 15, 1983	200,000	200,000	203,376
7.25%, August 15, 1984	1,000,000	996,250	980,630
7.875%, May 15, 1986	2,000,000	2,000,497	2,013,120
Total U.S. Treasury notes		\$10,692,401	\$10,755,921
Foreign governments and other foreign bonds:			
City of Winnipeg, Canada,			
4¼%, November 1, 1989	500,000	\$ 500,000	\$ 367,500
TransCanada Pipelines Ltd.:			
5¼%, May 1, 1985	110,000	110,550	86,900
6¼%, August 1, 1987	580,000	580,000	492,739
Total foreign governments and other foreign bonds		\$ 1,190,550	\$ 947,139
Corporate bonds:			
Utilities:			
American Telephone and Telegraph Co.,			
8.8%, May 15, 2005	1,000,000	\$ 1,000,000	\$ 1,053,750
General Telephone and Electronics Corp., convertible subordinated debentures:			
4%, March 15, 1990	115,000	117,300	79,925
5%, December 15, 1992	500,000	500,000	380,000
Mountain States Telephone and Telegraph Co.,			
7¼%, June 1, 2013	750,000	750,000	684,375
Northern Illinois Gas Company,			
6%, August 1, 1991	425,000	321,406	349,031
Pacific Gas and Electric Co.,			
5%, June 1, 1989	250,000	196,818	187,500

continued

Schedule of Investments, Principal Fund, *continued*

	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Corporate bonds, <i>continued</i>			
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	377,500
Southern Bell Telephone Co., 7½%, March 15, 2013	750,000	750,000	686,250
Western Maryland Railway Co., 7¾%, October 1, 1978	1,000,000	931,600	1,005,000
		5,204,124	4,952,831
Financials:			
Beneficial Finance Co., 4¾%, June 1, 1981	830,000	750,092	756,338
Charter New York Corp., 5¾%, August 1, 1991	500,000	458,775	390,625
C.I.T. Financial Corp., 5¼%, January 15, 1980	300,000	251,670	286,125
Commonwealth Edison Co., 9%, June 15, 1979	1,000,000	1,007,500	1,025,000
First Chicago Corp., 6¼%, July 15, 1978	1,000,000	985,000	997,500
General Motors Acceptance Corp., 4¾%, March 1, 1983-2079	900,000	821,903	776,250
Inter American Development Bank, 6¾%, November 1, 1993	410,000	329,025	352,600
International Bank for Reconstruction and Development:			
8.15%, January 15, 1985	1,000,000	990,000	993,750
5%, February 15, 1985	100,000	100,000	84,625
4¼%, January 15, 1979	200,000	173,500	194,000
John Deere Credit Co., Deb.:			
Series B, 4¾%, April 1, 1981	500,000	493,750	457,500
Series A, 4¾%, October 31, 1985	650,000	583,813	533,000
Macy Credit Corp., Deb.:			
4¾%, November 1, 1981	700,000	650,392	622,125
4¾%, June 1, 1985	250,000	247,625	190,000
		7,843,045	7,659,438
Industrials:			
Amerada Hess Corp., 6¾%, March 15, 1996	500,000	417,500	417,500
Standard Oil Co. (Indiana), 9.2%, July 15, 2004	1,000,000	1,000,000	1,070,000
Union Tank Car Co. Equipment Trust, 9¾%, July 1, 1990	843,000	840,892	891,473
Union Oil Co. of California, 8¾%, December 1, 1982	1,000,000	1,000,000	1,025,000
		3,258,392	3,403,973
Total corporate bonds		<u>\$16,305,561</u>	<u>\$16,016,242</u>

continued

Schedule of Investments, Principal Fund, continued

	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Corporate notes:			
ARCO Pipeline Co., 8%, January 15, 1982	\$1,000,000	\$ 995,000	\$ 1,012,500
Bank of Hawaii, 4.7%, October 15, 1989	216,667	216,667	156,000
Bell Telephone Co. of Canada, 4¾%, May 1, 1988	200,000	199,280	156,000
Central Trust Co. (Rochester, N.Y.), 4¾%, June 1, 1989	167,000	167,000	109,494
Chemical Bank, New York Trust Co., 5¾%, January 1, 1992	400,000	398,700	316,500
City National Bank (Detroit, Mich.), 4¼%, February 1, 1990	180,000	180,000	114,563
Commercial Credit Co. (Baltimore, Md.), 4¼%, November 1, 1980	400,000	395,563	371,500
Continental Mortgage Investors: 5½%, January 1, 1980	900,000	828,738	1
5%, April 1, 1989	500,000	500,000	1
Emerald Coal & Coke Co., 5%, April 1, 1979	59,736	59,736	59,736
Ethyl Corp., 5¼%, November 1, 1982	750,000	583,110	662,835
First Jersey National Bank (Jersey City, N.J.), 4¼%, June 1, 1990	162,500	162,500	111,516
Glens Falls National Bank & Trust Co. (Glens Falls, N.Y.), 4¾%, September 1, 1989	178,000	178,000	115,983
Hilo Electric Light Co., Ltd., 5¾%, March 1, 1989	396,000	396,000	309,918
Industrial Acceptance Corp., Ltd., 5½%, October 15, 1987	250,000	250,000	180,945
International Telephone & Telegraph Credit Corp., 5.10%, December 1, 1984	219,000	219,000	180,653
Iowa Electric Light and Power Co., 5½%, January 1, 1991	500,000	500,000	368,750
Michigan Gas Utilities Co., 4.70%, February 1, 1990	229,000	229,000	166,884
Norfolk and Western Railway Co., Convertible: 4¾%, October 1, 1981	2,000,000	1,564,000	1,643,280
4¾%, January 1, 1983	1,200,000	907,800	931,032
Pennsylvania Life Co., Convertible, 5%, August 1, 1983	476,636	476,636	298,693
Pennsylvania Railroad Co., Conditional Sales Contracts, 5¼%, February 15, 1986	150,000	150,000	99,396
Ryan Homes Inc., Convertible, 6%, July 15, 1991	300,000	300,000	249,000
Sears Roebuck and Co., 8.375%, December 31, 1986	1,000,000	998,000	1,010,000
Virginia National Building Corp., 4.70%, May 1, 1990	395,611	395,611	248,867
Total corporate notes		\$11,250,341	\$ 8,874,047

See accompanying notes.

Schedule of Investments, Principal Fund, *continued*

	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Common stocks:			
Automotive Equipment, Machinery, and Machine Parts:			
Caterpillar Tractor Co.	50,000	\$ 1,449,083	\$ 2,743,750
General Motors Corp.	30,000	2,071,580	1,886,250
Purolator Inc.	60,000	3,827,370	1,305,000
		7,348,033	5,935,000
Building Products and Homebuilding:			
Georgia-Pacific Corp.	38,212	1,209,219	1,084,265
Masco Corp.	74,000	1,022,249	1,507,750
Weyerhaeuser Co.	68,280	1,999,989	1,869,165
		4,231,457	4,461,180
Chemicals:			
Dow Chemical Co.	100,000	1,123,250	2,675,000
Du Pont (E.I.) de Nemours & Co., Inc.	21,000	3,332,205	2,527,875
Eastman Kodak Co.	30,000	177,963	1,533,750
		4,633,418	6,736,625
Computer and Office Equipment:			
International Business Machines Corp.	33,465	1,905,009	9,152,678
Xerox Corp.	18,000	1,834,209	841,500
		3,739,218	9,994,178
Consumer Products and Services:			
American Express Co.	100,000	2,489,740	3,587,500
Campbell Soup Co.	10,000	336,000	337,500
Colgate Palmolive Co.	50,000	1,432,703	1,081,250
Procter and Gamble and Co.	55,000	4,306,291	4,723,125
		8,564,734	9,729,375
Drugs:			
Lilly (Eli) & Co.	32,900	1,185,319	1,246,088
Merck & Co., Inc.	40,000	1,904,154	2,220,000
Pfizer Inc.	50,000	1,829,435	1,368,750
		4,918,908	4,834,838
Electrical Equipment:			
General Electric Co.	65,000	2,006,543	3,241,875
Grainger (W. W.), Inc.	85,000	1,247,860	2,677,500
		3,254,403	5,919,375
Financials:			
Beneficial Corp.	70,000	3,114,658	1,478,750
Chase Manhattan Corp.	100,000	2,498,980	2,987,500
Wells Fargo & Company	100,000	2,554,008	2,687,500
		8,167,646	7,153,750

continued

Schedule of Investments, Principal Fund, *continued*

	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Common stocks, <i>continued</i>			
Foreign:			
Selected Risk Investments, S.A.	\$ 56,600	\$ 333,396	\$ 266,303
Insurance:			
Connecticut General Insurance Co.	70,000	3,472,881	3,570,000
Continental Corp.	53,000	2,048,570	2,835,500
		5,521,451	6,405,500
Metals and Minerals:			
Aluminum Co. of America	45,000	2,079,086	2,098,125
Freeport Minerals Co.	40,000	1,121,024	780,000
		3,200,110	2,878,125
Oils and Oil Services:			
Continental Oil Co.	40,000	1,271,488	1,200,000
Exxon Corporation	290,000	5,600,480	13,956,250
Halliburton Co.	40,000	2,240,376	2,605,000
Mobil Corp.	190,000	3,574,280	12,088,750
Smith International, Inc.	70,000	1,024,691	2,423,750
Standard Oil Company of California	100,000	1,790,500	3,887,500
		15,501,815	36,161,250
Railroads:			
Norfolk & Western Railway Co.	25,000	832,400	668,750
Southern Railway Co.	30,000	1,530,875	1,507,500
		2,363,275	2,176,250
Retail:			
Federated Department Stores	78,100	3,005,108	3,094,712
Sears, Roebuck & Co.	80,000	383,424	2,240,000
		3,388,532	5,334,712
Textile:			
Collins and Aikman Corp.	120,000	3,376,278	1,380,000
Utilities:			
American Telephone & Telegraph Co.	55,000	3,087,968	3,327,500
Duke Power Co.	50,000	915,550	1,100,000
Houston Natural Gas Corp.	50,000	1,351,013	1,356,250
Northern States Power Co.	40,000	1,036,455	1,130,000
Texas Utilities Co.	40,000	780,006	880,000
Virginia Electric & Power Co.	80,000	1,224,264	1,160,000
		8,395,256	8,953,750
Total common stocks		\$86,937,930	\$118,320,211

Schedule of Investments, Principal Fund, *continued*

	<i>Cost</i>	<i>Value (Note 1)</i>
Program-related investments:		
Cooperative Assistance Fund, investment units	\$ 1,000,000	\$ 1,000,000
Ramon Magsaysay Award Foundation, first mortgage loan receivable, 6% payable annually through December 31, 1993	1,374,156	728,847
	<u>\$ 2,374,156</u>	<u>\$ 1,728,847</u>

Schedules of Net Realized and Unrealized Gain (Loss) on Investments, Principal Fund

for the years ended December 31, 1977 and 1976

	1977	1976
Realized gain from security transactions excluding short-term investments:		
Proceeds from sales and redemptions	\$25,156,586	\$34,360,309
Identified cost of securities sold and redeemed	23,929,699	26,854,787
Net realized gain	1,226,887	7,505,522
Unrealized gain (loss) on investments:		
End of year	27,978,518	46,784,989
Less, Beginning of year	46,784,989	28,501,327
Net unrealized gain (loss)	(18,806,471)	18,283,662
Net realized and unrealized gain (loss) on investments	(\$17,579,584)	\$25,789,184

See accompanying notes.

Schedule of Investments, Other Funds

December 31, 1977

	<i>Principal Amount</i>		<i>Cost*</i>
Special fund:			
Short-term investments:			
Notes due on demand (at prevailing market interest rates):			
C.I.T. Financial Corp.	\$167,000		\$ 167,000
General Electric Credit Corp.	175,000		175,000
			<u>\$ 342,000</u>
		<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investments:			
Bonds:			
Eurofima Dollar Notes, 5%, May 15, 1978	\$ 22,000	\$ 22,000	\$ 21,560
Transcontinental Gas Pipe Line Corporation, 5%, November 1, 1981	44,000	44,565	40,095
U.S. Postal Service, 6%, February 1, 1997	300,000	294,375	258,750
		<u>\$ 360,940</u>	<u>\$320,405</u>
			<i>Cost*</i>
Fund for the Advancement of Contemporary Social and Cultural Studies:			
Short-term investments:			
Notes due on demand (at prevailing market interest rates):			
Allstate Financial Corp.	\$928,000		\$ 928,000
Sears Roebuck Acceptance Corp.	546,000		546,000
			<u>\$1,474,000</u>
Trust for the Ramon Magsaysay Award Foundation:			
Short-term investments:			
Notes due on demand (at prevailing market interest rates):			
American Express Credit Corp.	\$ 4,000		<u>\$ 4,000</u>
		<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investments:			
Bonds:			
U.S. Treasury Bond: 7.25%, August 15, 1992	950,000	<u>\$ 946,305</u>	<u>\$898,349</u>

*Approximates market value.
See accompanying notes.

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(1) Resigned January 19, 1977

(2) Effective December 1, 1977

(3) Resigned July 11, 1977

(4) Effective November 9, 1977

(5) Effective August 10, 1977

(6) Resigned October 7, 1977

(7) Effective January 21, 1977

(8) Effective June 16, 1977

(9) Until June 16, 1977

*As of December 31, 1977

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James H. Evans⁽²⁾
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Felix G. Rohatyn
Eli Shapiro

⁽¹⁾ Resigned January 19, 1977

⁽²⁾ Effective December 1, 1977

*As of December 31, 1977

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 Cynthia Toner
 Emily Voorhis

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 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. Mauz and Winthrop Rockefeller. Only Winthrop Rockefeller has contributed more than two percent 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 a trust that she had created in which 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.

(1) On leave as of October 1, 1977

(2) Until July 1, 1977

*As of December 31, 1977

Index of Grants

- A Bunch of Experimental Theatres of N.Y., Inc. 25
 Accion Civica Evangelica
 (New York City Mission Society) 31
 African-American Institute, The 37
 African Wildlife Leadership Foundation, Inc. 37
 Alliance to Save Energy 19
 American Association for the International Commission
 of Jurists, Inc. 33
 American Civil Liberties Union Foundation, Inc. 22
 American Conservation Association, Inc. 19
 American Council for Emigres in the
 Professions, Inc. 34
 American Council for Nationalities Service 34
 American Crafts Council 25
 American Friends Service Committee, Inc. 34
 American Indian Lawyer Training Project, Inc. 22
 American Institute of Buddhist Studies 11
 American Jewish Committee, The 34
 American Society of International Law 34
 American Universities Field Staff, Inc. 34
 Arts, Education and Americans, Inc., The 11
 Asia Foundation, The 38
 Asia Society, Inc., The 38
 Aspen Institute for Humanistic Studies 11
 Associated Councils of the Arts 11
 Association for Caribbean Transformation 39
 Association of Independent Conservatories of Music 11
 Association of Religious Communities, Inc. 11
 Atlantic Council of the U.S., The 34

 Black Child Development Institute, Inc. 17
 Botswana, Republic of, The 37
 Bronx Frontier Development Corporation, The 29
 Brookings Institution, The 19,34
 Brooklyn Academy of Music, Inc., The 25
 Brooklyn Arts and Culture Association, Inc. 25

 CADEC Incorporated Limited (Christian Action for
 Development in the Caribbean) 39
 CONEG Policy Research Center, Inc. 28
 Cambridge School, Inc. 11
 Caribbean Agro-Economic Society, The 39
 Caribbean Conservation Association 40
 Carnegie Endowment for International Peace 34
 Carson, Rachel, Trust for the Living
 Environment, The 19
 Cathedral Church of St. John the Divine 29
 Catholic University of America, The 22
 Center for Arts Information
 (Cultural Council Foundation) 26
 Center for Community Change 17,22
 Center for Inter-American Relations 40

 Center for Law and Social Policy 22,35
 Center for Public Resources, Inc. 11
 Center for Study of Public Policy, Inc. 12
 Children's Foundation, The 23
 Children's Museum, The 12
 Citizens' Committee for Children of New York, Inc. 33
 Citizens' Committee for New York City, Inc. 30
 Citizens Housing and Planning Council of
 New York, Inc. 29
 City Planning Department Fund 28
 City School News, Inc. 33
 Cleveland Museum of Art, The 12
 Collective for Living Cinema, Inc., The 25
 Colonial Williamsburg Foundation 12
 Colorado Mountain Trails Foundation 12
 Columbia University in the City of New York,
 The Trustees of 28,35
 Community Council of Greater New York, Inc. 30
 Community Service Society of New York 30
 Conservation Foundation, Inc., The 20
 Cornell University 12
 Council on Foreign Relations, Inc. 35
 Council on Foundations, Inc. 24
 Cultural Council Foundation 26
 Center for Arts Information 26
 Cultural Institutions Assistance Center 26
 Cultural Institutions Assistance Center (Cultural
 Council Foundation) 26

 DNA-People's Legal Services 23
 Dartmouth College, Trustees of 17
 Day Care Council of New York, Inc. 30
 Delta Foundation, The 17
 Dominica Community High School 40
 Douglass, Frederick, Creative Arts Centers, Inc. 26
 Douglass, Frederick, Museum of African Art 12

 Economic Development Council of
 New York City, Inc. 30
 Emergency Land Fund 17
 Environmental Agenda Project 20
 Environmental Defense Fund, Incorporated 20

 Family Service Association of
 Nassau County, Inc. 12,33
 Family Service of Westchester, Inc. 30
 Federation of Protestant Welfare Agencies, Inc. 30
 Federation of Southern Cooperatives 17
 Food and Agriculture Organization of the
 United Nations 40
 Foreign Policy Association 35
 42nd Street Local Development Corporation 29

- Fort Greene-Crown Heights Youth Service
Coalition Corporation 31
- Foundation Center, The 24
- Foundation for the Open Eye, Inc. 26
- Fund for Theological Education, Inc., The 12
- George Washington University 13
- Girl Scout Council of Greater New York, Inc. 31
- Good Hope School, Inc. 13
- Graduate Theological Union 13
- Greater Jamaica Development Corp. 26
- Greater New York Fund Incorporated, The 31
- Guttmacher, Alan, Institute, The, A Corporation for
Research, Policy Analysis and Public Education 20
- Harlem School of the Arts, Inc., The 26
- Harvard University 13
- Henry Street Settlement 26
- Hospice, Inc. 13
- Housing Action Council, Inc. 23
- Howard University 13
- INFORM, Inc. 20
- Institute of Public Services Performance, Inc. 31
- Institute of Society, Ethics and the
Life Sciences, Inc. 13
- International House of Japan, Inc., The 35
- International Institute of Communications, Ltd. 35
- International Institute for Strategic Studies, The 35
- International League for the Rights of
Man, Inc., The 35
- International Studies Association 35
- Interracial Council for Business Opportunity 17
- Japan Center for International Exchange 36
- Japan Society, Inc. 36
- King, Martin Luther, Jr., Center for Social Change 23
- Kweneng Rural Development Association 37
- Lawyers' Committee for Civil Rights Under Law 18
- Law Students Civil Rights Research Council 23
- Lenox Hill Neighborhood Association, Inc. 31
- Lindisfarne Association, Inc., The 13
- Los Angeles County Museum of Natural History
Foundation 14
- Louisiana State University and Agricultural
and Mechanical College 20
- Lower East Side Family Union 31
- Magsaysay, Ramon, Award Foundation 38
- Maru a Pula Foundation 37
- Maryland, University of 14
- Massachusetts Audubon Society, Inc. 20
- Massachusetts Institute of Technology 36
- Memorial Sloan-Kettering Cancer Center 31
- Metropolitan Museum of Art, The 26
- Metropolitan Opera Association, Inc., The 26
- Mexican American Legal Defense and
Educational Fund 23
- Michigan, University of 40
- Mimbres Foundation 14
- Mississippi Council on Human Relations, Inc. 23
- Museum of the American Indian
(Heye Foundation) 14
- Museum of Modern Art, The 27
- Museums Collaborative, Inc. 27
- NAACP Legal Defense and Educational Fund, Inc. 23
- NAACP Special Contribution Fund 23
- National Academy of Sciences 39
- National Association of Independent Schools, Inc. 14
- National Association of Neighborhoods 14
- National Audubon Society 20
- National Black United Fund 23
- National Committee for Responsive Philanthropy 25
- National Committee on United States-China
Relations, Inc. 39
- National Congress for Community Economic
Development, Inc. 18
- National Council of the Churches of Christ in
the United States of America 38
- National Endowment for the Humanities 14
- National Information Bureau, Inc. 25
- National Organization for Non-Parents 20
- National Park Foundation 21
- National Research Center of the Arts, Inc. 14
- National Rural Center, The 18
- National Trust for Historic Preservation in the
United States 15
- National Urban League, Inc. 24
- Natural Resources Defense Council, Inc. 21,28,36
- Nature Conservancy, The 21
- New Alchemy Institute 21
- New York Botanical Garden, The 27
- New York City Business Marketing Center, Inc. 28
- New York City Mission Society 31
Accion Civica Evangelica 31
- New York City School Volunteer Program, Inc. 33
- New York Community Trust, The 32
- New York Institute of Technology 15
- New York Public Library, The 27
- North Carolina Center for Public Policy
Research, Inc. The 18
- Northern Rockies Action Group, Inc. 21
- Nova Institute, Incorporated, The 32

- Oakwood School 15
 Opportunity Funding Corporation 18
 Opportunity Resources for the Arts, Inc. 27
 Organization of Independent Artists, Inc. 27
 Organization for Rural Development, The 40
 Overseas Development Council 41
 Overseas Education Fund of the League of Women Voters 39
- Palace of Arts and Science Foundation 15
 Pelegano Village Industries 38
 Penn Community Services, Inc. 18
 Phelps Memorial Hospital Association 15
 Planned Parenthood of New York City, Inc. 21
 Playwrights Horizons, Inc. 27
 Police Foundation 15
 Population Council, Inc., The 21
 Pratt Institute 29
 Princeton Education Center at Blairstown 15
 Princeton University 21
 Project for Public Spaces, Inc. 21
 Prospect School, Inc. 15
 Public Education Association 33
 Puerto Rican Association for Community Affairs, Inc. 32
 Puerto Rican Legal Defense and Education Fund, Inc. 24
- Quebec-Labrador Mission Foundation, Inc., The 15
 Queens Federation of Youth Organizations, Inc. 32
- Regional Plan Association, Inc. 28
 Riverside Church, The 32
 Rockefeller University, The 16
 Rural Advancement Fund of the National Sharecroppers Fund, Inc. 18
- SOLIDARIOS (Council of American Development Foundations) 41
 St. Luke's Hospital Center 16
 Salzburg Seminar in American Studies, Inc. 36
 Settlement Housing Fund, Inc. 29
 Seven Springs Center, Inc. 38
 Smithsonian Institution 16,40
 Social Science Research Council 16
 Society for International Development 41
 South African Institute of Race Relations 38
 South Street Seaport Museum 27
 Southern Development Foundation 19
 Southern Regional Council, Inc. 19
 Southwest Voter Registration Education Project, Inc. 24
- Spelman College 16
 Stanford University (Board of Trustees of the Leland Stanford Junior University) 39
 State Communities Aid Association 32
 Survival International 36
 Sussex, University of, The 36
- TAG Foundation, Ltd. 27
 Trilateral Commission (North America), The 36
 Trinidad and Tobago Development Foundation Ltd. 41
 Tropical Agriculture Center for Research and Training (CATIE) 41
 Trust for Public Land, The 22
- Union Church of Pocantico Hills 16
 United Negro College Fund, Inc. 16
 United Neighborhood Houses of New York, Inc. 32
 United Parents Associations of New York City, Inc. 33
 Urban League of Greater New York, Inc., The 32
 Urban League of Westchester County, Inc. 24
- Virginia Union University 16
 Volunteer Lawyers for the Arts 28
 Volunteer Urban Consulting Group, Inc. 28
 Volunteers in Technical Assistance, Inc. 37
 Voter Education Project, Inc. 24
- Washington Research Project, Inc. 24
 Waterford-Kamhlaba Treasury Association 38
 Wellesley College 16
 Westledge School, Inc. 16
 Winrock International Livestock Research and Training Center, Inc. 19
 Work in America Institute, Inc. 19
 Worldwatch Institute, Inc. 22
- Young Women's Christian Association of the City of New York, The 32
 Youth for Understanding 37
- Zen Center, a Corporation Sole 17
 Zen Studies Society, Inc., The 17

This printed report includes the information submitted by the Rockefeller Brothers Fund to the Internal Revenue Service as required of private foundations under Section 6056 of the Internal Revenue Code.

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