

ROCKEFELLER BROTHERS FUND ANNUAL REPORT 1978

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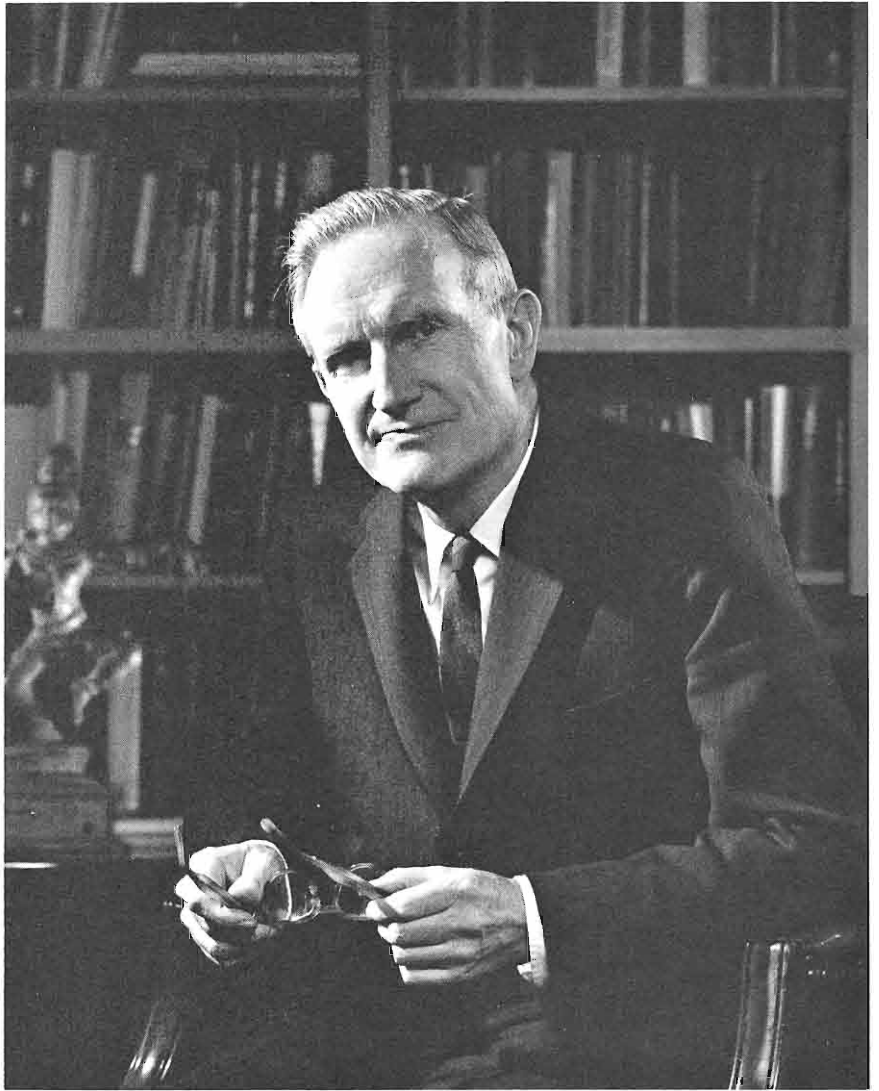
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*Since its last public report, the Rockefeller Brothers Fund has suffered two shocking and tragic losses in the deaths of its first two presidents, John D. Rockefeller 3rd, who died in an automobile accident on July 10, 1978, and Nelson A. Rockefeller, who died of a heart attack on January 27, 1979.*

*John and Nelson Rockefeller were central figures in the development of the RBF. With their brothers, Laurance, Winthrop, and David, they founded and shaped the Fund. Each of them was active in the RBF's program until the day he died.*

*On the following pages, the trustees of the Fund pay tribute to their memory.*

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**John D. Rockefeller 3rd**  
1906-1978



## Memorial Tribute to John D. Rockefeller 3rd From the Trustees of the Fund

The Board of Trustees of Rockefeller Brothers Fund, Inc., notes with great sorrow and regret, on the occasion of the board's first regular meeting since July 10, 1978, the tragic death on that date of John D. Rockefeller 3rd, a founding trustee of the Rockefeller Brothers Fund and its first president.

John D. Rockefeller 3rd devoted his life to his concern for responsible philanthropy. He set the highest standards for this foundation and was steadfast in holding to them. He was a distinguished leader of countless other enterprises designed to advance the public's wellbeing, many of which he himself conceived and organized. His loss is felt here with special sorrow because a friend and gentle family leader has been taken from us, and with deep regret because the instincts and qualities of mind he long brought to the Fund cannot be replaced.

John D. Rockefeller 3rd believed in professional philanthropy as a means of improving the condition of mankind, and perhaps more than anyone of his time, he worked ceaselessly to make philanthropy more effective. Never satisfied with the status quo, he sought real progress—not hasty, ill-considered movement, but steady gains in resolving the problems that afflict people everywhere. He wanted modern philanthropies to try new approaches and to show results, and in pursuit of this goal he searched for ideas wherever he could find them, from the young and untried as well as from the older and more experienced.

He did not shrink from attacking the largest and most awesome issues. At the same time, he knew that the best philanthropy, the most effective grantmaking, enables other people with energy, insight, and creativity to pursue their own work in the public's interests. He had the tenacity to stay with his tasks through inevitable discouragements, the wisdom to know what was likely to work, the boldness to imagine the possibilities for success, and the modesty to understand that complete success is possible, if at all, only with the help of others.

To his brothers, his family, his friends, his associates, the board of this foundation, and the world of philanthropic enterprise he served so honorably, his loss is irreparable.

*—Adopted unanimously at the November 7, 1978  
meeting of the Board of Trustees, Rockefeller Brothers Fund.*

## Memorial Tribute to Nelson A. Rockefeller From the Trustees of the Fund

Nelson Aldrich Rockefeller embraced life and carried responsibility with a joyous zest. To help others was his motivation; to serve mankind, his commitment.

Now death has taken him from us, his colleagues in the Rockefeller Brothers Fund. Death has taken our inspired co-founder, former president, and fellow trustee—who constantly challenged us to create initiatives for the betterment of people everywhere.

We meet today mindful of the benefit of his vision and leadership, conscious of an enormous void in our ranks, and acutely aware of how deeply we miss him.

Nelson's career was a fabulous mosaic of endeavor that sought to improve the economic, social, and cultural wellbeing of people throughout the world.

He served many years of his life as a dedicated public servant in appointed and elective office. As a central figure in this Fund, he encouraged us to take the lead in identifying and attacking the basic problems of our times. One example was *Prospects for America*, a project which was launched under his presidency of the Fund. This work had a major influence on public policies and set a standard for subsequent policy studies by the Fund and other agencies.

He enhanced the ability of this Fund to work with change, with new ideas, with people of different persuasions, for the good of mankind. Thus he breathed vitality into the Rockefeller Brothers Fund and contributed beyond measure to its effectiveness in meeting human needs.

In the future of this Fund, we hope that we and our successors will continue to be inspired by his penetrating insights into the great problems and opportunities of our community, our state, our nation, and the world.

We hope his devotion to the arts, which sprang from a concern for the quality of daily life, will continue to influence our future efforts.

We hope his courage, his decisiveness, his boldness, his creativity, his search for excellence, and his exploring mind will continue to guide us.

We are sad as we mourn his loss. But we rejoice that he worked among us, touching us in countless ways in his ceaseless striving to share in and lift the burdens of his fellowman.

—Adopted unanimously at the March 15, 1979  
meeting of the Board of Trustees, Rockefeller Brothers Fund.



**Nelson A. Rockefeller**  
1908-1979

## About the RBF

The assets of the Rockefeller Brothers Fund at the end of 1978 were \$172,613,554. During 1978 the Fund made 264 separate payments totaling \$19,985,046, including \$10 million in gifts from the Fund's principal (see section on major capital grants elsewhere in this report). Since it was established in 1940 by the five Rockefeller brothers, the RBF has disbursed a total of \$207,407,647 in grants.

The Fund makes grants in three program areas—national, New York City, and international—under policy guidelines established by the board of trustees. In late 1978, the Fund made substantial changes in the focus of its national program. These changes will affect grantmaking decisions in 1979. The 1978 grants followed guidelines outlined below.

### RBF Programs

#### The National Program

Total expenditures in 1978: \$12,810,884 (120 payments).

**Civic and Cultural Values.** Education, the arts, national values, and processes by which these are communicated to the citizenry (publishing, television and radio, and other forms of public communication) are all joined here. Special attention is given to finding an appropriate way for the private sector to help cultural and educational institutions during the present difficult period.

**Economic Opportunity and Development.** Emphasis: projects that can affect jobs and economic conditions among minorities and in economically deprived regions of the country. The Fund aims here to support models of economic development in low-income communities.

**Environmental Integrity.** Emphasis: ways to help the United States achieve long-term balance among population, resources, economic development, environmental pollution, and technological progress; methods and institutions for environmental planning at either the regional or national level.

**Equal Rights.** Emphasis: support for projects and organizations that assist minority population groups in the United States to attain their

rights as U.S. citizens, with special attention to the monitoring of national commitments to equal rights in public policy and practice.

**Philanthropic Service Organizations.** Together with other foundations, the RBF supports several organizations that provide services to the philanthropic community as a whole.

In 1978, the trustees of the RBF decided to phase out, over two years, grant support in the categories of economic opportunity and development, environmental integrity, equal rights, and civic and cultural values. Contributions to several national philanthropic service organizations will be continued.

The emphasis of the national program will be shifted toward other areas that continue to reflect the Fund's interest in finding ways to improve democratic institutions and to make them more responsive to today's economic needs, and to encourage cultural pluralism and opportunities for the full expression of the individual. The first of these areas are described below.

**Domestic Development Banking.** Emphasis: identification of and support for ways to focus public and private investment on critical national needs. Special attention will be given to forums, research, and other public information activities designed to insure broad public debate about the creation of a domestic development bank, which has been proposed as a vehicle for stimulating such investment.

**American Farmland Preservation.** Emphasis: efforts to reduce the loss of prime agricultural land and to preserve this vital national resource. The Fund will seek to inform and educate the public on such matters as farmers' estate and real property taxes, agricultural zoning districts, development rights, and related governmental and economic issues that promote farming opportunity and the retention of land for agricultural use.

**Employment Policy and Job Development.** Emphasis: ways to strengthen private-sector remedies to unemployment through the creation of new organizations, private-sector monitoring of government-agency economic development and employment programs, and stimulation of greater use of the public job-training funds in the growth areas of the economy.

**The Wellbeing of the Private, Nonprofit Sector.** Emphasis: projects that affirm for the public, government officials, and corporate leaders

the unique, dynamic, and constructive qualities that the nonprofit sector brings to society. The Fund will explore ways to encourage increased personal and corporate giving in the United States, work with corporations on projects that are in the public interest, and help business leaders extend their role in attempting to solve social and economic problems.

### **The New York City Program**

Total expenditures in 1978: \$5,126,663 (67 payments). The objective 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.** Emphasis: broad-constituency service organizations, programs that link the resources of cultural organizations to the public school system, selected major institutions, community-based organizations that express the vitality of the city's cultural mix, and projects that address issues and policies affecting the wellbeing of the cultural scene as a whole.

**Economic Development.** Emphasis: cooperative efforts to strengthen the city's overall economic base through employment generation and increased investment in the metropolitan area.

**Housing and Community Development.** Emphasis: ways to stabilize existing housing in the city and to revitalize moderate- and middle-income neighborhoods through preventive therapy, rehabilitation, new patterns of maintenance and ownership, and the encouragement of community development and self-help efforts.

**Human Services.** Emphasis: cooperative relations between public and private agencies, action-oriented studies that have broad implications for the human service field, selected major voluntary organizations, and techniques to improve the accountability and management of publicly funded programs.

**Public Education.** Emphasis: attempts to strengthen private agencies outside the public school system that work with the New York City Board of Education to effect change and efforts within the public system that try to improve the schools' performance.

### **The International Program**

Total expenditures in 1978: \$2,047,499 (77 payments). Grants here are 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.** Emphasis: projects that try to translate the concept of interdependence among nations and peoples into reality. Grants are concentrated on specific projects in international economic management, international cooperation, and science and technology.

**Developing Countries.** Emphasis: selected needs and aspirations expressed by people themselves in the developing countries of Africa, Asia, and Latin America. Grants currently concentrate on the expansion and diversification of rural economic opportunities, especially the direct generation of employment through small-business advancement and practical training and on the management of wildland resources, such as forest lands, parks, and unallocated natural areas. Geographic focus is on southern and West Africa, and Central America and the Caribbean.

## How to apply for a grant

To qualify for a grant from the RBF, as from most other foundations, a prospective grantee must be either 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 areas of program activity 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 projects, 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 do not fit current program guidelines or budgetary restraints. If a project is taken up for grant consideration, 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.



## Major Capital Grants

In 1975, the RBF took an unusual step for a major foundation: it recognized that its support over the years of significant institutions, many of which were founded or led by RBF trustees, might have created special ties to the RBF and therefore special responsibilities on the part of the Fund toward these organizations.

Large or repeated grants do not always mean that a foundation intends to support a program or an institution indefinitely, of course, for a foundation must be free to respond to new areas of need. Nonetheless, special obligations can flow naturally out of important grant programs.

The Fund's recognition of these obligations in 1975 led to a study, under the direction of the RBF's vice chairman and former president, Dana Creel, of twenty-two organizations that had been formed as a result of Fund initiatives or had been heavily dependent on Fund support. The aim of the study was to develop, in cooperation with their trustees and officers, long-range programs and financial plans for these organizations and to determine the extent of capital support from the Fund that would enable the organizations to face the future on their own without sacrificing standards of excellence.

As a part of its decision, the RBF determined that it would be prepared to make major grants from capital to help put these organizations and their public-service programs on a firm footing.

The results of this study are historic for the RBF. When all the appropriations have been paid within the next few years, the RBF's assets will be reduced by more than half, a step that will inevitably mean a reduction in its future activities. At the same time, by being relieved of any further continuing responsibility to these organizations, the Fund will be in a position to reshape its program.

The institutions to which the Fund has made major capital appropriations in the last two years are described below. Each of them in one way or another plays a constructive role in our national life. Many were founded by John D. Rockefeller, Jr. His sons often worked closely with

him in the development of these organizations, taking on posts of leadership and responsibility as time passed. Other organizations here have been created by the Fund's trustees themselves.

Because many of the RBF grants to these institutions call for substantial matching requirements and for operating changes upon which the Fund and each institution have agreed, the RBF will be involved in the way the institutions continue to design their programs, their fundraising campaigns, and their future.

The grants in each case are being drawn not from the Fund's annual grant budget but from its principal; roughly half of the distribution so far has been in cash, the other half in common stocks. Although the contributions will be made over a period of several years, there will be less income available for the Fund's general program, as RBF grantees have already been informed.

In the last two years, the RBF has appropriated a total of \$82.4 million under this program and paid out nearly \$17.9 million in capital funds. Grants have gone to eighteen institutions, whose purposes and programs are described briefly here.

**The Asia Society, Inc.** The society, which was founded in 1956, is dedicated to helping Americans gain a better grasp of the values, achievements, points of view, and frustrations of the majority of the human race who live in Asia, from Iran and Afghanistan on the west to Japan on the east. The society's program is a broad one. It includes the administration of several area and country councils and a center in Washington, D.C., a variety of seminars and meetings on cultural, economic, and political issues, a lively schedule of art exhibitions in its Asia House headquarters in New York, and a magazine called *Asia*.

The RBF's contribution of \$1.54 million under its capital grants program was divided between the society's building fund (\$500,000 to be matched by \$2 million from non-Rockefeller sources) and general budgetary support (\$1.05 million over eight years, 1976-1983). This grant brings to \$2.5 million the total contribution the Fund has made to the Asia Society since 1958.

**The Center for Inter-American Relations.** Established in 1965 in New York City, the center brings together business and professional people in the Americas to discuss mutual interests and problems. Its programs and information services cover public affairs, the visual and performing arts, and literature, and its constituents include artists, businessmen, govern-

ment officials, educators, and writers from all countries in the hemisphere. The RBF capital grant, made in 1976, was for \$1 million, half of which was paid outright toward the center's endowment; the other half requires a three-to-one match from non-Rockefeller contributors. In all, with this grant, the RBF has appropriated over \$1.7 million to the center since 1966.

**Colonial Williamsburg Foundation.** In 1926, John D. Rockefeller, Jr. began the restoration of the capital of colonial Virginia. One of America's first planned cities and one of its most beautiful, Williamsburg was little more than a faded Virginia town in the 1920s. By the 1970s, largely with the help of the Rockefeller family and later the RBF, more than 700 modern buildings had been restored, 404 buildings had been reconstructed on their original foundations, and 83 acres of eighteenth-century gardens and greens had been cleared and replanted. Today, admissions average more than one million a year, and Williamsburg's educational programs are extensive.

To help the foundation complete the restoration and build long-range financial stability without substantial Rockefeller support, the RBF made a capital grant of \$4 million to Colonial Williamsburg in 1978. Total RBF contributions to the foundation, including the 1978 capital grant, amount to \$8.35 million.

**International House, New York.** The idea for the creation of International House was born in a story relayed to John D. Rockefeller, Jr. in the early 1920s about a Chinese student at Columbia University whose reply to a casual greeting was unusually effusive. It turned out that he had been in the United States for three weeks and had not yet been greeted by anyone. Mr. Rockefeller's response was to found International House to overcome the loneliness of individual foreign students in New York City. By 1924, International House had its own building on Riverside Drive, constructed expressly to house students from all races and countries.

In its early years, half of all foreign graduate students in New York City lived at International House. Today, the International House role has changed. Foreign students are more easily assimilated into U.S. colleges and universities, and there are so many more of them that only about 5 percent of the foreign graduate students in New York can be accommodated at International House. The institution now serves primarily those students who will be in a position of leadership in their home countries, and the program emphasizes intellectual and cultural activities and travel.

In 1978, the RBF, which has given \$695,000 in both special and annual support to International House since 1950, made a final capital grant of \$500,000 to the house, the first \$250,000 of which is to be paid when the organization has raised \$3 million before the end of 1981 for its half-century campaign.

**Jackson Hole Preserve, Incorporated.** The original purposes of the Jackson Hole Preserve were to restore, protect, and preserve primitive grandeur and natural beauty for the benefit of the public; to provide for the protection, feeding, and propagation of wild game; and to maintain the historic and scientific features of picturesque areas. Since 1940, when the preserve was founded by John D. Rockefeller, Jr. and his son Laurance, JHPI has given to the United States more than 33,000 acres of land for national parks in the Grand Tetons of Wyoming, the Virgin Islands in the Caribbean, and New York State. In addition, the preserve has built visitor facilities in these areas and contributed several million dollars to their maintenance.

In 1958, Jackson Hole Preserve was the parent of a new organization, the American Conservation Association (ACA), which would carry on the educational, research, and citizen action activities that the preserve felt were beyond its own capabilities. Since its founding, ACA has supplied vital finances and leadership for moves to protect the park, refuge, forest, and recreation resources in this country, and ACA's efforts to educate the public and secure its support have often been seminal to the establishment, particularly in recent years, of other important environmental and conservation organizations.

The RBF, which has made annual grants totaling \$6.73 million to the Jackson Hole Preserve and ACA over the years, pledged \$3 million to JHPI in 1978 toward the support of both the preserve and the activities of ACA.

**Japan Society, Inc.** Although the society dates back to 1907, when it was founded to help interested New Yorkers meet and learn about the Japanese, it was in 1952, well after the second world war, that the reconstituted Japan Society began to grow as a significant bi-national organization. Today, in an effort to narrow the cultural distance between Japan and the United States, the society carries on a number of programs. It conducts seminars, conferences, and special meetings at its New York City headquarters on current political and economic topics; arranges exhibitions of Japanese art; produces pamphlets to introduce visitors to Japan and publishes several new translations of Japanese literature each year; circulates Japanese films and radio and television

programs; carries on efforts to help improve the orientation of American businessmen who are assigned to and who deal with Japan; promotes intellectual and cultural exchanges; and maintains a library and information service about Japan.

In 1977, the RBF made a \$1.5-million grant to the society's contingency fund, to be used for future program and building needs. Total contribution from the Fund since its first grant in 1972 is now just over \$1.7 million.

**Lincoln Center for the Performing Arts.** In 1955, Lincoln Square in New York City was one more urban slum designated for clearance and redevelopment. Fourteen years later, in 1969, it stood as the first major cultural complex in the country, housing theaters, concert halls, and classrooms for nine of the nation's most important cultural institutions—the Metropolitan Opera, the Juilliard School, the New York City Ballet, the New York City Opera, the New York Philharmonic, the Chamber Music Society of Lincoln Center, the Vivian Beaumont Theater, the New York Film Society, and the Library of the Performing Arts.

As a coordinator for these constituents, the Lincoln Center Corporation has responsibility for maintaining the physical plant, providing basic security and other essential services, administering a consolidated corporate fund drive, and conducting a variety of educational and community programs on behalf of all the constituents. Although the center was built and is sustained by a broad base of public and private support, the RBF and the Rockefeller family have been principal contributors since the center was first launched; nearly \$2.7 million has been contributed by the RBF alone. The Fund's 1978 capital grant of \$3 million is an unrestricted contribution to Lincoln Center's long-range capital fund drive.

**Ramon Magsaysay Award Foundation.** When Philippine president Ramon Magsaysay was killed in an airplane crash in 1957, the RBF created a foundation in the Philippines whose purpose is to honor Magsaysay by giving concrete recognition to the ideals that characterized his life. The "concrete recognition" is prizes awarded annually by the foundation to five persons or organizations in Asia "who exemplify [Magsaysay's] greatness of spirit, integrity, and devotion to freedom." The awards, until recently \$10,000 each, are made for government service, public service, community leadership, international understanding, and journalism and literature, and they are well known and highly respected throughout the region. Since the first awards in 1958, the foundation has given prizes to 97 recipients in 16 Asian countries.

Although some gifts have come from other sources, for all practical purposes, the Magsaysay Award Foundation has been entirely financed by the RBF, whose contributions since 1957 amount to \$4.2 million. In 1976, the Fund established a revocable \$1-million, twenty-year trust in the United States. The annual income from this trust, together with whatever principal might be needed, is to be paid to the foundation for the sole purpose of increasing the Ramon Magsaysay Awards from \$10,000 to \$20,000 each.

**Metropolitan Museum of Art.** Since the 1930s, when he made his first trips to Latin America, it had been a hope of the late Nelson A. Rockefeller that a major New York City museum would one day take an interest in pre-Columbian and other “primitive” art. At the time, art museums tended to regard such objects as ethnic artifacts, rather than works of art, so in 1954 he created his own Museum of Primitive Art, which opened to the public in 1957.

In 1969, eight years after Governor Rockefeller’s son Michael was lost on an expedition to collect works of art in the South Pacific, New York’s Metropolitan Museum of Art agreed to accept as part of its own holdings both the Michael C. Rockefeller Collection and the Museum of Primitive Art. Under the agreement, the Metropolitan has now established a new Department of Primitive Art and constructed a wing to house the collections, to be named in memory of Michael Clark Rockefeller.

The wing itself has received substantial contributions from the Fund—\$1.15 million by mid-1978—as well as members of the Rockefeller family. In addition, the RBF has contributed about \$450,000 to the Metropolitan over the years for various projects and annual support. A capital grant of \$350,000 from the Fund in 1976 was designated for installation of the collection in the new wing; this grant was supplemented in November 1978 by another \$150,000 from RBF program funds.

**Metropolitan Opera Association.** Both the Rockefeller family and the RBF have been supporters of the Metropolitan Opera for many years, beginning as early as 1928, when John D. Rockefeller, Jr. first assembled land between 49th and 50th Streets in Manhattan for what eventually became Rockefeller Center. According to newspaper accounts at the time, “the deal was consummated primarily to provide a new location for a new Metropolitan Opera House.” When the real estate market collapsed just after Mr. Rockefeller’s purchase, the association was unable to sell its old building and so stayed where it was. Forty years later, the opera moved to Lincoln Center.

In the meantime, the Metropolitan became one of the largest and most widely respected performing arts companies in the world. But opera has long been one of the most costly of the performing arts, and in 1976 the Metropolitan Opera Association was undergoing a major financial crisis, accompanied by warnings that the opera might have to close its doors for lack of funds. A combination of administrative and artistic changes succeeded in turning the opera's situation around, and the association ended both the 1977 and 1978 fiscal years in the black. The RBF's capital grant to the Metropolitan in 1977 was meant to help resolve the association's fiscal crisis. The Fund gave \$1 million outright to the association's operating budget and an additional \$500,000, which was matched by new funds either contributed or raised by the Metropolitan's board of directors. Since 1951, the RBF has given a total of \$2.2 million to the association.

**Museum of Modern Art.** This museum, the first institution in this country to devote itself to contemporary art, was established in 1929 through the efforts of seven founders, among them Abby Aldrich Rockefeller, the wife of John D. Rockefeller, Jr. Their purpose was "to help people study, understand, and use the visual arts of our time." In the fifty years since MoMA was founded, it has had the continual support and interest of both the RBF and the Rockefeller family, whose members have contributed substantial collections, funds, and leadership to the museum.

Like other cultural institutions in the last decade, MoMA has suffered from rising costs, declining endowment, and the need for more exhibition space. To meet all three of these problems, the museum has launched a fiftieth-anniversary capital campaign, part of which will be earmarked for rebuilding its endowment funds and part of which will go toward the construction of new exhibition galleries and administrative offices on the lower floors of a condominium apartment tower. Through a special law passed by the New York State legislature in 1977, the museum has been able to assign air rights over its property in New York City to a nonprofit Trust for Cultural Resources. This trust can lease the air rights to a commercial developer, and return to the museum the rent paid to the trust by owners of the condominium in lieu of taxes; these payments, in turn, are to be used for maintenance costs of the new space.

In 1977, the RBF approved a capital grant of \$10 million to the museum, \$7 million of this for construction costs of the apartment tower, to be paid when all construction funds are in hand or firmly committed, and \$3 million earmarked for the museum's endowment, to be matched two-to-one by contributions from non-Rockefeller sources. Conditions on the



endowment gift are that the museum's capital campaign goal be set at \$36 million and that \$16 million of this be added to the endowment. When this grant is paid, the RBF will have contributed a total of \$18.8 million to the museum since 1948.

**New York Zoological Society.** The Bronx Zoo, the New York Aquarium and the Osborn Laboratories of Marine Sciences in Brooklyn, and the International Wildlife Conservation Program are four divisions that constitute this society. Founded in 1895, the society has become one of the world's most diverse and effective nongovernmental programs in wildlife conservation, field research, resource monitoring, and environmental studies. In the Bronx Zoo's 252-acre "natural" habitat and the Brooklyn Aquarium, the society has been a pioneer in the development of humane and interesting ways of showing wildlife to the public and in the propagation of endangered species.

Through its other divisions, the society sponsors forty conservation research and advisory projects throughout the Third World. It gathers data for land-use policies, conducts research in aquaculture and biomedicine, offers educational workshops for serious students of wildlife and the natural environment, and supports the work of fulltime animal management specialists, field biologists, geneticists, and pathologists. Both the RBF, which contributed a total of \$845,000 to the society through 1977, and the Rockefeller family have been long-time supporters of the society. Laurance S. Rockefeller has been a trustee since 1936; now honorary chairman, he was the society's president and then chairman from 1969 to 1976. In 1978, the Fund approved a \$1-million capital contribution to the society's Animal Kingdom Fund, a six-year, \$20-million campaign for endowment and capital funds.

**The Population Council, Inc.** When this organization was established in 1952, there was growing but fragmented concern about the problem of population. Very early in the century, as scientists and such crusaders as Margaret Sanger were beginning their work in this area, John D. Rockefeller, Jr., and later his son, John D. Rockefeller 3rd, became interested in maternal health, family planning, birth control laws, and reproduction research. By the 1930s and '40s, JDR 3rd had taken up the subject of population as one of his major concerns. He created the Population Council and was its chairman until 1978, when he became chairman emeritus.

The council was formed "to stimulate, encourage, promote, conduct, and support significant activities in the broad field of population" and to call the attention of world leaders and policymakers to this field. Among



the problems the council has studied in recent years are migration and urbanization, the demographic and development results of the inferior status of women, the growing need for training new generations of population scientists, and the development of modern male contraceptives. These studies are carried out by three program divisions—the Center for Policy Studies, the Center for Biomedical Research, and International Programs.

Between 1956 and 1977, the RBF gave \$7.84 million in annual and special contributions to the organization. To discharge the Fund's responsibility to the council, in 1977 and 1978 the RBF appropriated \$7.4 million in capital grants to the Population Council and \$2.6 million from the annual program budget, bringing the RBF's total appropriations to the council to \$17.84 million.

**Riverside Church.** Riverside was one of John D. Rockefeller, Jr.'s deepest interests. A trustee of the church from 1929 to 1949, he was an active participant in its development from a Baptist church to an interdenominational center, serving worshippers of all faiths. It was in many respects a radical institution for its time, a vigorous example of the ecumenical movement, which Mr. Rockefeller encouraged and supported through a variety of other channels as well.

In the years since the church moved into the complex built for it on Riverside Drive in 1930, it has served as both a national forum and a local parish. Through weekly radio programs, the ministers of the church, beginning with Dr. Harry Emerson Fosdick in the 1930s, reached millions of people across the country, and visitors to New York have flocked to the church by the tens of thousands. As both a neighborhood church and a religious and cultural center, Riverside has attracted the intellectual community of Morningside Heights and the cluster of institutions located there—Columbia University, Barnard College, and Union Theological Seminary, in particular—and at the same time reached out to the growing number of black and Spanish-speaking residents in the area.

The church has been unusually successful at adapting itself to meet the changes around it. Today, the church still sponsors some of the social and cultural programs it pioneered in the thirties for people who were out of work, and it has added many more, including such activities as English-language classes for international students, meetings for young mothers, a day-care center, a gym program for community teenagers, acting classes and theater performances for both adults and children.

Between 1941 and 1976, the RBF gave \$959,000 to the church in annual and special contributions. To capitalize the Fund's annual giving to the church, in 1976 the RBF granted Riverside \$750,000 for its endowment fund.

**Rockefeller Archive Center.** This center was established in 1974 to preserve the records of The Rockefeller University, the Rockefeller Foundation, the RBF, the Rockefeller family, and several organizations and individuals "who have participated in the stewardship of the Rockefeller philanthropies in the tradition of service to mankind." Among the papers collected there are those of John D. Rockefeller, Senator Nelson W. Aldrich, Governor Winthrop Rockefeller, Raymond B. Fosdick, the General Education Board, and the Population Council.

The center's objective is to accumulate an unparalleled collection that records the history of philanthropy in its broadest sense. The materials relate to the most important economic and social trends in the last 100 years; through them, scholars will be able to document the influence of individual and corporate philanthropy on the course of events not only in the United States but in other countries as well.

Administratively a part of The Rockefeller University, the center is housed in Hillcrest, the home built by Martha Baird Rockefeller on 24 acres of land at Pocantico Hills, New York. The house and land were given to the university for the archive center by the RBF in 1974. The gift also included \$1.5 million for construction of record vault space and \$3 million for the endowment of the center.

The purposes of the center, beyond preserving and providing proper storage of the records, are to make it possible for responsible scholars to use the records, to promote research by offering financial assistance to qualified students and scholars, to publish selected documents or series of documents from the archives, and to sponsor conferences based on the center's resources. Conferences so far have covered such subjects as private philanthropy, archival ethics, and trends in biomedical research.

In 1977 and 1978, as its contribution to the costs of operating the center, the RBF made capital grants totaling \$2 million to the center's endowment fund. These grants brought to \$6.5 million the Fund's total financial contribution to the center.

**Memorial Sloan-Kettering Cancer Center.** This complex, built on property in New York City that was contributed in 1935 by John D. Rockefeller, Jr., combines hospital care with clinical and basic research.

The original building housed just Memorial Hospital, which had been moved from another location to bring it closer to New York Hospital across the street. In 1945, the Sloan-Kettering Institute was founded as a basic research center and added to the hospital, and in 1960, the Cancer Center was formed as a coordinating body for both the hospital and the institute. Laurance S. Rockefeller's leadership has been central to the development of the center over the last three decades, as a trustee and president of Memorial Hospital, trustee of the institute, and since 1960 chairman of the center's board and executive committee.

Now one of the most important cancer treatment and research centers in the world, Memorial Sloan-Kettering has been built almost entirely with private funds, a significant portion of which have come from the Rockefeller family and the RBF. Between 1946 and 1977, the Fund contributed \$5.64 million to the center. About 80 percent of the center's scientific research, however, is supported by federal funds, a situation that makes it particularly vulnerable to shifts and cutbacks in federal priorities. To relieve this dependence, the center has recently begun to raise funds to add to its unrestricted endowment. In response to this campaign, the RBF made a capital grant in 1978 of \$15 million. This appropriation was supplemented by a combined reserve fund for the center, Rockefeller University, and New York Hospital-Cornell Medical Center, described below.

**The Rockefeller University.** Originally named the Rockefeller Institute for Medical Research, the university grew out of John D. Rockefeller, Jr.'s concern about the lack of scientific research into the cause and cure of diseases. Medicine, according to a report at the time, "as generally taught and practiced in the United States [is] practically futile. . . . [It] can hardly hope to become a science until it can be endowed and qualified men enabled to give themselves to uninterrupted study and investigation, on ample salary, entirely independent of practice."

Rockefeller Institute was chartered in 1901, and its scattered research projects were brought together at the university's present location in 1906, a building constructed largely with contributions from Mr. Rockefeller, Jr. It became a university in 1954 and awarded its first Ph.D. degrees in 1959. Over the years, it has produced 16 Nobel Laureates, and more than half its full professors have been elected to the National Academy of Sciences.

David Rockefeller was chairman of the university's board for twenty-five years and is now chairman of its executive committee. Until World War II, the university was supported almost entirely by income from

endowment given by the Rockefeller family. In recent years the university has received growing amounts of research and capital funds from the federal government, other foundations, and individuals outside the Rockefeller family. In 1971, the university launched a campaign to raise \$120 million by 1980. To help the university achieve the goal and gain independence from Rockefeller family and RBF support, the Fund made a capital grant of \$15 million to the university in 1978. Total RBF contributions to the university for its program and building funds are \$17.5 million since 1970, including this latest capital appropriation.

**Reserve Fund for the Benefit of Memorial Sloan-Kettering Cancer Center, The Rockefeller University, and The New York Hospital-Cornell Medical Center.** In recent years there has been a move toward more cooperative and joint activities among these three institutions, all of them located near each other on the east side of Manhattan and all three often engaged in similar research projects. It was, furthermore, John D. Rockefeller, Jr.'s original hope that clustering them would make each stronger and more effective.

To encourage this cooperation, the RBF has reserved \$10 million of its unrestricted principal in a fund, the income from which is to be used for support of joint or cooperative projects undertaken by any two or all three of these institutions. At the end of five years, the principal of this reserve is to be disbursed. Of this \$10 million, \$2.5 million is to be available to the Memorial Sloan-Kettering Cancer Center for payment between the end of 1983 and the end of 1986 when the center has increased its capital funds by \$25 million and has matched the RBF's \$2.5 million by an equal amount of contributions from other sources. The remaining \$7.5 million is to be available to The Rockefeller University under the same conditions.

**Spelman College.** The history of Spelman College, which grew from a school founded in 1881 in Atlanta to provide practical training for black girls and women just out of slavery, is inextricably entwined in the development of Rockefeller philanthropy. John D. Rockefeller and his wife, Laura Spelman Rockefeller, gave the school—then known as the Atlanta Baptist Female Seminary, and later named for the Spelman family—its first capital grant in 1882, and the Rockefeller family has maintained an active personal interest in the school ever since. Rockefeller gifts built the school's administration building, as well as several others on campus; John D. Rockefeller was a member of the first board of trustees, and John D. Rockefeller, Jr. not only helped execute the family's plans for the college (they included a home for the school's president, a dining hall, a dormitory, a chapel, and a hospital), but

bought additional land for the college, landscaped the property, and dug a well to provide a reliable water supply.

RBF support for Spelman began in 1961 with a \$1-million gift for the construction of the John D. Rockefeller, Jr. Memorial Arts Center, and the Fund has made grants to special projects since then. Total RBF contributions through 1977 were just over \$2 million. Now part of the Atlanta University Center, Spelman has become a liberal arts college that prepares its students for careers in education, medicine, law, government, and industry. In 1978 the school laid plans for a Centennial Financial Development Program to double its present endowment. The RBF has responded to this campaign with a \$4.2-million capital grant, \$2 million of which is to be matched two-to-one by the end of 1981 by nongovernmental sources and \$200,000 to be used for administrative costs associated with the development program.

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

### NATIONAL PROGRAM: Civic and Cultural Values (\$5,604,696—Paid)

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>A Better Chance, Inc.</b> <i>Boston, Massachusetts</i> For general budgetary support of this organization, which recruits gifted minority students for more than 100 independent secondary schools, where they are specially prepared for university entrance.	\$ 40,000	\$	\$ 40,000	\$
<b>American Council for the Arts, Inc.</b> <i>New York, New York</i> Toward the publication costs of the council's <i>Guide to Corporate Giving in the Arts</i> .	14,000		14,000	
<b>American Institute of Buddhist Studies</b> <i>Amherst, Massachusetts</i> Toward the development of university-accredited undergraduate programs in Asian studies to be conducted at several college campuses during the summer.	25,000*		10,000	15,000
<b>Artisans' Cooperative, Inc.</b> <i>Chadds Ford, Pennsylvania</i> Toward the Cooperative Craft Marketing Center, which conducts outreach and technical assistance programs for rural artisans.	25,000		25,000	
<b>Arts, Education and Americans, Inc., The</b> <i>New York, New York</i> Toward costs of consolidating the reactions to AEA's report, <i>Coming to Our Senses</i> , and of outlining a strategy for implementing the recommendations of the report, a three-year survey of the status of the arts in the nation's schools.	35,000		35,000	
<b>Aspen Institute for Humanistic Studies</b> <i>New York, New York</i> For general budgetary support of this organization, devoted to thought and action in the areas of contemporary life that will be most affected by the changes transforming the modern world.	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.	50,000*		50,000	
<b>Association of Theological Schools in the United States and Canada, The</b> <i>Vandelia, Ohio</i> Toward the expenses of the association's Spiritual and Devotional Life Program, whose purpose is to formulate the most appropriate way in which a seminary may develop the spiritual capabilities of its students.	75,000		75,000	
A supplemental contribution toward the expenses of the Spiritual and Devotional Life Program.	24,494		24,494	

\*Appropriation made prior to 1978

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Center for Public Resources, Inc.</b> <i>New York, New York</i> For general budgetary support of the center, which helps to develop the potential of business in meeting public needs and to make it easier for business resources to be used for solving social problems.	\$ 50,000	\$	\$ 50,000	\$
<b>Colonial Williamsburg Foundation, Inc., The</b> <i>Williamsburg, Virginia</i> Toward the general purposes of the foundation, which operates the Colonial Williamsburg restoration.**	4,000,000			4,000,000
To underwrite a contingent commitment incurred in the acquisition of Carter's Grove Plantation, Virginia, for exhibition as an historic property.	290,000*			290,000
<b>Colorado Mountain Trails Foundation</b> <i>Littleton, Colorado</i> Toward the foundation's "walkabout program," which uses a Colorado trail as an outdoor classroom to design and field-test walkabout methods to teach public and private secondary-school students.	41,000*	25,000		16,000 <sup>(1)</sup>
<b>Commission for the United World Colleges, Inc.</b> <i>New York, New York</i> For general budgetary support of this international secondary school program, which covers the last two years before university and is based primarily on outdoor survival skills and community-service projects. (The commission subsequently changed its name to U.S. Committee for United World College Schools, Inc.)	30,000		15,000	15,000
<b>Cornell University</b> <i>Ithaca, New York</i> Toward the Program in Values and Valuing at the New York State College of Agriculture and Life Sciences, a program that deals with ethical issues in the context of a heavily technical and vocational curriculum.	70,000*		70,000	
A supplemental contribution toward the Program in Values and Valuing.	7,500		7,500	
<b>Family Service Association of Nassau County, Inc.</b> <i>Hempstead, New York</i> Toward the mother-child home component of the association's Verbal Interaction Project, which attempts to prevent educational disadvantage by showing mothers how to teach verbal abilities to their young children.	72,000*	17,000	29,000	26,000
<b>Foundation for Art Education</b> <i>New York, New York</i> Toward the development of a pilot program for a television series on the visual arts in America.	25,000		25,000	
<b>Fund for Theological Education, Inc., The</b> <i>Princeton, New Jersey</i> Toward the expenses of the Hispanic Ministerial Fellowship Program and the Hispanic Doctoral Fellowship Program.	50,223		43,000	7,223

<sup>(1)</sup> Lapsed

\*Appropriation made prior to 1978

\*\*For further information, see section on Major Capital Grants.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Harvard University</b> <i>Cambridge, Massachusetts</i> Toward a reassessment of early American history through an archival study of the recruitment, development, and character of the American population from the beginning of settlement until the end of the 19th century.	\$ 212,522*	\$ 114,929	\$ 47,833	\$ 49,760
<b>Hospice, Inc.</b> <i>New Haven, Connecticut</i> Toward the operating budget of the National Hospice Organization, which provides technical assistance 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.	20,000		20,000	
<b>Lindisfarne Association, Inc., The</b> <i>New York, New York</i> Toward the education program at the New York City center of the association, a community that offers a university-level program to individuals seeking a new sense of meaning for human existence.	45,000*	30,000	15,000	
<b>Maryland, University of</b> <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.	75,000		75,000	
<b>Minnesota Foundation, University of</b> <i>Minneapolis, Minnesota</i> Toward the university's Hubert H. Humphrey Institute of Public Affairs.	50,000		50,000	
<b>National Association of Independent Schools, Inc.</b> <i>Boston, Massachusetts</i> For general budgetary support over three years, with special attention to the association's Commission on Educational Issues and to the establishment of a Washington office for governmental relations.	220,000		165,000	55,000
<b>National Research Center of the Arts, Inc.</b> <i>New York, New York</i> Toward the Arts Trend Data Study, to assemble information on the finances and administration of nonprofit arts organizations throughout the United States.	25,000*	12,500		12,500 <sup>(2)</sup>
<b>National Trust for Historic Preservation in the United States</b> <i>Washington, D. C.</i> Toward the expenses of the National Conference on Preservation, which will take a comprehensive look at the rapidly expanding preservation movement, particularly the role and responsibility of private organizations and individuals.	50,000		50,000	
<b>New Sources of Funding, Inc.</b> <i>New York, New York</i> Toward the costs of establishing an organization to advise nonprofit institutions on ways of using their real estate and other assets to produce added income.	25,000		25,000	

<sup>(2)</sup> Lapsed

\*Appropriation made prior to 1978



<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Northfield Mount Hermon School</b> <i>East Northfield, Massachusetts</i> For general budgetary support of the Elderhostel Program, which offers people 60 years of age and older a series of low-tuition, one-week, residential, academic experiences during the summer months on the campuses of a national network of schools and colleges.	\$ 50,000	\$	\$ 50,000	\$
<b>Old Sturbridge, Inc.</b> <i>Sturbridge, Massachusetts</i> Toward this restoration's teaching training model, designed to help teachers gain knowledge and experience in the use of museum collections and incorporate museum resources into their courses of instruction.	26,000		26,000	
<b>Palace of Arts and Science Foundation</b> <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	
<b>Princeton Theological Seminary</b> <i>Princeton, New Jersey</i> Toward the expenses of The Committee for Theological Library Development, which seeks to train personnel and improve operating procedures in libraries of accredited theological schools.	57,000		57,000	
<b>Quebec-Labrador Foundation, Inc., The</b> <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. (This organization was formerly called The Quebec-Labrador Mission Foundation, Inc.)	75,000*	25,000	25,000	25,000
<b>Rockefeller University, The</b> <i>New York, New York</i> Toward the general purposes of this graduate research institution for the sciences. **	15,000,000		2,125,000	12,875,000
Toward a fund functioning as endowment for the university's Rockefeller Archive Center.	1,000,000			1,000,000
<b>Social Science Research Council</b> <i>New York, New York</i> A supplemental contribution toward a study of the current state of diagnosis, remediation, and research in the field of neurologically based learning disabilities (dyslexia).	22,000		22,000	
<b>Spelman College</b> <i>Atlanta, Georgia</i> Toward the college's Centennial Financial Development Program. **	4,200,000		2,100,000	2,100,000
<b>Union Church of Pocantico Hills</b> <i>Tarrytown, New York</i> For general budgetary support of this nondenominational church, located near Tarrytown, New York.	28,869		28,869	

\*Appropriation made prior to 1978

\*\*For further information, see section on Major Capital Grants.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>United Negro College Fund, Inc.</b> <i>New York, New York</i> For general budgetary support of UNCF's campaign to raise unrestricted funds for its forty member institutions.	\$ 10,000	\$	\$ 10,000	\$
<b>United Way of Westchester, Inc.</b> <i>White Plains, New York</i> Toward a project to test a new planning and evaluation model that will help to assess community needs prior to the allocation of resources.	15,000		15,000	
<b>Walker Art Center, Inc.</b> <i>Minneapolis, Minnesota</i> Toward a feasibility study for ARTLAB, a pilot program in art interpretation for public school teachers.	25,000		25,000	
<b>George Washington University</b> <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	
<b>Wellesley College</b> <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	
<b>Zen Center, A Corporate Sole</b> <i>San Francisco, California</i> For general budgetary support of the center and its effort to translate Buddhist ideas and sense of community into direct involvement with its own neighborhood.	30,000*	20,000	10,000	
For further general budgetary support of the center.	50,000		20,000	30,000
<b>Zen Studies Society, Inc., The</b> <i>New York, New York</i> Toward development of the education program for American students at the society's International Dai Bosatsu Zendo.	30,000*	20,000	10,000	
<b>NATIONAL PROGRAM: Economic Opportunity and Development</b> <b>(\$2,974,713—Paid)</b>				
<b>ACCION International</b> <i>Cambridge, Massachusetts</i> Toward a project in Maine, which will provide technical assistance, including credit and management advice, to small entrepreneurs who tend to be excluded from other government and private assistance programs.	25,000		25,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>American Land Forum, The</b> <i>Washington, D.C.</i> Toward a publications program to draw greater public attention to the continuing loss of agricultural land in the United States.	\$ 50,000	\$	\$ 50,000	\$
<b>Center for Community Change</b> <i>Washington, D.C.</i> Toward the center's program of assistance to community and economic development organizations in the South.	280,000*	140,000	140,000	
Toward the core operating budget of the center and further support for its program of assistance to community and economic development organizations.	350,000		175,000	175,000
Toward the center's multi-regional sheep production and marketing feasibility study in connection with its general program of assistance to community and economic development organizations.	60,000		60,000	
<b>Delta Foundation, The</b> <i>Greenville, Mississippi</i> For general budgetary support over two years of the foundation's program to improve economic opportunities for low-income residents in the Delta region of Mississippi.	65,000		65,000	
<b>Emergency Land Fund</b> <i>Allanta, Georgia</i> Toward this organization's program of assistance to agricultural land acquisition and development programs in the South.	40,000		40,000	
<b>Federation of Southern Cooperatives</b> <i>Atlanta, Georgia</i> Toward the federation's training center and demonstration farm.	50,000		50,000	
<b>Harvard University</b> <i>Cambridge, Massachusetts</i> Toward a program, conducted under the auspices of the university's Graduate School of Business Administration, to facilitate the training of labor, management, and government personnel in techniques of consensus-building on difficult public-private conflicts.	150,000		75,000	75,000
<b>Interracial Council for Business Opportunity</b> <i>New York, New York</i> For general budgetary support of this national organization and its local councils, which provide financial and managerial guidance for black-owned businesses.	25,000		25,000	
<b>Lawyers' Committee for Civil Rights Under Law</b> <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	

\*Appropriation made prior to 1978

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>National Black Child Development Institute, Inc.</b> <i>Washington, D.C.</i> For general budgetary support of this organization, which is dedicated to the development of positive standards and values among young people in black communities.	\$ 37,500	\$	\$ 25,000	\$ 12,500
<b>National Center for Policy Alternatives</b> <i>Washington, D.C.</i> Toward initial expenses of a national clearinghouse for state and local agricultural land policies.	70,000		70,000	
<b>National Rural Center, The</b> <i>Washington, D.C.</i> Toward the Project Development Fund of the center's general program, which focuses on rural policy matters relating to employment, agriculture, health, education, economic development, and law.	768,156		750,000	18,156
<b>Northeast-Midwest Institute, The</b> <i>Washington, D.C.</i> Toward the institute's economic analysis unit, which conducts its studies on the structural economic problems of the Northeast-Midwest region.	37,500		37,500	
<b>Opportunity Funding Corporation</b> <i>Washington, D.C.</i> Toward a program to coordinate the efforts of foundations, corporations, and economic development groups on behalf of minority economic development.	50,000		50,000	
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 the design of a western agriculture organization that can help minority-owned agricultural-product firms meet the quality-control and production requirements of the Interagency Council on Minority Business Procurement.	50,000		50,000	
<b>Penn Community Services, Inc.</b> <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	
<b>Pennsylvania State University, The</b> <i>University Park, Pennsylvania</i> Toward a research project on a farm mechanization being undertaken by the university's College of Agriculture.	17,123		17,123	
<b>PUSH Foundation, The</b> <i>Chicago, Illinois</i> Toward the foundation's PUSH for Excellence, aimed at strengthening the motivation and dedication of black youths through programs in public schools.	30,000		30,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>A. Philip Randolph Educational Fund, Inc.</b> <i>New York, New York</i> Toward a trade union intern program designed to increase the number of minority trade unionists holding positions of responsibility and leadership in labor organizations.	\$ 50,000	\$	\$ 50,000	\$
<b>Rural Advancement Fund of the National Sharecroppers Fund, Inc.</b> <i>Charlotte, North Carolina</i> Toward a program that provides planning, monitoring, and financial assistance to cooperatives and other local community development groups in the South.	50,000		50,000	
<b>Southern Development Foundation</b> <i>Lafayette, Louisiana</i> For general budgetary support of the foundation's program of technical, managerial, and financial assistance to agricultural cooperatives in the South and toward its work in organizing the Southern Rural Policy Congress.	75,000		25,000	50,000
<b>Winrock International Livestock Research and Training Center, Inc.</b> <i>Morrilton, Arkansas</i> Toward the Project Development Fund of the center's general programs in the field of animal agriculture.	768,157		750,000	18,157
<b>Work in America Institute, Inc.</b> <i>Scarsdale, New York</i> Toward a study of private sector personnel policies that deal with the problems and growing impact of the aging work force in the United States.	100,000		100,000	
<b>Youthwork, Inc.</b> <i>Washington, D. C.</i> Toward a study to plan the implementation of the Youth Employment and Demonstration Projects Act.	75,000		75,000	
<b>NATIONAL PROGRAM: Environmental Integrity</b> (\$3,500,000—Paid)				
<b>American Conservation Association, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization, whose purpose is to increase public understanding of the need for conservation and the wise use of natural resources.	200,000		200,000	
<b>Rachel Carson Trust for the Living Environment, The</b> <i>Washington, D. C.</i> Toward a bibliography on the conservation ethic in philosophy and religion.	40,000*			40,000 <sup>(3)</sup>

(3) Lapsed

\*Appropriation made prior to 1978

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Conservation Foundation, Inc., The</b> <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	\$
Toward the second phase of the foundation's project, "In Search of a Common Language: Economics and the Environment."	100,000		50,000	50,000
<b>Environmental Agenda Project</b> <i>New York, New York</i> Toward follow-up of the project's task force report, <i>The Unfinished Agenda: The Citizen's Policy Guide to Environmental Issues.</i>	25,000*			25,000(4)
<b>Environmental Defense Fund, Incorporated</b> <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	
<b>Jackson Hole Preserve, Incorporated</b> <i>New York, New York</i> Toward the general purposes of this organization to restore, protect, and preserve natural resources and areas of scenic beauty.**	3,000,000		1,000,000	2,000,000
<b>National Audubon Society</b> <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	
<b>National Organization for Non-Parents</b> <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. (The organization subsequently changed its name to National Alliance for Optional Parenthood.)	50,000*	25,000	25,000	
<b>Natural Resources Defense Council, Inc.</b> <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	
<b>New Alchemy Institute</b> <i>Woods Hole, Massachusetts</i> For general budgetary support of the institute, which is creating new energy and foodgrowing strategies and bioshelters with appropriate technologies.	75,000*	30,000	45,000	
For further general budgetary support and for support of a study of the economic viability of the institute's agricultural bioshelters.	120,000		55,000	65,000

(4) Lapsed

\*Appropriation made prior to 1978

\*\*For further information, see section on Major Capital Grants.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>New York State Alliance to Save Energy, Inc.</b> <i>New York, New York</i> For general budgetary support of the alliance's public education programs to increase awareness among New York State citizens of the need for energy conservation.	\$ 25,000	\$	\$ 25,000	\$
<b>Northern Rockies Action Group, Inc.</b> <i>Helena, Montana</i> For general budgetary support of NRAG, which acts as a management consulting and training organization for population and environmental groups in Wyoming, Montana, and Idaho.	45,000*	30,000	15,000	
<b>Population Council, Inc., The</b> <i>New York, New York**</i> 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 in research, training, technical assistance, and information exchange in demography, reproductive physiology and contraceptive development, family planning, and population policy.	3,750,000*	1,000,000	250,000	2,500,000
To assist the council in sustaining and furthering its objectives.	3,650,000		1,240,000	2,410,000
A supplemental contribution to assist the council in sustaining and furthering its objectives.	2,600,000			2,600,000
<b>Princeton University</b> <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	
<b>Solar Action</b> <i>Washington, D.C.</i> For general budgetary support of "Sun Day," a national effort to generate citizen interest in solving the nation's energy problems through conservation and the use of renewable resources.	10,000		10,000	
<b>Worldwatch Institute, Inc.</b> <i>Washington, D.C.</i> For general budgetary support of the institute, which seeks to identify public problems and to create a climate in which these problems can be rationally discussed.	375,000*		225,000	150,000
<b>NATIONAL PROGRAM: Equal Rights (\$665,000—Paid)</b>				
<b>American Civil Liberties Union Foundation, Inc.</b> <i>New York, New York</i> Toward support of the foundation's desegregation litigation involving schools in a number of metropolitan areas.	40,000		40,000	
Toward the foundation's Voter Law Project, which monitors and seeks enforcement of the Voting Rights Act of 1965.	50,000		50,000	

\*Appropriation made prior to 1978

\*\*For further information, see section on Major Capital Grants.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Catholic University of America, The</b> <i>Washington, D.C.</i> For general budgetary support of the university's Center for National Policy Review, which monitors a broad range of civil rights matters in such fields as employment, education, and housing.	\$ 40,000	\$	\$ 40,000	\$
<b>Center for Law and Social Policy</b> <i>Washington, D.C.</i> Toward the center's program to improve health services for minority groups and the poor.	50,000		50,000	
<b>Children's Foundation, The</b> <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.	60,000		60,000	
<b>Martin Luther King, Jr., Center for Social Change</b> <i>Atlanta, Georgia</i> Toward construction of the auditorium 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
<b>Mexican American Legal Defense and Educational Fund</b> <i>San Francisco, California</i> For general budgetary support of this national legal organization for Mexican Americans and other citizens.	40,000		40,000	
<b>Mississippi Council on Human Relations, Inc.</b> <i>Jackson, Mississippi</i> Toward the council's work of coordinating the corrections programs of the State Human Relations Councils and other citizen groups in the South.	50,000*	25,000	25,000	
<b>NAACP Legal Defense and Education Fund, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization, which continues to handle numerous civil rights cases.	45,000		45,000	
<b>NAACP Special Contribution Fund</b> <i>New York, New York</i> For general budgetary support of this national civil rights organization.	50,000		50,000	
<b>National Black United Fund, Inc.</b> <i>Los Angeles, California</i> Toward a training program to meet the manpower needs of new black United Fund organizations.	60,000		35,000	25,000
<b>National Council of La Raza</b> <i>Washington, D.C.</i> Toward a study of national policy issues by the council, which is dedicated to improving the social and economic conditions of Hispanics in the United States, especially in the Southwest.	35,000		35,000	



<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>National Urban League, Inc.</b> <i>New York, New York</i> For general budgetary support of the league, which plays a leading role in a wide variety of concerns relating to black citizens, including housing, health, employment, and education.	\$ 50,000	\$	\$ 50,000	\$
<b>Puerto Rican Legal Defense and Education Fund, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization which protects and promotes the civil rights of Puerto Ricans and other Spanish-speaking citizens.	45,000		45,000	
<b>Southern Regional Council, Inc.</b> <i>Atlanta, Georgia</i> For general budgetary support of the council, whose aim is the improvement of race relations in the South.	25,000		25,000	
<b>Southwest Voter Registration Education Project, Inc.</b> <i>San Antonio, Texas</i> For general budgetary support of the project, which is the coordinating agency for voter registration and education in the Southwest.	45,000		25,000	20,000
<b>Voter Education Project, Inc.</b> <i>Atlanta, Georgia</i> For general budgetary support of this program of non-partisan voter registration, citizenship education, and technical assistance to elected officials from minority groups.	50,000		50,000	
<b>NATIONAL PROGRAM: Philanthropic Service Organizations</b> (\$66,475—Paid)				
<b>Council on Foundations, Inc.</b> <i>New York, New York</i> To cover the Fund's full membership contribution for 1979 to this national service agency for foundations.	18,500		17,975	525 <sup>(5)</sup>
<b>Foundation Center, The</b> <i>New York, New York</i> For general budgetary support in 1978 of the center, which collects and disseminates information on the foundation field.	20,000*		20,000	
For general budgetary support in 1979.	20,000*			20,000
For general budgetary support in 1980.	20,000			20,000
<b>National Committee for Responsive Philanthropy</b> <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	

(5) Lapsed

\*Appropriation made prior to 1978

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>National Information Bureau, Inc.</b>				
<i>New York, New York</i>				
For general budgetary support of the bureau's review of philanthropic standards and its advisory services for contributors.	\$ 3,500	\$	\$ 3,500	\$
<b>NEW YORK CITY PROGRAM: Arts and Culture</b>				
<b>(\$1,544,900—Paid)</b>				
<b>American Crafts Council</b>				
<i>New York, New York</i>				
To assist with the long-range development plans of the council, which furthers the work of the artisan and his craft.	100,000*	90,000	10,000	
<b>Brooklyn Academy of Music, Inc., The</b>				
<i>Brooklyn, New York</i>				
For general budgetary support of the country's oldest performing arts center.	75,000*	50,000	25,000	
<b>Brooklyn Arts and Culture Association, Inc.</b>				
<i>Brooklyn, New York</i>				
To assist the association in bringing community arts activities into Long Island University's Library Learning Center complex, located in Brooklyn.	17,500*	10,000	7,500	
<b>Cultural Council Foundation</b>				
<i>New York, New York</i>				
Toward the community development program of the New York School for Circus Arts.	20,000		20,000	
Toward the preparation and testing by The Skills Exchange of a comprehensive management manual for small nonprofit organizations.	25,000		25,000	
Toward an audience development program for the members of the 42nd Street Theater Row.	20,000		20,000	
<b>Frederick Douglass Creative Arts Centers, Inc.</b>				
<i>New York, New York</i>				
For general budgetary support of the centers, which offer, in Harlem, training in creative writing, journalism, film, and playwriting.	15,000		15,000	
<b>Lincoln Center for the Performing Arts, Inc.</b>				
<i>New York, New York</i>				
Toward the long-range capital fund drive of the organization which provides overall management and direction for associated music, theater, dance, and film groups at the Lincoln Center performing arts complex.**	3,000,000			3,000,000
<b>Metropolitan Museum of Art, The</b>				
<i>New York, New York</i>				
Toward the installation of the collection of primitive art in the museum's Michael C. Rockefeller Wing.**	150,000		150,000	

\*Appropriation made prior to 1978

\*\*For further information, see section on Major Capital Grants.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Metropolitan Opera Association</b> <i>New York, New York</i> Toward the expenses of the association's coordinated annual giving program.	\$ 50,000	\$	\$ 50,000	\$
<b>Museum of Modern Art, The</b> <i>New York, New York</i> Toward the museum's 50th Anniversary Capital Funds campaign.**	9,825,000*		1,000,000	8,825,000
<b>New York Botanical Garden, The</b> <i>Bronx, New York</i> Toward the garden's capital funds campaign to improve facilities.	150,000*	100,000	50,000	
<b>New York Zoological Society</b> <i>Bronx, New York</i> Toward the society's Animal Kingdom Fund for endowment and capital projects.**	1,000,000			1,000,000
<b>Off Off Broadway Alliance, Inc.</b> <i>New York, New York</i> Toward a research project that will provide information about the history, condition, and impact of nonprofit theaters in New York City.	25,000		25,000	
<b>Philharmonic-Symphony Society of New York, Inc., The</b> <i>New York, New York</i> Toward the administrative and management expenses associated with the society's endowment campaign.	25,000		25,000	
<b>South Street Seaport Museum</b> <i>New York, New York</i> Toward building up the development and fundraising capacity of the museum, which is devoted to preserving the history of New York City's seaport district.	172,500*	23,000	88,500	61,000
<b>Volunteer Lawyers for the Arts</b> <i>New York, New York</i> Toward establishment of a revolving venture-capital fund, to provide a continuing source of seed money for the education projects of this organization, which offers free legal assistance to indigent artists and small cultural organizations.	15,000		15,000	
<b>Women's Interart Center, Inc.</b> <i>New York, New York</i> Toward the development of a Media Studies Program for the center, which helps women artists create and present their work in video, film, music, theater, dance, and the visual arts.	18,900		18,900	

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<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>NEW YORK CITY PROGRAM: Economic Development</b>				
<b>(\$235,000—Paid)</b>				
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<b>City Planning Department Fund</b>				
<i>New York, New York</i>				
Toward a two-year training and evaluation program to help establish an economic development division in the Law Department of the City of New York.	\$ 70,000	\$	\$ 35,000	\$ 35,000
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<b>Columbia University in the City of New York, The Trustees of</b>				
<i>New York, New York</i>				
Toward a clinical law program and related training efforts developed jointly by the New York City Corporation Counsel and Columbia Law School.	50,000		25,000	25,000
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<b>Natural Resources Defense Council, Inc.</b>				
<i>New York, New York</i>				
Toward the second stage of a study of ways to improve transportation management in the New York metropolitan area.	50,000		50,000	
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<b>New School for Social Research</b>				
<i>New York, New York</i>				
Toward a two-year study undertaken jointly by the school and Columbia University, of long-range consequences of current decisions about the New York City budget.	50,000		50,000	
Toward publication of the school's biweekly newsletter, <i>The Fiscal Observer</i> , which contains information about and impartial analyses of the progress of fiscal reforms in New York City.	25,000		25,000	
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<b>New York Chamber of Commerce Educational Foundation, Inc.</b>				
<i>New York, New York</i>				
Toward the costs of establishing a private industry manpower and placement service for the chronically unemployed, and toward an evaluation of private industry use of Comprehensive Employment and Training Act funds.	50,000		50,000	
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<b>NEW YORK CITY PROGRAM: Housing and Community</b>				
<b>Development (\$235,000—Paid)</b>				
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<b>Advisory Services for Better Housing, Inc.</b>				
<i>New York, New York</i>				
Toward the design, demonstration, and evaluation of a community-based housing resource center.	50,000		50,000	
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<b>Bronx Frontier Development Corporation</b>				
<i>Bronx, New York</i>				
Toward the costs of expanding the corporation's topsoil production project, which seeks to reclaim vacant lots in the Bronx for use as parks, gardens, and recreational spaces.	30,000		30,000	
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<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Citizens Committee for New York City, Inc.</b> <i>New York, New York</i> Toward the expansion of the Self-Help Neighborhood Awards Program, which encourages New Yorkers to increase their participation in neighborhood projects.	\$ 25,000	\$	\$ 25,000	\$
<b>42nd Street Local Development Corporation</b> <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	
<b>Municipal Art Society of New York, The</b> <i>New York, New York</i> Toward the planning of programs at the society's new Urban Issues Center.	25,000		25,000	
<b>Pratt Institute</b> <i>Brooklyn, New York</i> Toward the program of the institute's Center for Community and Environmental Development, which provides technical assistance to community-led commercial revitalization projects in conjunction with overall neighborhood development activities.	100,000		50,000	50,000
<b>Trust for Public Land, The</b> <i>San Francisco, California</i> Toward a technical assistance program to aid community organizations in creating and operating nonprofit land trusts in crowded New York City neighborhoods.	30,000		30,000	
<b>NEW YORK CITY PROGRAM: Human Services</b> <b>(\$2,939,418—Paid)</b>				
<b>American Red Cross in Greater New York, The</b> <i>New York, New York</i> Toward a special three-year program designed to make certain that children in the New York City public schools are properly immunized against preventable diseases.	30,000			30,000 <sup>(6)</sup>
<b>Boys Harbor, Inc.</b> <i>New York, New York</i> For general budgetary support of this agency, which provides educational, counseling, career guidance, and recreational services for young people, principally in the East Harlem community.	15,000		15,000	
Toward the initial management and renovation expenses of the East Harlem Arts and Education Complex.	65,000		65,000	

(6) Lapsed

\*Appropriation made prior to 1978

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>CUNY Urban Academy for Management, Inc.</b> <i>New York, New York</i> Toward the expenses of the Office of Human Services Planning, which was established in the Office of the Deputy Mayor for Management, to help New York City officials coordinate policy and budget decisions relating to social welfare services.	\$ 35,000	\$	\$ 35,000	\$
<b>Community Council of Greater New York, Inc.</b> <i>New York, New York</i> Toward the costs of integrating into the council's regular program the activities of the Task Force on the New York City Crisis, which is concerned with the effective delivery of human services in New York City.	75,000		75,000	
<b>Federation of Protestant Welfare Agencies, Inc.</b> <i>New York, New York</i> Toward a two-year program designed to assist the federation's member agencies in developing innovative home care services that will enable the elderly to maintain their independence in the community.	40,000		40,000	
<b>14th Street-Union Square Area Project, Inc.</b> <i>New York, New York</i> Toward the designs for a renovated Union Square Park, which will integrate sub-surface and street-level improvement programs with the rejuvenation of the park itself.	15,000			15,000
<b>Greater New York Fund, Incorporated, The</b> <i>New York, New York</i> Toward the costs of an agency review program to assist donors in evaluating hospitals and health and welfare agencies.	9,000		9,000	
<b>Memorial Sloan-Kettering Cancer Center</b> <i>New York, New York</i> Toward the general purposes of this complex of medical, research, education, and patient-care services.**	15,000,000		2,125,000	12,875,000
<b>Neighborhood Committee for the Asphalt Green, Inc., The</b> <i>New York, New York</i> Toward the costs of converting the municipal asphalt plant at 90th Street and York Avenue in Manhattan into a community youth and sports recreation center.	50,000		50,000	
<b>New York City Mission Society</b> <i>New York, New York</i> Toward a special program to help the society design an overall strategy for reorganizing its programs, which provide significant social services in many communities of New York City.	200,000*	190,000	10,000	
<b>New York City Youth Board</b> <i>New York, New York</i> Toward its program to assist in the development of new and exemplary youth organizations.	160,418		60,418	100,000
Toward the board's programs with the Fort Greene-Crown Heights Youth Service Coalition, which is creating the Fort Tilden park and recreation complex in Brooklyn to provide recreational facilities for the 30 youth service agencies in the coalition.	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 1978</i>	<i>Unpaid Balance</i>
<b>Nova Institute, Incorporated, The</b> <i>New York, New York</i> Toward the institute's program to help New York City's community boards establish performance-monitoring systems for city social services.	\$ 25,000	\$	\$ 25,000	\$
<b>Parks Council, Inc.</b> <i>New York, New York</i> Toward a program for the use of Comprehensive Employment and Training Act personnel in the New York City Department of Parks and Recreation.	50,000		50,000	
<b>Planned Parenthood of New York City, Inc.</b> <i>New York, New York</i> Toward the cost of relocating the organization's headquarters office.	200,000		200,000	
Toward the public education aspects of this organization's Medicaid-abortion project.	100,000		100,000	
<b>Queens Federation of Youth Organizations, Inc.</b> <i>New York, New York</i> For general budgetary support of the federation, which links its members with public agencies for joint planning and development of youth services in New York City's borough of Queens.	40,000*	25,000	15,000	
<b>Tom Skinner Associates, Inc.</b> <i>New York, New York</i> Toward the building campaign of this organization, which provides counseling, recreation, and leadership training programs for young people and their families in Brooklyn's Bedford-Stuyvesant section.	25,000			25,000
<b>United Neighborhood Houses of New York, Inc.</b> <i>New York, New York</i> Toward changes in the administration of this organization's "cluster" program, which brings together a number of settlement houses in Manhattan, Brooklyn, and the Bronx to plan and organize cooperative approaches to programing and funding.	40,000*	25,000	15,000	
<b>Urban League of Greater New York, Inc., The</b> <i>New York, New York</i> Toward the Department of Program Planning and Development of the league, which conducts a variety of programs in New York City concerned with on-the-job training, education, and housing for minorities.	75,000*	50,000	25,000	
<b>NEW YORK CITY PROGRAM: Public Education (\$172,345—Paid)</b>				
<b>City School News, Inc.</b> <i>New York, New York</i> For general budgetary support of a public service radio program to educate parents about issues that affect them and their children in New York City Public schools.	50,000*	25,000	25,000	
For further general budgetary support for 1978.	15,000		15,000	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Educational Facilities Laboratories, Inc.</b>				
<i>New York, New York</i>				
Toward a special study to advise the Mayor on priorities and options relating to the New York City University system.	\$ 10,000	\$	\$ 10,000	\$
<b>Family Service Association of Nassau County, Inc.</b>				
<i>Hempstead, New York</i>				
Toward the association's Parent and Child Training Program, which helps disadvantaged mothers of three- to six-year-olds prepare themselves and their children to make maximum use of the local public schools.	65,000*	55,000	10,000	
<b>New York Interface Development Project, Inc.</b>				
<i>New York, New York</i>				
Toward a study of the programs of private agencies working in behalf of public education in New York City.	7,345		7,345	
<b>United Parents Associations of New York City, Inc.</b>				
<i>New York, New York</i>				
For general budgetary support of this federation of parents associations, which promotes parent education, provides leadership training, and seeks to further effective parent/school/community relations.	40,000*	35,000	5,000	
Toward the associations' Project IMPACT, designed to help interested but inexperienced parents obtain leadership skills necessary to be effective in local school parents associations.	60,000		60,000	
Toward the work of the Educational Priorities Panel, which conducts research and policy analysis on the quality of educational services in the New York City public schools.	40,000		40,000	
<b>INTERNATIONAL PROGRAM: Structuring Interdependence</b>				
<b>(\$836,387—Paid)</b>				
<b>American Association for the International Commission of Jurists, Inc.</b>				
<i>New York, New York</i>				
Toward an emergency fund for sending lawyers to important trials and for investigating situations where the rule of law and human rights are being suppressed or threatened.	20,000*	10,000	10,000	
Toward the establishment of the commission's Geneva-based Centre for the Independence of Lawyers and Judges, which seeks to promote and protect an independent legal profession and judiciary in countries where individual liberties are being infringed.	60,000*	30,000	30,000	
Toward the commission's Geneva-based Centre for the Independence of Lawyers and Judges during the two-year period ending June 30, 1980.	50,000		25,000	25,000
<b>American Council for Emigrés in the Professions, Inc.</b>				
<i>New York, New York</i>				
For general budgetary support of this organization's efforts to channel refugee professionals into creative work in the United States.	25,000		25,000	



<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>American Friends Service Committee, Inc.</b> <i>Philadelphia, Pennsylvania</i> For general budgetary support of this organization's worldwide program of international cooperation and humanitarian assistance.	\$ 25,000	\$	\$ 25,000	\$
<b>Aspen Institute for Humanistic Studies</b> <i>New York, New York</i> Toward the institute's new Mideast Project, which aims to increase Western understanding of the aspirations of Islamic Middle Eastern countries.	30,000		30,000	
<b>Atlantic Council of the U.S., The</b> <i>Washington, D. C.</i> Toward the working group on food and population of the council, which analyzes and formulates positions on important foreign policy questions having to do with relations among countries of Western Europe, North America, Japan, Australia, and New Zealand.	20,000		10,000	10,000
<b>Carnegie Endowment for International Peace</b> <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 interstate conflict or large-scale human suffering.	50,000*	25,000	25,000	
<b>Center for Law and Social Policy</b> <i>Washington, D. C.</i> Toward the center's International Project, which concentrates on legal issues in the areas of trade, environment, and human rights.	60,000		25,000	35,000
<b>Community of the Peace People, Inc.</b> <i>New Rochelle, New York</i> For general budgetary support of this organization, which conducts citizen action programs designed to counteract religious antagonism in Northern Ireland.	25,000		25,000	
<b>Council on Foreign Relations, Inc.</b> <i>New York, New York</i> Toward the capital campaign of the council, which, through meetings, study groups, and publications, provides a private forum for the consideration of foreign policy issues.	1,000,000*	750,000	250,000	
<b>Friendship Force, Inc.</b> <i>Atlanta, Georgia</i> For general budgetary support of this organization, which sponsors international city-to-city exchanges involving a cross-section of citizens from a variety of countries.	15,000		15,000	
<b>International Federation of Institutes for Advanced Study</b> <i>Solna, Sweden</i> For general budgetary support of IFIAS, a transnational, interdisciplinary organization engaged in research on crucial global problems such as climate modification, forestry management, and energy requirements.	60,000		20,000	40,000

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>International House, New York</b> <i>New York, New York</i> Toward the half-century fund campaign of this residence and program center for foreign and American graduate students.**	\$ 250,000	\$	\$	\$ 250,000
<b>International Institute of Communications, Ltd.</b> <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*	55,000	20,000	
<b>International League for Human Rights, Inc., The</b> <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 who will volunteer their services in cases of international human rights violations. (This organization was formerly known as The International League for the Rights of Man, Inc.)	50,000*	30,000	20,000	
<b>International Studies Association</b> <i>Pittsburgh, Pennsylvania</i> Toward initial support of Human Rights Internet, a communications network of over 350 scholars, activists, and policymakers in the human rights field.	25,000*	10,000	15,000	
<b>Japan Center for International Exchange</b> <i>Tokyo, Japan</i> For general budgetary support of the center, which seeks to improve Japanese communication with other peoples and to encourage greater Japanese participation in international activities.	60,000		30,000	30,000
<b>Lawyers' Committee for Civil Rights Under Law</b> <i>Washington, D. C.</i> Toward the committee's Southern Africa Project, which promotes the protection of fundamental human rights and the use of the legal process as a creative and positive force for social change.	30,000		15,000	15,000
<b>Legal Resources Trust</b> <i>Johannesburg, South Africa</i> Toward the establishment of a Legal Resources Centre, designed to promote, through legal representation and training, the use of law as a peaceful and constructive means of redressing legal wrongs and to reduce unfairness in the administration of justice.	120,000		100,000	20,000
<b>Policy Sciences Center, Inc.</b> <i>New York, New York</i> Toward a project to study appropriate pesticide technology for small farmers in developing countries.	20,000		20,000	
<b>Procedural Aspects of International Law Institute, Inc.</b> <i>Charlottesville, Virginia</i> Toward start-up expenses of the institute's International Human Rights Law Group, which will train volunteer lawyers and law students in handling cases of infringements of individual liberties.	35,000		25,000	10,000

\*Appropriation made prior to 1978

\*\*For further information, see section on Major Capital Grants.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Sussex, The University of</b> <i>Brighton, England</i> Toward the Research Project on European Food Policies of the university's Centre for Contemporary European Studies.	\$ 35,000*	\$ 13,613	\$ 21,387	\$
<b>Trilateral Commission (North America), The</b> <i>New York, New York</i> For general budgetary support of the commission, whose members—private persons in the United States, Europe, and Japan—propose policies that their countries might consider in their economic, political, and defense relations.	120,000*	105,000	15,000	
<b>Volunteers in Technical Assistance, Inc.</b> <i>Mt. Rainier, Maryland</i> Toward a series of supplemental handbooks that update the <i>Village Technology Handbook</i> , used successfully for ten years in rural areas abroad for ways to improve agricultural practices, promote small business, and generate employment.	30,000*	15,000	15,000	
<b>Youth for Understanding, Inc.</b> <i>Washington, D. C.</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	
<b>INTERNATIONAL PROGRAM: Developing Countries—Africa</b> <b>(\$265,254—Paid)</b>				
<b>African-American Institute, The</b> <i>New York, New York</i> For general budgetary support of this private agency, whose purpose is to improve American contacts with Africans.	45,000		45,000	
Toward support of the institute's expanded Southern Africa program, in particular a biweekly newsletter on the state of civil and economic liberties inside South Africa.	70,000*	28,182	41,817	1 <sup>(7)</sup>
<b>Botswana, The Republic of</b> <i>Gaborone, Botswana</i> Toward the Wildlife Training Centre at Maun, which provides training in wildlife conservation and the management of national parks and wildlands.	125,000*	50,000	50,000	25,000 <sup>(8)</sup>
Toward the formation of a refugee policy and related refugee matters.	25,000*			25,000 <sup>(9)</sup>
<b>International Voluntary Services, Inc.</b> <i>Washington, D. C.</i> Toward this organization's program in Botswana, which is designed to help strengthen the management, local participation, and projects of development agencies in Botswana.	52,500		17,000	35,500

(7) Lapsed

(8) Lapsed

(9) Lapsed

\*Appropriation made prior to 1978

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Kanye Brigades Development Trust</b> <i>Kanye, Botswana</i> Toward a revolving loan fund that will be used to launch small-scale, job-creating enterprises in the southern part of Botswana.	\$ 60,000	\$	\$	\$ 60,000
<b>Kweneng Rural Development Association</b> <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*	57,063	12,937	
A supplemental contribution toward the association's self-help and job-creating projects.	75,000			75,000
Toward the establishment of Molepolole Village Dam Park, a combined agricultural center and recreation area in Botswana.	34,000*	25,000	9,000	
<b>Maru a Pula Foundation</b> <i>Gaborone, Botswana</i> Toward scholarships for students who attend the Maru a Pula School, the first international multiracial, coeducational, private pre-university level school in Botswana.	30,000		10,000	20,000
<b>Partnership for Productivity/U.S.A., Inc.</b> <i>Washington, D.C.</i> Toward the Botswana Program of this organization, which offers advisory services to small indigenous business enterprises in rural areas and towns.	17,000		17,000	
<b>Private Agencies Collaborating Together, Inc.</b> <i>New York, New York</i> Toward its Supportive Activities Grants Program, which assists member agencies in project planning and training to improve coordination and implementation of local development activities in Africa, Asia, and Latin America.	50,000		25,000	25,000
<b>South African Institute of Race Relations</b> <i>Johannesburg, South Africa</i> Toward the Research and Library Trust and the National Education Trust of the institute, which engages in information gathering and dissemination on all aspects of race relations.	50,000*	25,000	25,000	
<b>Waterford-Kamhlaba Treasury Association</b> <i>Mbabane, Swaziland</i> Toward scholarship support for students at the Waterford-Kamhlaba School, a multiracial secondary educational institution for students from all over Africa.	25,000*	12,500	12,500	

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>INTERNATIONAL PROGRAM: Developing Countries—Asia</b>				
<b>(\$495,475—Paid)</b>				
<hr/>				
<b>Agricultural Development Council, Inc.</b> <i>New York, New York</i> For general budgetary support of the council's teaching, fellowship, and research programs relating to the economic and human problems of agricultural and rural development in Asia.	\$ 75,000	\$	\$ 75,000	\$
<hr/>				
<b>Asia Foundation, The</b> <i>San Francisco, California</i> Toward two Chinese-English translation projects at the Chinese University of Hong Kong, and toward a research project to encourage local private philanthropy in Taiwan.	63,655*	39,280	24,375	
<hr/>				
<b>Asia Society, Inc., The</b> <i>New York, New York**</i> Toward the Capital and Program Fund of the society, which is dedicated to deepening American understanding of Asia and promoting transpacific international exchange.	1,000,000*	340,000	160,000	500,000
For general budgetary support in the five-year period ending 1983.	540,000			540,000
<hr/>				
<b>Brookings Institution, The</b> <i>Washington, D.C.</i> Toward a study of China and its relation to such worldwide issues as food, energy, population, and science and technology.	40,000		20,000	20,000
<hr/>				
<b>Columbia University in the City of New York, The Trustees of</b> <i>New York, New York</i> For the initial general budgetary expenses of the Center for United States-People's Republic of China Arts Exchange of the Columbia University School of the Arts.	60,000		25,000	35,000
<hr/>				
<b>Harvard University</b> <i>Cambridge, Massachusetts</i> Toward a study of human values in East Asia being undertaken by the East Asian Legal Studies Program of the Harvard Law School.	45,000		45,000	
<hr/>				
<b>International Institute of Rural Reconstruction</b> <i>Silang, Cavite, Philippines</i> Toward a demonstration project designed to further the role of rural women in village development projects.	60,000		20,000	40,000
<hr/>				
<b>Ramon Magsaysay Award Foundation</b> <i>Manila, Philippines**</i> Toward the capital fund of the foundation's Asian Library.	25,000		25,000	
Toward the annual Ramon Magsaysay Awards.	50,000		50,000	
<hr/>				
<b>National Committee on United States-China Relations, Inc.</b> <i>New York, New York</i> For the general activities of the committee, which conducts educational programs on contemporary China and U.S.-China relations.	75,000*	40,000	35,000	
<hr/>				

\*Appropriation made prior to 1978

\*\*For further information, see section on Major Capital Grants.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Stanford University (Board of Trustees of the Leland Stanford Junior University)</b> <i>Stanford, California</i> Toward the university's United States-China Relations Program.	\$ 29,500	\$	\$ 6,100	\$ 23,400
<b>Young Women's Christian Association of the U.S.A., National Board of the</b> <i>New York, New York</i> Toward the outreach activities of the Y.W.C.A.'s "International Study Program—Asian Focus 1977-1979."	10,000		10,000	
<b>INTERNATIONAL PROGRAM: Developing Countries—Latin America (\$340,383—Paid)</b>				
<b>Association of Caribbean Universities and Research Institutes Foundation, Inc.</b> <i>Coral Gables, Florida</i> Toward the preparation and testing of new curricular materials that will assist in the development of small business activity in the countries of the Caribbean.	75,000			75,000
<b>CADEC Incorporated, Limited (Christian Action for Development in the Caribbean)</b> <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
<b>Caribbean Agro-Economic Society, The</b> <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	
<b>Caribbean Conservation Association, The</b> <i>St. Michael, Barbados</i> For general budgetary support of the association, which seeks to develop a heightened awareness of conservation needs and opportunities in the Caribbean through public education, training projects, seminars, and other activities.	20,000		10,000	10,000
Toward the association's eastern Caribbean wildland management and utilization program.	210,000*	22,800	71,570	115,630
<b>Center for Inter-American Relations, Inc.</b> <i>New York, New York</i> For general budgetary support of this organization, which informs North Americans about the cultural, economic, and public affairs of Latin America.	55,000		55,000	
Toward the center's capital fund drive.**	1,000,000*	618,600		381,400

\*Appropriation made prior to 1978

\*\*For further information, see section on Major Capital Grants.

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Dominica Community High School</b> <i>Roseau, Dominica</i> Toward the initial capital and general expenses of this new school, which emphasizes the development of practical agricultural skills.	\$ 25,000*	\$ 15,000	\$ 10,000	\$
<b>Food and Agriculture Organization of the United Nations</b> <i>Rome, Italy</i> Toward a program of resource management and rural development in the Central American region.	10,000*	1,700		8,300
<b>Foundation for P.R.I.D.E., Inc., The</b> <i>Lantana, Florida</i> Toward the foundation's projects, which are focused on conserving island habitats in the Caribbean and the diversity of life they support.	45,000		10,000	35,000
<b>Good Hope School, Inc.</b> <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 of St. Croix.	61,500*	24,000	37,500	
A supplemental contribution, over the three-year period 1978-1980, toward the school's collaborative learning disabilities resource center.	15,000		5,000	10,000
<b>Island Resources Foundation, Inc.</b> <i>St. Thomas, Virgin Islands</i> For general budgetary support of the foundation, which is concerned with the development of small island economies and the management of island resources.	75,000		30,000	45,000
<b>King's Hill Youth Group</b> <i>Roseau, Dominica</i> Toward the self-help employment generation program of this organization, which tries to increase the economic self-sufficiency of the island economy of Dominica.	45,000		9,000	36,000
<b>Michigan, University of</b> <i>Ann Arbor, Michigan</i> Toward a project of the university's School of Natural Resources to develop and test criteria and guidelines for incorporating environmental monitoring and assessment into the management of protected wildland areas in the Caribbean and Central America.	125,000*	*69,187	35,813	20,000
<b>Organization for Rural Development, The</b> <i>St. Vincent, West Indies</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	
<b>Sierra Club Foundation, The</b> <i>New York, New York</i> Toward the foundation's Caribbean mangrove management project, which is focused on the preservation of mangroves as a unique habitat for many kinds of plant and animal life that are now being destroyed.	20,000			20,000

<i>Recipient and Purpose</i>	<i>Total Appropriation</i>	<i>Paid in Previous Years</i>	<i>Payment in 1978</i>	<i>Unpaid Balance</i>
<b>Smithsonian Institution</b>				
<i>Washington, D. C.</i>				
Toward a policy-oriented program on Latin American and Inter-American affairs of the Woodrow Wilson International Center for Scholars.	\$ 70,000*	\$ 61,000	\$ 9,000	\$
A supplemental contribution toward the program.	15,000		15,000	
<b>SOLIDARIOS (Council of American Development Foundations)</b>				
<i>Santo Domingo, Dominican Republic</i>				
Toward the launching of 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	
<b>Survival International</b>				
<i>London, England</i>				
For general budgetary support of this program to protect the rights and promote the needs of threatened indigenous (usually considered primitive) peoples in various countries of the world.	25,000		12,500	12,500
<b>Trinidad and Tobago Development Foundation Ltd.</b>				
<i>Port of Spain, Trinidad</i>				
Toward a program to help poor rural and urban individuals and groups secure credit for small businesses and community projects in Trinidad and Tobago.	20,000*	10,000	10,000	
<b>Tropical Agriculture Center for Research and Training (CATIE)</b>				
<i>Turrialba, Costa Rica</i>				
Toward a program for the management and development of natural and cultural resources in Central America.	182,750*	147,250		35,500
<b>INTERNATIONAL PROGRAM: Developing Countries—General</b>				
<b>(\$110,000—Paid)</b>				
<b>Overseas Development Council</b>				
<i>Washington, D. C.</i>				
For general budgetary support of this organization, which seeks 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	
For further general budgetary support over the three-year period 1979-1981.	150,000		50,000	100,000
<b>Society for International Development</b>				
<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	
			\$19,985,046	\$59,746,026 <sup>(10)</sup>

(10) Total does not include lapsed items

\*Appropriation made prior to 1978



## Reconciliation of Appropriations Paid with Financial Statements

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### Unpaid Appropriations, December 31, 1977

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

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### Appropriations Authorized in 1978

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Principal Fund	60,632,245	
Fund for the Advancement of Contemporary Social and Cultural Studies	1,536,313	
Special Fund	206,717	
Ramon Magsaysay Award Foundation	50,000	
Less—Appropriations lapsed		
Principal Fund	174,026	62,251,249
		79,731,072

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### Appropriations Paid in 1978

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Principal Fund	18,210,552	
Fund for the Advancement of Contemporary Social and Cultural Studies	1,525,000	
Special Fund	199,494	
Ramon Magsaysay Award Foundation	50,000	19,985,046

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### Unpaid Appropriations, December 31, 1978

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Principal Fund	59,702,490	
Fund for the Advancement of Contemporary Social and Cultural Studies	36,313	
Special Fund	7,223	
Ramon Magsaysay Award Foundation		\$59,746,026

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## Summary Statement of Assets at Cost and Market Values at December 31, 1978

	<i>Cost</i>	<i>Market Value</i>
<b>Principal Fund</b>		
Cash	\$ 118,902	\$ 118,902
Short-term investments	15,632,589	15,632,589
Investments:		
U.S. Government and Agency Bonds	6,852,698	6,496,688
U.S. Treasury Notes	12,176,421	11,726,758
Foreign Governments & other foreign bonds	1,120,480	857,915
Corporate bonds	13,284,516	12,142,266
Corporate notes	10,938,382	8,565,077
Common stocks	82,062,843	111,350,725
Program-related investments	2,288,271	1,685,812
	144,475,102	168,576,732
<b>Special Fund</b>		
Cash	4,337	4,337
Short-term investments	238,000	238,000
Long-term investments	338,940	273,260
Second Mortgage Leasehold Bonds, 5½ % due January 1, 1988	540,000	540,000
Real estate	580,000	580,000
	1,701,277	1,635,597
<b>Fund for the Advancement of Contemporary Social and Cultural Studies</b>		
Cash	1,159	1,159
Short-term investments	37,000	37,000
	38,159	38,159
<b>Ramon Magsaysay Award Foundation</b>		
Cash	668	668
Short-term investments	33,000	33,000
Long-term investments	946,305	813,732
	979,973	847,400
<b>Abby R. Mauzé Fund</b>		
Cash	350	350
Short-term investments	1,025,000	1,025,000
Long-term investments	498,906	490,315
	1,524,256	1,515,665
<b>Total</b>	<b>\$148,718,767</b>	<b>\$172,613,553</b>

# Financial Information

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

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## Financial Statements

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Balance Sheets, December 31, 1978 and 1977  
Statements of Support, Revenue, Expenses and Changes in Principal Fund Balance for the years ended December 31, 1978 and 1977  
Statements of Revenue, Expenses and Changes in Other Fund Balances for the years ended December 31, 1978 and 1977  
Notes to Financial Statements

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## Supporting Schedules

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Schedule of Functional Expenses, Principal Fund for the years ended December 31, 1978 and 1977  
Schedule of Investments, Principal Fund, December 31, 1978  
Schedules of Net Realized and Unrealized Gain (Loss) on Investments, Principal Fund for the years ended December 31, 1978 and 1977  
Schedule of Investments, Other Funds, December 31, 1978

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

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## Revenues

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1. Amount of gifts, grants, bequests and contributions received for the year			\$ 1,515,000
2. Gross income for the year			
Dividends and interest	\$10,932,743		
Gains on sale of securities	4,229,184		
Other	31,096	15,193,023	
3. Total			\$16,708,023

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## Disbursements & Expenses

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4. Disbursements for the year (including administrative expense)			\$22,291,064
5. Expenses attributable to gross income (Item 2 above) for the year			\$ 199,797

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# 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, 1978 and 1977, 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.

In our opinion, the financial statements referred to above (pages 55 through 61) present fairly the financial position of Rockefeller Brothers Fund, Inc. at December 31, 1978 and 1977, 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 62 through 73) 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 12, 1979.

# Rockefeller Brothers Fund, Inc. Balance Sheets

December 31, 1978 and 1977

	1978	1977
<b>Assets</b>		
Principal fund:		
Cash	\$ 118,902	\$ 551,869
Short-term investments, at cost, which approximates market value, as annexed	15,632,589	13,950,845
Long-term investments, at market value, as annexed (cost: 1978, \$126,435,340; 1977, \$133,370,533) (Note 1)	151,139,429	161,994,360
Program-related investments, at fair value, as annexed (cost: 1978, \$2,288,271; 1977, \$2,374,156) (Note 1)	1,685,812	1,728,847
	168,576,732	178,225,921
Other funds (Note 3)	4,036,821	4,165,711
	<u>\$172,613,553</u>	<u>\$182,391,632</u>
<b>Liabilities and Funds</b>		
Principal fund:		
Federal excise tax payable	\$ 209,217	\$ 395,769
Fund balance, as annexed		
Unpaid appropriations	59,702,490	17,454,823
Unappropriated	108,665,025	160,375,329
	168,367,515	177,830,152
	168,576,732	178,225,921
Other funds:		
Federal excise tax payable	5,450	8,539
Fund balances, as annexed	4,031,371	4,157,172
	4,036,821	4,165,711
	<u>\$172,613,553</u>	<u>\$182,391,632</u>

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

for the years ended December 31, 1978 and 1977

	1978	1977
<b>Unappropriated</b>		
Support and revenue		
Contribution, cash in 1978, securities in 1977	\$ 15,000	\$ 40,497
Dividend income	6,184,542	5,842,378
Interest income	4,475,705	4,316,554
Other, net	31,096	14,194
	10,706,343	10,213,623
Expenses		
Program-related:		
Appropriations authorized (net of appropriations lapsed of \$174,026 in 1978, and \$132,659 in 1977) (Note 5)	60,458,219	26,383,975
Authorized payments for expenditures incurred by the Environmental Agenda Task Force Project		55,866
Program support, as annexed	947,241	871,437
Advisory activities, as annexed	218,821	277,750
	61,624,281	27,589,028
Other:		
Investment services, as annexed	120,709	130,039
Administration, as annexed	767,809	767,133
Relocation expense, as annexed	235,287	
Federal excise tax	209,217	499,792
	1,333,022	1,396,964
Less, Reimbursements, as annexed	188,360	116,810
	62,768,943	28,869,182
Deficiency of support and revenue over expenses before gain (loss) on investments	(52,062,600)	(18,655,559)
Net realized and unrealized gain (loss) on investments, as annexed	352,296	(17,579,584)
Deficiency of support and revenue over expenses after gain (loss) on investments	(51,710,304)	(36,235,143)
Beginning balance	160,375,329	197,610,472
Less, Trust created for the Ramon Magsaysay Award Foundation (Note 3)		1,000,000
Ending balance	108,665,025	160,375,329

Continued

**Unpaid appropriations**

Appropriations authorized (Note 5)	\$ 60,632,245	\$ 26,516,634
Appropriations paid or lapsed	18,384,578	15,667,087
Net increase in unpaid appropriations	42,247,667	10,849,547
Beginning balance	17,454,823	6,605,276
Ending balance (Note 5)	59,702,490	17,454,823
Total principal fund balance, end of year	\$168,367,515	\$177,830,152

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

for the years ended December 31, 1978 and 1977

	1978				1977		
	Special Fund	Fund for the Advancement of Contemporary Social and Cultural Studies	Fund for the Ramon Magsaysay Award Foundation	Abby R. Mauzé Fund	Special Fund	Fund for the Advancement of Contemporary Social and Cultural Studies	Fund for the Ramon Magsaysay Award Foundation
<b>Unappropriated</b>							
Support and revenue							
Interest income	\$ 77,263	\$ 92,304	\$78,673	\$ 24,256	\$ 122,668	\$ 89,445	\$ 1,354
Bequest from Abby R. Mauzé				1,500,000			
	77,263	92,304	78,673	1,524,256	122,668	89,445	1,354
Expenses							
Program related:							
Appropriations authorized (net of appropriation lapsed)	206,717	1,536,313	50,000		453,324	204,000	50,000
Other:							
Federal excise tax	1,545	1,846	1,574	485	4,907	3,578	54
	208,262	1,538,159	51,574	485	458,231	207,578	50,054
Excess (deficiency) of revenue over expenses before loss on investments	(130,999)	(1,445,855)	27,099	1,523,771	(335,563)	(118,133)	(48,700)
Net realized and unrealized loss on investments	(25,145)		(84,617)	(8,591)	(20,720)		(47,956)
Excess (deficiency) of revenue over expenses after loss on investments	(156,144)	(1,445,855)	(57,518)	1,515,180	(356,283)	(118,133)	(96,656)
Beginning balances	1,782,973	1,445,855	903,344		2,139,256	1,563,988	
Transfer of cash from Principal Fund							1,000,000
Ending balances	1,626,829		845,826	1,515,180	1,782,973	1,445,855	903,344
<b>Unpaid appropriations</b>							
Appropriations authorized	206,717	1,536,313	50,000		455,000	204,000	50,000
Appropriations paid or lapsed	199,494	1,525,000	50,000		1,207,776	179,000	50,000
Net increase (decrease) in unpaid appropriations	7,223	11,313			(752,776)	25,000	
Beginning balances		25,000			752,776		
Ending balances	7,223	36,313				25,000	
Total fund balances, end of year	1,634,052	\$ 36,313	\$845,826	\$1,515,180	1,782,973	\$1,470,855	\$ 903,344
	36,313				1,470,855		
	845,826				903,344		
	1,515,180						
Total other fund balances, end of year	\$4,031,371				\$4,157,172		



# 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 published market quotations 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 and foreign securities purchased through direct negotiation (aggregate value as of December 31, 1978 approximates \$3,900,000) are valued based on prices determined by an independent investment banking firm. Program-related investments (aggregate value as of December 31, 1978 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 material and 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.

## 3. Other Funds

Other funds consist of the Special Fund, the Fund for the Advancement of Contemporary Social and Cultural Studies, and the Fund for the Ramon Magsaysay Award Foundation as of December 31, 1977. In addition, the Abby R. Mauzé Fund was created under the will of Abby R. Mauzé in 1978. The assets, liabilities and fund balances for these funds as of December 31, 1978 and 1977 are as follows.

	<i>December 31,</i>	
	<i>1978</i>	<i>1977</i>
<b>Special Fund</b>		
Cash	\$ 4,337	\$ 5,475
Short-term investments, at cost, which approximates market value, as annexed	238,000	342,000
Long-term investments, at market value, as annexed (cost: 1978, \$338,940; 1977, \$360,940) (Note 1)	273,260	320,405
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	1,635,597	1,787,880
Less, Federal excise tax payable	1,545	4,907
Fund balance	1,634,052	1,782,973

Continued

December 31,

	1978	1977
<b>Fund for the Advancement of Contemporary Social and Cultural Studies</b>		
Cash	\$ 1,159	\$ 433
Short-term investments, at cost, which approximates market value, as annexed	37,000	1,474,000
Total assets	38,159	1,474,433
Less, Federal excise tax payable	1,846	3,578
Fund balance	36,313	1,470,855
<b>Fund for the Ramon Magsaysay Award Foundation</b>		
Cash	668	1,049
Short-term investments, at cost, which approximates market value, as annexed	33,000	4,000
Long-term investments, at market value, as annexed (cost: \$946,305) (Note 1)	813,732	898,349
Total assets	847,400	903,398
Less, Federal excise tax payable	1,574	54
Fund balance	845,826	903,344
<b>Abby R. Mauzé Fund</b>		
Cash	350	
Short-term investments, at cost, which approximates market value, as annexed	1,025,000	
Long-term investments, at market value, as annexed (cost: \$498,906) (Note 1)	490,315	
Total assets	1,515,665	
Less, Federal excise tax payable	485	
Fund balance	1,515,180	
Total assets, other funds	\$4,031,371	\$4,157,172

#### 4. Pension Expense

The Fund has a noncontributory retirement income plan covering substantially all of its employees. Total pension expense under this plan was \$130,675 and \$114,644 in 1978 and 1977, respectively. The Fund's policy is to fund pension cost accrued.

#### 5. Appropriations

Appropriations include certain conditional grants which are generally contingent upon the grantee's receiving a similar amount of contributions from other donors. Approximately \$14,500,000 and \$13,300,000 of such conditional grants are included in unpaid appropriations as of December 31, 1978 and 1977, respectively. In addition, \$27,500,000 of

the unappropriated fund balance has been reserved for possible future appropriation.

#### 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. "Relocation Expense" consists of expenditures related to the relocation of the Fund's offices during 1978.

## Schedule of Functional Expenses, Principal Fund

for the year ended December 31, 1978 with Comparative 1977 Totals

	Program Support (Note 6)	Advisory Activities (Note 6)	Investment Services	Relocation Expense (Note 6)	Administration	1978 Total	1977 Total
<b>Salaries and related expenses</b>							
Salaries	\$506,051	\$127,081					
Retirement plan contributions (Note 4)	61,710	15,497			\$438,466	\$1,071,598	\$1,048,615
Group life insurance	22,565	5,667			53,468	130,675	114,644
Thrift plan	28,168	7,074			19,551	47,783	42,341
Other employee benefits	36,698	9,216			24,406	59,648	56,395
Unemployment and disability insurance	6,967	1,749			31,797	77,711	69,300
Social security tax	17,605	4,421			6,037	14,753	14,664
					15,253	37,279	34,392
	679,764	170,705			588,978	1,439,447	1,380,351
<b>Other expenses</b>							
Consultants' fees	78,741					78,741	99,238
Investment services						78,741	99,238
Legal and audit fees			\$120,709			120,709	130,039
New York State transfer tax					25,938	25,938	21,369
Travel					6,088	6,088	4,165
Rent and electricity	44,633	11,208				55,841	63,471
Telephone	95,245	23,918				201,687	199,760
Furniture and equipment	20,596	5,172			82,524	17,846	41,785
General office expenses	125	31				108	264
Publications	28,137	7,787				37,160	73,084
Relocation expense						9,167	27,639
				\$235,287		235,287	
	\$947,241	\$218,821	\$120,709	\$235,287	\$767,809	2,289,867	2,046,359
Less, Reimbursement received for share of expenses:							
Rockefeller Family Fund, Inc. (including \$47,000 in 1978 as reimbursement for relocation expense)						182,000	106,000
Charitable Trust under the will of Winthrop Rockefeller						6,360	10,810
						188,360	116,810
						\$2,101,507	\$1,929,549

# Schedule of Investments, Principal Fund

December 31, 1978

## Recapitulation of Investments

	<i>Cost</i>	<i>Value (Note 1)</i>
<b>Short-term investments</b>	<b>\$15,632,589*</b>	
<b>Long-term investments</b>		
U.S. Government and Agency Bonds	\$ 6,852,698	\$ 6,496,688
U.S. Treasury Notes	12,176,421	11,726,758
Foreign governments and other foreign bonds	1,120,480	857,915
Corporate bonds	13,284,516	12,142,266
Corporate notes	10,938,382	8,565,077
Common stocks	82,062,843	111,350,725
	<b>\$126,435,340</b>	<b>\$151,139,429</b>
<b>Program-related investments</b>	<b>\$ 2,288,271</b>	<b>\$ 1,685,812</b>
	<i>Principal Amount</i>	<i>Cost*</i>
<b>Short-term investments</b>		
Certificates of deposit		
Chemical Bank, 11.55%, June 18, 1979	\$2,000,000	\$2,000,000
Manufacturers Hanover Trust Co., 11.27%, May 29, 1979	2,000,000	2,000,000
		4,000,000
Notes due on demand (at prevailing market interest rates)		
Allstate Financial Corp.	1,791,000	1,791,000
C.I.T. Financial Credit Corp.	98,000	98,000
General Electric Credit Corp.	3,606,000	3,606,000
General Motors Acceptance Corp.	3,128,000	3,128,000
Sears Roebuck Acceptance Corp.	44,000	44,000
United States Steel Corp.	480,000	480,000
		9,147,000
U.S. Treasury Bills		
Due July 24, 1979	540,000	500,985
Due August 21, 1979	2,155,000	1,984,604
		2,485,589
<b>Total short-term investments</b>		<b>\$15,632,589</b>

Continued

\*Approximates market value.  
See accompanying notes.

	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
<b>Long-term investments</b>			
U.S. Government and agency bonds			
Federal Home Loan Banks			
9.45%, February 26, 1979	\$1,000,000	\$ 1,000,000	\$ 997,810
8.1%, November 25, 1985	1,000,000	1,021,250	930,000
		2,021,250	1,927,810
Federal National Mortgage Association			
8.5%, June 10, 1980	1,000,000	992,500	972,500
8.2%, July 10, 1984	1,000,000	980,000	937,500
7.9%, October 10, 1985	2,520,000	2,519,028	2,331,378
		4,491,528	4,241,378
U.S. Treasury Bond			
6.75%, February 15, 1993	400,000	339,920	327,500
<b>Total U.S. Government and agency bonds</b>	<b>\$6,852,698</b>	<b>\$ 6,496,688</b>	
	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
U.S. Treasury notes			
7.5%, March 31, 1980	\$2,000,000	\$2,001,244	\$1,930,000
8.25%, June 30, 1980	2,000,000	1,996,240	1,941,880
8.625%, September 30, 1980	2,000,000	1,998,440	1,950,000
8.875%, October 31, 1980	2,000,000	1,985,460	1,960,000
9.25%, November 30, 1980	1,000,000	998,040	987,190
8.375%, August 15, 1981	200,000	200,250	193,938
7.25%, August 15, 1984	1,000,000	996,250	911,250
7.875%, May 15, 1986	2,000,000	2,000,497	1,852,500
<b>Total U.S. Treasury notes</b>		<b>\$12,176,421</b>	<b>\$11,726,758</b>
Foreign governments and other foreign bonds			
City of Winnipeg, Canada,			
4¾%, November 1, 1989	500,000	\$ 500,000	\$ 346,875
TransCanada Pipelines Ltd.:			
5½%, May 1, 1985	96,000	96,480	74,160
6¾%, August 1, 1987	524,000	524,000	436,880
<b>Total foreign governments and other foreign bonds</b>		<b>\$ 1,120,480</b>	<b>\$ 857,915</b>

Continued



Long-term investments, continued	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
<b>Corporate bonds</b>			
<b>Utilities</b>			
General Telephone and Electronics Corp., convertible subordinated debentures			
4%, March 15, 1990	\$ 115,000	\$ 117,300	\$ 73,888
5%, December 15, 1992	500,000	500,000	347,500
Mountain States Telephone and Telegraph Co., 7¾%, June 1, 2013	750,000	750,000	611,250
Northern Illinois Gas Company, 6%, August 1, 1991	425,000	321,406	321,938
Pacific Gas and Electric Co., 5% June 1, 1989	250,000	196,818	174,375
Pacific Power and Light Company, 3½%, August 1, 1984	200,000	209,500	146,250
Pacific Telephone and Telegraph Co., 6%, November 1, 2002	500,000	427,500	336,875
Southern Bell Telephone Co., 7% March 15, 2013	750,000	750,000	609,375
		3,272,524	2,621,451
<b>Financials</b>			
Beneficial Finance Co., 4% June 1, 1981	830,000	750,092	738,700
Charter New York Corp., 5¾% August 1, 1991	500,000	458,775	365,625
C.I.T. Financial Corp., 5% January 15, 1980	300,000	251,670	286,125
Commonwealth Edison Co., 9% June 15, 1979	1,000,000	1,007,500	1,000,000
General Motors Acceptance Corp., 4% March 1, 1983-2079	900,000	821,903	751,500
International Bank for Reconstruction and Development: 8.15% January 15, 1985	1,000,000	990,000	927,500
5% February 15, 1985	100,000	100,000	80,250
John Deere Credit Co., Deb.: Series B, 4¾% April 1, 1981	500,000	493,750	453,750
Macy Credit Corp., Deb.: 4¾% November 1, 1981	700,000	650,392	595,875
4% June 1, 1985	250,000	247,625	191,875
		5,771,707	5,391,200
<b>Industrials</b>			
Amerada Hess Corp., 6¾% March 15, 1996	500,000	417,500	390,000
Standard Oil Co. (Indiana), 9.2% July 15, 2004	2,000,000	2,038,750	1,990,000
Union Tank Car Co. Equipment Trust, 9% July 1, 1990	786,000	784,035	799,755
Union Oil Co. of California, 8% December 1, 1982	1,000,000	1,000,000	949,860
		4,240,285	4,129,615
<b>Total corporate bonds</b>		<b>\$13,284,516</b>	<b>\$12,142,266</b>

Continued

Long-term investments, continued	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Corporate notes			
ARCO Pipelines Co., 8%, January 15, 1982	\$1,000,000	\$ 995,000	\$ 940,000
Bank of Hawaii, 4.7%, October 15, 1989	208,333	208,333	139,063
Bell Telephone Co. of Canada, 4⅞%, May 1, 1988	200,000	199,280	144,500
Central Trust Co. (Rochester, N.Y.), 4⅞%, June 1, 1989	160,000	160,000	107,662
Chemical Bank, New York Trust Co., 5⅞%, January 1, 1992	400,000	398,700	302,500
City National Bank (Detroit, Mich.), 4¾%, February 1, 1990	170,000	170,000	111,012
Commercial Credit Co. (Baltimore, Md.), 4¾%, November 1, 1980	400,000	395,563	366,500
Continental Mortgage Investors 5½%, January 1, 1980	900,000	828,738	1
5%, April 1, 1989	500,000	500,000	1
Ethyl Corp., 5¾%, November 1, 1982	750,000	583,110	655,920
First Jersey National Bank (Jersey City, N.J.), 4¾%, June 1, 1990	150,000	150,000	97,500
Glens Falls National Bank & Trust Co. (Glens Falls, N.Y.), 4⅞%, September 1, 1989	169,000	169,000	112,963
Hilo Electric Light Co., Ltd., 5⅞%, March 1, 1989	396,000	396,000	298,378
Industrial Acceptance Corp., Ltd., 5½%, October 15, 1987	250,000	250,000	185,400
International Telephone & Telegraph Credit Corp., 5.10%, December 1, 1984	188,000	188,000	188,000
Iowa Electric Light and Power Co., 5⅞%, January 1, 1991	500,000	500,000	340,000
Michigan Gas Utilities Co., 4.70%, February 1, 1990	220,000	220,000	147,400
Norfolk and Western Railway Co., Convertible: 4⅞%, October 1, 1981	2,000,000	1,564,000	1,725,440
4⅞%, January 1, 1983	1,200,000	907,800	974,412
Pennsylvania Life Co., Convertible, 5%, August 1, 1983	345,795	345,795	232,810
Pennsylvania Railroad Co., Conditional Sales Contracts, 5¾%, February 15, 1986	133,333	133,333	91,836
Ryan Homes Inc., Convertible, 6%, July 15, 1991	300,000	300,000	240,000
Sears, Roebuck and Co., 8.375%, December 31, 1986	1,000,000	998,000	920,000
Virginia National Building Corp., 4.70%, May 1, 1990	377,730	377,730	243,779
<b>Total corporate notes</b>		<b>\$10,938,382</b>	<b>\$ 8,565,077</b>

Continued

Long-term investments, continued	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
<b>Common stocks</b>			
<b>Automotive Equipment, Machinery, and Machine Parts</b>			
Caterpillar Tractor Co.	50,000	\$ 1,449,083	\$ 2,937,500
Echlin Mfg. Co.	60,000	1,009,660	952,500
General Motors Corp.	30,000	2,071,580	1,612,500
Purolator Inc.	60,000	3,827,370	1,500,000
		8,357,693	7,002,500
<b>Building Products and Homebuilding</b>			
Georgia-Pacific Corp.	38,212	1,209,219	926,641
Masco Corp.	74,000	1,022,249	1,470,750
Weyerhaeuser Co.	60,000	1,757,460	1,477,500
		3,988,928	3,874,891
<b>Chemicals</b>			
Dow Chemical Co.	80,000	897,196	1,990,000
duPont (E.I.) de Nemours & Co., Inc.	21,000	3,332,205	2,646,000
Eastman Kodak Co.	30,000	177,963	1,758,750
		4,407,364	6,394,750
<b>Computer and Office Equipment</b>			
International Business Machines Corp.	33,465	1,905,009	9,989,303
Xerox Corp.	18,000	1,834,209	958,500
		3,739,218	10,947,803
<b>Consumer Products and Services</b>			
American Express Co.	95,000	2,363,435	2,766,875
Campbell Soup Co.	30,000	1,009,787	1,020,000
Colgate Palmolive Co.	50,000	1,432,703	831,250
PepsiCo, Inc.	20,000	652,000	512,500
Procter and Gamble and Co.	55,000	4,306,291	4,888,125
		9,764,216	10,018,750
<b>Electrical Equipment</b>			
General Electric Co.	65,000	2,006,543	3,063,125
Grainger (W.W.), Inc.	70,000	833,350	2,275,000
		2,839,893	5,338,125
<b>Financials</b>			
Chase Manhattan Corp.	100,000	2,498,980	2,937,500
Wells Fargo & Company	100,000	2,554,008	2,712,500
		5,052,988	5,650,000

Continued



Long-term investments, continued Common stocks, continued	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Foreign			
Selected Risk Investments, S.A.	56,600	\$ 333,396	\$ 447,706
Insurance			
Connecticut General Insurance Co.	105,000	3,472,873	3,661,875
Continental Corp.	106,000	2,048,600	2,597,000
		5,521,473	6,258,875
Metals and Minerals			
Aluminum Co. of America	45,000	2,079,086	2,148,750
Freeport Minerals Co.	40,000	1,121,024	1,285,000
		3,200,110	3,433,750
Oils and Oil Services			
Continental Oil Co.	40,000	1,271,488	1,125,000
Exxon Corporation	220,000	4,248,640	10,807,500
Halliburton Co.	35,000	1,948,330	2,310,000
Mobil Corp.	150,000	2,821,800	10,406,250
Smith International, Inc.	50,000	727,438	2,331,250
Standard Oil Company of California	100,000	1,790,500	4,687,500
		12,808,196	31,667,500
Pharmaceutical and Health			
Lilly (Eli) & Co.	35,000	1,263,575	1,675,625
Merck & Co., Inc.	30,000	1,395,140	2,028,750
Pfizer Inc.	50,000	1,829,435	1,650,000
		4,488,150	5,354,375
Railroads			
Norfolk & Western Railway Co.	30,000	967,375	656,250
Southern Railway Co.	30,000	1,530,875	1,398,750
		2,498,250	2,055,000
Retail			
Federated Department Stores	78,100	3,005,108	2,499,200
Sears, Roebuck & Co.	60,000	286,326	1,185,000
		3,291,434	3,684,200
Textile			
Collins & Aikman Corp.	120,000	3,376,278	1,005,000

Continued

Long-term investments, continued			<i>Market</i>
Common stocks, continued	<i>Shares</i>	<i>Cost</i>	<i>Value</i> <i>(Note 1)</i>
<i>Utilities</i>			
American Telephone & Telegraph Co.	55,000	\$ 3,087,968	\$ 3,327,500
Duke Power Co.	50,000	915,550	968,750
Houston Natural Gas Corp.	50,000	1,351,013	1,106,250
Northern States Power Co.	40,000	1,036,455	940,000
Texas Utilities Co.	40,000	780,006	755,000
Virginia Electric & Power Co.	80,000	1,224,264	1,120,000
		8,395,256	8,217,500
<b>Total common stocks</b>		<b>\$82,062,843</b>	<b>\$111,350,725</b>
		<i>Cost</i>	<i>Value</i> <i>(Note 1)</i>
<i>Program-related investments</i>			
Cooperative Assistance Fund, investment units, valued at cost		\$1,000,000	\$1,000,000
Ramon Magsaysay Award Foundation, first mortgage loan receivable, 6% payable annually through December 31, 1993		1,288,271	685,812
<b>Total program-related investments</b>		<b>\$2,288,271</b>	<b>\$1,685,812</b>

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

for the years ended December 31, 1978 and 1977

	1978	1977
Realized gain from security transactions (excluding short-term investments):		
Proceeds from sales and redemptions	\$23,911,009	\$25,156,586
Identified cost of securities sold and redeemed	19,681,825	23,929,699
Net realized gain	4,229,184	1,226,887
Unrealized gain (loss) on investments:		
End of year	24,101,630	27,978,518
Less, Beginning of year	27,978,518	46,784,989
Net unrealized loss	(3,876,888)	(18,806,471)
Net realized and unrealized gain (loss) on investments	\$ 352,296	(\$17,579,584)

# Schedule of Investments, Other Funds

December 31, 1978

	<i>Principal Amount</i>	<i>Cost*</i>	
<b>Special fund</b>			
Short-term investments			
Notes due on demand (at prevailing market interest rates)			
C.I.T. Financial Corp.	\$232,000	\$ 232,000	
General Electric Credit Corp.	6,000	6,000	
		\$ 238,000	
		<i>Cost</i>	<i>Market Value (Note 1)</i>
Long-term investments			
Bonds			
Transcontinental Gas Pipe Line Corporation, 5%, November 1, 1981	\$ 44,000	\$ 44,565	\$ 38,885
U.S. Postal Service, 6 $\frac{3}{8}$ %, February 1, 1997	300,000	294,375	234,375
		\$ 338,940	\$273,260
		<i>Cost*</i>	
<b>Fund for the Advancement of Contemporary Social and Cultural Studies</b>			
Short-term investments			
Notes due on demand (at prevailing market interest rates)			
Sears Roebuck Acceptance Corp.	\$ 37,000	\$ 37,000	
		\$ 37,000	
<b>Fund for the Ramon Magsaysay Award Foundation</b>			
Short-term investments			
Notes due on demand (at prevailing market interest rates)			
American Express Credit Corp.	\$ 33,000	\$ 33,000	
		<i>Cost*</i>	<i>Market Value (Note 1)</i>
Long-term investments			
Bonds			
U.S. Treasury Bond 7.25%, August 15, 1992	\$950,000	\$ 946,305	\$813,732

Continued

\*Approximates market value.  
See accompanying notes.



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*(1) Effective March 15, 1979*

*(2) Deceased July 10, 1978*

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*(1) Until June 15, 1978*

*(2) Effective June 15, 1978*

*(3) Through December 31, 1978*

*(4) Effective January 1, 1979*

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## Contributions

Foundation managers who have made a number of contributions to the Rockefeller Brothers Fund are Laurance S. Rockefeller, David Rockefeller, and the late Abby R. Mauzé, John D. Rockefeller 3rd, Nelson A. Rockefeller, 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 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 she had created in which the Fund had a contingent beneficial interest.

## Foundation Managers

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

*(1) Until February 28, 1979*

*(2) Until May 1, 1978*

*(3) Until January 1, 1979*

*(4) On leave as of January 1, 1979*

*(5) Until August 1, 1978*

*\*As of December 31, 1978*



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