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ROCKEFELLER BROTHERS FUND

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ANNUAL REPORT

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1982

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RBF

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ROCKEFELLER BROTHERS FUND, INC.

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1290 AVENUE OF THE AMERICAS

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NEW YORK, NEW YORK 10104

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ROCKEFELLER BROTHERS FUND

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ANNUAL REPORT

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## INTRODUCTION

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An examination of the listing of grants approved by the trustees of the Rockefeller Brothers Fund in 1982 will indicate one step in the continuing evolution of the Fund's program—the addition of Arms Control/Security as a discrete category. This addition, and the explanatory note that appears in the third paragraph of page 17 of this report, are the outward and visible signs of a major planning effort undertaken by the trustees of the Fund during 1982, an effort that will lead to more dramatic steps in the Fund's evolution in 1983 and following years.

Looking forward to the final payments of the gifts from capital (described in the RBF Annual Report for 1979), scheduled for 1983, and the consequent stabilization in the Fund's endowment, and in light of the significant changes that had taken place in the composition of the Fund's board of trustees since those gifts were approved, the Chairman of the Fund, early in 1982, appointed a planning committee, chaired by David Rockefeller, Jr., and charged it to explore the directions that the Fund should take over the coming decade.

During the balance of 1982, the Planning Committee devoted considerable time to a thorough review of the history of the Fund's current program and to an exploration of possible new areas of interest. In the early months of 1983 the committee began work on specific recommendations for the future. While any predictions about new directions for the RBF would be premature at this time, the history of the Fund, which is one of periodic review and continuing evolution, suggests that the next few years will see both growth and change.

During such a time, the Fund will particularly miss the wisdom and counsel of Nancy Hanks, who died on January 7, 1983. Miss Hanks first became involved with the RBF in 1956, when she was appointed executive secretary of the Special Studies Project that produced the *Prospect for America* reports. It was as part of the work of that project that she directed the organization and publication of the landmark study, *The Performing Arts: Problems and Prospects*, that was to lead to her later appointment as Chairman of the National Endowment for the Arts. For the past five years she served as a trustee of the Fund, and since 1978 as vice-chairman. The arts in America, and the Rockefeller Brothers Fund, have lost an enthusiastic friend and supporter, and we will miss her.

William M. Dietel  
President

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## THREE GRANTS

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Given the scope of the Fund's program, it is no surprise that a wide variety of projects and programs receive support from the RBF in any one year. While the grant descriptions on pages 22 to 35 of this report provide some indication of the breadth of the Fund's interests, they are of necessity brief and general, and provide little sense of what may be involved in specific terms, or from an individual perspective.

The three informal vignettes that follow are intended to provide some of the particulars that are missing from the more generalized grant descriptions. Geographically, they range from New York City—the home of the Fund—to the Caribbean and on to China, while in terms of the categories within the Fund's program, these grants are classified under “Economic Growth and Stabilization,” “Eco-Development,” and “International Cooperation.” Each provides a glimpse of what a grant can help to accomplish.

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INTERFACE  
A PORTABLE THINK TANK

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The RBF is always on the lookout for lean, flexible, and effective organizations that share some of the Fund's goals and interests. The New York Interface Development Project, usually known simply as Interface, is one such find. The Fund and Interface have worked together on several projects over the past few years, most recently on Interface's Industrial Retention Project, which is aimed at fostering development in the City's outer boroughs.

Interface was founded in 1974 by Stanley Litow and a couple of other youthful veterans of the Lindsay days at City Hall. In its first year, Interface provided technical assistance and management support to about a dozen agencies in the city, including the New York Botanical Gardens and a consortium of settlement and neighborhood houses. In 1976 the group got a small general-support grant from the Fund.

The Fund was enough impressed with Interface's modus operandi and its two-year track record to recommend the organization to the nascent, and staffless, Educational Priorities Panel. Initially funded by the RBF and a few other foundations, and subsequently by additional foundations and several corporations as well, this coalition of twenty-five parent, civic, and education groups formed during the mid-seventies fiscal crisis to show city and school officials how to cut administrative and other non-instructional costs, sparing cutbacks in direct services to schoolchildren. Interface and EPP have proved a happy and productive match. EPP is a full-fledged success story, acclaimed by the press, civic leaders, and Mayor Koch ("Everything I know about education, I learned from the EPP"). Since 1976, EPP has reallocated and saved an estimated \$300 million for the city's classrooms. Similar organizations now operate in six other cities.

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As Interface gained experience, refined its managerial and technical skills, made important new city contacts, and scored practical and well-publicized successes on EPP's behalf, it achieved a measure of independence. It began to shift from acting as its clients' hired help in worthy but limited endeavors to working with clients in matters of broad public policy.

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In 1979, the Fund agreed to help Interface turn its talents to a project to improve the city's economy, first with a small grant to study the situation and generate interest. In June of that year, Interface presented its findings and proposals to a conference of high-level officials in the city's principal public and quasi-public agencies concerned with economic development, education, and job training. Some of them had never met before. The conferees reacted positively. Among other things, they were impressed by Interface's demonstration that fresh data, focusing on single industries or delimited geographical areas, could reveal job opportunities and development potential usually obscured by the state-wide or city-wide statistics in conventional use.

Interface's Industrial Retention Project was launched in 1980, with five key agencies committed to serve, sustain, and expand the city's industries. Five additional agencies have since joined, and the project has attracted support from four additional foundations and two banks. Its efforts are distinctive, if not unique, among attempts to spur New York's economic development. The project stresses the outer boroughs and manufacturing; it generates fresh, new data. But perhaps most of all, its structure translates research findings into coordinated action. In the words of the Commissioner of the Office of Economic Development, "the project rapidly identified impediments to the growth of manufacturing, then developed solutions and applied them. After two years, we've proven that these solutions actually work. [Its first] report shows how we are seeing them work today."

The project's initial publication, "Manufacturing in New York City: Retention, Expansion, Revitalization," released in April of 1982, reported on the first in-depth survey of New York manufacturers in twenty years. It summarized the principal studies undertaken by Interface up to that point: profiles of three industries (plastics, fabricated metals, electric and electronic equipment) and profiles of three industrial neighborhoods (Long Island City, in Queens; Sunset Park and Industrial East Williamsburg/North Bushwick, both in Brooklyn). Of the almost 300 firms interviewed, 80 percent were healthy and considered themselves stable or expanding. Overall, their labor force was mostly unskilled and semi-skilled, and largely black or Hispanic—groups traditionally suffering high unemployment. Most firms planned to stay, believing the city's broad advantages outweighed such finite disadvantages as crime, excessive energy costs, limited access to capital, potholes, and inadequate parking facilities.

Among accomplishments cited in the report were job training and placement programs, crime patrols, parking facilities expansion, bid procurement benefits, programs to identify and market city-owned land to small manufacturers to help them expand or move, and seminars to explain the kinds of business assistance available. Specific examples included collaboration between the Board of Education and several industries to provide on-site work for students from two Brooklyn high schools (a program now expanding throughout the city); creation by Economic Development Capital Corporation of a loan subsidy program in Sunset Park to help small and medium-sized firms get financing; more than 100 energy audits by the Public Development Corporation for manufacturing firms, and the opening of an energy office in Long Island City to reach more companies.

Besides such broad accomplishments, city agencies actively involved in the project have followed up on almost 500 individual complaints and requests for assistance. Interface estimates that assistance in expansion and relocation has produced at least a thousand new manufacturing jobs. Four more neighborhood profiles have now been released: Staten Island, Woodside, Greenpoint and Jamaica, with recommendations, as usual, assigned for action to appropriate agencies.



Interface is meanwhile expanding its Industrial Retention Project, organizing intensive assistance to neighborhood development groups. Another new venture is a feasibility study of a so-called business incubator—a building providing numerous small manufacturing spaces, a revolving fund, and shared technical services for new small companies. Interface foresees the first batch of companies moving on to larger space in a few years, and a new batch coming in.

Also in the works is a demonstration project in worker ownership—in this country, usually considered a last resort in the face of a company’s surrender to economic tribulation. In the course of its interviews, Interface found that some small family-owned businesses, though sound and prosperous, might soon close down simply because the aging owners had no relatives willing or able to carry on. It occurred to Interface that employee ownership might work best in these stable, non-crisis circumstances.

Interface itself constitutes a small-business New York success story. In nine years, it has grown from a payroll of three to twenty-three, from gross revenues of \$38,000 to \$1,000,000, from a handful of clients to several dozen. Its support now comes from seventeen foundations and seven corporations. It has long reached beyond the “university community” of its original charter to recruit talent and expertise in the law, politics, banking, business, and elsewhere.

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For all its prosperity and expansion, Interface still displays the flexibility and ingenuity of its early days as a “portable think tank.” As Stanley Litow says, “Interface has no official standing to do *anything*. We’ve accomplished a lot by using every ploy we could think of. . . setting one agency off against another if need be. By moving fast ourselves and bugging the agencies for frequent progress reports, we’ve been able to get action, factor any successes into the pot of common accomplishment, and move on to the next level.”

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In the winter of 1981, Kathy Stearns, a Peace Corps volunteer six months into her two-year assignment in the Dominican Republic, saw a notice about Partners of the Americas' Small Grants Program in a Peace Corps office. She was working with communities in an area about three hours north of Santo Domingo, the country's capital—assisting with production and sale of locally-made peanut butter; arranging food-for-work operations; helping people grow food in small plots around schools and houses—“all self-help projects in a primarily rural area where people are just trying to survive.”

Stearns wrote to Partners for more information about small grants, but not just as an exercise. She had in mind one specific 13-family co-op that had already made progress with a plan to generate income. Stearns' travels regularly took her through the community of La Jaqueta, where she had noticed the beginnings of a small chicken farm (*granja*). “I got acquainted with co-op members just as their third batch of chicks died. A visiting government veterinarian said the location was too humid for poultry. He recommended pigs, a much hardier, albeit expensive animal, and I thought conversion possibilities existed.”

Partners of the Americas had been in business some fifteen years before it began its Small Grants Program in 1979. Up until that time, its sole mission was volunteer technical assistance and exchange within a framework of partnership arrangements now linking 43 U.S. states with 27 Latin American and Caribbean countries. That mission still stands. But the small grants (which account for about 20 percent of Partner's projects) gave its 54 partnerships and thousands of volunteers another incentive. Those involved agree that most of all a little training is needed. But sometimes a few dollars can make the difference between a moderate (and modest) success story and what turns out to be an ongoing, dynamic, and successful enterprise.

The Rockefeller Brothers Fund joined other corporate and foundation sponsors of the Small Grants Program in 1981, with a grant to begin a new eco-development component. Funds would go to local projects building employment and income opportunities through the sound use of land and water resources.

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When Kathy Stearns received Partners' guidelines for small grant proposals and the accompanying five-page application form, she gauged chances for funding. “We didn't have to research the grant proposal—most information necessary was already in the community. They knew what had to be done and that it would take more than good will, knowhow, and hard work. They needed money.” Project objectives were straightforward: to train co-op members about the proper care of pigs and maintenance of a pig *granja*; to remodel the shelter, construct a corral where pigs could graze, and supply the *granja* with water; to buy and transport the pigs and a one-year supply of food.

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The \$4,000 budget came together using information gained about costs and quantities for the earlier chicken project. Pig production was not foreign to these families: before an epidemic eliminated pigs from the entire country three years ago most had owned an indigenous creole breed.

Partners officials in the Dominican Republic and Michigan approved the project, and thus widened the scope of that partnership's primarily urban efforts. Although the proposal came in too late for Partners spring consideration in 1982, it was approved in the fall, but less than a year before Stearns completed her assignment. As soon as the co-op got the news, it bought its first piglets. The project went according to schedule: feed and construction materials were purchased, but cooperation of all members made it happen. A local priest transported feed in his pickup; co-op members first contributed a week each to begin construction and well digging, then one day a week until completed; responsibilities for pig care rotated among members; the veterinarian stopped by often.

The requisite final report on this project arrived before deadline at Partners offices in Washington, D.C.—construction completed, ongoing management and training assured, and money spent. Some important developments not foreseen in the proposal added strong dimensions—for example, co-op members bought extra piglets with food money rather than holding onto the cash, reasoning that one piglet at a time could be sold as money was needed.

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The report emphasized that returns on the investment were still in the future—pig production takes time; female pigs need at least a year to mature and yield. But the project succeeded. Now enrolled in a master's program in international agriculture and rural development at Cornell University, Stearns says, "I am proud of the results of this particular project. Working together, Partners, the Peace Corps, and the Cooperative 'Santa Maria' have truly benefited the community of La Jaqueta on a level that will be felt for many years to come."

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*The particulars of each small grant make good reading, but it's the long-term impact that most interests the Partners staff. In time, they hope to evaluate that impact, asking each project questions, for example: Have projects continued beyond the grant period? What types of projects have been most successful in effecting changes in the community? Why? What are the effects? What are some of the recurring problems found in the projects? How can the system be further refined to deal with these problems?*

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SIGHTS AND SOUNDS OF CHINA:  
ARTS EDUCATION

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The Center for U.S.-China Arts Exchange at Columbia University has, over the last five years, arranged exchanges between the United States and the People's Republic of China for individuals and groups—visual artists, playwrights, conductors, composers, writers, singers, musicians, art historians, and arts educators. An initial grant from the RBF helped establish the Center in 1978; subsequent grants have aided its development and supported two delegations specifically concerned with arts education.

Soon after relations between China and the U.S. were normalized in January, 1979, China's Ministry of Culture sent a group to sample elementary and secondary arts education in the U.S. As a result of that visit, in October, 1982, eight Americans traveled to China for a ten-day U.S.-China Arts Education Conference. The Americans' assignment: describe aspects of arts education in the U.S. and observe China's own system.

One high-school art teacher, two public-school administrators, two university researchers, and two artists working in public schools accompanied delegation leader Howard Gardner—whose work at Harvard as child psychologist, arts education researcher, and theorist is internationally known. The group joined Chinese counterparts at conference sessions in Beijing and Shanghai and in visits to 13 schools, three cultural centers, and several professional performances and major historic sites.

A rich and full sampling of China's culture and education in ten days is perhaps not unusual in terms of opportunities now available for Americans in that country. More notable was how the patchwork of experiences, even the few excursions to popular tourist sites, served arts education. The Center's visitors always return to this country with a myriad of overwhelming impressions, and the realization that almost everything in an unfamiliar culture seems noteworthy. But delegates from this particular trip were fortunate in being able to relate almost all recollections of China to the trip's purpose.

Delegate Frederick Erickson, anthropologist and professor of education at Michigan State University, paid special attention to Chinese environments for teaching and learning. His observations of sites for informal and formal education in the arts set the stage for others' more interpretive impressions. Excerpts from three of Erickson's vignettes follow:

AT THE SCHOOL EXERCISE FIELD: *Listening*

In a classroom at the Affiliated Middle School (high school) of the People's University in Beijing we saw a music appreciation lesson of a contemporary Chinese violin concerto. This was perhaps the most thorough and highly polished lesson of its kind that I've ever seen done outside a university classroom, but the lesson itself is not the point of this vignette.

The class was held in a one-story outbuilding, one of several single classrooms separated from the main school. On one side of this line of buildings was a playground, with swings and basketball hoops. Down the line of buildings was what looked like a parade ground. As we left the classroom to go to our bus and then to the National Minorities School, some of us noticed a group of boys—perhaps 150—standing in rank and file on the parade ground. The boys stood erect with arms akimbo, then rubbed their eyes with their hands, while music was played on a loudspeaker attached to a pole at one end of the field. We asked a member of the Chinese delegation what was going on. We were told that these were exercises for the eye muscles. The exercises prevented impaired vision. Later in the trip, as we went to other schools of differing levels, we saw students rubbing their eyes in a similar fashion, sometimes individually at their seats, sometimes in small groups.

#### IN THE FORBIDDEN CITY: *Looking*

Entering the grounds of the Forbidden City in Beijing we saw thousands of visitors—many Western tourists, but even more Chinese visitors, presumably on holiday. I looked for *natural groupings* of Chinese visitors. One saw groups of men together and groups of women (perhaps they had come as a set of workers from the same factory?). One also saw family groups. Frequently these were nuclear families consisting of parents and (often) very small children. Occasionally one saw extended families, in which three generations were represented. Presumably some of these people came from the city of Beijing, others from urban areas of the various provinces, others from the countryside. People seemed to pay close attention to some buildings and artifacts and to pass by others without apparently attending to them.

Even in our brief and partial encounters with the Chinese and with the differing traditional and Western styles of arts that are current among them, it is apparent that there are differences within the total population in exposure to, knowledge of, and preference for the different styles. Differences in the social distribution of artistic knowledge and preference seem to run along demographic lines. In a general way, this pattern resembles the situation in the United States, where lots of the people who know about Merle Haggard are not likely to know about Bach.

Delegates reported observing a common teaching pedagogy in early grade-school classes as well as university-level instruction. Erickson theorizes that this “model-practice-product sequence, in which each step is highly polished and judged according to highly specific criteria of appropriateness, may be the Chinese definition of teaching or instruction. The more highly polished each step in the sequence, the better the teaching, the Chinese may assume.” Erickson describes a particular kindergarten art class that served as a focus for comment and discussion among all delegates:

A KINDERGARTEN ART CLASS: *Presenting a Highly Finished Model and Giving Precise Supervision and Feedback*

Our first visit this day was to a highly selective kindergarten school where four hundred students had applied for thirty openings. Walking through a large room containing beds for children's naps, we entered a classroom in which an art lesson was in progress. The room was rectangular, with long tables arranged in rows, facing the front of the room. The children were seated in chairs at the tables.

At the front of the room was an easel. On the easel was a picture of green underwater plants on a light blue background. Among the long, undulating leaves of the plants, three brightly colored fish were swimming. The fish were made from folded paper, and were pasted to the picture. The plant leaves were painted, which made for a finished, continuous texture of color.

The students were expected to address two aspects of the task: placement (a matter of design involving specified relationships of balance between the three fish and the plants), and technique (involving a drawing stroke using crayons, and procedures for folding paper).

The teacher stood at the easel. First she folded the colored paper in the shape of a fish. The children imitated her demonstration, step by step. Then she demonstrated the drawing stroke needed to make the leaves of the plant. The students were to use green crayons to make the leaves in their picture, but practiced the stroke using the index finger of the right hand. Then the teacher demonstrated the proper placement of the paper fish. Two children were asked to come up to the easel one by one to affix a paper fish on the picture in the proper place in relation to the plants. The first child placed a fish in an incorrect position. Holding the child's hand, the teacher moved the fish to a correct position of balance. Then the teacher sent the first child back to her seat and called another child. The second child placed the fish correctly.

After this demonstration, all children began to work on their drawings at their seats. The teacher and two aides circulated among the tables, helping the children, usually standing or squatting next to a child rather than directing the child from the other side of the table. The teacher stayed in the first few rows of tables. The first child she came to was having trouble getting green crayons out of his small pasteboard crayon box. The teacher leaned over the boy, held the fingers of his right hand and helped him pull the green crayons out of the box. Then she moved on to another child. Even in this detail—getting the crayons out—the teacher provided intimate, precise feedback and modeling, as she had done earlier by holding the children's hands during the demonstration at the easel.

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THE ROCKEFELLER BROTHERS FUND  
AND ITS PROGRAM

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The RBF was founded in 1940 as a vehicle through which the five sons and daughter of John D. Rockefeller, Jr., could share a source of advice and research on charitable activities and combine some of their philanthropies to better effect. John D. Rockefeller, Jr., made a substantial gift to the Fund in 1951, and in 1960 the Fund received a major bequest from his estate. Together, these constitute the basic endowments of the Fund.

In the last five years, the Fund has made a number of gifts from capital (see the RBF Annual Report for 1978), which has so far reduced the principal endowment by over \$77 million. The assets of the RBF at the end of 1982 were \$164,349,466 and its 157 payments during the year amounted to \$10,685,849, including approximately \$3.85 million in gifts from principal. Since 1940, the RBF has disbursed a total of \$300,238,340 in grants.

During 1982, the Fund made grants in four program areas—national, New York City, international, and arms control/security—as well as grants to several philanthropic service organizations, and grants through the Rockefeller Brothers Fund Awards in Arts Education, under policy guidelines established by the board of trustees. As indicated in the introduction to this report, during 1982 a Planning Committee was established by the trustees. Consequently, although the following program descriptions reflect the interests of the Fund in 1982, they may not reflect the future grantmaking priorities of the Fund.

#### THE NATIONAL PROGRAM

Total grants paid in 1982: \$6,709,200 (47 payments)

Domestic Development Finance. Emphasis: support of efforts to focus public and private investment on critical national needs. Special attention is given to forums, research, and other public information activities designed to insure broad public debate, and to private sector implementation of public policy objectives in this field.

Producing and Conserving Basic Resources:

Preserving America's Farmland. Emphasis: efforts to reduce the loss of prime agricultural land and to preserve this vital national resource. The Fund will support projects that inform and educate both the general public and decision-makers in the public and private sectors on governmental and economic issues that promote farming opportunity and the retention of land for agricultural use.

Conserving America's Water. Emphasis: efforts to spread the implementation of innovative water management that emphasizes resource recovery systems; also national policy research projects, and water policy activities of conservation-oriented research and advocacy groups.

Employment Policy and Job Development. Emphasis: strengthening private-sector remedies to unemployment through local economic development training and other economic development activities.

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 is especially interested in ways to encourage increased personal and corporate giving in the United States, and in ways to broaden the sources of support for private, nonprofit organizations.

Other Critical Issues. In keeping with the diverse interests of the trustees of the RBF, grants are made to projects that further the three broad objectives of the Fund: (1) to improve and make more responsive democratic institutions and systems; (2) to enhance American enterprise as one of the best means for fulfilling basic human needs; and (3) to encourage cultural pluralism and opportunity and make possible the full expression of the individual.

## THE NEW YORK CITY PROGRAM

Total grants paid in 1982: \$2,394,932 (40 payments)

The emphasis of the New York City program is on economic development in New York City. Specifically, the Fund seeks selected opportunities in the four fields described below.

Governmental Efficiency. To help the city function as an accountable municipality. Emphasis: projects that provide objective evaluative analysis and long-range perspective for the city government's fiscal planning process, and that demonstrate a built-in capacity for informing policy decisions in government programs.

Economic Growth and Stabilization. To help the city retain and attract business. Emphasis: research and action programs related to doing business in New York City. Special attention will be given to technical assistance projects that help local development groups coordinate public and private resources.

Employment and Skill Development. To help the city enable its residents to become more productive citizens. Emphasis: projects that bring the city and the business community together and that integrate education, social services, and job-training to upgrade skills and employability.

Creative Living Environment. To help the city continue as a center of cultural preeminence. Emphasis: improved financial management and the development of earned income for cultural institutions; strengthening partnerships between nonprofit and public agencies delivering essential human services; improved management of and assistance to mergers of human service agencies that will result in more efficient use of resources.



## THE INTERNATIONAL PROGRAM

Total grants paid in 1982: \$1,401, 934 (56 payments)

Grants here are directed at three objectives—improved international cooperation, conservation efforts through eco-development, and enhancement of human dignity, individual liberties, and the law.

International Cooperation. Emphasis: relations between the People's Republic of China and the United States and multilateral relations in the Pacific Community. The Fund tries to nurture creative efforts to increase understanding between the PRC and the United States and harmony within the Pacific Community through projects that facilitate analysis and discussion of issues of common concern, as well as through exchanges of people and translation of foreign-language material for broader distribution.

Eco-Development. Geographical focus: the wider Caribbean area, including the islands of the Greater and Lesser Antilles and the coastal countries of Central America, Mexico, and Colombia. The Fund's aim is to draw together conservation and the use and management of land and marine resources through projects in planning, training, education, and regional cooperation and through experimental ventures. Particular attention is given to self-help programs in the Caribbean that demonstrate wise use of natural resources and generate employment.

Human Dignity, Individual Liberties and the Law. Emphasis: legal protection of human dignity and individual liberties. For example, Fund grants have encouraged the legal profession in the United States and other countries to become more actively involved in the protection of civil and political liberties and the promotion of economic and social rights.

## THE ARMS CONTROL / SECURITY PROGRAM

The Fund is exploring the area of Arms Control/Security, making grants for project efforts that are particularly timely and present special opportunities. Further definition of this program is underway.

## PHILANTHROPIC SERVICE ORGANIZATIONS

Total grants paid in 1982: \$39,783 (3 payments)

## THE ROCKEFELLER BROTHERS FUND AWARDS IN ARTS EDUCATION

Total expenditures in 1982: \$221,130, including \$140,000 in grants paid (11 payments)

In 1982, the Fund conducted the second cycle in what is intended to be a five-year series of annual awards to public elementary and secondary schools with outstanding programs in arts education. Awards go to schools whose arts programs are marked by high quality and significant achievement, worthy of national recognition and emulation.

Through the awards program, the Fund hopes to enhance the quality and quantity of students' engagement with the arts by encouraging schools to sustain and expand outstanding programs, and by making these programs widely known.

The program recognizes individual public elementary and secondary schools. (In certain instances, several schools may jointly submit an application that shows unusually strong program interrelation and resource sharing, but each school must also stand on its own merits.)

To be eligible for an award, a school's arts program need not be large, elaborate, or expensive. The Fund is interested in all kinds of programs that, in the school's judgment, meet a high standard of excellence.

Schools that receive Rockefeller Brothers Fund Awards in Arts Education are not eligible to apply in subsequent program competitions.

Application information is available in a separate brochure which is available from:

Lonna Jones, Director  
Rockefeller Brothers Fund Awards in Arts Education  
1290 Avenue of the Americas  
New York, New York 10104

#### HOW TO APPLY FOR A GRANT

To qualify for a grant from 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 four areas of program activity outlined above.

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 advisors to the project, and a carefully prepared realistic budget. Attached to each proposal must be a copy of the organization's tax exemption notice and classification from the Internal Revenue Service, dated after 1969, and a copy of its most recent financial statement, preferably audited. Proposals from former grantees of the Fund will be considered only after earlier grants have been evaluated and grantees have submitted necessary reports of expenditures of those grants. Proposals should be addressed to:

Benjamin R. Shute, Jr., Secretary  
Rockefeller Brothers Fund  
1290 Avenue of the Americas  
New York, New York 10104

Although the RBF has made substantial gifts to organizations and programs in which it has considerable interest, most grants run between \$10,000 and \$75,000, and average approximately \$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 the 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 throughout the year.

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

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GRANTS APPROVED IN 1982

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NATIONAL PROGRAM:  
DOMESTIC DEVELOPMENT FINANCE

**CONEG Policy Research Center, Inc.**  
Washington, D.C.

Support for a program to provide information and technical assistance to the Northeastern region's state development agencies and authorities concerning use of the 1981 Economic Recovery Act to secure new sources of financing for business expansion and job creation, and to help prepare and publish a policy paper and hold seminars on the Act's investment incentives. **\$75,000**

**National Center for Policy Alternatives**  
Washington, D.C.

Toward the cost of a demonstration project to test whether pension fund, tax shelter, and tax-exempt revenue bond financing can be combined to reduce housing costs for the low- and moderate-income people who currently cannot afford to enter the home ownership market. **\$140,000** (over two years).

**National Rural Center**  
Washington, D.C.

To assist in the orderly termination of this organization, which since 1976 has served as a national policy research center dealing with issues of importance to rural Americans. Up to **\$60,000**

**Princeton University, Trustees of**  
Princeton, New Jersey

Support for the Director's Development Fund at the Princeton Urban and Regional Research Center. This fund is used to initiate timely urban policy research projects, to underwrite participation in urban and development finance policy meetings in Washington, and to stay closely involved in the deliberations on the government's revised "enterprise zone" proposal for tax incentives to induce more business and industrial startups and plant locations in central cities. **\$65,000**

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NATIONAL PROGRAM:  
PRODUCING AND CONSERVING BASIC RESOURCES  
PRESERVING AMERICA'S FARMLAND

**American Farmland Trust**  
Washington, D.C.

Toward the general budget of this organization, which seeks to reduce the high rate of farmland being converted to nonagricultural purposes. These efforts are carried out through federal and state public policy development, public information and research, and intervention in the open market. **\$350,000**

**Hampshire College, Trustees of  
New England Farm Center**  
Amherst, Massachusetts

Continued support for the Livestock Guarding Dog Project, which conducts research in guard dog behavior and has instituted a system for testing the dogs' effectiveness in guarding sheep against predators under a variety of conditions. The project's goal for the next 18 months is to complete the assessment of the 400 dogs placed on farms and ranches since 1978. **\$37,500** (over two years).

**New England Governors' Conference**  
Boston, Massachusetts

Renewed support for the third year of a three-year sheep demonstration project, which was launched by the New England Regional commission to demonstrate how small acreages can be retained as farmland through modern methods of sheep production. **\$75,000**

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NATIONAL PROGRAM:  
PRODUCING AND CONSERVING BASIC RESOURCES  
CONSERVING AMERICA'S WATER

**Bio-Energy Council**  
Washington, D.C.

Toward general support, and toward a program of grant awards for commercially applicable bio-energy projects. These projects will chart the economics of providing energy from the integrated use of biomass resources left over from or wasted in industrial processes, and of cleaning water for reuse, thereby conserving resources and providing for a renewable energy source. **\$100,000** (over two years).

**Center for Neighborhood Technology**  
Chicago, Illinois

Contribution toward a feasibility study of a biodegradable waste conversion utility on an urban industrial site in order to ascertain the effectiveness of improved water management and resource recovery as an economic incentive for re-industrialization. **\$30,000**

**Clean Water Fund**  
Washington, D.C.

Toward a study to identify opportunities for stimulating alternative water, waste, and resource recovery management improvements through capital and technical assistance. **\$35,000**

**Conservation Foundation, Inc.**  
Washington, D.C.

Toward establishment of a national water conservation program which will focus on developing an integrated, systematic way to solve conflicts over water management, including issues of quality and quantity, of both surface and ground-water. Findings will be shared with the public and decision-makers through publications and conferences. **\$95,000** (over two years).

**Environmental Policy Institute, Inc.**  
Washington, D.C.

Toward the planning of a national water policy project, which will include an analysis of present national water policy options, and a program of public education and debates on future direction. **\$75,000**

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NATIONAL PROGRAM:  
EMPLOYMENT POLICY AND JOB DEVELOPMENT

**Corporation for Public/Private Ventures, Inc.**  
Philadelphia, Pennsylvania

Continued support for the work of the Development Training Institute, the Corporation's national internship program in economic development and job creation. The Institute trains managers of public and private economic development corporations that serve depressed central city and rural areas, assisting them to become more effective economic development leaders in their communities. **\$350,000** (over two years).

**National Committee for Full Employment**  
Washington, D.C.

Continued support for the Jobs in Energy project, which distributes educational literature to local officials regarding efficient energy use in public buildings, sponsors and contributes support services to demonstration weatherization projects, and operates a national clearinghouse and technical assistance center for communities, towns, and cities interested in starting job-generating energy projects. **\$50,000**

**National Development Council**  
Washington, D.C.

Toward a research and training project in applying tax sheltering financing techniques to help increase the flow of capital for business and job creation programs in depressed areas. **\$60,000**

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NATIONAL PROGRAM:  
THE WELLBEING OF THE PRIVATE, NONPROFIT SECTOR

<b>Center for Responsive Governance</b> Washington, D.C.	Toward the Center's expanded study and analysis of the state of nonprofit institutions in the U.S. This study will examine the nonprofit sector in the context of the overall national service economy, and a readable baseline report, useful for public education and public policy debate during this time of federal cutbacks, will be produced. <b>\$15,000</b>
<b>National Association for the Advancement of Colored People</b> New York, New York	Toward a direct mail campaign as part of a membership expansion effort. This program is designed to increase the number of the Association's "at large" members and thereby broaden the base of financial support. <b>\$50,000</b>
<b>Nature Conservancy, The</b> Arlington, Virginia	For an in-depth study of real-estate related opportunities through which nonprofit organizations can increase self-sufficiency. <b>\$30,000</b>
<b>New York Community Trust</b> New York, New York	Toward start-up costs of the Nonprofit Energy Conservation Corporation, which will use an energy cost-reduction model, developed by the New York Energy Conservation Fund, to help nonprofit organizations across the country reduce their energy costs. <b>\$22,000</b>
<b>Northern New England Independent Schools Fund, Inc.</b> Phippsburg, Maine	Contribution toward the first-year operating budget of this organization, which raises funds for 25 independent schools in Maine, New Hampshire and Vermont from local and regional corporations. <b>\$10,000</b>
<b>Partners for Livable Places</b> Washington, D.C.	Toward the editing, production, and promotion costs of the book, <i>Enterprise in the Nonprofit Sector</i> , a study of entrepreneurial endeavors in the nonprofit sector and recommendations to improve these activities. <b>\$30,000</b>
<b>Smithsonian Institution</b> Washington, D.C.	Support for the design of an endowment strategy for the Woodrow Wilson International Center for Scholars, which brings together the leading minds in the Washington area to work on important world problems and to communicate their findings and concerns worldwide. A larger endowment would allow the Center to broaden dissemination of its work, continue experiments with new programs, and ensure its continued independence and neutrality. <b>\$22,500</b>
<b>Urban Institute, The</b> Washington, D.C.	Toward the nonprofit sector studies of the Institute's Changing Domestic Priorities project, which will analyze the effects over a period of time of the present administration's economic and social policy programs on federal governance, the federal budget, the economy, state and local governments, and the nonprofit sector. <b>\$70,000</b> (over two years).
<b>Yale University: School of Organization and Management</b> New Haven, Connecticut	Toward a pilot program of professional management student internships in nonprofit organizations in order to strengthen the private nonprofit sector by improvement in executive-level management. <b>\$20,000</b>

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NATIONAL PROGRAM:  
OTHER CRITICAL ISSUES

**Carter Presidential Library**  
Atlanta, Georgia

Toward the costs of planning the Carter Presidential Library/Center which will house presidential papers and serve as a center where discussions can be held by leaders, scholars, and students concerning critical issues confronting the country and the world. **\$50,000**

**Center for Community Change**  
Washington, D.C.

Toward the Center's core budget expenses, and toward the Center's program of technical assistance and brokering services for community and economic development organizations. This program assists such organizations to broaden their outreach to new sources of support among foundations and corporations. **\$300,000** (over two years).

**Citizens Committee for Immigration Reform, Inc.**  
Washington, D.C.

Toward the budget of this national bi-partisan organization, consisting of leaders in government, business, labor, education, religion, and the voluntary sector. Its objective is to continue public education in regard to national policy concerning aliens and immigration, thereby helping in the formulation of a responsible, equitable, efficient, and enforceable immigration and refugee policy. **\$25,000**

**Cooperative Assistance Fund**  
Washington, D.C.

Toward the general operating expenses of this unique minority economic-development venture which has provided start-up costs for minority enterprises in agriculture, venture capital, and health care. **\$10,000** (over five years).

**Northeast-Midwest Institute**  
Washington, D.C.

Toward the Institute's program of policy research, which assesses options open to the federal government on issues being considered by congressional and executive branches, with special attention to the potential impact on the Northeast-Midwest region. **\$65,000**

**Sleepy Hollow Restorations, Inc.**  
Pocantico Hills, New York

A contribution designated for a financial equilibrium and strategic planning study to be undertaken for the Restorations in connection with developing the Kykuit Historic Park at Pocantico Hills as an historic site benefiting the public. **\$75,000**

A contribution toward legal expenses, design fees, and architectural and engineering expenses incurred by Sleepy Hollow in connection with the development of the Kykuit Historic Park at Pocantico Hills. Up to **\$100,500**

A further contribution toward legal expenses, design fees, and architectural and engineering expenses incurred by Sleepy Hollow in connection with the development of the Kykuit Historic Park at Pocantico Hills. Up to **\$60,000**

**Voter Education Project, Inc.**  
Atlanta, Georgia

Toward the costs of rebuilding the organizational and voter law monitoring capacities of one of the most important voter organizations in the South. **\$50,000**

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NEW YORK CITY PROGRAM:  
GOVERNMENTAL EFFICIENCY

**Columbia University in the City of  
New York, Trustees of**  
New York, New York

Continued support for the Setting Municipal Priorities Project, which provides independent budgetary and policy analysis essential for long-range planning for the City of New York. **\$25,000**

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NEW YORK CITY PROGRAM:  
ECONOMIC GROWTH AND STABILIZATION

**Economic Development Council of  
New York City, Inc.**  
New York, New York

Toward the design and implementation of a new nonprofit housing corporation and trust fund. Such an institution will strengthen local neighborhoods through stimulating the building of affordable housing, and will revitalize the private residential construction industry by expediting the housing rehabilitation and new construction process. The trust fund will provide subsidies to lower- and moderate-income home purchasers in areas where sales prices are less than development costs. **\$150,000** (over two years).

**Local Development Corporation of  
East New York**  
New York, New York

Support for a local labor force analysis to complement the efforts of this LDC to attract and retain industries in East Brooklyn, leading to the development of a model employment data bank through which employers can fill their job openings with available members of the community. **\$43,732**

**Marymount Manhattan College  
Malcolm-King: Harlem College Extension**  
New York, New York

Toward the planning and implementation of a business development institute in the Harlem community that will include retail management program for street vendors and new small businesses, and provide the small and minority business community with better knowledge of foreign trade principles in order to compete successfully in the new 125th Street shopping mall, which includes an international trade center. **\$33,000**

**New York Chamber of Commerce  
Educational Foundation, Inc.**  
New York, New York

Toward the creation, by the Private Industry Council, of several prototype job placement and training programs designed to stimulate private job generation for unemployed young people. At the end of the project, analysis and evaluation will be presented to the New York City business community. **\$100,000** (over two years).

Contribution toward the First Annual Conference on New York City Public Transit, designed to initiate a forum where officials and public groups can cooperatively consider public transit programs, policies, and performance in the context of longer-term goals, and can raise and analyze new ideas and policies in a non-controversial setting. **\$5,000**

**Project for Public Spaces, Inc.**  
New York, New York

Toward the development of a model assistance program for merchant associations and local nonprofit corporations, designed to stimulate improvement and reverse the tide of deterioration of commercial districts where people of different racial, economic and social backgrounds can mix relatively comfortably and which are sources of jobs and revenues for surrounding localities. **\$20,000**



**South Bronx Overall Economic Development Corporation**

New York, New York

A contribution toward the administrative expenses of this local community development agency's business services unit, and assistance toward bridging the period from heavy reliance on government funding to income-generating projects. **\$70,000** (over two years).

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NEW YORK CITY PROGRAM:  
EMPLOYMENT AND SKILL DEVELOPMENT

**Economic Development Council of New York City, Inc.**

**New York City Partnership, Inc.**

New York, New York

Toward the Summer Jobs for Youth/82 Program of the New York City Partnership. This program is designed to obtain from the City's business organizations summer jobs for economically disadvantaged New York City youth between the ages of 16 and 21. **\$25,000**

**State Communities Aid Association**

New York, New York

Toward a project to help State legislators develop clear and less duplicative guidelines for training and employment programs responsive to the needs of the structurally unemployed. **\$40,000** (over two years).

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NEW YORK CITY PROGRAM:  
CREATIVE LIVING ENVIRONMENT

**Amigos del Museo del Barrio**

New York, New York

Toward a project to strengthen the development and public relations program of the museum so as to enable it to increase private donations and earned income for its future growth. **\$70,900** (over 18 months).

**Association of Black Social Workers  
Child Adoption, Counseling and Referral  
Service, Inc.**

New York, New York

A contribution toward this program designed to help youth to learn facts and think through their values and goals in order to make informed, responsible choices about sexuality, birth control, pregnancy, and parenting, and to help parents learn to cope with adolescent problems that may require special understanding. **\$45,000**

**Clearinghouse for Arts Information**

New York, New York

Toward the completion of the development and publication of a funding guide for the arts in New York City. This guide will contain information concerning specific activities and interests of foundations and corporations who have indicated an interest in the arts in the City, and will be available to all groups seeking assistance in this field. **\$5,000**

**Cultural Council Foundation**

New York, New York

Toward the expansion of the Foundation's program of providing technical management and financial assistance to several small- and medium-size arts organizations. This program includes implementation of a newly developed computerized financial reporting program designed to help these visual, literary, and performing arts groups become administratively self-sufficient. **\$20,000**

**Educational Broadcasting Corporation:  
Channel Thirteen**

New York, New York

Toward a study to identify various options for new revenue generation available to the Corporation, thereby leading to the formulation and implementation of an appropriate business and management plan. **\$75,000** (over two years).

**Housing Conservation Coordinators, Inc.**

New York, New York

Support for a program providing technical assistance to strengthen and further develop a successful project which has helped low- and marginal-income families purchase, renovate, and co-op their apartment buildings, many of which had been abandoned by landlords. **\$33,000**

<p><b>Museum of American Folk Art</b> New York, New York</p>	<p>Toward expansion of the museum's development program by providing funds for an assistant development officer, enabling the museum to initiate a full-scale corporate and a pilot individual membership drive and to pursue foundation and corporate funding of special projects. <b>\$14,000</b></p>
<p><b>Neighborhood Housing Services of Jamaica, Inc.</b> <b>Neighborhood Housing Services of New York</b> New York, New York</p>	<p>Toward expansion of a project whereby an organization of neighborhood boards offers comprehensive rehabilitation and financial services to small homeowners, thus stimulating reinvestment in and stemming the potential decline of important New York City neighborhoods. <b>\$50,000</b></p>
<p><b>New York Community Trust</b> New York, New York</p>	<p>Toward an experimental program originated by several New York City foundations to test the use of community planning boards as vehicles for helping communities plan programs which make the maximum use of existing resources for increased 1982 summer youth recreation programs. <b>\$25,000</b></p>
<p><b>Off Off Broadway Alliance, Inc.</b> New York, New York</p>	<p>Toward a new marketing and development program, by the Alliance, now known as the Alliance of Resident Theatres of New York, including a joint subscription campaign, a hotline for information on theaters, and joint computerized mailing lists. This program is focused on increasing audiences and earned income for member theaters in order that they may decrease reliance on subsidy from outside sources. <b>\$35,000</b> (over two years).</p>
<p><b>South Street Seaport Museum</b> New York, New York</p>	<p>Toward the expenses of the financial development office of the Museum, during a time of planning for a major fundraising effort designed to meet immediate and long-term needs. <b>\$30,000</b></p>
<p><b>Southern Queens Park Association, Inc.</b> New York, New York</p>	<p>Toward development of a strategic business marketing and fundraising plan for this Association, which was formed at the request of the New York City Department of Parks and Recreation, and is the local planning unit for a community park that is intended to serve as a multipurpose recreation center, and economic development and employment generator, in Southern Queens. <b>\$75,000</b> (over two year).</p>
<p><b>United Neighborhood Houses of New York, Inc.</b> New York, New York</p>	<p>Toward staff support and assistance to improve management, fundraising, and program development in order for UNH to continue to provide broad-based leadership to the neighborhood settlement movement throughout the City. <b>\$150,000</b> (over three years).</p>
<p><b>United Parents Association of New York City, Inc.</b> New York, New York</p>	<p>Continued support toward the general expenses of the Educational Priorities Panel, a coalition of voluntary groups concerned about the quality of New York City public education. EPP works toward an educational budget which reflects parent and citizen concern priorities and a better managed Board of Education. <b>\$30,000</b></p>

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NEW YORK CITY PROGRAM:  
SPECIAL PROJECTS

**Harlem Interfaith Counseling Service, Inc.**  
New York, New York

Toward a building project for a new center to house community-based mental health, family-life, education and counseling services for the Harlem community. **\$100,000** (over two years).

**New Business Ventures for  
Not-for-Profit Organizations, Inc.**  
New York, New York

Toward a program of assistance to nonprofit organizations in creating entrepreneurial profit-making ventures that will generate new income for their programs, thereby helping these organizations to become more self-sustaining. **\$25,000** (over two years).

**New York Public Library Astor,  
Lenox and Tilden Foundations**  
New York, New York

Contribution to the President's Discretionary Fund, established to enable the library to obtain both short- and long-term technical assistance and management skills. **\$60,000**

**Union Church of Pocantico Hills**  
Pocantico Hills, New York

General budgetary support over the next three-year period while the church membership develops plans for meeting a new budget. **\$25,000** (over three years).

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INTERNATIONAL PROGRAM:  
INTERNATIONAL COOPERATION

**Africa News Service, Inc.**  
Durham, North Carolina

Continued general budgetary support for this organization, which draws upon the work of a group of proven correspondents in Africa and has become a credible and resourceful information base for news and feature materials on Africa for print and broadcast media use in the U.S. and overseas. **\$30,000** (over two years).

**Agricultural Development Council, Inc.**  
New York, New York

Contribution toward a series of international seminars, co-sponsored with two Japanese organizations, designed to strengthen dialogue among Asian and non-Asian rural development specialists on critical agricultural and rural development issues in Asia. **\$75,000** (over three years).

**American Council of Learned Societies**  
New York, New York

Toward a special program of emergency aid for Polish scholars, scientists, and artists stranded in North America and Western Europe at the time martial law was declared in Poland in December, 1981. This emergency aid program was planned jointly by the Fund and the Rockefeller and Ford foundations. **\$25,000**

**Arts International, Inc.**  
Washington, D.C.

A challenge grant toward a fundraising campaign needed to ensure the continuance of services. Arts International seeks to stimulate and foster issues and to inform people concerning international art exchanges and opportunities for assistance in international arts, and to develop new projects to stimulate interest in this field and new ideas to reinforce the flow of international communications through the arts. Up to **\$100,000** (over two years).

**Asia Society, Inc., The**  
New York, New York

Toward the launching of a program entitled "A New Era in U.S.-Asia Relations: Public Understanding," which is designed to improve American-Asian relations through increased cultural understanding. **\$75,000** (over three years).

**Chinese University of Hong Kong, The**  
Hong Kong

Toward an international conference to address the successes and failures of the modernization process in Asian societies and changes which social structures have undergone in three distinct, but historically linked, Chinese cultures—the People’s Republic, Hong Kong, and Taiwan. It is hoped that the conference will lead to the development of long-term information exchanges between social scientists in these societies and with Singapore. **\$12,640**

**Columbia University in the City of  
New York, Trustees of: Center for  
United States-China Arts Exchange**  
New York, New York

Toward costs of establishing a Hong Kong subsidiary to manage the annual Hong Kong International Arts Exchange Festival, which will bring professional musicians from the U.S. to perform and conduct master classes in Hong Kong for those sent by the People’s Republic of China for this purpose as well as for local musicians. **\$25,000**

Toward a conference on arts education at the secondary school level in order that the Chinese may observe the American approach to arts education theories and practices. This conference, co-sponsored with the People’s Republic of China Ministries of Culture and Education, was held in Beijing and Shanghai in October, 1982. **\$60,500**

Continued general support for the Center, which assists individuals, groups and institutions interested in becoming involved in arts-related projects with the People’s Republic of China by organizing a program of cultural exchanges, in music and the visual and performing arts, between those interested and the People’s Republic. **\$62,000** (over two years).

**Council on Foundations, Inc.**  
**Grantmaking International**  
Washington, D.C.

Toward the work of this project of the Council, which will carry out recommendations from a study that points out the lack of knowledge about global interdependence and about the relationship between international and domestic issues. Emphasis will be placed on information and educational programs to help funders become more familiar with and learn how to analyze opportunities for international grantmaking. **\$25,000**

**Economic Perspectives, Inc.**  
McLean, Virginia

Toward an analysis of the Polish agricultural situation, a planning initiative sponsored in cooperation with the Rockefeller Foundation, in order to explore possibilities for assistance in the revitalization of the agricultural sector in Poland if political changes occur which would allow practical non-political work to go forward. Up to **\$25,000**

**Japan Center for International Exchange**  
Tokyo, Japan

Continued support toward this private, nonprofit organization’s program of conferences, exchange programs and research projects. Involving scholars and diplomats from the U.S., Japan and other Asian countries, these aim to stimulate discussion of policy issues significant to U.S.-Asian relations and to encourage policy decision-making to reflect the Pacific community interests. **\$60,000** (over two years).

**Maru a Pula Foundation**  
Gaborone, Botswana

Renewed scholarship support for Maru a Pula, an international, multiracial, coeducational private secondary school which enrolls students of all races and socioeconomic backgrounds from countries throughout southern and central Africa. **\$30,000** (over three years).

**Ramon Magsaysay Award Foundation**  
Manila, Philippines

Toward the twenty-fifth Ramon Magsaysay Awards. Up to five awards are presented each year by the Ramon Magsaysay Award Foundation to those persons (or organizations) in Asia "who exemplify the greatness of spirit, integrity, and devotion to freedom of Ramon Magsaysay," former President of the Philippines. Awards are made in five categories: government service, public service, community leadership, international understanding, journalism and literature. The awards are widely known in Asia, where they are regarded as accolades of high distinction. **\$50,000**

**Smithsonian Institution**  
Washington, D.C.

Toward a working reserve fund for the Latin American Program of the Woodrow Wilson International Center for Scholars, which aims to improve mutual exchange and analysis among scholars, business executives, government officials, media figures, and representatives of international organizations, churches, labor, and foundations, regarding inter-American affairs, with increased emphasis on the wider Caribbean area. **\$75,000** (over three years).

A contribution to the Woodrow Wilson International Center for Scholars toward a dialogue on inter-American relations among Latin American, Caribbean, and North American leaders to help reverse a widely perceived deterioration in these relations. Basic economic, political, and social issues will be examined, and a report on the state of these relations and suggested means of improving them will follow. **\$10,000**

**Trilateral Commission, The**  
(North America)  
New York, New York

For general support of the Commission, a forum for interchange and analysis among private leaders in Europe, Japan, and North America. **\$240,000** (over three years).

**United Nations Association of the**  
**United States of America**  
New York, New York

Toward an American-Japanese Parallel Studies Program on critical policy issues affecting Japanese-American relations. It will focus on security issues, which have been subject to continued misunderstanding, as well as on the ever-changing international security and political environment, and will involve representation from governments, business, labor, news media, defense policy and the general public. **\$50,000** (over two years).

**Waterford-kaMhlaba Treasury Association**  
Mbabane, Swaziland

Renewed scholarship support for the Waterford-kaMhlaba School, a multiracial school in southern Africa providing university-oriented secondary education. Scholarships are instrumental in helping poor, bright Africans, who are potential leaders of their countries, receive an outstanding educational background. **\$30,000** (over three years).

**Wharton Econometric Forecasting**  
**Associates**  
Washington, D.C.

Toward an analysis of the potential role of the U.S. private sector in the revitalization of Polish agriculture. This will include a study of the present structure and functions of the Polish agricultural system, and the identification of strategies for private sector assistance, conditions under which such assistance should be offered, and of resources necessary and available to implement such strategies. **\$10,000**

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INTERNATIONAL PROGRAM:  
ECO-DEVELOPMENT

**Fund for Multinational  
Management Education**  
New York, New York

Toward a project to devise and begin the implementation of a strategy to build a viable aquaculture industry in Jamaica. This project will include an analysis of aquaculture experience to date in Jamaica and in other developing countries, the involvement of public- and private-sector Jamaicans and representatives from other countries in devising a strategy for a viable aquaculture industry, and technical support to facilitate the implementation of an agreed-upon strategy. **\$25,000**

**Fundacion Luis Munoz Marin, Inc.**  
San Juan, Puerto Rico

Toward the acquisition of the homesite of Luis Munoz Marin, former governor of the Commonwealth of Puerto Rico, and its conversion into a museum/library as a memorial to this outstanding leader. It is anticipated that this museum/library will be expanded into an academic research institute. **\$50,000**

**Harvard University:  
Center for International Affairs**  
Cambridge, Massachusetts

Toward a project to analyze the economic, social, and political problems of the micro-state countries in the Eastern Caribbean, which stretch from the Virgin Islands to Grenada, and to attempt to chart an economic and political course for this area over the next decade. **\$7,000**

**International Federation of Institutes  
for Advanced Study**  
Solna, Sweden

A contribution toward a special fund to help members of the Federation from developing countries participate more fully in the Institute's projects, and to encourage them to undertake their own initiatives to help find solutions to such global problems as hunger, unemployment and environmental degradation. **\$30,000** (over two years).

**Pan American Development  
Foundation, Inc.**  
Washington, D.C.

Toward expenses of a seminar on fundraising, which will suggest creative opportunities and innovative methods for raising funds and finding volunteers to support national development foundation projects and activities. This seminar will be presented to representatives of such organizations throughout Latin America and the Caribbean. **\$10,000**

**Partnership for Productivity  
International, Inc.**  
Washington, D.C.

Contribution toward the completion of a Caribbean Initiative Study, initiated in 1981, which assessed the current status of small Caribbean businesses, their growth opportunities, and potential sources of financial and organizational support. This study should result in the development of a systematic approach for small-business assistance in the entire Caribbean region. **\$5,000**

**Private Agencies Collaborating  
Together, Inc.**  
New York, New York

Renewed support for the Supportive Activities Fund, which encourages collaboration among private development agencies in Africa, Asia, and Latin America by making possible the exchange of technical assistance, workshops and training courses, publications for program dissemination, and assistance in improved fundraising project evaluation, and other initiatives that increase effectiveness. **\$25,000** (over two years).

**Save the Children Federation**  
Westport, Connecticut

Support toward the second phase of the International Community Leadership Project that will bring 30 community leaders from North and South America to the United States to assess community development and encourage local interest in self-help advancement. This project will lead to the publishing of a handbook detailing what was learned and a plan for ongoing exchange of ideas. **\$15,000**

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INTERNATIONAL PROGRAM:  
HUMAN DIGNITY, INDIVIDUAL LIBERTIES, AND THE LAW

**International League for Human Rights,  
Inc., The**  
New York, New York

Contribution toward general budgetary expenses for the Lawyers Committee for International Human Rights, a program which mobilizes lawyers from law firms, corporations, government services, and academia in the New York area to volunteer their aid by reporting civil liberties and human rights violations in particular countries to international organizations, and by intervening on behalf of selected individual cases regarding the violations of these rights. **\$50,000** (over two years).

General budgetary support for this oldest general purpose international human rights group dedicated to the promotion and protection of human dignity and individual liberty. The League has established human rights groups throughout the world and has encouraged them to become more actively involved in civil and political liberties and the promotion of economic and social rights. **\$10,000**

**Legal Resources Trust**  
Johannesburg, South Africa

Continued budgetary support for the Legal Resources Centre in Johannesburg, South Africa, which promotes the use of law as a peaceful and constructive means of redress and progress, and contributes to the removal of unfairness in the administration of justice. **\$75,000** (over three years).

**Overseas Education Fund of the  
League of Women Voters**  
Washington, D.C.

For emergency support during a period of time in which alternative funding arrangements are being made for the Women in Law and Development Program. This program addresses issues of legal reform, legal education, and the delivery of legal assistance to low-income women in Costa Rica, Nicaragua, and Honduras. **\$10,000**

**Procedural Aspects of International  
Law Institute, Inc.**  
Washington, D.C.

Contribution to the Institute's international human rights law group which promotes human dignity and individual liberties domestically as well as internationally through involvement in human rights cases, consultations on international human rights laws and procedures, educational conferences for the law profession, and as an information resource center. **\$50,000** (over two years).

**South Africa Institute of  
Race Relations**  
Johannesburg, South Africa

Toward expenses in establishing the Domestic Workers Legal Advice Office of the Domestic Workers and Employers Project, which acts as the first step in presenting complaints of domestic workers to their employers, thereby relieving the Institute's Legal Resources Centre from involvement in cases where the disputes can be handled without formal legal services or litigation. **\$20,000** (over two years).

**Survival International**  
London, England

Toward general budgetary expenses of this organization which needs to expand its program of research, publicity, publications, and field project support in order to continue protecting the rights and promoting the needs of threatened indigenous peoples throughout the world. **\$15,000**

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ARMS CONTROL/SECURITY PROGRAM

**American Academy of Arts  
and Sciences**  
Cambridge, Massachusetts

Toward the European Security Study, which will examine the need and potential for improving the effectiveness of NATO's conventional forces in Germany. This study is being undertaken in response to the growing realization of the extent to which the west is relying on a nuclear deterrent to Soviet aggression in Europe. **\$35,000**

**Harvard University:  
Center for Science and International Affairs,  
John F. Kennedy School of Government**  
Cambridge, Massachusetts

Toward the costs of a conference, "The Nuclear Weapons Freeze and Arms Control," which will bring together those interested in nuclear freeze proposals, arms control specialists, government officials, and public interest leaders to examine the various initiatives and proposals for a nuclear arms freeze. **\$20,000**

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PHILANTHROPIC SERVICE ORGANIZATIONS

**Council on Foundations, Inc.**  
Washington, D.C.

A membership grant for 1983 to this organization which serves grantmaking institutions. **\$16,000**

**Foundation Center, The**  
New York, New York

A contribution toward the general budgetary expenses of this organization, which serves as a public research center for all interested in private funding sources. The Center provides a place where all public documents and reports can be consulted, and informed assistance is available in its own offices and in cooperative libraries across the country. **\$25,000**

**Independent Sector**  
Washington, D.C.

A membership grant to this organization, which works to improve public understanding of the importance of the independent sector to freedom in a pluralistic society, and to encourage individual giving and volunteering. **\$5,000**

**New York Regional Association  
of Grantmakers**  
New York, New York

For continued membership in this organization which provides opportunities for communication with other area grantmakers and coordinates special meetings on specific program topics for its members and other interested grantmakers. **\$5,000**



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ROCKEFELLER BROTHERS FUND AWARDS IN ARTS EDUCATION

**American Academy of Arts  
and Sciences**  
Cambridge, Massachusetts

Toward the preparation of an issue of *Daedalus*, a journal published by the Academy, that will include papers on the first-year winners of the Rockefeller Brothers Fund awards in Arts Education. **\$70,000**

The following ten schools received Rockefeller Brothers Fund Awards in Arts Education in 1982. The award, a grant of **\$10,000** for the school's art program, is given in recognition of excellence in arts curricula and teaching.

**Fillmore Arts Center**  
Washington, D.C.

**German Central Elementary School**  
McClellandtown, Pennsylvania

**Harding Junior High School**  
Cedar Rapids, Iowa

**High School of Art and Design**  
New York, New York

**Horace Mann Elementary School**  
Beverly Hills, California

**Mamaroneck High School**  
Mamaroneck, New York

**Maple Dale-Indian Hill School District**  
Milwaukee, Wisconsin

**Northside School of Arts**  
Atlanta, Georgia

**Scarborough Elementary Unit**  
Scarborough, Maine

**Swain County High School**  
Bryson City, North Carolina

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PAYMENTS MADE IN 1982 AND GRANTS OUTSTANDING

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Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>NATIONAL PROGRAM:</b>				
<b>DOMESTIC DEVELOPMENT FINANCE</b>				
(\$328,143 Paid)				
<b>CONEG Policy Research Center, Inc.</b>				
Washington, D.C.				
Development finance policy project	75,000		75,000	
<b>National Center For Policy Alternatives</b>				
Washington, D.C.				
Housing finance project	140,000		90,643	49,357
<b>National Rural Center, The</b>				
Washington, D.C.				
Termination Costs	60,000		47,500	12,500(1)
<b>Northeast Economic Action Research Corporation</b>				
Boston, Massachusetts				
Federal credit program evaluation and LRG Project	150,000*	75,000	75,000	
<b>Princeton University, Trustees of</b>				
Princeton, New Jersey				
Urban and Regional Research Center	65,000		40,000	25,000
<hr/>				
<b>NATIONAL PROGRAM: FARMLAND PRESERVATION</b>				
(\$450,000 Paid)				
<b>American Farmland Trust</b>				
Washington, D.C.				
General budget	350,000		350,000	
<b>Hampshire College, The Trustees of</b>				
Amherst, Massachusetts				
Guard dog project	37,500		25,000	12,500
<b>New England Governors' Conference</b>				
Boston, Massachusetts				
Sheep project	75,000		75,000	
<hr/>				
<b>NATIONAL PROGRAM: WATER</b>				
(\$305,000 Paid)				
<b>Bio-Energy Council</b>				
Washington, D.C.				
Grant awards and general support	100,000		100,000	
<b>Center For Neighborhood Technology</b>				
Chicago, Illinois				
Waste conversion feasibility study	30,000		30,000	

(1)Lapsed

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>Clean Water Fund</b>				
Washington, D.C.				
Recovery improvements	35,000		35,000	
<b>Conservation Foundation, Inc.</b>				
Washington, D.C.				
National water policy program, survey	95,000		65,000	30,000
<b>Environmental Policy Institute, Inc.</b>				
Washington, D.C.				
National water policy project	75,000		75,000	
<hr/>				
NATIONAL PROGRAM: EMPLOYMENT POLICY AND JOB DEVELOPMENT (\$322,500 Paid)				
<b>Corporation For Public/Private Ventures, Inc.</b>				
Philadelphia, Pennsylvania				
Development Training Institute	350,000		212,500	137,500
<b>National Committee For Full Employment</b>				
Washington, D.C.				
Jobs in energy	50,000		50,000	
<b>National Development Council</b>				
Washington, D.C.				
Tax sheltering investment project	60,000		60,000	
<hr/>				
NATIONAL PROGRAM: THE WELLBEING OF THE PRIVATE NONPROFIT SECTOR (\$269,000 Paid)				
<b>Center for Responsive Governance</b>				
Washington, D.C.				
State of voluntary sector report	15,000		15,000	
<b>National Association for The Advancement of Colored People</b>				
New York, New York				
Membership project	50,000		50,000	
<b>Nature Conservancy, The</b>				
Arlington, Virginia				
Creative real estate ventures	30,000		30,000	
<b>New York Community Trust</b>				
New York, New York				
Nonprofit Energy Conservation Corporation	22,000		22,000	
<b>Northern New England Independent Schools Fund, Inc.</b>				
Phippsburg, Maine				
First year operating budget	10,000			10,000
<b>Partners For Livable Places</b>				
Washington, D.C.				
Publication of <i>Enterprise in the Nonprofit Sector</i>	30,000		30,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>Smithsonian Institution</b>				
Washington, D.C.				
Woodrow Wilson International Center	22,500		22,500	
<b>Urban Institute, The</b>				
Washington, D.C.				
Changing Domestic Priorities project	70,000		45,000	25,000
<b>Yale University</b>				
New Haven, Connecticut				
Program on Non-Profit Organizations	70,000*	35,000	35,000	
School of Organization and Management	20,000		20,000	
<hr/>				
NATIONAL PROGRAM: OTHER CRITICAL ISSUES (\$5,034,057 Paid)				
<b>Archaeological Conservancy</b>				
Sante Fe, New Mexico				
Revolving acquisition fund	150,000*	100,000	50,000	
<b>Arts, Education and Americans, Inc.</b>				
New York, New York				
General budget	250,000*	244,643	5,357	
<b>Carter Presidential Library</b>				
Atlanta, Georgia				
Planning costs	50,000		50,000	
<b>Center for Community Change</b>				
Washington, D.C.				
Core budget and community economic development program	300,000		150,000	150,000
<b>Citizens Committee For Immigration Reform, Inc.</b>				
Washington, D.C.				
General budget	25,000		25,000	
<b>Cooperative Assistance Fund</b>				
New York, New York				
Operating expenses	10,000		2,000	8,000
<b>Cornell University</b>				
Ithaca, New York				
Program of Agriculture and Environment Values, College of Agriculture and the Life Sciences	25,000*			25,000
<b>Enterprise Foundation, Inc., The</b>				
Columbia, Maryland				
Start-up costs	150,000*		75,000	75,000
<b>National Audubon Society</b>				
New York, New York				
Environmental Policy Department	75,000*	25,000	25,000	25,000
<b>Neurosciences Research Foundation, Inc.</b>				
Jamaica Plain, Massachusetts				
Neurosciences Institute	105,000*	35,000	35,000	35,000

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>New York Institute of Technology</b>				
Old Westbury, New York				
New York College of Osteopathic Medicine	2,500,000*	525,000	440,000	1,535,000
<b>Northeast-Midwest Institute</b>				
Washington, D.C.				
Policy research program	65,000		65,000	
<b>Partners For Livable Places</b>				
Washington, D.C.				
Economics of Amenity Program	150,000*	15,000	35,000	100,000
<b>Population Council, Inc., The</b>				
New York, New York				
Special contribution	2,600,000*	1,500,000	600,000	500,000
<b>Puerto Rican Legal Defense and Education Fund</b>				
New York, New York				
General budget	100,000*	70,000	20,000	10,000
<b>Rockefeller University, The</b>				
New York, New York				
Capital funds	7,500,000*	2,500,000	2,500,000	2,500,000
Joint M.D./Ph.D. Program	400,000*	200,000	200,000	
Joint advanced clinical training program	650,000*	300,000	350,000	
<b>Sleepy Hollow Restorations, Inc.</b>				
Tarrytown, New York				
Pocantico Estate Plan, principal	15,000,000*			15,000,000
Cambridge Associates Study	75,000		75,000	
Kykuit Historic Park	100,500		100,500	
Expenses	60,000		56,200	3,800
<b>United Negro College Fund, Inc.</b>				
New York, New York				
Capital resources development program	750,000*	390,000	125,000	235,000
<b>Voter Education Project, Inc.</b>				
Atlanta, Georgia				
Reestablish general program	50,000		50,000	
NEW YORK CITY PROGRAM: GOVERNMENTAL EFFICIENCY (\$25,000 Paid)				
<b>Columbia University in The City of New York, The Trustees of</b>				
New York, New York				
Setting Municipal Priorities Project	25,000		25,000	
NEW YORK CITY PROGRAM: ECONOMIC GROWTH AND STABILIZATION (\$291,732 Paid)				
<b>Brooklyn Academy of Music</b>				
Brooklyn, New York				
BAM Local Development Corporation	50,000*	25,000	15,000	10,000

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>Citizens Committee for New York City, Inc.</b> New York, New York General budget	40,000*	25,000	15,000	
<b>Economic Development Council of New York City, Inc.</b> New York, New York Design and implementation of a new nonprofit housing corporation and trust fund	150,000		100,000	50,000
<b>Forty-Second Street Local Development Corporation</b> New York, New York Revolving reserve fund	150,000*	50,000		100,000
<b>Local Development Corporation of East New York</b> New York, New York Employment study	43,732		43,732	
<b>Marymount Manhattan College</b> New York, New York Malcolm-King: Harlem College Extension	33,000		33,000	
<b>New York Chamber of Commerce Educational Foundation, Inc.</b> New York, New York First Annual Conference on New York City Public Transit	5,000		5,000	
<b>New York Interface Development Project, Inc.</b> New York, New York Industrial Retention Project	62,000*	37,000	25,000	
<b>Project for Public Spaces, Inc.</b> New York, New York Improve commercial districts project	20,000		20,000	
<b>South Bronx Overall Economic Development Corporation</b> Bronx, New York Administrative expenses, business services unit	70,000		35,000	35,000
<hr/>				
NEW YORK CITY PROGRAM: EMPLOYMENT AND SKILL DEVELOPMENT (\$100,000 Paid)				
<b>Economic Development Council of New York City, Inc.</b> New York, New York Summer jobs for youth	25,000		25,000	
<b>New York Chamber of Commerce Educational Foundation, Inc.</b> New York, New York Private Industry Council jobs for youth program	100,000		50,000	50,000

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>State Communities Aid Association</b>				
New York, New York				
Employment and training system	40,000		25,000	15,000
<hr/>				
NEW YORK CITY PROGRAM: CREATIVE LIVING ENVIRONMENT (\$671,200 Paid)				
<b>Amigos del Museo del Barrio</b>				
New York, New York				
Development office	70,900		70,900	
<b>Association of Black Social Workers Child Adoption, Counseling and Referral Service, Inc.</b>				
New York, New York				
Teenage pregnancy prevention and family crisis programs	45,000		45,000	
<b>Bryant Park Restoration Corporation</b>				
New York, New York				
Administrative expenses	185,000*	75,000	60,000	50,000
<b>Children's Art Carnival, The</b>				
New York, New York				
Expanded administrative staff	50,000*	40,000	10,000	
<b>Clearinghouse for Arts Information</b>				
New York, New York				
NYC Arts Funding Guide	5,000		5,000	
<b>Cultural Council Foundation</b>				
New York, New York				
Financial reporting program	20,000		20,000	
<b>Dance Theater Workshop, Inc.</b>				
New York, New York				
Membership service program	35,000*	20,000	15,000	
<b>Educational Broadcasting Corporation</b>				
New York, New York				
Financial and business studies	75,000		37,500	37,500
<b>Housing Conservation Coordinators, Inc.</b>				
New York, New York				
Technical assistance program	33,000		16,500	16,500
<b>Legal Aid Society</b>				
New York, New York				
Expanded volunteer division	75,000*	55,000	20,000	
<b>Museum of American Folk Art</b>				
New York, New York				
Development program	14,000		14,000	
<b>Neighborhood Housing Services of Jamaica, Inc.</b>				
Jamaica, New York				
Initial costs, Neighborhood Housing Services of New York	50,000		50,000	

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>New York Community Trust</b>				
New York, New York				
Summer youth program	25,000		25,000	
<b>Off Off Broadway Alliance, Inc.</b>				
New York, New York				
Marketing strategy	35,000		25,000	10,000
<b>South Street Seaport Museum</b>				
New York, New York				
Financial development office	30,000		30,000	
<b>Southern Queens Park Association, Inc.</b>				
Jamaica, New York				
Financial development program	75,000		37,500	37,500
<b>Studio Museum in Harlem, Inc., The</b>				
New York, New York				
Renovation new building—matching grant	100,000*	30,200	69,800	
<b>Symphony Space, Inc., The</b>				
New York, New York				
Administrative staff	35,000*	20,000	15,000	
<b>TAG Foundation, Ltd.</b>				
New York, New York				
Audience development campaign	25,000*	15,000		10,000(2)
<b>United Parents Associations of New York City, Inc.</b>				
New York, New York				
Educational Priorities Panel	30,000		30,000	
<b>United Neighborhood Houses of New York, Inc.</b>				
New York, New York				
Assistance program for member agencies	150,000		75,000	75,000
NEW YORK CITY PROGRAM: SPECIAL PROJECTS (\$1,307,000 Paid)				
<b>Cornell University</b>				
Ithaca, New York				
Basic science and research programs of the Medical College	500,000*	200,000	100,000	200,000
<b>Harlem Interfaith Counseling Service, Inc.</b>				
New York, New York				
Building project	100,000		100,000	
<b>Memorial Sloan-Kettering Cancer Center</b>				
New York, New York				
Capital funds	2,500,000*	830,000	800,000	870,000
<b>New Business Ventures for Not-For-Profit Organizations, Inc.</b>				
New York, New York				
Assistance to nonprofit organizations	25,000		15,000	10,000

(2) Lapsed

\*Appropriation made prior to 1982



Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>New York Public Library Astor, Lenox and Tilden Foundations</b>				
New York, New York				
Renovation and endowment for gallery	1,000,000*	250,000	250,000	500,000
President's Discretionary Fund	60,000		30,000	30,000
<b>Union Church of Pocantico Hills</b>				
Tarrytown, New York				
General budget	25,000		12,000	13,000
INTERNATIONAL PROGRAM: INTERNATIONAL COOPERATION (\$576,684 Paid)				
<b>Africa News Service, Inc.</b>				
Durham, North Carolina				
General budget	30,000		20,000	10,000
<b>Agricultural Development Council, Inc.</b>				
New York, New York				
Asian agricultural and rural development seminars	75,000		25,000	50,000
<b>American Council of Learned Societies</b>				
New York, New York				
Emergency assistance for Polish scholars	25,000		25,000	
<b>Arts International, Inc.</b>				
Washington, D.C.				
General budget	100,000			100,000
<b>Asia Society, Inc., The</b>				
New York, New York				
Public Affairs Department	75,000		25,000	50,000
<b>Center For Inter-American Relations, Inc.</b>				
New York, New York				
Start-up costs for Arts International	150,000*	75,000	75,000	
<b>Chinese University of Hong Kong, The</b>				
Hong Kong				
Conference on modernization and Chinese culture	12,640			12,640
<b>Columbia University in The City of New York, The Trustees of New York, New York</b>				
Hong Kong Center, Center for United States- China Arts Exchange	25,000			25,000
Arts education conference in The People's Republic of China	60,500		60,500	
General budget, Center for U.S.-China Arts Exchange	62,000		32,000	30,000
<b>Council on Foundations, Inc.</b>				
Washington, D.C.				
Grantmaking International	25,000		25,000	

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>Economic Perspectives, Inc.</b>				
McLean, Virginia				
Analysis of Polish agricultural situation	25,000		17,634	7,366
<b>Harvard University</b>				
Cambridge, Massachusetts				
Center for International Affairs—Program on U.S.-Japan relations	60,000*	20,000	20,000	20,000
<b>University of Hong Kong</b>				
Hong Kong				
Center for Urban Studies and Urban Planning	37,000*	20,000	17,000	
<b>International House of Japan, Inc., The</b>				
Tokyo, Japan				
Publishing projects	15,000*			15,000
<b>Japan Center for International Exchange</b>				
Tokyo, Japan				
Asian Dialogues Program	40,000*	20,000	20,000	
General budgetary expenses	60,000		30,000	30,000
<b>Japan Society, Inc.</b>				
New York, New York				
75th Anniversary Celebration	75,000*	61,750	13,250	
<b>Maru A Pula Foundation</b>				
Gaborone, Botswana				
Scholarship support	30,000		10,000	20,000
<b>Pan Pacific Community Association</b>				
Washington, D.C.				
General budget	20,000*	10,000	10,000	
<b>Ramon Magsaysay Award Foundation</b>				
Manila, Philippines				
Awards	50,000		50,000	
<b>Smithsonian Institution</b>				
Washington, D.C.				
Woodrow Wilson Center Latin American Program	60,000*	35,000		25,000
Woodrow Wilson Center Latin American Program	75,000			75,000
Dialogue on inter-American relations, Woodrow Wilson Center	10,000		10,000	
<b>Washington, University of</b>				
Seattle, Washington				
Journal translation	6,000*		2,000	4,000
<b>Trilateral Commission (North America), The</b>				
Washington, D.C.				
General budget	240,000		10,000	230,000
<b>United Nations Association of the United States of America</b>				
New York, New York				
American-Japanese Parallel Studies Program	50,000		35,000	15,000

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>Waterford-kaMhlaba Treasury Association</b>				
Mbabane, Swaziland				
Scholarship support	30,000		10,000	20,000
<b>Wharton Econometric Forecasting Associates</b>				
Washington, D.C.				
Polish agriculture	10,000		9,300	700(3)
<b>Youth for Understanding, Inc.</b>				
Washington, D.C.				
Japan Project	75,000*	50,000	25,000	
INTERNATIONAL PROGRAM: ECO-DEVELOPMENT (\$625,250 Paid)				
<b>ACCION International</b>				
Cambridge, Massachusetts				
Program expansion, an educational department, and reserve fund	75,000*		25,000	50,000
<b>Antigua-Caribbean Training Institute Ltd.</b>				
St. John's, Antigua				
Training and education activities	63,000*	50,000	13,000	
<b>Caribbean Conservation Association</b>				
St. Michael, Barbados				
ECNAMP and the Marine Resources Program	240,000*	110,745	65,800	63,455
<b>Food and Agricultural Organization of the United Nations</b>				
Rome, Italy				
Resource management in Central America	10,000*	1,700		8,300(4)
<b>Foundation for P.R.I.D.E., Inc., The</b>				
Miami, Florida				
Renewable energy in the Caribbean	100,000*		60,000	40,000
Turks and Caicos Development Trust	60,000*	20,000	20,000	20,000
<b>Friends of Women's World Banking/ USA, Inc.</b>				
New York, New York				
General budget	125,000*	50,000	50,000	25,000
<b>Fund for Multinational Management Education</b>				
New York, New York				
Farmer/business projects in Jamaica	20,000*	10,000	10,000	
Jamaican aquaculture project	25,000		5,000	20,000
<b>Fundacion Luis Munoz Marin, Inc.</b>				
San Juan, Puerto Rico				
Memorial project	50,000		50,000	
<b>Harvard University</b>				
Cambridge, Massachusetts				
Center for International Affairs, Caribbean micro-state project	7,000		7,000	

(3) Lapsed

(4) Lapsed

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>International Federation of Institutes for Advanced Study</b>				
Stockholm, Sweden				
General budget	120,000*	30,000	30,000	60,000
Increase participation of members from developing countries	30,000			30,000
<b>Michigan, University of</b>				
Ann Arbor, Michigan				
School of Natural Resources, strategic management project	75,000*	50,000	25,000	
School of Natural Resources, strategic management project	165,000*		55,000	110,000
<b>National Association of Partners of the Alliance, Inc.</b>				
Washington, D.C.				
Eco-development Fund	75,000*	25,000	25,000	25,000
<b>Organization For Rural Development, The</b>				
St. Vincent, West Indies				
General budget	60,000*	38,050	21,950	
<b>Pan American Development Foundation, Inc.</b>				
Washington, D.C.				
Fundraising seminars	10,000		10,000	
<b>Partnership For Productivity Foundation USA, Inc.</b>				
Washington, D.C.				
Business advisory services in the Caribbean	30,000*	20,000	10,000	
<b>Partnership For Productivity International, Inc.</b>				
Washington, D.C.				
Caribbean Initiative Study	5,000		5,000	
<b>Private Agencies Collaborating Together, Inc.</b>				
New York, New York				
Supportive Activities Fund	25,000		15,000	10,000
<b>Save the Children Federation</b>				
Westport, Connecticut				
International Community Leadership Project	15,000		15,000	
<b>Sierra Club Foundation, The</b>				
New York, New York				
Caribbean mangrove management project	20,000*			20,000
<b>Simon Bolivar Foundation, Inc.</b>				
New York, New York				
Program expansion in Central America and the Caribbean	50,000*	25,000	25,000	
<b>Volunteers in Technical Assistance, Inc.</b>				
Mount Ranier, Maryland				
Renewable energy in the Caribbean	50,000*		20,000	30,000
<b>Worldwatch Institute</b>				
Washington, D.C.				
General budget	150,000*	50,000	62,500	37,500

\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>INTERNATIONAL PROGRAM:</b>				
<b>HUMAN DIGNITY, INDIVIDUAL LIBERTIES, AND THE LAW</b>				
(\$200,000 Paid)				
<b>African-American Institute</b>				
New York, New York				
General budget	65,000*	35,000	30,000	
South Africa activities	40,000*	20,000	20,000	
<b>Human Rights Internet</b>				
Washington, D.C.				
General budget	45,000*	15,000	30,000	
<b>International League For Human Rights, Inc., The</b>				
New York, New York				
Lawyers Committee for International Human Rights				
General budget	50,000		25,000	25,000
	10,000		10,000	
<b>Legal Resources Trust</b>				
Johannesburg, South Africa				
Legal Resources Centre	75,000		35,000	40,000
<b>Overseas Education Fund of The League of Women Voters</b>				
Washington, D.C.				
Women in Law and Development program	10,000		10,000	
<b>Procedural Aspects of International Law Institute, Inc.</b>				
Washington, D.C.				
International Human Rights Law Group	50,000		25,000	25,000
<b>South African Institute of Race Relations</b>				
Johannesburg, South Africa				
Domestic Workers Legal Advice Project	20,000			20,000
<b>Survival International</b>				
London, England				
General budget	15,000		15,000	
<b>ARMS CONTROL/SECURITY</b>				
<b>American Academy of Arts and Sciences</b>				
Boston, Massachusetts				
European Security Study	35,000			35,000
<b>Harvard University</b>				
Cambridge, Massachusetts				
Conference on nuclear weapons freeze	20,000			20,000
<b>PHILANTHROPIC SERVICE ORGANIZATIONS</b>				
(\$39,783 Paid)				
<b>Council on Foundations, Inc.</b>				
Washington, D.C.				
Membership for 1983	16,000		12,583	3,417(5)
<b>Foundation Center, The</b>				
New York, New York				
General budget for 1982	22,500*		22,500	
General budget for 1983	25,000			25,000

(5)Lapsed  
\*Appropriation made prior to 1982

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1982	Unpaid Balance
<b>Independent Sector</b>				
Washington, D.C.				
Membership for 1983	5,000			5,000
<b>New York Regional Association of Grantmakers</b>				
New York, New York				
Membership for 1982	3,500*	3,300		200(6)
Membership for 1983	5,000		4,777	300(7)
<hr/>				
ROCKEFELLER BROTHERS FUND AWARDS IN ARTS EDUCATION (\$140,000 Paid)				
<b>American Academy of Arts and Sciences</b>				
Boston, Massachusetts				
Daedalus	70,000		40,000	30,000(8)
<b>Fillmore Arts Center</b>				
Washington, D.C.				
Award	10,000		10,000	
<b>German Central Elementary School</b>				
McClellandtown, Pennsylvania				
Award	10,000		10,000	
<b>Harding Junior High School</b>				
Cedar Rapids, Iowa				
Award	10,000		10,000	
<b>High School of Art and Design</b>				
New York, New York				
Award	10,000		10,000	
<b>Horace Mann Elementary School</b>				
Beverly Hills, California				
Award	10,000		10,000	
<b>Mamaroneck High School</b>				
Mamaroneck, New York				
Award	10,000		10,000	
<b>Maple Dale-Indian Hill School District</b>				
Milwaukee, Wisconsin				
Award	10,000		10,000	
<b>Northside School of the Arts</b>				
Atlanta, Georgia				
Award	10,000		10,000	
<b>Scarborough Elementary Unit</b>				
Scarborough, Maine				
Award	10,000		10,000	
<b>Swain County High School</b>				
Bryson City, North Carolina				
Award	10,000		10,000	
			\$10,685,849	\$24,075,619(9)

(6) Lapsed

(7) Lapsed

(8) Included in previous authorization for RBF Awards in Arts Education, and not included in total below; see also p. 49

(9) Total does not include lapsed items

\*Appropriation made prior to 1982

RECONCILIATION OF GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR  
OR APPROVED FOR FUTURE PAYMENTS

**Unpaid Appropriations, December 31, 1981:**

Principal Fund	\$29,101,612	
Ramon Magsaysay Award Foundation	—	
Abby R. Mauze Fund	—	
RBF Awards in Arts Education	1,242,223	\$30,343,835

**Appropriations authorized in 1982:**

Principal Fund	5,269,772
Ramon Magsaysay Award Foundation	50,000
Abby R. Mauze Fund	235,500
RBF Awards in Arts Education	—

5,555,272

Less:

Appropriations lapsed:	
Principal Fund	35,417

5,519,855

35,863,690

**Appropriations paid in 1982:**

Principal Fund	10,264,149
Ramon Magsaysay Award Foundation	50,000
Abby R. Mauze Fund	231,700

10,545,849

RBF Awards in Arts Education*	221,130
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10,766,979

**Unpaid Appropriations, December 31, 1982:**

Principal Fund	24,071,818
Ramon Magsaysay Award Foundation	—
Abby R. Mauze Fund	3,800

24,075,618

RBF Awards in Arts Education	1,021,093
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\$25,096,711

\*includes administration and grants paid; see also p. 48

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## 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, 1982 and 1981  
Statements of Support, Revenue, Expenses and Changes  
in Principal Fund Balance for the years ended  
December 31, 1982 and 1981  
Statements of Support, Revenue, Expenses, and  
Changes in Other Fund Balances for the years ended  
December 31, 1982 and 1981  
Notes to Financial Statements

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### **Supplemental Schedules**

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Schedule of Functional Expenses, Principal Fund for the  
year ended December 31, 1982 with Comparative  
1981 Totals  
Schedule of Investments, Principal Fund,  
December 31, 1982  
Schedules of Net Realized and Unrealized Gain (Loss)  
on Investments, Principal Fund for the years ended  
December 31, 1982 and 1981  
Schedule of Investments, Other Funds,  
December 31, 1982

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

We have examined the balance sheets of ROCKEFELLER BROTHERS FUND, INC. as of December 31, 1982 and 1981, 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 supplemental schedules listed in the accompanying index. 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 present fairly the financial position of Rockefeller Brothers Fund, Inc. at December 31, 1982 and 1981, and the results of its operations and the changes in its fund balances for the years then ended, and the supplemental schedules, when considered in relation to the basic financial statements taken as a whole, 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 5, 1983.

ROCKEFELLER BROTHERS FUND, INC. BALANCE SHEETS  
December 31, 1982 and 1981

	1982	1981
<b>Assets:</b>		
Principal fund:		
Cash		\$ 92,198
Short-term investments, at cost, which approximates market as annexed	\$ 3,174,000	13,895,000
Long-term investments, at market value, as annexed (cost: 1982, \$107,890,507; 1981, \$93,338,361) (Note 7)	156,267,135	129,255,802
Program-related investments, at fair value, as annexed (cost: 1982, \$2,484,731; 1981, \$2,570,616)	1,945,290	2,035,190
Real estate, at cost to the donor (Note 4)	510,000	510,000
	161,896,425	145,788,190
Other funds' assets, principally investments (Note 3)	2,453,041	2,296,354
	\$164,349,466	\$148,084,544
<b>Liabilities and Funds:</b>		
Principal fund:		
Bank overdraft	\$ 34,776	
Federal excise tax payable	258,558	\$ 278,725
Fund balances, as annexed:		
Unpaid appropriations (including \$1,021,093 in 1982 and \$1,242,223 in 1981, authorized for special projects)	25,092,911	30,343,835
Unappropriated	136,510,180	115,165,630
	161,603,091	145,509,465
	161,896,425	145,788,190
Other funds (Note 3):		
Federal excise tax payable	5,107	5,154
Fund balances, as annexed	2,447,934	2,291,200
	2,453,041	2,296,354
	\$164,349,466	\$148,084,544

STATEMENTS OF SUPPORT, REVENUE, EXPENSES AND CHANGES  
 IN PRINCIPAL FUND BALANCE  
 for the years ended December 31, 1982 and 1981

	1982	1981
<b>Unappropriated:</b>		
Support and revenue:		
Contribution of common stock	\$ 19,972	
Dividend income	4,928,731	\$ 5,669,797
Interest income (Note 7)	5,591,391	6,486,408
Other, net		8,330
	10,540,094	12,164,535
Expenses:		
Program-related:		
Appropriations authorized (net of appropriations lapsed of \$35,417 in 1982 and \$333,103 in 1981) (Note 6)	5,234,355	30,581,147
Program support, as annexed	746,577	746,581
Advisory activities, as annexed	227,654	202,619
	6,208,586	31,530,347
Other:		
Investment services, as annexed	243,652	132,964
Administration, as annexed	601,528	544,458
Federal excise tax	258,558	278,725
	1,103,738	956,147
Less, Reimbursements, as annexed	76,661	55,182
	7,235,663	32,431,312
Net increase (decrease) before gain (loss) on investments	3,304,431	(20,266,777)
Net realized and unrealized gain (loss) on investments, as annexed	18,040,119	(12,833,322)
Net increase (decrease) after gain (loss) on investments	21,344,550	(33,100,099)
Beginning balance	115,165,630	148,265,729
Ending balance	136,510,180	115,165,630
<b>Unpaid appropriations:</b>		
Appropriations authorized (Note 6)	5,269,772	30,914,250
Appropriations and authorizations paid or lapsed	(10,520,696)	(26,874,086)
Net increase (decrease) in unpaid appropriations	(5,250,924)	4,040,164
Beginning balance	30,343,835	26,303,671
Ending balance (Note 6)	25,092,911	30,343,835
Total principal fund balance, end of year	\$161,603,091	\$145,509,465

STATEMENTS OF SUPPORT, REVENUE, EXPENSES AND CHANGES  
 IN OTHER FUND BALANCES (NOTE 3)  
 for the years ended December 31, 1982 and 1981

	1982		1981	
	<i>Fund for the Ramon Magsaysay Award Foundation</i>	<i>Abby R. Mauzé Fund</i>	<i>Fund for the Ramon Magsaysay Award Foundation</i>	<i>Abby R. Mauzé Fund</i>
<b>Unappropriated:</b>				
Support and revenue:				
Interest income	\$ 87,422	\$ 166,736	\$ 86,256	\$ 171,447
Other income	10,000			
	97,422	166,736	86,256	171,447
Expenses:				
Program-related:				
Appropriations authorized (net of appropriations lapsed)	50,000	235,500	50,000	75,000
Other:				
Salaries, employee benefits, consultant and legal fees	31,427	83,244		59,060
Federal excise tax	1,748	3,359	1,725	3,429
	83,175	322,103	51,725	137,489
Net increase (decrease) before loss on investments	14,247	(155,367)	34,531	33,958
Net realized and unrealized gain (loss) on investments	157,339	136,715	(40,964)	(3,120)
Net increase (decrease) after gain (loss) on investments	171,586	(18,652)	(6,433)	30,838
Beginning balances	740,486	1,550,714	746,919	1,519,876
Ending balances	912,072	1,532,062	740,486	1,550,714
<b>Unpaid appropriations:</b>				
Beginning balances	—	—	—	—
Appropriations authorized	50,000	235,500	50,000	75,000
Appropriations paid	50,000	231,700	50,000	75,000
Ending balances	—	3,800	—	—
Total fund balances, end of year	\$ 912,072	\$1,535,862	\$ 740,486	\$1,550,714
Fund for the Ramon Magsaysay Award Foundation	\$ 912,072		\$ 740,486	
Abby R. Mauzé Fund	1,535,862		1,550,714	
Total other fund balances, end of year	\$2,447,934		\$2,291,200	

NOTES TO FINANCIAL STATEMENTS

**1. Summary of Significant Accounting Policies:**

Support, revenue 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 are valued based on prices determined by the Fund's investment advisor (aggregate value as of December 31, 1982 approximates \$2,700,000). Program-related investments with limited or no marketability are stated at fair value as determined by the Fund management (aggregate value as of December 31, 1982 approximates \$1,945,000).

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

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

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

Certain services are donated by related parties. The value of such services 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 Fund for the Ramon Magsaysay Award Foundation and the Abby R. Mauzé Fund. The assets, liabilities and fund balances for these funds as of December 31, 1982 and 1981 are as follows:

	<i>As of December 31,</i>	
	1982	1981
<b>Fund for the Ramon Magsaysay Award Foundation:</b>		
Cash	\$ 632	\$ 362
Short-term investments, at cost, which approximates market, as annexed	133,000	119,000
Long-term investments, at market value, as annexed (cost: \$946,305 in 1982 and 1981)	780,188	622,849
Total assets	913,820	742,211
Less, Federal excise tax payable	1,748	1,725
Fund balance	912,072	740,486
<b>Abby R. Mauzé Fund:</b>		
Cash	523,626	25,263
Short-term investments, at cost, which approximates market, as annexed	32,000	182,000
Long-term investments, at market value, as annexed (cost: \$995,033 in 1982 and \$1,493,808 in 1981)	983,595	1,346,880
Total assets	1,539,221	1,554,143
Less, Federal excise tax payable	3,359	3,429
Fund balance (including \$3,800 of unpaid appropriations in 1982)	1,535,862	1,550,714
Total fund balances, other funds	\$2,447,934	\$2,291,200

#### 4. Real Estate:

The Fund holds real estate subject to a lease agreement expiring in 2056 and other restrictions.

#### 5. Pension Plan:

The Fund participates in the Retirement Income Plan for employees of Rockefeller Brothers Fund, Inc. et al., a non-contributory plan covering substantially all its employees. The Fund makes annual contributions to the plan equal to the amount accrued for pension expense. The Fund's pension expense under this plan was \$40,000 in 1982. In 1981, no contribution was required. Accumulated plan benefits and plan net assets are presented below:

	<i>As of January 1,</i>	
	<i>1982</i>	<i>1981</i>
Actuarial present value of accumulated plan benefits:		
Vested	\$2,025,137	\$ 690,927
Nonvested	37,784	27,084
	<hr/>	<hr/>
	\$2,062,921	\$ 718,011
	<hr/>	<hr/>
Net assets available for plan benefits	\$3,279,796	\$1,667,996

The assumed rate of return used in determining the actuarial present value of accumulated plan benefits was 6%, compounded annually.

As of January 1, 1982, the actuarial present value of accumulated plan benefits and net assets available for plan benefits include amounts applicable to retired beneficiaries of the Fund. Prior to 1982, such amounts were not specifically identifiable for each participating employer in the plan and, therefore, are not presented above. This change in presentation had no effect on the determination of annual pension expense for the Fund.

#### 6. Appropriations:

Appropriations include certain conditional grants which are generally contingent upon the grantee receiving a similar amount of contributions from other donors. Approximately \$5,900,000 and \$9,400,000 of such conditional grants are included in unpaid appropriations as of December 31, 1982 and 1981, respectively. In addition, \$500,000 of the unappropriated fund balance has been reserved for possible future appropriation.

#### 7. Securities Loaned:

The Fund loans certain stocks and bonds included in its investment portfolio to brokerage firms. In return, the Fund receives, as collateral, cash or U.S. Treasury bills in an amount at least equal to the market value of the securities. Cash is generally reinvested in short-term money market instruments.

The Fund's investment advisor has indemnified the Fund against losses arising from these transactions.

The Fund retains all rights of ownership to the securities loaned and, as such, receives all interest and dividend income. At December 31, 1982 and 1981, the market value of securities loaned under this arrangement approximated \$3,400,000 and \$8,000,000, respectively.

#### 8. 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.

#### 9. Commitments:

a. The Fund has an operating lease commitment for office facilities. The future minimum rental payments required under this lease, which contains normal escalation clauses, are as follows:

1983	\$ 170,300
1984	170,500
1985	172,800
1986	172,800
1987-1988	345,600
	<hr/>
Total	\$1,032,000

Rent expense of \$157,800 and \$163,400 for 1982 and 1981, respectively, is included in the Schedule of Functional Expenses.

b. During 1982, the Fund agreed to invest \$5,000,000 in an investment partnership. At December 31, 1982, \$2,500,000 had been invested.

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SCHEDULE OF FUNCTIONAL EXPENSES, PRINCIPAL FUND  
for the year ended December 31, 1982 with Comparative 1981 Totals

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**Salaries and related expenses:**

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Salaries  
Group life insurance  
Thrift plan  
Other employee benefits  
Unemployment and disability insurance  
Social security tax

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**Other expenses:**

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Consultants' fees  
Investment services  
Legal and audit fees  
New York State transfer tax  
Travel  
Rent and electricity (Note 9)  
Telephone  
Furniture and equipment  
General office expenses  
Publications

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Less, Reimbursement received for share of expenses:  
    Rockefeller Family Fund, Inc.  
    Other

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<i>Program Support (Note 8)</i>	<i>Advisory Activities (Note 8)</i>	<i>Investment Services</i>	<i>Administration</i>	<i>1982 Total</i>	<i>1981 Total</i>
\$364,321	\$116,998		\$288,916	\$ 770,235	\$ 723,503
12,253	3,935		9,717	25,905	26,847
20,233	6,498		16,044	42,775	38,827
22,250	7,145		17,645	47,040	45,600
1,850	594		1,468	3,912	3,985
18,994	6,100		15,062	40,156	37,301
439,901	141,270		348,852	930,023	876,063
87,277	15,923		34,803	138,003	168,793
		\$243,652		243,652	117,964
			59,660	59,660	44,501
					1,340
60,700	19,495			80,195	63,334
90,887	29,188		72,076	192,151	177,023
22,188	7,126		17,596	46,910	43,255
			2,362	2,362	32,594
38,612	12,400		60,618	111,630	86,882
7,012	2,252		5,561	14,825	14,873
\$746,577	\$227,654	\$243,652	\$601,528	1,819,411	1,626,622
				71,337	55,182
				5,324	
				\$1,742,750	\$1,571,440



SCHEDULE OF INVESTMENTS, PRINCIPAL FUND

December 31, 1982

SUMMARY OF INVESTMENTS

	<i>Cost</i>	<i>Carrying Value (Note 1)</i>
<b>Short-term investments</b>	<b>\$ 3,174,000</b>	<b>\$ 3,174,000</b>
<b>Long-term investments:</b>		
U.S. Government and agency bonds	\$ 8,022,386	\$ 7,844,044
U.S. Treasury notes	14,774,985	15,835,332
Foreign government and other foreign bonds	854,270	616,795
Corporate bonds	6,609,707	5,736,542
Corporate notes	4,618,980	3,651,996
Common stocks	70,510,179	120,082,426
Other investment	2,500,000	2,500,000
<b>Total long-term investments</b>	<b>\$107,890,507</b>	<b>\$156,267,135</b>
<b>Program-related investments</b>	<b>\$ 2,484,731</b>	<b>\$ 1,945,290</b>
	<i>Principal Amount</i>	<i>Cost*</i>
<b>Short-term investments:</b>		
Notes due on demand (at prevailing market interest rates):		
Citicorp	\$ 673,000	\$ 673,000
First Boston Corp.	5,000	5,000
General Electric Credit Corp.	1,981,000	1,981,000
General Motors Acceptance Corp.	73,000	73,000
Phillips Chemical Corp.	6,000	6,000
Sears Roebuck Acceptance Corp.	436,000	436,000
<b>Total short-term investments</b>	<b>\$3,174,000</b>	<b>\$3,174,000</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 Farm Credit Bank, 13.25%, April 22, 1985	\$1,000,000	\$ 1,000,000	\$ 1,061,880
Federal Home Loan Banks: 8.1%, November 25, 1985	1,000,000	1,021,250	952,500
15.5%, May 27, 1986	500,000	500,000	566,875
		1,521,250	1,519,375
Federal National Mortgage Association: 8.2%, July 10, 1984	1,000,000	980,000	980,000
7.9%, October 10, 1985	2,000,000	2,000,000	1,891,260
8.8%, October 10, 1985	520,000	519,029	502,778
9.2%, April 10, 1986	1,000,000	971,250	968,750
		4,470,279	4,342,788
Federal Land Bank, 7.25%, July 20, 1987	450,000	396,562	397,125
U.S. Postal Service, 6.875%, February 1, 1997	300,000	294,375	210,000
U.S. Treasury, 6.75%, February 15, 1993	400,000	339,920	312,876
Total U.S. Government and agency bonds		\$ 8,022,386	\$ 7,844,044
U.S. Treasury notes:			
15.625%, May 31, 1983	875,000	\$ 873,617	\$ 899,062
11.875%, August 15, 1983	1,000,000	979,375	1,017,500
7.25%, August 15, 1984	1,000,000	996,250	971,560
13.25%, August 15, 1984	1,000,000	993,437	1,054,380
16%, November 15, 1984	1,000,000	1,000,000	1,106,250
11.75%, November 15, 1985	1,000,000	998,350	1,045,630
14%, March 31, 1986	500,000	500,895	551,565
7.875%, May 15, 1986	2,000,000	2,000,497	1,885,000
13.875%, November 15, 1986	1,000,000	997,200	1,112,190
16.125%, November 15, 1986	500,000	501,719	590,315
14%, May 15, 1987	1,000,000	998,150	1,120,000
13.25%, April 15, 1988	3,000,000	2,942,805	3,317,820
13.75%, May 15, 1992	1,000,000	992,690	1,164,060
Total U.S. Treasury notes		\$14,774,985	\$15,835,332
Foreign government and other foreign bonds:			
City of Winnipeg, Canada, 4.75%, November 1, 1989	500,000	\$ 500,000	\$ 325,000
TransCanada Pipelines Ltd.: 5.625%, May 1, 1985	54,000	54,270	42,795
7.125%, August 1, 1987	300,000	300,000	249,000
Total foreign government and other foreign bonds		\$ 854,270	\$ 616,795

Continued

Long-term investments, continued	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Corporate bonds:			
Utilities:			
Northern Illinois Gas Company, 6%, August 1, 1991	\$ 225,000	\$ 170,156	\$ 164,250
Pacific Gas and Electric Co., 5%, June 1, 1989	250,000	196,818	175,312
Pacific Power and Light Company, 3.5%, August 1, 1984	200,000	209,500	179,000
Southern Bell Telephone Co., 7.625%, March 15, 2013	750,000	750,000	495,937
		1,326,474	1,014,499
Financials:			
Irving Bank Corp., 5.75%, August 1, 1991	500,000	458,775	341,875
General Motors Acceptance Corp., 4.625%, March 1, 1983-2079	900,000	821,903	884,250
International Bank for Reconstruction and Development: 8.15%, January 1, 1985	1,000,000	990,000	957,500
Macy Credit Corp., Deb., 5.375%, June 1, 1985	250,000	247,625	205,938
		2,518,303	2,389,563
Industrials:			
Standard Oil Co. (Indiana), 9.2%, July 15, 2004	2,000,000	2,038,750	1,670,000
Union Tank Car Co. Equipment Trust, 9.875%, July 1, 1990	728,000	726,180	662,480
		2,764,930	2,332,480
Total corporate bonds		<b>\$6,609,707</b>	<b>\$5,736,542</b>
Corporate notes:			
Bell Telephone Co. of Canada, 4.875%, May 1, 1988	\$ 200,000	\$ 199,280	\$ 140,000
Chemical Bank, New York Trust Co., 5.875%, January 1, 1992	400,000	398,700	276,000
City National Bank (Detroit, Mich.), 4.75%, February 1, 1990	130,000	130,000	94,575
Continental Mortgage Investors, 5%, April 1, 1989	500,000	500,000	1
Hilo Electric Light Co., Ltd., 5.875%, March 1, 1989	396,000	396,000	329,670
Industrial Acceptance Corp., Ltd., 5.5%, October 15, 1987	250,000	250,000	211,875
International Telephone & Telegraph Credit Corp., 5.1%, December 1, 1984	63,000	63,000	63,000
Iowa Electric Light and Power Co., 5.125%, January 1, 1991	500,000	500,000	341,875
Michigan Gas Utilities Co., 4.7%, February 1, 1990	184,000	184,000	126,500
Ryan Homes Inc., Convertible, 6%, July 15, 1991	300,000	300,000	432,750

Continued

Long-term investments, continued	<i>Principal Amount</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Corporate notes, continued:			
Sears, Roebuck and Co., 8.375%, December 31, 1986	1,000,000	998,000	920,000
Sun Co., Inc., 10.75%, April 1, 2006	700,000	700,000	715,750
<b>Total corporate notes</b>		<b>\$ 4,618,980</b>	<b>\$ 3,651,996</b>
Common stocks:			
AB Fortia	9,000	\$ 212,839	\$ 403,875
Aetna Life & Casualty Co.	5,200	225,732	189,150
Amerada Hess Corp.	8,100	159,585	202,500
American Express Co.	65,000	1,762,745	4,176,250
American Telephone & Telegraph Co.	50,000	2,770,805	2,968,750
AMP Inc.	5,200	294,470	354,250
Apple Computer Inc. **	677	19,972	20,225
Atlantic Richfield Co.	7,500	299,925	315,000
Avnet, Inc.	9,800	488,418	588,000
Baxter Travenol Labs., Inc.	11,500	421,310	556,313
Becton, Dickinson & Company	9,300	410,595	395,250
Brown-Forman Distillers Corp.	8,600	310,435	308,525
Brush Wellman Inc.	8,800	351,547	442,200
CNA Financial Corp.	11,600	163,328	201,550
CPC Internatioanl Inc.	14,000	519,253	582,750
Capital Cities Communications, Inc.	4,200	327,850	502,425
Caterpillar Tractor Co.	45,000	1,289,277	1,805,625
Chase Manhattan Corp.	70,000	1,699,300	3,430,000
CIGNA Corp.	84,000	2,760,741	3,717,000
Convergent Technologies, Inc.	2,700	102,818	90,788
Cox Communications, Inc.	9,300	263,358	397,575
Crum & Forster	11,100	312,620	598,013
Digital Equipment Corp.	16,200	1,309,664	1,611,900
Duke Power Co.	70,000	1,344,188	1,627,500
Eastman Kodak Co.	30,000	177,963	2,580,000
El Paso Co.	14,000	235,377	318,500
Exxon Corp.	110,000	1,062,162	3,272,500
F.N. Financial Corp.	10,000	180,000	172,500
Federal National Mortgage Association	20,000	246,000	490,000
Federated Department Stores, Inc.	65,000	2,264,678	3,071,250
Floating Point Systems, Inc.	11,800	268,256	308,275
Freepport-McMoran Inc.	90,000	374,029	1,473,750
Fremont General Corp.	12,600	166,688	132,300
Gearhart Industries, Inc.	5,500	109,930	83,875
General Electric Co.	40,000	634,036	3,795,000
General Instrument Corp.	8,400	328,524	417,900
General Motors Corp.	35,000	2,112,880	2,183,125
General Public Utilities Corp.	40,000	231,400	270,000
General Reinsurance Corp.	6,000	298,200	382,500
Grainger (W.W), Inc.	72,000	980,060	3,852,000
Great Lakes Chemical Corp.	10,100	317,563	337,088
Halliburton Co.	64,500	1,787,184	2,281,687
Heizer Corp.	40,000	339,562	480,000
Hospital Corp. of America	7,300	236,447	405,150
Houston Industries Inc.	31,500	643,582	630,000
Houston Natural Gas Corp.	25,000	658,250	893,750

\*\*Donated Security.  
See accompanying notes.

Long-term investments, continued	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Common stocks, continued:			
I. M. S. International Corp.	18,400	267,787	393,300
Inexo Oil Co.	21,300	321,204	173,062
InterFirst Corp.	20,000	430,075	462,500
International Business Machines Corp.	72,600	879,534	6,987,750
Lear Petroleum Corp.	11,900	182,804	135,362
Lilly (Eli) & Co.	50,000	2,069,175	2,875,000
Lowe's Companies, Inc.	3,500	328,825	502,250
MCI Communications Corp.	3,500	125,545	127,312
Manufacturers Hanover Corp.	16,000	443,030	666,000
Masco Corp.	170,000	1,389,402	4,823,750
Merck Co., Inc.	30,000	1,395,140	2,538,750
Mesa Petroleum Co., Inc.	12,200	191,601	167,750
Micom Systems, Inc.	700	25,662	34,825
Miller (Herman), Inc.	13,700	316,350	352,775
Mobil Corp.	204,000	959,412	5,125,500
Molex Inc.	6,600	297,000	429,000
Moore McCormack Resources, Inc.	24,000	484,416	540,000
Multimedia Inc.	11,700	377,325	573,300
Norfolk Southern Corp.	47,500	1,221,950	2,600,625
Northern States Power Co.	40,000	1,036,455	1,200,000
Novo Industrial Corp.	7,000	313,950	307,125
Owens-Corning Fiberglas Corp.	6,800	147,540	255,000
Pall Corp.	24,666	509,521	887,976
Panhandle Eastern Corp.	7,500	180,600	196,875
Parker-Hannifin Corp.	8,000	161,880	171,000
Penn Central Corp.	35,000	863,800	923,125
Perkin-Elmer Corp.	17,500	423,723	496,562
Pfizer Inc.	40,000	1,445,080	2,755,000
Premier Industrial Corp.	15,100	362,022	415,250
Proctor & Gamble Co.	35,000	2,493,190	4,138,750
Pullman Transportation Co., Inc.	12,500	10,156	33,588
Purolator Inc.	50,000	1,900,970	2,487,500
Raychem Corp.	6,400	360,204	424,800
Republic Bank & Trust Co.	30,000	839,650	907,500
Sabine Corp.	9,200	330,530	336,950
Schlumberger Ltd.	20,400	847,349	951,150
Scoa Industries Inc.	17,300	412,476	644,425
Smith International Inc.	61,500	443,500	1,737,375
SmithKline Beckman Corp.	5,700	396,816	393,300
Southern California Edison Co.	5,000	171,425	175,625
Sterling Drug Inc.	12,600	290,096	283,500
Storer Broadcasting Co.	9,200	267,667	285,200
Super Valu Stores Inc.	25,800	466,722	667,575
Superior Oil Co.	19,400	653,827	557,750
Standard Oil Co. of California	110,000	984,775	3,520,000
TIE Communications, Inc.	16,800	328,703	638,400
TRW, Inc.	20,000	1,125,750	1,352,500
Tandem Computers Inc.	14,500	415,125	367,938
Tandon Corp.	18,400	305,837	579,600
Tandy Corp.	12,100	391,435	614,075
Teledyne, Inc.	4,000	288,442	517,500
Teradyne Inc.	9,600	250,322	273,600
Texas Utilities Co.	50,000	996,106	1,175,000
Toys "R" Us, Inc.	15,300	408,626	623,475

Continued

Long-term investments, continued	<i>Shares</i>	<i>Cost</i>	<i>Market Value (Note 1)</i>
Unilever N.V.	6,000	444,500	439,500
United Stationers Inc.	12,800	254,787	473,600
Valley National Corp.	20,000	422,187	350,00
Weyerhaeuser Co.	60,000	1,757,460	2,160,000
Wheelabrator-Frye Inc.	30,000	1,541,137	1,455,000
Xerox Corp.	18,000	1,834,209	672,750
Zayre Corp.	6,700	251,846	411,212
Total common stocks		\$70,510,179	\$120,082,426
Other investment:			
Emerging Growth Partners	2,500,000	\$ 2,500,000	\$ 2,500,000
Program-related investments:			
CAF Inc., investment units		\$ 1,000,000	\$ 1,000,000
The Interchurch Center, \$540,000 second mortgage leasehold bonds, 5 ½ %, due January 1, 1998		540,000	540,000
Ramon Magsaysay Award Foundation, first mortgage loan receivable, 6% payable annually through December 31, 1993		944,731	405,290
Total program-related investments		\$ 2,484,731	\$ 1,945,290

SCHEDULES OF NET REALIZED AND UNREALIZED GAIN (LOSS)  
ON INVESTMENTS, PRINCIPAL FUND  
for the years ended December 31, 1982 and 1981

	<i>1982</i>	<i>1981</i>
Realized gain from security transactions (excluding short-term investments):		
Proceeds from sales and redemptions	\$39,501,633	\$37,941,744
Identified cost of securities sold and redeemed	33,916,686	28,224,585
Net realized gain	5,584,947	9,717,159
Unrealized gain (loss) on investments:		
End of year	47,837,187	35,382,015
Less:		
Beginning of year	35,382,015	57,932,496
Increase (decrease) in unrealized appreciation	12,455,172	(22,550,481)
Net realized and unrealized gain (loss) on investments	\$18,040,119	(\$12,833,322)

SCHEDULE OF INVESTMENTS, OTHER FUNDS  
December 31, 1982

	<i>Principal Amount</i>	<i>Cost*</i>	
<b>Fund for the Ramon Magsaysay Award Foundation</b>			
Short-term investments:			
Notes due on demand (at prevailing market interest rates):			
Citicorp	\$ 105,000	\$ 105,000	
General Motors Acceptance Corp.	3,000	3,000	
Sears Roebuck Acceptance Corp.	25,000	25,000	
		\$ 133,000	
			<i>Cost</i>
			<i>Market Value (Note 1)</i>
Long-term investments:			
U.S. Treasury bond, 7.25%, August 15, 1992	\$ 950,000	\$ 946,305	\$780,188
<b>Abby R. Mauzé Fund:</b>			
Short-term investments:			
Notes due on demand (at prevailing market interest rates):			
General Motors Acceptance Corp.	\$ 32,000	\$ 32,000	
			<i>Cost</i>
			<i>Market Value (Note 1)</i>
Long-term investments:			
Bonds and notes:			
Federal Home Loan Bank, 9.05%, February 27, 1984	\$ 500,000	\$ 495,313	\$ 498,750
U.S. Treasury notes: 9%, February 15, 1987	500,000	499,720	484,845
		\$ 995,033	\$ 983,595

\*Approximates market value.  
See accompanying notes.



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**Henry H. Fowler<sup>(5)</sup>**  
**Henry Upham Harris, Jr.**  
**Eli Shapiro**

(1) Effective June 22, 1982

(2) Until June 22, 1982

(3) Deceased January 7, 1983

(4) Advisory Trustee effective June 22, 1982; regular Trustee prior to that time

(5) Until October 8, 1982

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Lonna B. Jones  
Albert R. Ravenholt  
Marjorie S. Ravenholt  
Thomas W. Wahman

(1) Until June 22, 1982

(2) Deceased January 7, 1983

(3) Effective June 22, 1982

(4) Effective January 1, 1982; Vice President and Secretary prior to that date

(5) Effective January 1, 1982

\* Part-time

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