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ROCKEFELLER BROTHERS FUND

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ANNUAL REPORT

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1987

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RBF

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ROCKEFELLER BROTHERS FUND, INC.

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## INTRODUCTION

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At the annual meeting of the Rockefeller Brothers Fund, which was held on November 14 in Bangkok, Thailand, in conjunction with the Magsaysay Awardees Assembly, David Rockefeller retired from the board of trustees. He had served as a trustee of the Fund from its inception in 1940 and as chairman since 1980, and his retirement marked the end of the active involvement with the Fund of its founding trustees, the five sons of John D. Rockefeller, Jr. The election of David Rockefeller, Jr., as chairman completed the transition to the next generation of the Rockefeller family, the cousins.

At the same meeting, William M. Dietel retired as president of the Fund. William Dietel had joined the staff in 1970, and was elected president in 1975. Colin G. Campbell, president of Wesleyan University from 1970 until 1988, will become president of the Fund on September 1, 1988. Russell A. Phillips, Jr., serves as acting president of the Fund until that time.

As a part of the Fund's report for a year of such significant transitions, it seemed appropriate to ask both David Rockefeller and William Dietel to reflect upon their years with the RBF. It is characteristic that each of them has chosen to discuss the Fund in the larger context of American philanthropy.



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DAVID ROCKEFELLER:  
REFLECTIONS ON THE OCCASION OF HIS RETIREMENT

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As I prepared for my retirement from the Rockefeller Brothers Fund, I thought quite a lot about what the Fund has achieved and about how its activities relate to our family's overall traditions in philanthropy. Although I will not dwell on a lot of facts about our family history that are already well known, I would like to share a few reflections about the Fund in the context of those family traditions.

It seems to me that the Fund has followed very closely the basic precepts that have characterized our family's approach to giving since my grandfather was very young. These include:

an insistence on integrity and moral values in considering what causes to support;  
continuity and persistence in the types of causes we believe merit our ongoing assistance;  
a creative and imaginative approach to giving;

a wide diversity of interests and flexibility in how gifts are made and administered;  
a recognition that we live in "one world" and that giving patterns should not be narrow or parochial;

a recognition that the effectiveness of a program of philanthropy depends importantly on the quality of the people who are asked to help initiate and administer it; and,

a belief that the personal involvement of family members in the process of selecting and implementing philanthropic programs can significantly increase the likelihood that those programs will be successful.

The philosophical underpinning of this approach began with my grandfather at an early age. It is not a coincidence that when Grandfather moved to Cleveland at age 14 to earn money to continue his schooling, he kept a record of his receipts and expenditures in "Ledger A," a document which is still in the family archives. Even though his income at that time was minute, he followed the precepts of his Baptist mother and gave 10 percent, measured in pennies, of what he received to charity.

Later on, after he had amassed a fortune as a result of building the Standard Oil Company, he sought the guidance of a wise Baptist preacher, Dr. Frederick Gates, to help him give money away. In 1888, he established the University of Chicago. Before the turn of the century, he started Spelman College for black women in Atlanta. In 1901, he founded the Rockefeller Institute for Medical Research. And in 1911, he created the Rockefeller Foundation for "the benefit of mankind throughout the world." What an extraordinary record for a man who was brought up in a country village in upstate New York and who never finished high school!

This tradition of giving was continued by my father who proved to be an equally creative pioneer in philanthropy. At a time when few people were thinking about conservation and the environment, Father played a significant role in preserving redwood forests, helping to establish and strengthen national parks, and preserving endangered areas such as the Palisades on the Hudson River. He set a pattern, now followed by many others, of preserving and restoring historic monuments both here and abroad, including Colonial Williamsburg, Sleepy Hollow Restorations (now Historic Hudson Valley), Versailles, Rheims Cathedral, and many others.

Like Grandfather, over the years Father had many capable advisers, such as Raymond Fosdick, Kenneth Chorley, Lindsley Kimball, and Arthur Packard, but he also played an active personal role in identifying and supporting the causes he believed in. My parents believed in the concept that “with opportunity comes responsibility,” and they passed this on to my siblings and myself in many subtle ways.

When my brothers and I started the Rockefeller Brothers Fund in 1940, I was 25 years old. That same year I joined the board of Rockefeller University (then the Rockefeller Institute), became a member of the Council on Foreign Relations, and married Peggy. It was a momentous year for me! The impact on my life of our marriage is obviously of a much greater order of magnitude than the other three events since it brought us six children and ten grandchildren and has made my life a very happy one. Nevertheless, the other three events have played an important role in expanding my horizons and all three have enriched my life.

The idea back of what became the Rockefeller Brothers Fund grew out of a series of meetings that the brothers held beginning in the '30s to discuss problems and issues of mutual interest. My brother Nelson took the initiative in starting these meetings. Over a period of nearly 40 years we met on average three or four times a year. We recognized that while there was great diversity in our temperaments and interests, there were also a lot of areas in which we shared a community of interest. For example, all of us were being asked to make contributions to a great many organizations and causes, towards which we felt a sense of civic responsibility. Many appeals came from New York City. If one member of the family made a larger contribution than another, it tended to show up the one who did less and made it awkward for him. Our “Brothers’ Meetings,” as we came to call them, led to the conclusion that we could meet our community responsibilities more efficiently if we were to make joint contributions to those organizations where all of us felt responsibility. Our philosophy was that in pooling our contributions in these fields we would each have more time to do other things on our own.



Initially, each of us contributed a certain amount to the Fund every year based on the income we received. Each of our trusts, which had been set up for us by Father in 1934, established an income level for each beneficiary which increased annually until we reached the age of 30. At 30, we received outright all of our trust income. Thus Winthrop and I, who were under 30 when the RBF was founded, initially had substantially less income than our older brothers who were already 30, but we contributed our proportionate share (which was less than the others).

In the early years, the Fund depended entirely on these annual contributions from the brothers, and we only used it to support organizations in areas in which we felt a joint responsibility. It wasn't until after World War II, when the Fund received endowment money from Father, that we were able to start supporting a variety of other projects, many of which individual brothers had launched. Nelson played a major role in convincing Father in the early 1950s to give RBF the note that he held from Rockefeller Center, and later to leave the Fund his residual estate. These gifts enabled his sons to have an opportunity similar to the one he had had to give away sizable sums of money constructively. Without these capital gifts, which together amounted to about \$146 million, the Fund would never have achieved what it has. As it turned out each brother and later our sister was responsible for launching projects which came to be recipients of RBF assistance, and the Fund was also able to distribute a substantial portion of its capital—almost \$100 million—between 1976 and 1983 to a special group of institutions in which the family had a long-standing interest.

John played a pioneering role in forming the Population Council as well as a series of projects in Asia, including the Magsaysay Awards. In reference to this latter, it was nice to observe how many of the Magsaysay awardees whom we met in Bangkok still speak of John with affection and appreciation.

The importance of limiting the role of the world's population growth seems very obvious today, but when John first brought the idea to some of our Brothers' Meetings, the rest of us were skeptical. John persisted in funding the Population Council and for many years played an active personal and financial role in the program. The Fund was an early supporter, as was the Rockefeller Foundation which John at that time chaired.

Nelson's interests early on were focused on Latin America as a result of his wartime experiences as Coordinator of Latin American Affairs. He created the American International Association for Economic and Social Development and IBEC Research Institute, both of which were importantly supported by RBF for many years. Nelson gave liberally of his own money to both organizations.

Nelson also initiated the Rockefeller Brothers Fund Special Studies Project in the middle fifties. He felt the country lacked a longer perspective on where we were going and what needed to be done. On his initiative a group of outstanding citizens, drawn from a number of fields, was brought together to identify the principal issues facing the country and then to come up with possible solutions. This group wrote a book entitled *Prospect for America*. It was widely read and President John F. Kennedy drew on it heavily for policy ideas during his presidency.

Laurance was especially concerned with the field of conservation and the environment. He started the Conservation Foundation and for years he ran the Jackson Hole Preserve. The Brothers Fund supported both of these programs, as well as some of Laurance's other interests including what is now Memorial Sloan-Kettering Cancer Center.

Winthrop was interested in rural problems in the United States and abroad. I am sure he would be very proud today of the Winrock International Institute for Agricultural Development, established at his home in Arkansas largely with money from the foundation he created in his will, but also with help and support from the Brothers Fund. Many of the ideas for the institute came from work Win had supported in his lifetime.

My sister was less active personally in philanthropy, but she supported many of the projects her brothers were interested in. Laurance persuaded her to join the board in 1954. She took a growing interest in its work and enjoyed the association it gave her with her siblings. Green Acre Park, on East 51st Street in the heart of Manhattan, has become a model among "mini parks" in the City and has received support from RBF. Her daughter, Abby O'Neill, is responsible today for managing the park and its outreach from the substantial endowment my sister left it on her death.

A number of my own interests in the international field and in urban planning have also been supported by the Brothers Fund, including the Trilateral Commission, the Council on Foreign Relations, the Americas Society, and the New York City Partnership.

The fact that through RBF we have been able to support one another's philanthropic interests around the world has been very beneficial because it provided each of us with a family source to turn to not only for financial backing but also for professional, psychological, and emotional support. All of us viewed the Fund as an appropriate source of help for the philanthropic tasks we had embarked on, but it was always a firm rule that we would not bring such requests to the Fund unless we ourselves were supporting them with both time and money. Each project had to live up to rigorous staff scrutiny before the board itself was asked to give it their stamp of approval. In my opinion this process has not only been sound but has also contributed very much to family unity and cooperation.

It is a source of great satisfaction to me to see “the cousins” taking similar initiatives in a broad variety of fields, sometimes with help from RBF and sometimes from the Family Fund. I am very hopeful that the policies pursued by these two funds will make it possible for oncoming generations of family members to play an active role in both so that they may benefit from their involvement as we have in my generation.

As in the case of our father and grandfather, my siblings and I have benefited from the advice and assistance of a number of extraordinary men and women, and I would like to pay special tribute to those non-family members who have served with us on the board as well as to the Fund’s outstanding staff.

In 1951, just before the Fund received its first capital, we asked Detlev Bronk, president of the Rockefeller University and the National Academy of Sciences, to join the board along with Wallace Harrison, the architect of Rockefeller Center, the United Nations, the Metropolitan Opera, and many other projects. They remained the only outside directors until 1968 when the board was restructured and John Gardner, formerly head of the Carnegie Corporation, came on board. Others who joined subsequently, but have since retired or resigned, include William McChesney Martin, Dr. Gerry Edelman, “Brud” Holland, and Nancy Hanks. Their successors have been equally outstanding.

This galaxy of distinguished Americans has greatly enriched the board, and I am delighted that today the board is made up of an almost equal number of outside and family directors. I believe each group has something important to contribute. I would like to express personal appreciation to the outside directors now serving, Thornton Bradshaw, Jim Evans, Peter Goldmark, George Putnam, Fred Starr, and Russell Train who have been staunch supporters during my term as chairman.\*

The staff of RBF has always been led by persons of exceptional quality; most recently it has been headed by Bill Dietel and his executive vice president, Russell Phillips. During the time I served as chairman of RBF, I greatly enjoyed and was challenged by the opportunity to work closely with Bill and the able team of men and women who served with him.

Finally, I should like to make special mention of Henry Kissinger, who retired as a trustee at the same time Bill Dietel and I did. Henry’s guidance, wisdom, and friendship as a member of the board were for me without equal. I am very grateful.

\*Subsequent to my retirement as chairman, Jim Evans has retired because his term expired, and Peter Goldmark left the Fund to become president of the Rockefeller Foundation.

I could not truthfully say that I do not have some pangs of nostalgia and regret at leaving the Fund. It has been an important part of my life and I will miss it. On the other hand, my feelings of pride and satisfaction are much stronger at the thought that my son David will be succeeding me as chairman and that there are so many outstanding family and outside members of the board to carry on.

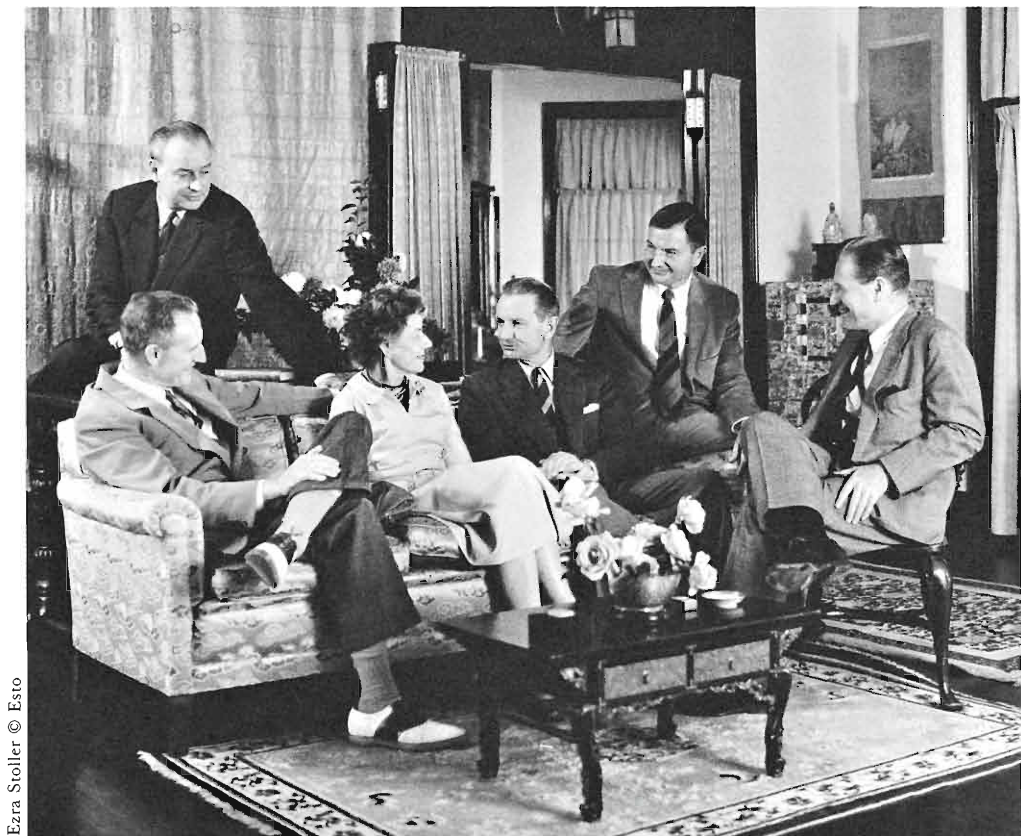
The time has come for the next generation to carry the banner. I am fully convinced that they will do so with distinction and will perpetuate a family tradition in philanthropy of which I feel we can be proud.

David Rockefeller

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THE ROCKEFELLER BROTHERS AND THEIR SISTER

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Ezra Stoller © Esto

(l. to r.) John D. Rockefeller 3rd, Winthrop Rockefeller, Abby Rockefeller Mauzé, Laurance S. Rockefeller, David Rockefeller, Nelson A. Rockefeller

Seal Harbor, Maine

1960



I have been asked to reflect on my seventeen years at the Rockefeller Brothers Fund and to comment candidly on the present state of private philanthropy. Although the invitation is so broad as to permit every kind of leeway in discussing the strengths and weaknesses of organized private philanthropy in our country in the late 1980s, it is impossible to treat this subject intelligently in its entirety in the course of a brief essay. The most I can hope to do is to share with other people interested in the subject of philanthropy, particularly American philanthropy, a few of the views and conclusions of one individual who was fortunate enough to work in this exciting and frustrating field for seventeen years, twelve of which were spent as the president of a foundation created and led by the remarkable members of the Rockefeller family.

Although it is now an accepted truism that philanthropy is the source of risk capital for the not-for-profit world, there is not agreement either about what this means for the conduct of philanthropy nor what it implies for the further development of the not-for-profit sector. It is useful when thinking about philanthropic dollars as risk capital to understand more exactly how the supposedly analogous venture capitalist uses his monies to support and to direct new and risky enterprises. If the analogy holds, then it follows that venture capitalists in the for-profit world have something instructive to say to philanthropists and their professional staffs about the nature of risk and risk investment. Many, if not most, of the largest private foundations in the United States were created by immensely successful business entrepreneurs, people who took risks and when they succeeded decided to spend a major part of their investment returns on philanthropy. Although it is too simple to explain the development of the Rockefeller philanthropies solely in these terms, there is no question that entrepreneurship and the use of risk capital have been hallmarks of the family's philanthropic activities.

I well remember a fascinating conversation with one of the country's best known professional venture capitalists, shortly after I joined the Rockefeller Brothers Fund in the fall of 1970. I was interested in learning more about how a venture capitalist worked and how venture capitalism functioned. I was particularly struck by the emphasis he placed on the fact that new ideas were far less difficult to find than was superior management talent. The venture capitalist spends more time and energy searching for people with managerial skill and leadership potential than he does for clever and innovative ideas that will lead to new enterprises. Furthermore, venture capitalists have a very clear understanding that the development of a new business entails several kinds of investment capital; seed money, mezzanine financing, and underwriting are only several of many parts of a complex whole that is required to launch and sustain new entities. There is no single, one-time financial fix for a new venture. Finally, I found especially provocative my friend's comments on the role that the risk venturer oftentimes must play not only as an investor but also as a participant, and sometimes the leader, on the board of the venture. To be sure, many venture capitalists risk only their money, but some of the most exciting and successful

ventures have involved expensive investments of the venturer's own time, energy, and expertise on the board where strategy and policy matters are determined.

After seventeen years of watching the members of the Rockefeller family in operation as trustees of this foundation, I find the analogy between venture capital activity and successful private philanthropy a powerful and productive one. When I consider private philanthropy as a whole, however, I am not sure that the practitioners of philanthropy are as experienced and wise in the understanding of the process of venturing as are our counterparts on the for-profit side. Too many of us, both trustees and staff, seem to have too little capacity for reinvesting in a risk enterprise when our initial enthusiasm is dampened by failure and our venture seems about to flounder. Our capacity and will to stay the course is not impressive. Like the average investor and investment manager, we are too inclined to judge our successes and failures by quarterly results. Our enthusiasms are too short-lived, and we expect quick solutions to deeply ingrained problems, whether they be in the environmental field or the area of human rights or in economic development. Today especially the philanthropic community has a strong penchant for funding projects and programs but a disinclination to engage in the long-term commitments necessary to build serious institutions to carry on the work for decades. This disinclination is comprehensible, but it is debatable if organized philanthropy can be more than a momentary, dilettantish kind of activity unless venturing capital for the not-for-profit world means commitment for long periods of time. In a curious way, the philanthropic community seems to suffer from arrested development, or an arrested perception of the risk process. We all want to be entrepreneurs, or at best providers of seed money. We enjoy stage one so much we do not see or appreciate that the subsequent stages of venturing are of critical importance to success.

To this observer, venture capitalists appear to experience little difficulty in risking themselves as well as their money. They seem to assume from the beginning that in most cases they will have to commit themselves to broad service if the new business is truly to prosper. Parenthetically, I wonder if a careful study would show that in fact the most successful venturers are those who have been most involved in the long-term building of the company. Foundations in our country, for the most part, do not seek high public visibility or applause for their efforts, and that is surely commendable. In contrast with their counterparts in the for-profit sector, however, organized philanthropy is more willing to send money and much less willing to send manpower. I could not count the number of occasions in the past seventeen years on which philanthropic colleagues have lectured about the dangers and the ethical traps associated with foundation trustees and staff playing an active role in grantee organizations, thereby appearing to be engaged in "self-interested" or "self-dealing" activities. The implication is clear: Make grants but stay away from personal involvement with making the grants work. I disagree wholeheartedly with this view of the proper role for trustees and staff of private foundations. There are an impressive number of major foundation investments that were successful only because trustees and others associated with the donor agencies were willing to back up their investments with personal commitment and experience, insight, and energy.



In short, philanthropists appear most often to have minimum difficulty in recognizing the importance of risk money, but all too often they underestimate the importance of the investment of human capital. All of us who have worked in foundations can cite examples where the free or unencumbered money provided by foundations made the critical difference to the success of an endeavor in which that unencumbered private philanthropic capital was the smallest part of the total funding, which came primarily from government and corporate sources. After seventeen years I am still puzzled that it is so difficult for the same people to comprehend the special contribution which "unencumbered," free, individuals can make to a risk endeavor.

This leads directly to the subject of leadership. Everyone involved in the not-for-profit sector has experienced in one form or another the desperate search for fresh, informed leaders for the sector. We have learned well how to diagnose areas of need; we have also responsibly recommended solutions. But we have done much less well in using the risk capital that private philanthropy has available to it to find, train, and deliver the leadership required. What we all continually ask is where are the people, the individuals, who are willing to risk themselves, their reputations, and, just as importantly, their time and their energy in order to build the desperately needed institutions and to develop the programs to improve the lot of humankind. Private philanthropy in our country has a well-deserved reputation for successfully identifying problems, developing research protocols to adumbrate those problems, educating the public, and raising the collective social conscience. All this we do and do well much of the time. We can gather experts together for panels and prepare lengthy and substantive reports on complex subjects; we can convene public meetings; and we have even learned how to get citizen groups to put this information and research to work.

I do not think we have been nearly so successful in addressing the question of finding and supporting leadership for the new, critical problem areas. I am speaking specifically of the next generation of leaders of institutions, both the paid professionals staffing these organizations and also the men and women required to play the vital role of trustees. It is easier to spend the philanthropic dollar than it is to identify and support, and encourage and enhance the leadership capacities of the next generation.

Not long ago, I saw a provocative bumper sticker on the back of one of my daughters' automobile: "When the people lead, eventually the leaders will follow." During the time that I have been associated with the Rockefeller Brothers Fund, our society has experienced numerous instances in which it was the seemingly leaderless public which got ahead of and pressed the issue of the day before the putative leaders of the society identified

the issue or had come to grips with addressing it. If immediate past experience continues, we can expect to see more and more situations in which leadership will arise from unexpected quarters. Sometimes this leadership is able to manage successfully the transition from organizing advocacy activities to building and managing expensive and complex organizations and agencies. More often different styles of leadership are required over the course of time: The searching out and education and sustenance of a whole generation of younger people with leadership potential is a cause worthy of more attention from the philanthropic community.

In conclusion, I am convinced, especially after my experience of the past seventeen years, that our society can in significant ways be distinguished from other societies in the world by the role the not-for-profit sector plays. In the last months of my tenure as president of the Rockefeller Brothers Fund, I was particularly struck by the lengthening stream of visitors from outside the United States who came here to learn about this peculiar phenomenon that makes for much of the dynamism of contemporary American society. There is a genuine thirst for more understanding of what John D. Rockefeller 3rd called the third sector. With it comes a pressing interest in how that third sector has been both financed and led. Philanthropy at its best has historically provided both the risk capital and much of the most dynamic risk leadership for the third sector. Together this capital and this leadership have been a powerful engine for positive changes in such areas as education, human rights, the environment, population, and agriculture, to mention only a few. Today the nations outside the Western Hemisphere are starting to sense that the development of a similar sector in their economies, and social and political structures, will be required if they are to succeed in meeting their own problems and contributing importantly to the resolution of those truly global problems which we collectively now must address. American philanthropy can play a critical role in this process. Whether history will deem it to have been a useful role will depend upon whether organized private philanthropy in the United States understands the true nature of risk capital.

William M. Dietel

In November of 1987 the Rockefeller Brothers Fund, in cooperation with the Ramon Magsaysay Award Foundation, sponsored the Magsaysay Awardees Assembly in Bangkok, Thailand.

The Assembly marked the thirtieth anniversary of the Ramon Magsaysay Awards, which were established by the Fund as a memorial to the late Ramon Magsaysay, president of the Philippines from 1953 until 1957. The awards are made annually to individuals or organizations in Asia for work exemplifying the ideals of President Magsaysay in government service; public service; community leadership; journalism, literature, and creative communication arts; and international understanding.

The Assembly brought together nearly 100 recipients of the award, as well as trustees of the Fund and of the Ramon Magsaysay Award Foundation, to discuss challenges and dilemmas facing Asia as the year 2000 approaches. Specific attention was given to issues of rural environment; urban environment; culture, education, and religion; and peace and security.

At the conclusion of the three-day Assembly, David Rockefeller, speaking for the last time as chairman of the Rockefeller Brothers Fund, announced the establishment by the RBF of the Fund for Asian Projects, the income of which will be used to support projects in Asia related to the interests of the Ramon Magsaysay Award Foundation and of the Magsaysay Awardees. Grants from this fund will be made by the trustees of the RBF upon recommendations from a board of advisers made up of Magsaysay Awardees and officers of the Ramon Magsaysay Award Foundation.



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## THE ROCKEFELLER BROTHERS FUND

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### AND ITS PROGRAM

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The Rockefeller Brothers Fund was founded in 1940 as a vehicle through which the five sons and daughter of John D. Rockefeller, Jr., could share a source of 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 endowment of the Fund.

The assets of the RBF at the end of 1987 were \$219,435,159 and its 162 grant payments and its matching gifts during the year amounted to \$7,631,438. Since 1940, the RBF has disbursed a total of \$356,269,928 in grants.

In June 1983, the trustees of the Rockefeller Brothers Fund adopted program recommendations presented in a report from the Fund's planning committee. The report, the result of almost two years of work by a committee of the Fund's trustees, recommended that the principal part of the RBF's program be organized around the theme of global interdependence—One World—with two major components: resources and security. The report also recommended that the Fund continue its interests in New York City and in the well-being of the private, nonprofit sector.

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### PROGRAM GUIDELINES

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In November 1984, building upon the Report of the Planning Committee, the trustees of the Fund adopted the following program guidelines:

The Fund seeks to achieve its major objective of improving the well-being of all people through support of efforts in the United States and abroad that contribute ideas, develop leaders, and encourage institutions in the transition to global interdependence and that counter world trends of resource depletion, militarization, protectionism, and isolation which now threaten to move humankind everywhere further away from cooperation, trade and economic growth, arms restraint, and conservation.

The basic theme of interdependence presupposes a global outlook and, hence, internationally oriented activity. While United States problems and grantees will receive considerable attention, this will be in the context of global concerns and not simply national ones.

The Fund will make grants in four general areas. The first, "One World," is made up of two components, Sustainable Resource Use and World Security, which will receive the major portion of grant funds. The other three areas are New York City, Nonprofit Sector, and Special Concerns.

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ONE WORLD

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SUSTAINABLE RESOURCE USE

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GOAL

To encourage more efficient and renewable use of natural, human, and man-made resources, in an approach that blends social, economic, and ecological concerns.

STRATEGIES

Defining and advocating the philosophy of sustainable resource use on a global basis through action-research and other projects that employ comprehensive approaches to resources management;

Implementing the philosophy of sustainable resource use through support of clusters of organizations and projects in forestry, agriculture, fisheries, and bioenergy that are creating more renewable resource practices which are less destructive to land, forest, air, water, and human resources;

Focusing effective action on other compelling resource projects of special merit that have been initiated by others and are supportive of the Fund's primary sustainable resource objectives.

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WORLD SECURITY

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GOAL

To strengthen arms control, improve international relations, and encourage development, trade, and finance—recognizing that prospects for world peace are threatened not only by competing political philosophies or differing religions and cultural traditions but also by frustration and aggression bred by inequities in the sharing of food, energy, goods, and services produced by the world economy.

STRATEGIES

*Arms Control*

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Developing new paths to arms control through support of interdisciplinary work analyzing specific nuclear and conventional arms issues, with particular attention to collaborative efforts between U.S. and Soviet groups;

Determining the effects of nuclear weapons use on the world's life support system and the implications of the scientific findings for arms control and security;

Halting the spread of nuclear weapons capability to other countries and groups.

*International Relations, Development, Trade, and Finance*

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Supporting interrelated activities of public information and education, exchanges, internships and joint work with the Soviet Union and, particularly, Eastern Europe on substantive fields of mutual interest;

Enhancing mutual American and East Asian understanding through public information, education, and exchange; and strengthening international relations and strategic studies institutes in East Asia and helping them construct links with one another and with similar American institutions;

Increasing understanding of common interests among the industrialized nations and helping them deal more effectively with the pressing concerns of the less developed countries.

In connection with the implementation of its "One World" theme, the Fund will support projects related to the not well understood or explored connections between global resource management and global security.

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NEW YORK CITY

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GOAL	To improve the quality of life in New York City.
STRATEGIES	Encouraging collaborative action between the public sector and various private-sector groups, including business, labor, academic, and nonprofit organizations on projects having City-wide implications, particularly in relation to economic development policies and practices;
	Strengthening vital institutions of special importance to the City.
	Focusing effective action on public health and related issues involved with the AIDS crisis in New York City.

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NONPROFIT SECTOR

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GOAL	To promote the health and vitality of the nonprofit sector, both nationally and internationally.
STRATEGIES	Assisting basic research and public education with respect to nonprofits;
	Promoting increased individual and corporate giving, the development of new sources of income for and improved management of nonprofits, and greater international grant making.

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SPECIAL CONCERNS

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GOAL To support emergency situations and compelling new opportunities.

ILLUSTRATIONS Providing, initially, support for human rights in Southern Africa and for comparative research and exchange between the People's Republic of China and the United States in the area of general education in the arts.

In 1985, the Fund initiated a special series of grants dealing with the current crisis in South Africa.

STRATEGIES Strengthening the institutional capacities of indigenous organizations in South Africa that are promoting democracy for all South Africans;

Assisting South African organizations devoted to the reform of education, especially at the secondary school level;

Helping establish agencies and programs that prepare black South Africans for leadership positions in government and the private sector;

Addressing basic issues of communications inside South Africa, particularly in relation to the black press, and special opportunities to disseminate current information about the current situation in South Africa.

Four operational "touchstones" will be a key consideration in the development of all grants. These relate to the Fund's approach to its substantive concerns and are *not* specific areas of interest in and of themselves.

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EDUCATION of key individuals, special target groups, and the general public.

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LEADERSHIP the identification and encouragement of a new generation of leaders, national and international; assisting contact among leaders and the development of leadership networks around specific areas of Fund program interest.



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LEVERAGE	using combinations of trustees and staff as well as related organizations to work toward common goals in mutually supportive ways.
SYNERGY	developing clusters of interrelated projects so as to have an impact beyond the sum of the parts.

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## HOW TO APPLY FOR A GRANT

To qualify for a grant from the RBF, as from most other foundations, a prospective grantee must be either a tax-exempt organization or an organization seeking support for a project that would qualify as tax exempt. A grantee must also be engaged in work that fits generally within the Fund's guidelines (see page 23, above).

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

(The review of inquiries is ongoing throughout the year; there are no deadline dates, and consequently the use of special or express mail services for such letters is unnecessary.)

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, the average between \$25,000 and \$50,000.

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

A detailed proposal, when requested, is expected to include a complete description of the purpose of the project or organization, the background and the research that have led to the development of the proposal, the methods by which the project is to be carried out, the qualifications and experience of the project's or organization's principal staff members, a detailed, carefully prepared, and realistic budget, and a list of those who serve as board members or advisers to the project. Attached to each proposal must be a copy of the organization's tax exemption notice and classification from the Internal Revenue Service, dated after 1969, and a copy of its most recent financial statements, preferably audited. Proposals from former grantees of the Fund will be considered only after earlier grants have been evaluated and grantees have submitted necessary reports of expenditures of those grants.

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

Fund grantees are required to submit financial and narrative reports at specified intervals and at the end of each grant period. In addition, RBF staff members 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.

#### GRANT INFORMATION

In addition to publishing an annual report, the Rockefeller Brothers Fund submits grants information on a regular basis to the Foundation Center for inclusion in its publications, including *The Foundation Grants Index Bimonthly* and *The Foundation Grants Index Annual*. Foundation Center grants data also appear on line in the Foundation Grants Index data base on DIALOG and through a retrieval service available to members of the Telecommunications Cooperative Network through Dialcom. The Foundation Center maintains reference libraries in New York, New York; Washington, D.C.; Cleveland, Ohio; and San Francisco, California; and Cooperating Collections in more than 170 locations nationwide provide a core collection of Foundation Center publications. Information about the location of Cooperating Collections can be obtained from the Foundation Center by calling 1-800-424-9836 (toll free).

ONE WORLD:  
SUSTAINABLE RESOURCE USE

GOAL To encourage more efficient and renewable use of natural, human, and man-made resources, in an approach that blends social, economic, and ecological concerns.

STRATEGY Defining and advocating the philosophy of sustainable resource use on a global basis through action-research and other projects that employ comprehensive approaches to resources management.

**Global Studies Center**  
Arlington, Virginia

Continued support for general budgetary expenses, as a challenge grant. The center is a leading source of information on the technical skills needed to introduce new planning approaches for sustainable development that integrate social, economic, and ecological data in policy-making at local and national levels of government. The center responds to requests for technical assistance from public and private groups in countries conducting studies on sustainable development, provides training for the leaders of such groups, and prepares technical materials for use in carrying out studies. Up to **\$480,000** (over three years)

**Institute for Alternative Agriculture**  
Greenbelt, Maryland

Continued support of the institute's core program, which includes the publication of a journal on the scientific basis of resource-efficient farming systems and technologies and a monthly newsletter providing reliable information on alternative agriculture resources for agriculture extension workers and farmers, and the convening of an annual symposium on critical resource issues. The institute is collaborating with the U.S. Department of Agriculture on research and information services to assist commercial farmers in the transition to resource-efficient agricultural practices. **\$60,000** (over two years)

**International Federation of  
Institutes for Advanced Study**  
Toronto, Canada

Reallocation of the balance of a 1984 challenge grant toward general operating expenses. In 1987 the federation transferred its headquarters to Canada and was reincorporated there. The federation coordinates the activities of a worldwide network of some 30 academic research centers that are engaged in studying and analyzing complex, interrelated global problems pertaining to the management of human and economic resources. Two appropriations totaling **\$340,000** (over three years)

**International Fund for  
Agricultural Research**  
Washington, D.C.

Toward general budgetary support. The fund is the U.S. member of a group of independent support organizations that the Consultative Group on International Agricultural Research is developing to serve as new funding agencies. Concerned about the critical decline in funding from traditional sources for agricultural research centers around the world, the Consultative Group has organized agencies in Japan, Australia, the U.S., the United Kingdom, and within the European Economic Community to promote knowledge of and support for agricultural research. As the U.S. member, the International Fund for Agricultural Research will initiate meetings of leaders of commerce, industry, finance, and foundations to build a body of informed public opinion and generate support from corporations, foundations, and individuals. **\$75,000** (over three years)

**Minnesota, University of  
Center for Natural Resource  
Policy and Management**  
St. Paul, Minnesota

Toward the general operating costs of the *Common Property Resource Digest*, which is concerned with systems of management of communal lands and resources that have historically been shared by tribes and communities in developing countries. Because common land management often underlies many failures of resource management, it is a critical factor in the promotion of sustainable resource use, and there are successful examples of contemporary, informal management of resources still held in common. The Digest provides useful information about these systems and compares experiences of different cultures and practices. **\$50,000** (over two years)

**New York University  
Center for Urban Research**  
New York, New York

Toward the center's project, Mega-Strategies for Mega-Cities. Rapid urbanization, especially in the developing countries, has been focusing attention on improving the quality of life in large metropolitan areas. To implement the project, a committee composed of representatives of city government, grass-roots groups, university research centers, and private sector research and development firms has been organized in each of the world's ten largest cities. Under the project, ecologically sustainable cost-effective and replicable innovations in housing, energy, water, sanitation, and transportation will be documented and promoted. The collection of information will become an internationally accessible data base of promising approaches to urban resource use, with an international network of practitioners, policymakers, and researchers on creative city management. **\$100,000** (over two years)

**New York University  
School of Education, Health,  
Nursing, and Arts Professions**  
New York, New York

Toward a documentary film series, "The Quiet Revolution," which the school is producing to promote more awareness of and assistance to research on sustainable agricultural practices in developing countries. Financing for international agricultural research has been provided mainly by developed nations, but fiscal pressures have caused curtailments by these countries. There are promising alternative sources of funding in the private sector among corporations, foundations, and concerned individuals. The purpose of the film series is to give such potential supporters an awareness of the advances of the past decade that have improved food production in the third world, and to describe the research challenge for long-term solutions in the face of burgeoning populations in Africa, Asia, and Latin America. **\$60,000**

**Rodale Institute**  
Emmaus, Pennsylvania

Continued support for general budgetary expenses, as a challenge grant. The institute conducts research on resource-efficient, less environmentally damaging farming practices, and makes the information available to farmers and farm extension agents, environmentalists, research scientists, educators, and policymakers in the U.S., Europe, and Africa. It also coordinates a network of U.S. federal- and state-supported scientists, and is working with the U.S. government on a nationwide program to help farmers make the transition to more sustainable farming systems. Outreach activities include on-the-ground projects in African countries and working with international private voluntary organizations. Up to **\$150,000** (over two years)

**Society for the International Public Interest**  
Washington, D.C.

Continued general support through a matching grant. Known as Ashoka, the society was established to identify and provide moral and financial support for third world public service entrepreneurs struggling through the early stages of their careers. National Ashoka associations have been organized in India, Indonesia, and Brazil, and more than 50 fellows, who have been selected by the national associations, are directing development projects. Up to **\$75,000** (over two years)

**Synergos Institute**  
New York, New York

Toward the final phase of organizational and program planning. The institute was founded to provide management assistance services to local community self-help initiatives in the U.S. and abroad. These services place emphasis on collaborative problem solving. Community partnerships are encouraged, across the sectors of a given society as well as across national boundaries, in order to mobilize the resources needed to overcome social and economic problems and make better use of existing expertise, information, and technology. **\$75,000**

**WGBH Educational Foundation**  
Boston, Massachusetts

Continued support of the *State of the World* public television series, based on the annual reports prepared by the Worldwatch Institute. To ensure that the series will be viewed by a large public audience and widely used in targeted educational programs, WGBH has designed outreach activities that include promotional initiatives with the media, community environmental groups, and government officials at all levels; the distribution of segments of the series for use in university courses; and the preparation of a guide for high school teachers. **\$75,000**

**Worldwatch Institute**  
Washington, D.C.

Toward publication of *World Watch*, a magazine presenting information and insights on a wide range of resource management issues. As the third and newest component of the institute's publications, which include *State of the World*, an annual assessment of progress toward achieving sustainable economic and social development, and the Worldwatch papers, shorter in-depth examinations of emerging resource management subjects, *World Watch* is being published as a bimonthly popular magazine to provide resource management information to a broader public audience. **\$225,000** (over three years)

Implementing the philosophy of sustainable resource use through support of clusters of organizations and projects in forestry, agriculture, fisheries, and bioenergy that are creating more renewable resource practices which are less destructive to land, forest, air, water, and human resources.

**American Trust for Agriculture  
in Poland**

McLean, Virginia

Toward activating a foundation in Poland that will help private Polish farmers gain up-to-date scientific and managerial knowledge to increase agricultural production. The foundation will also provide a range of business services to attract foreign investors and facilitate expanded trade and communication between the Polish agricultural sector and the West. In this effort to revitalize Polish agriculture, the trust, as a U.S.-based nonprofit organization, is assisting the Polish foundation in its organization, project formulation, and fund raising. **\$75,000**

Further support, designated for the last phase of activating the Foundation for Development of Polish Agriculture in Poland. Up to **\$200,000** (over two years)

**Asian Institute of Technology**

Bangkok, Thailand

Toward the establishment of a new Interdisciplinary Natural Resources Development and Management program to equip young Asian civil servants with the skills needed to plan for balanced economic and social development. The grant enabled the institute to convene a two-day forum to solicit critical commentary on the proposed curriculum from senior Asian government administrators of national economic planning and resource management agencies, and to provide partial scholarship support for three students, including one from China, in each of the program's first two classes. **\$70,000** (over two years)

**BioEnergy Users Network**

Washington, D.C.

Continued general budgetary support. The primary interest of the network's membership, representing 39 countries, is in developing more resource-efficient food and fuel systems that sustain the environment. Core activities have included meetings with officials of the World Bank and the multilateral development banks on reducing the negative environmental impact of development projects financed by the banks; consultations with member governments on sugarcane diversification programs as an alternative source of food and fuel for local consumption; feasibility analyses of biomass-fueled rural electrification systems; and establishment of a computer-based information center on biomass production, utilization, and research. **\$75,000**

Further support for the core budget in 1988. **\$75,000**

**Chiang Mai University**

Chiang Mai, Thailand

Toward the university's new English-language master's degree program in agricultural systems for Asian students. Courses will attempt to integrate traditional agricultural sciences with the newer sciences of ecology and rural sociology and promote sustainable economic development in the rural areas of Asian nations. The grant is to cover the costs of two-year scholarships in the first class for one student from each of two prominent agricultural universities in China. **\$33,200** (over two years)

**Fund for Peace**  
New York, New York

Toward an international conference on ecology and development in Vietnam, hosted by the fund's Indochina Project. A delegation of five Vietnamese academics met with a group of 50 natural and social scientists from the U.S., Western Europe, and Southeast Asia, and representatives of multilateral development assistance agencies. Discussions concerned the causes of Vietnam's pressing development problems, including population growth and the loss of such essential natural resources as forests and fisheries, and strategies for dealing effectively with them and implementing long-term sustainable economic progress. **\$20,000**

**International Institute for Energy Conservation**  
Washington, D.C.

Toward its core program to encourage third world countries to create incentives for resource-efficient energy policy, and help them obtain appropriate technologies. The institute is assisting in an energy-saving program for the steel industry in China, and new projects are being undertaken in Latin America and Asia. To facilitate technology transfer, the institute is working with the State Department in the design of an international finance program for those companies that have commercially available technologies appropriate for third world energy-saving opportunities but require financing to accomplish the transfer. **\$150,000**

**Nitrogen Fixing Tree Association**  
Waimanalo, Hawaii

Continued general budgetary support. With its network of 15 research stations in Africa, Asia, and Latin America, the association is the single most important source of reliable information on fast-growing, nitrogen-fixing tree species. The association makes available to a membership of 1,100 individuals and institutions research data on these multipurpose trees, their adaptability to a wide range of climates and soil conditions in developing tropical regions, which makes them an effective agent in overcoming problems of deforestation and soil depletion, and their value as a source of fuel and fodder. **\$70,000**

**Princeton University, Trustees of Center for Energy and Environmental Studies**  
Princeton, New Jersey

Toward the center's program. Following a joint study of energy policy with the World Resources Institute that identified major opportunities for energy efficiency in countries worldwide, the center's energy analysts are now working on the challenge of implementing opportunities for energy productivity gains in third world countries, where demands are expanding dramatically. In consultation with U.S. corporate and government officials, the center's analysts are seeking to design efficient energy technology transfer projects; for example, one pilot demonstration project involves the use of aircraft turbine engines to produce electricity from sugarcane wastes. **\$40,000**

**Resources Development Foundation**  
Washington, D.C.

Continued support for the 1988 core operating budget of its International Biotechnology Program, which was initiated to help mobilize the scientific, financial, and managerial resources necessary to adapt the biotechnology of developed countries to the needs of third world countries. The program is actively involved in bringing together providers of biotechnologies with indigenous operating companies in developing countries, and in bringing potential indigenous enterprises to the attention of private investors and bilateral and multilateral funders. **\$250,000**

**Sierra Club Foundation**  
San Francisco, California

Toward its international environmental project with the Inter-American Development Bank. A consultative meeting was held with bank staff members and public officials and nongovernmental representatives, experienced in sustainable resource use issues, from each of the bank's developing country members. The meeting provided an opportunity to involve third world representation in policy review of the lending criteria used by multinational development banks for financing environmentally related projects. A post-meeting activity sponsored by the foundation is the establishment of a network with nongovernmental organizations in Central and South America, Africa, and Asia to monitor projects financed by multinational development banks. **\$25,000**

**Trans-Form Foundation**  
New York, New York

Toward its program of assistance to the Taiwan 2000 project. The project's report will be a comprehensive statement about the environmental and social consequences of Taiwan's rapid economic growth, and will propose alternative policy approaches to long-term development that call for multisectoral planning and the integration of environmental and social data with conventional economic information. The report promises to have a major impact in other Asian societies that are becoming more familiar with the concept of sustainable development and the importance of integrated policy planning. **\$19,000**

**Winrock International Institute for  
Agricultural Development**  
Morrilton, Arkansas

For a program in China designed to improve both applied research on sustainable agricultural systems and policy research on regional and national strategies that affect the success of introducing sustainable systems at the local level. The program includes competitive research awards to small research teams at provincial and local institutes who are working directly with resource users; training sessions to introduce awardees to Western techniques of applied research; and workshops for the exchange of ideas about methodologies and research results. Reports detailing project findings will be prepared in Chinese and English. The program is directed by a steering committee of members of several Chinese institutions that share in the formulation of broad national policies. **\$135,000** (over three years)

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## STRATEGY

Focusing effective action on other compelling resource projects of special merit that have been initiated by others and are supportive of the Fund's primary sustainable resource objectives.

**Beijer Institute**  
**(International Institute for Energy,  
Related Resources and the  
Human Environment)**  
Stockholm, Sweden

Continued support for its policy project in the field of climate change. A 1986 symposium of 100 biologists, ecologists, and policymakers identified the increased use of fossil fuels as a major contributor to the warming trend of the earth's atmosphere and a primary threat to ecological systems that support human life. Scheduled for 1987 and 1988 are high-level international meetings of scientists and government ministers to identify near-term steps to help avoid, reduce, and/or adapt to climate change, and to recommend options for the management of gaseous emissions, forests and other ecosystems, water, and energy resources. **\$250,000** (over two years)



The following special grant was made to a project that had received support under the Fund's previous program:

**Leland Stanford Junior University,**  
**Trustees of the**  
**Food Research Institute**  
Stanford, California

Toward the concluding conference of the institute's three-year project examining food pricing policy in six Asian nations: Indonesia, Thailand, the Philippines, Nepal, the Republic of Korea, and the People's Republic of China. The project's analysis offers numerous insights into the effects of government actions on the production and distribution of food products. To encourage discussion of the findings, the institute sponsored the conference in the Philippines for leading Asian scholars and individuals responsible for formulating food policies throughout Asia. **\$20,000**

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ONE WORLD:  
WORLD SECURITY

GOAL

To strengthen arms control, improve international relations, and encourage development, trade, and finance—recognizing that prospects for world peace are threatened not only by competing political philosophies or differing religions and cultural traditions but also by frustration and aggression bred by inequities in the sharing of food, energy, goods, and services produced by the world economy.

STRATEGY

*Arms Control*

Developing new paths to arms control through support of interdisciplinary work analyzing specific nuclear and conventional arms issues, with particular attention to collaborative efforts between U.S. and Soviet groups.

**Natural Resources Defense Council**  
New York, New York

Toward the establishment and operating costs of a computer network for its Nuclear Test Verification Project. The primary purpose of the project is to demonstrate that verification of nuclear weapons test bans is technically and politically feasible and thereby to pave the way for agreements further limiting nuclear weapons testing. Three seismic monitoring stations have been established around the principal nuclear weapons test site in the Soviet Union, and three around the U.S. test site in Nevada. The computer network will link the monitoring stations, the council's offices in Washington, D.C., and Moscow, and laboratories at the Scripps Institution in La Jolla and will permit improved, rapid transfer of scientific and administrative information among project participants. **\$75,000**

**Parliamentarians Global Action  
for Disarmament, Development  
and World Reform**  
New York, New York

Continued support of its activities related to the verification of nuclear weapons arms control agreements, long a primary issue in arms control. This organization is working with the world's foremost experts on seismic and other verification techniques in a program of interdisciplinary analysis to devise technically sound proposals for realistic verification methods and measures and to explore the establishment of an international verification system. Founded in 1980, Parliamentarians Global Action is a network of more than 600 elected national legislators from 36 countries working together on disarmament and development issues. **\$75,000.**

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STRATEGY

Halting the spread of nuclear weapons capability to other countries and groups.

**California, University of, Los Angeles  
Center for International and  
Strategic Affairs**  
Los Angeles, California

Toward the project, The Emerging Nuclear Suppliers and Non-proliferation, which is researching and building an accessible computer data base on the new group of countries supplying nuclear material, technology, equipment, and training. Most of these countries neither are parties to the Non-Proliferation Treaty nor subscribe to existing international nuclear export control agreements. The project will research and analyze the nuclear export behavior of the new supplier states and the effects of their policies on the existing system of controls and will identify and assess alternative strategies for containing the proliferation risks posed. The data base established will constitute a major resource for those working in the nonproliferation field. **\$75,000** (over two years)

**Carnegie Endowment for International  
Peace**  
Washington, D.C.

Continued support of its Non-Proliferation Project. In 1984, the project undertook the preparation of annual reports on the state of nuclear weapons proliferation worldwide, in order to provide incentives for policymakers to work toward strengthening non-proliferation measures. The reports have received international recognition and become the standard in the field. A new component of the project, the Task Force on Nuclear Proliferation and South Asian Security, was added to devise measures for reducing the risks of a nuclear arms race between India and Pakistan. A further component now being implemented is examining the possible use of publicly available satellite photography to monitor nuclear developments in the countries about which there is proliferation concern. **\$100,000** (over two years)

**Federation of American Scientists Fund**  
Washington, D.C.

Toward its Nuclear Proliferation Data Project which produces and interprets technical data important to nonproliferation efforts. Because proliferation issues involve complex scientific subjects, policymakers, analysts, government decision makers, and the media need accurate and reliably interpreted technical data to enable them to carry on informed analysis and debate. The project will work particularly to describe the worldwide technical base for the production of plutonium and highly enriched uranium, the most important ingredients in nuclear explosives, and investigate the technological gaps that various countries would have to bridge in order to deploy nuclear weapons once they had obtained explosive materials. **\$75,000** (over two years)

**Nuclear Control Institute**  
Washington, D.C.

Toward the outreach program of its Nuclear Terrorism Prevention Project, which has involved an international task force of 26 members from nine countries in the assessment of the specific risks of nuclear terrorism. The task force reached a consensus on recommendations for improved protection of military nuclear weapons and materials and civilian nuclear energy facilities. Its report attracted worldwide attention in the media, the nuclear industry, national laboratories and intelligence agencies, and parliaments and legislatures. To begin work aimed at implementing the recommendations, the institute is holding a series of meetings in Western Europe, Japan, the Soviet Union, South America, and the U.S., sponsored jointly with local institutions, to bring task force members together with government, industry, and military officials to explore specific policy proposals for lessening the risks of nuclear terrorism. **\$75,000**

**Peace Research Institute Frankfurt**  
Frankfurt, Federal Republic of Germany

For the costs of American participation in a workshop for the preparation of the institute's first annual survey of West European nonproliferation policy, which will cover six countries, the activities of European Community institutions concerned with nonproliferation and nuclear cooperation, and the European nuclear industry. As the 1990 final review conference of the Non-Proliferation Treaty approaches, there is increasing recognition on both sides of the Atlantic of the need for mutual understanding and a joint Western nonproliferation strategy. The participation in the workshop of Americans engaged in innovative work in the field made possible the sharing of newly found data and differing views and approaches and brought about new transatlantic cooperation on a range of matters and projects. **\$23,000**

**Roosevelt Center for  
American Policy Studies**  
Chicago, Illinois

Continued support of its project to engage the U.S. public in halting the spread of nuclear weapons. People in more than 200 communities have taken part in *Wildfire*, a role-playing game that confronts participants with the problems created by the spread of nuclear weapons capability and with the range of policy choices available to the U.S. and other nations. Participants have included civic, business, and church groups, college and high school students and teachers, congressmen and local politicians, and journalists. The center uses *Wildfire* and other public education activities to broaden the network of organizations and citizens concerned about proliferation and the nonproliferation policy process, to increase the visibility of proliferation as an issue, and to improve the thoughtfulness and clarity of public debate. **\$100,000** (over two years)

**Southampton, University of**  
Southampton, England

Toward the Programme for Promoting Nuclear Non-Proliferation, an international effort initiated to collect and analyze information on nuclear nonproliferation matters and to bring together leading specialists in the field, with a view to sustaining the nonproliferation regime and facilitating a successful Non-Proliferation Treaty Review Conference in 1990. Its activities center around a core group of about 15 diplomats, officials, and researchers from countries throughout the world that are party to the treaty. Officials responsible for their countries' national policy-making regarding the 1990 review conference will be brought together through two international conferences. The program will also distribute a newsletter and occasional papers and serve as an authoritative source of information for the media and people in government, civil service, and the nuclear industry who need to become knowledgeable about nonproliferation issues. **\$200,000** (over three years)

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

Toward its program, Proliferation Norms and the Asian Security Environment, that is involving for the first time the Soviet Union, China, Japan, and the U.S. in quadrilateral discussions of security and nuclear nonproliferation in the Asian region. In the first year, proliferation issues will be a topic at each of UNA's annual bilateral meetings with Soviet, Chinese, and Japanese counterpart groups; in the second and third years, quadrilateral meetings involving five participants from each country will be held. To prepare for the latter meetings, consultations will be held with representatives from India, Pakistan, Taiwan, and North and South Korea. The results of the quadrilateral discussions will be disseminated through roundtables in Washington, D.C., and public education events in major UNA-chapter cities bringing country representatives of the quadrilateral meetings together with community leaders. **\$150,000** (over three years)

**Wisconsin, University of  
Madison, Wisconsin**

Toward the project, Enforcing Controls on Nuclear Exports, which is concerned with ensuring that countries exporting nuclear materials follow up on the use of materials they send abroad under peaceful use guarantees. Such exports are subject to international controls whose credibility must be maintained. The project is documenting and publicizing the controls and seeking to ensure they are enforced. It is following up on specific situations where supplier countries have not carried out their enforcement responsibility and will do any additional research necessary to demonstrate that adequate inspections are feasible. The project's findings are expected to be useful in the international dialogue on nonproliferation issues and policies that will take place prior to the 1995 conference on the continuation of the Non-Proliferation Treaty. **\$110,000** (over two years)

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## STRATEGY

*International Relations, Development, Trade, and Finance*  
Enhancing mutual American and East Asian understanding through public information, education, and exchange; and strengthening international relations and strategic studies institutes in East Asia and helping them construct links with one another and with similar American institutions.

**Chinese Scholars of  
International Studies**  
Washington, D.C.

Continued support for the organization's annual conference of visiting Chinese scholars and students of political science and international studies who are attending American colleges and universities. The conferences are held for discussion of a range of issues relating to Chinese domestic and foreign policy, and security and economic development in the Asia-Pacific region. The sharing of information and ideas and the personal and professional relationships established at the conferences are expected to benefit not only the participants but also the centers of international relations and strategic studies in China to which they return in leadership positions. **\$12,000**

**Institute of International  
Education**

New York, New York

Continued support for the Committee on International Relations Studies with the People's Republic of China, which administers an exchange program designed to improve the capacity for research, training, and policy analysis at nine leading centers of international relations studies in China. The committee provides two-year fellowships to younger Chinese international relations specialists enrolled in degree programs in the U.S. It is also assisting a new international relations teacher training program at Peking University for Chinese graduate students. **\$250,000** (over three years)

**Japan Society**

New York, New York

Toward the Seventh Shimoda Conference. The conferences are an influential, continuing forum for discussion of major issues affecting the U.S. and Japan, and are convened when issues requiring careful consideration arise. Participants represent the highest levels of all sectors of the two countries. The 1987 conference highlighted the need for effective global leadership; specific topics included common security concerns, obstacles to collaboration, and U.S.-Japan leadership in managing the global economy and supporting important international institutions. **\$50,000**

**Universities Field Staff International**

Indianapolis, Indiana

Toward extraordinary expenses associated with reorganization. Founded with assistance from John D. Rockefeller 3rd, the organization is a consortium of American colleges and universities dedicated to promoting and improving international education. The grant provided special funds needed to continue support of the overseas field staff through the 1987-88 fiscal year. **\$25,000**

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**STRATEGY**

Increasing understanding of common interests among the industrialized nations and helping them deal more effectively with the pressing concerns of the less developed countries.

**Friends of the Hague Academy of  
International Law**

New York, New York

Toward a project investigating successful conflict mediation efforts in East Africa for insights on the use of this aspect of international law for reducing global tensions. It will also identify prospects for future regional cooperation among states based on these mediation experiences. **\$20,000**

**Institute for International  
Economics**

Washington, D.C.

Continued support of its project to encourage and facilitate reform of the agricultural provisions of the General Agreement on Tariffs and Trade. The project's final report was welcomed by agricultural policy specialists as a statement of the compelling need for reform of the current system of international trade in agricultural commodities. Encouraged by the response, the institute organized a series of meetings to build a broadly based international consensus on an agenda for action. The results of discussions among some of the world's leading nongovernmental experts on agricultural trade, and of follow-up regional discussions in Europe, Latin America, Asia, and Africa, will be integrated and a set of recommendations prepared for the 1988 Group of Seven summit meeting. **\$50,000**

**Maureen and Mike Mansfield Foundation**  
Helena, Montana

Toward its project, North-South Relations in Transition: the Role of the United States and Japan. In recognition of the significance of Japan's emergence as a leading aid donor when assistance from Western industrialized nations is shrinking, the Mansfield Center for Pacific Affairs conducted a comprehensive analysis of Japanese foreign economic assistance to developing countries. Leading scholars from the U.S., Japan, Western Europe, and Southeast Asia examined patterns of Japanese economic aid to date. A conference in Washington, D.C., informed governmental officials, congressional aides, and representatives of international development agencies of the character of the Japanese aid program and its relevance to the development of public policies affecting bilateral and multilateral assistance activities.  
**\$30,000**

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In connection with the implementation of its "One World" theme, the Fund will support projects related to the not well understood or explored connections between global resource management and global security.

**Business Executives for National  
Security Education Fund**  
Washington, D.C.

Continued support for the implementation of its national development plan. Through local and regional offices across the country, the organization provides public education on the threat of nuclear war and on the importance of an effective, affordable national defense. It has particularly worked to bring proven business practices to bear on defense planning and military spending. Active business leaders, leading researchers, and retired senior military officers assist in developing and producing materials for use by the media and in presentations at local and regional civic and business associations and other local forums.  
**\$50,000**

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NEW YORK CITY

GOAL

To improve the quality of life in New York City.

STRATEGY

Encouraging collaborative action between the public sector and various private-sector groups, including business, labor, academic, and nonprofit organizations on projects having city-wide implications, particularly in relation to economic development policies and practices.

**American Woman's Economic  
Development Corporation**  
New York, New York

Toward support of a program in management training and technical assistance for women business owners in economically distressed areas of New York City. Recognizing the stabilizing role that small businesses can play in these areas, the program is targeted to the special needs of women owners, who have personal investments in the neighborhoods where they do business because of family and community ties. For a period of 18 months, the women attend evening seminars for discussion of a range of business operations, and workshops during which each participant's business is analyzed and a growth strategy developed. Seminar leaders and workshop counselors are practicing entrepreneurs; other successful business people participate as speakers and panelists. **\$38,000**

**National Federation of  
Community Development Credit Unions**  
New York, New York

For a market research study of individual socially responsible investors. The study will estimate the size of the potential national market of socially conscious investors, develop a demographic profile of such investors, and determine what motivates their investment decisions. The study is one of several research projects being funded by a group of foundations and nonprofit groups to determine the feasibility of establishing a bank which would focus its lending on housing and small business initiatives in low-income neighborhoods in New York City. **\$26,000**

**Pratt Institute  
Center for Community and  
Environmental Development**  
Brooklyn, New York

Toward the center's planning for an internal development capacity. Based at Pratt, the center has provided technical assistance and information services to help low-income neighborhood and community groups become involved in the urban renewal and planning process. Changing government and private funding practices have made it necessary for the center to restructure its financing. To accomplish this goal and maintain the free and subsidized services to its low-income constituency, the center is undertaking strategic planning for a formal development program. **\$45,000**

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STRATEGY

**Broad Jump**

New York, New York

Strengthening vital institutions of special importance to the city.

Toward developing a management structure and strengthened capacity to implement and maintain its creative supplemental educational programs for the city's minority students. The current central program is Prep for Prep, which identifies and prepares public school minority students for enrollment in independent schools in the city. Another program is Prep for Prep 9, to prepare students for scholarships that will enroll them in the ninth grade at seven independent eastern boarding schools. **\$75,000** (over two years)

**International Center for Integrative Studies**

New York, New York

Toward the special costs of fund-raising counsel for the capital campaign of the center's project, The Door—A Center for Alternatives, the largest comprehensive service center for disadvantaged young people in the city. Staffed by a group of young professionals in the fields of medicine, psychiatry, law, education, social work, and the arts, The Door fosters the development of hundreds of young people. The capital campaign was instituted to obtain financing for a newly purchased building that provides the kind of space The Door's programs require and can make ongoing costs more manageable. **\$70,000** (over two years)

**New School for Social Research**

New York, New York

Toward a market research and planning project for the Adult Division, the school's core program of continuing education courses, in order to gain a better understanding of the needs and interests of the two groups of people who enroll in continuing education courses: those interested in career enhancement and those interested in leisure time, life enrichment programs. With clarification of options and directions for a highly diverse student population, the New School can define strategies to insure the ongoing vitality and relevance of courses offered in the Adult Division. **\$50,000**

**Studio Museum in Harlem**

New York, New York

Toward the development of business and architectural plans for an expanded museum shop. The Studio Museum, which has attained world recognition for its collection of the art and artifacts of Black America and the African Diaspora, is an important organization in its community. Expansion of the shop at this time, when a city-sponsored revitalization program in the community is in progress, will bring wider public attention to the museum's collection, augment the dissemination of the books, catalogs, and other materials based on the collection, as well as provide the museum with increased earned income and help build membership. **\$30,000**



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STRATEGY

**Gay Men's Health Crisis**  
New York, New York

Focusing effective action on public health and related issues involved with the AIDS crisis in New York City.

Toward its strategic planning process. Founded in 1981, the organization was the first to recognize and confront the emergency of the AIDS epidemic and its medical and psychosocial implications. It provides support services to persons with AIDS or AIDS-Related Complex and their care partners—with the assistance of a large cadre of volunteers—and is involved in educating high risk groups, health care workers, and the general public about the causes, treatment, and prevention of AIDS. It has played a leading role in advocating for adequate health care, raising funds for research, and assisting in the formation of appropriate public policy. The strategic planning process is critical to the organization's ability to meet the constant new challenges of the AIDS crisis. Up to **\$18,000**

**New York Urban League**  
New York, New York

Toward its Black Leadership Strategy Project on AIDS in the Black Community. The project is working to mobilize black leaders citywide to combat the spread of AIDS in New York City's black communities, where the number of cases related to drug abuse is steadily increasing among men, women, and newborn children alike. The aim is to reach with AIDS prevention efforts those people most at risk of infection, giving special attention to adolescents, a group which tends to experiment sexually and with drugs and, studies show, is not heeding AIDS prevention messages. Black leaders in such areas as politics, health, criminal justice, religion, and community organization will define action plans for their organizations and agencies to educate constituents and clients about AIDS and to bring about the kinds of behavior changes that can reduce the spread of the disease. **\$30,000**

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NONPROFIT SECTOR

GOAL

To promote the health and vitality of the nonprofit sector, both nationally and internationally.

STRATEGY

Assisting basic research and public education with respect to nonprofits.

**Facing History and Ourselves**  
**National Foundation**  
Brookline, Massachusetts

Continued support of the project, Facing Today and the Future, for developing a curriculum on the voluntary tradition and the nonprofit sector in America for junior and senior high school grades. The project grew from concern over the limited knowledge of Americans generally of the role of nonprofit services and voluntary efforts not only in addressing social needs but also in helping to generate diverse opinions in a democratic society. A series of multidisciplinary lessons has been created and introduced to teachers at a conference and special workshops. The first lessons have been tested in classrooms and evaluated, and a resource book for teachers is being compiled from the testing experiences. **\$20,000**

**Johns Hopkins University**  
**Institute for Policy Studies**  
Baltimore, Maryland

Toward studies on the private nonprofit sector to clarify the role of the sector in American life. The grant reallocated the balance of a grant to the Urban Institute for studies to analyze data on U.S. nonprofits and on government spending in program areas of concern to nonprofits. Two rounds of data collection were accomplished by the Urban Institute and reports prepared. The final tasks of interpreting the data in regard to the appropriate roles of voluntary organizations and governments in the modern state, and the ongoing monitoring of nonprofits and federal budget developments will be completed at Johns Hopkins. **\$40,000**

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STRATEGY

Promoting increased individual and corporate giving, and the development of new sources of income for nonprofits.

**Foundation Center**  
New York, New York

Continued general support for 1988 of the center's activities of collecting, compiling, and publishing basic data about foundations and the functions they serve. The center operates libraries in New York, Washington, D.C., Cleveland, and San Francisco, and has a national network of 170 cooperating collections that give access to its information services to grant seekers and grant makers, government agencies, and the public at large. Its expanded publications program now includes a series of books on nonprofit management and other special interest books. **\$25,000**

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

For general support in 1987 and 1988. The organization provides national representation and leadership for a growing, diverse membership of voluntary organizations, foundations, and corporations. It is working to build communication among organizations in the nonprofit sector, and has developed a range of programs in such areas as public education, government relations, research, leadership and management, and fostering the growth of giving and volunteering. **\$50,000** (over two years)

Union for Experimenting Colleges  
and Universities  
Institute for Public Policy  
and Administration  
Cincinnati, Ohio

Toward the Financing the Nonprofit Sector Project, a comprehensive analysis of current and future funding of the nonprofit sector. Research developed over the past few years will be integrated into a comprehensive overview of the changes in the financing and support of nonprofit organizations. Emphasis will be put on implications for the future, and the project's steering panel and a committee of experts in areas related to financing the nonprofit sector will identify and explore new financial mechanisms. **\$100,000** (over two years)

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STRATEGY

Promoting improved management of nonprofits.

Association of Governing Boards  
of Universities and Colleges  
Center for Nonprofit Directorship  
Washington, D.C.

For start-up costs of the center, which has been established in collaboration with Independent Sector to develop support and advisory services to help nonprofit organizations educate their volunteer board members in the responsibilities of and issues faced by nonprofit boards. The new center is adapting for its own use the workshop, seminar, and publications programs, and trustee clearinghouse service that the Association of Governing Boards designed for its higher education membership. The grant was made to provide the center with the additional support needed to accelerate extending its services to smaller nonprofits. **\$75,000** (over three years)

Leland Stanford Junior University,  
Trustees of the  
Graduate School of Business  
Stanford, California

Continued support, and a challenge grant, for the Stanford Management Internship Fund, a program of summer internships for students to work in private nonprofit organizations, or with public sector agencies dealing in third world development issues. The program encourages management school graduates to consider careers with nonprofits and such organizations to seek out the talents and skills of professional managers. **\$12,000.**

Volunteer Consulting Group  
New York, New York

Toward the costs of the pilot phase of a project to assist corporations in encouraging the involvement of executives in nonprofit service. To tap this potential resource for nonprofits, the Volunteer Consulting Group has created a curriculum on nonprofit trusteeship to be included in corporate executive training programs. The curriculum and training materials on the role and responsibilities of a director of a nonprofit organization are being pilot tested in a variety of situations and will be refined on the basis of the testing. **\$20,000**

Yale University  
School of Organization and Management  
New Haven, Connecticut

Continued support, and a challenge grant, for the Student Internship Fund, which provides summer internships in nonprofit organizations in an effort to encourage management school graduates to consider careers with nonprofits and such organizations to seek out the talents and skills of professional managers. A payment of \$12,000 matched funds raised from other sources within the university; an additional \$3,000 was paid when the internship fund achieved 100 percent participation among the first-year class of the School of Organization and Management. **\$15,000**

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## STRATEGY

### **Center for Effective Philanthropy** Belmont, Massachusetts

### Promoting greater international grant making.

Toward its project to study the fiscal treatment of private donors and nonprofit, charitable agency recipients in twelve countries of the Organization for Economic Cooperation and Development. The nature and extent of philanthropy and voluntary activity in European and other countries is not well understood and there is little sense that such activities comprise a sector of society. Information about the fiscal treatment of donors and recipients is critical to understanding the nature, extent, and prospects for private giving and fostering philanthropy in these countries. The data produced will be useful to policymakers, donors, grant seekers, and others in all countries interested in nonprofit sector growth and development. **\$15,000**

### **Johns Hopkins University Institute for Policy Studies** Baltimore, Maryland

Toward the institute's new International Fellows in Philanthropy program, to offer individuals from other countries the opportunity to learn firsthand about the character and operation of the American nonprofit sector. Each year six to ten fellows will be selected from philanthropic or service organizations, from among scholars doing work on the voluntary sector, and from students interested in the sector. Junior fellows will spend a year studying American social welfare institutions and policies, and senior fellows will spend a semester working on a project of their own choosing. All fellows will participate in seminars and field trips. As the program helps to initiate the development of leadership in the nonprofit sector abroad, a communication and information exchange should begin among an international community of people sharing a common base of knowledge about the nonprofit sector and its role in modern life. **\$170,000** (over three years)

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## MEMBERSHIPS

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

Continued membership support for 1988. The council represents a broad cross-section of independent, community, operating, and public foundations, corporate grant makers, and trust companies. Supplementing its basic advisory, informational, and representational services, in recent years the council has undertaken special projects to encourage the formation of community foundations, increase support for and coordination among regional associations, and foster international grant making. Up to **\$30,000**

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

Continued membership for 1988 in support of its activities concerned with improving the understanding of the nonprofit sector role by policymakers and the general public, and with providing a meeting ground for members sharing mutual interests and goals. Programs in research and in government relations enable Independent Sector to speak for and bring increased attention to the nonprofit sector as a whole. **\$7,400**

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

Continued membership for 1988 in this regional association of grant-making organizations in New York, New Jersey, and Connecticut. Members participate in an active program of meetings, seminars, and workshops dealing with a wide range of topics of common concern, from specific funding matters to administrative practices and legal questions. **\$7,125**

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SPECIAL CONCERNS

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

A contribution to be used as funds functioning as endowment. In 1978 the center was established to include cultural activities in the process of renewed relations between the U.S. and the People's Republic of China that was placing emphasis on the fields of science and technology. The center has administered a number of programs of exchange in the performing, visual, and literary arts that have been accorded a high degree of respect by officials of China's Ministry of Culture and have made an important contribution to increased mutual understanding. **\$300,000**

Toward the final conference of the center's three-year project of research and exchange to examine arts education in the U.S. and China, which was organized in conjunction with Harvard University's Project Zero. As a result of reciprocal visits, China's State Education Commission established a Committee for Arts Education to design a nationwide arts education program. In order to assist the work of the committee, Chinese educational and cultural officials have asked the center to convene a conference of all participants in the arts education exchange project. Up to **\$75,000**

**Rockefeller University**  
New York, New York

Toward the university's Thai-American Fellowship, established to honor the sixtieth birthday of the King of Thailand. In a program collaborating with Memorial Sloan-Kettering Cancer Center and Cornell/New York Hospital, the fellowship is to be awarded on an annual basis to a promising Thai in a field of study that will have impact on medical research and health in Thailand. **\$100,000**

**Africa News Service**  
Durham, North Carolina

Toward a development plan to build institutional capacity as a leading news service for comprehensive current information on Africa. In addition to publishing the biweekly digest, *Africa News*, services include reports on such topics as the environment, health, technology, political affairs, and the role of women in development; periodic radio productions and reports for domestic and foreign broadcast outlets; and an extensive library and research materials. These informational services have become important contributions to American understanding of African affairs, and are widely used by scholars, public and private agencies, and other media. **\$225,000** (over three years)

**African-American Institute**  
New York, New York

Continued support for its leadership program to facilitate dialogue between concerned U.S. and South African individuals and agencies on the pressing political, social, and economic problems in South Africa. The institute arranged for groups of both black and white South African churchmen and laity to meet with counterparts in the U.S. for discussions on the role of the organized church in evolution and change. These meetings complemented previous dialogues with educators, journalists, and members of the legal profession. Up to \$25,000 of the grant was designated for a black South African authors program to provide stipends to enable black writers and journalists to complete their writings on contemporary South Africa. Up to **\$75,000**

**Catholic Institute for  
International Relations**  
London, England

Toward the further development of the South Africa Crisis Information Service and its monthly news bulletin, *Southscan*. The institute established these informational services to ease the overload of inquiries from the media in the United Kingdom and Europe for accurate, coherent information on occurrences in South Africa, especially within the black population. The institute now needs to develop and expand the service into an independent news agency based on *Southscan*. A larger staff will not only increase capacity to sustain the daily work of collecting and distributing information and commissioning journalists but also permit more frequent contacts with Western European media and more meetings with South Africa visitors. **\$45,000** (over three years)

**Domestic and Foreign Missionary  
Society of the Protestant Episcopal  
Church in the USA**  
New York, New York

Toward the newly established Ubuntu Social Development Institute in South Africa. The institute has developed a pilot six-month program for training black citizens as community leaders who can provide guidance to residents in townships and rural areas on establishing such community entities as cooperatives, credit unions, employment generating projects, and service organizations. The Ubuntu training program places emphasis on the importance of women in community leadership roles and has actively recruited women for the pilot program. **\$25,000**

**Northfield Mount Hermon School**  
Northfield, Massachusetts

Continued support, as a challenge grant, to the Independent School South African Education Program, initiated by a consortium of six U.S. independent secondary schools to contribute to the education and leadership development of black South African youth. The program recruits, maintains, and supports promising black South African students for a year of study at a member school before entering college or university in the U.S. A growing network of educators and civic leaders in South Africa is helping to identify applicants. Up to **\$35,000**

**St. Barnabas College Fund**  
New York, New York

To assist in the organization of an association of multiracial independent secondary schools in South Africa. Under the leadership of the headmaster of St. Barnabas, a multiracial secondary school in the Anglican diocese of Johannesburg, an association office is being established to coordinate with other independently governed schools in providing black secondary school students an alternative form of education to the Bantu education system. The National Association of Independent Schools in the U.S. is offering assistance to the association to help school administrators gain more understanding of governance, curriculum development, teacher training, and fund raising, and to help train black teachers in the growing number of independent schools. **\$15,000**

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RAMON MAGSAYSAY AWARD FOUNDATION FUND

**Ramon Magsaysay Award Foundation**  
Manila, Philippines

To enable the foundation to increase the 1987 Ramon Magsaysay Awards to \$20,000 each. Up to five awards are presented annually 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, and journalism and literature. The awards are widely known in Asia, where they are regarded as accolades of high distinction. **\$50,000**

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POCANTICO FUND

**National Trust for Historic Preservation  
in the United States**  
Washington, D.C.

Toward expenses associated with consideration of the plan for the Kykuit Historic Park area in Pocantico Hills. **\$35,000**

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PAYMENTS MADE IN 1987 AND GRANTS OUTSTANDING

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Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>ONE WORLD: SUSTAINABLE RESOURCE USE (\$3,505,062 Paid)</b>				
<b>American Farmland Trust</b>				
Washington, D.C.				
General program	\$600,000*	\$200,000	\$400,000	
<b>American Trust for Agriculture in Poland</b>				
McLean, Virginia				
Research and planning assistance for Polish agricultural revitalization	75,000		75,000	
Research and planning assistance for Polish agricultural revitalization	200,000		175,000	\$ 25,000
<b>Asian Institute of Technology</b>				
Bangkok, Thailand				
Interdisciplinary Natural Resources Development and Management Program	70,000		45,000	25,000
<b>Beijer Institute</b>				
Stockholm, Sweden				
Policy project on climatic change	150,000*	100,000		50,000 <sup>1</sup>
Policy project on climatic change	250,000		125,000	125,000
<b>BioEnergy Users Network</b>				
Washington, D.C.				
Core budgetary expenses	75,000		75,000	
Core program in 1988	75,000			75,000
<b>Caribbean Conservation Association</b>				
St. Michael, Barbados				
Eastern Caribbean Natural Area Management Program	150,000*		150,000	
Review and planning process	50,000*	40,000	10,000	
<b>Center for Community Change</b>				
Washington, D.C.				
Development office	120,000*	60,000	60,000	
<b>Chiang Mai University</b>				
Chiang Mai, Thailand				
Master's degree program in agricultural systems	33,200			33,200

<sup>1</sup> Rescinded

\*Appropriation made prior to 1987



Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Conservation Foundation</b>				
Washington, D.C.				
Venture Fund for New Initiatives	\$ 150,000*	\$ 50,000	\$ 50,000	\$ 50,000
<b>Development Training Institute</b>				
Baltimore, Maryland				
Institutional development activities	75,000*		75,000	
<b>Environmental Research Projects</b>				
Charleston, South Carolina				
Marine Resources Management Program for the Eastern Caribbean	50,000*		50,000	
<b>Friends of WWB/USA</b>				
New York, New York				
Establishment of international inter- communications system for WWB affiliates	125,000*	50,000	50,000	25,000
<b>Fund for Peace</b>				
New York, New York				
International conference on ecology and development in Vietnam	20,000		20,000	
<b>Fund for Renewable Energy and the Environment</b>				
Washington, D.C.				
General budgetary purposes	75,000*	25,000	25,000	25,000
<b>Global Studies Center (formerly Global Research and Training Center)</b>				
Arlington, Virginia				
Initial general costs	470,000*	320,000	150,000	
General budgetary expenses	480,000			480,000
<b>Guangzhou Institute of Energy Conversion</b>				
Guangzhou, People's Republic of China				
Project for dairy sector waste-to-energy system	20,000*	10,000	10,000	
<b>Hong Kong, University of</b>				
Hong Kong				
Advanced training and research in upland resource management for students from China	50,000*		25,000	25,000
<b>Institute for Alternative Agriculture</b>				
Greenbelt, Maryland				
General budgetary expenses	60,000		30,000	30,000

\*Appropriation made prior to 1987

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Institute of International Education</b>				
New York, New York				
Toward merger of Arts International with the institute	\$ 75,000*	\$ 25,000	\$ 40,000	\$ 10,000
<b>International Federation of Institutes for Advanced Study</b>				
Stockholm, Sweden				
General operating expenses over three years	450,000*	110,000		340,000 <sup>2</sup>
<b>International Federation of Institutes for Advanced Study</b>				
Toronto, Canada				
General operating expenses	40,000		40,000	
General operating expenses	300,000		150,000	150,000
<b>International Fund for Agricultural Research</b>				
Washington, D.C.				
General budgetary support	75,000		25,000	50,000
<b>International Institute for Energy Conservation</b>				
Washington, D.C.				
Core program	150,000		150,000	
<b>International Institute of Rural Reconstruction</b>				
New York, New York				
Low-Input Rice Production Project	105,000*	35,000	35,000	35,000
<b>International Irrigation Management Institute</b>				
Colombo, Sri Lanka				
General budgetary expenses	75,000*	50,000	25,000	
<b>International Network of Resource Information Centers</b>				
Plainfield, New Hampshire				
General budgetary purposes	150,000*	95,000	5,000	50,000
<b>International Union for Conservation of Nature and Natural Resources</b>				
Gland, Switzerland				
East European program	150,000*	50,000	50,000	50,000
<b>Island Resources Foundation</b>				
Washington, D.C.				
Improving natural resource management in the Eastern Caribbean	75,000*		75,000	

<sup>2</sup> Rescinded

\*Appropriation made prior to 1987

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Minnesota, University of</b> St. Paul, Minnesota Center for Natural Resource Policy and Management <i>Common Property Resource Digest</i>	\$ 50,000		\$ 25,000	\$ 25,000
<b>Nanjing Institute of Environmental Science</b> Nanjing, People's Republic of China Agroecosystem program	50,000*	\$ 10,000	24,562	15,438
<b>National Academy of Sciences</b> Washington, D.C. East European environmental workshops	60,000*	20,000	40,000	
<b>National Association of State Departments of Agriculture Research Foundation</b> Washington, D.C. Farmland Project	70,000*	40,000	30,000	
<b>National Audubon Society</b> New York, New York Critical global issues project	120,000*	80,000	40,000	
<b>Natural Resources Defense Council</b> New York, New York International program	75,000*	50,000	25,000	
<b>New York University</b> New York, New York Urban Research Center Mega-Strategies for Mega-Cities project School of Education, Health, Nursing, and Arts Professions <i>The Quiet Revolution</i> film series concerned with agricultural research in the third world	100,000		50,000	50,000
	60,000		60,000	
<b>Nitrogen Fixing Tree Association</b> Waimanalo, Hawaii General budgetary expenses	70,000		35,000	35,000
<b>Princeton University, Trustees of</b> Princeton, New Jersey Program of the Center for Energy and Environmental Studies	40,000		40,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Quebec-Labrador Foundation</b>				
Ipswich, Massachusetts Atlantic Center for the Environment Inter-Regional Exchange and Policy Program	\$ 75,000*		\$ 25,000	\$ 50,000
<b>Resources Development Foundation</b>				
Washington, D.C. International biotechnology project 1988 core budget of the International Biotechnology Program	250,000*		250,000	250,000
<b>Rodale Institute (formerly Regenerative Agriculture Association)</b>				
Emmaus, Pennsylvania Sustainable agriculture practices program General budgetary expenses	150,000* 150,000	\$ 75,000	75,000	150,000
<b>Sierra Club Foundation</b>				
San Francisco, California International project with the Inter-American Development Bank	25,000		25,000	
<b>Society for the International Public Interest (Ashoka Society)</b>				
Washington, D.C. General budgetary expenses	75,000		40,000	35,000
<b>Leland Stanford Junior University, Trustees of the</b>				
Stanford, California Food Research Institute Food Pricing in Asia Project	20,000		20,000	
<b>Sussex, University of</b>				
Brighton, England Science Policy Research Unit Core support of the Developing Country Group	45,000*		15,000	30,000
<b>Synergos Institute</b>				
New York, New York Final planning phase	75,000		75,000	
<b>Trans-Form Foundation</b>				
New York, New York Toward preparation of Taiwan 2000 report	19,000		19,000	
<b>Turks and Caicos Development Trust</b>				
Grand Turk, Turks and Caicos, B.W.I. General budgetary purposes	30,000*	25,000	5,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>University Corporation for Atmospheric Research</b>				
Boulder, Colorado				
U.S.-USSR climatology teleconference	\$ 16,500*		\$ 16,500	
<b>WGBH Educational Foundation</b>				
Boston, Massachusetts				
Outreach activities of the <i>State of the World</i> television series	75,000		75,000	
<b>Winrock International Institute for Agricultural Development</b>				
Morrilton, Arkansas				
Agriculture project in China	135,000		50,000	\$ 85,000
<b>World Wildlife Fund</b>				
Washington, D.C.				
Venture Fund for New Initiatives	150,000*	\$ 50,000	50,000	50,000
<b>Worldwatch Institute</b>				
Washington D.C.				
<i>State of the World</i> reports	300,000*	175,000	125,000	
<i>World Watch</i> magazine	225,000		75,000	150,000
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ONE WORLD: WORLD SECURITY (\$1,970,000 Paid)				
<b>AFS International/Intercultural Programs</b>				
New York, New York				
American Center for International Exchange Leadership	\$ 300,000*	\$200,000	\$100,000	
<b>Alerdinck Foundation</b>				
The Hague, The Netherlands				
Soviet-American young journalists exchange program	90,000*		30,000	\$ 60,000
<b>Asia Foundation</b>				
San Francisco, California				
U.S.-Philippine Bases Agreement project	70,000*	35,000	35,000	
<b>Asia Society</b>				
New York, New York				
Contemporary Affairs Department	150,000*	50,000	50,000	50,000
<b>Business Executives for National Security Education Fund</b>				
Washington, D.C.				
National development plan	50,000		50,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>California, University of, Berkeley</b> Berkeley, California Institute of East Asian Studies Second Quadrilateral Project for the Asia-Pacific region	\$ 65,000*	\$ 35,000	\$ 30,000	
<b>California, University of, Los Angeles</b> Los Angeles, California Center for International and Strategic Affairs Emerging Nuclear Suppliers and Nonprolifera- tion project	75,000		37,500	\$ 37,500
<b>Carnegie Endowment for International Peace</b> Washington, D.C. Nuclear Non-Proliferation Project	100,000		100,000	
<b>Centre for European Policy Studies</b> Brussels, Belgium Nonproliferation program	132,000*	66,000	66,000	
<b>Chinese Scholars of International Studies</b> Washington, D.C. Second annual conference	12,000		12,000	
<b>Columbia University in the City of New York, Trustees of</b> New York, New York East Asian Institute Pacific Basin Studies program	240,000*	165,000	75,000	
<b>European Cooperation Fund</b> Brussels, Belgium East European publishing project	75,000*	25,000	50,000	
<b>Federation of American Scientists Fund</b> Washington, D.C. Nuclear Proliferation Data Project	75,000		37,500	37,500
<b>Friends of the Hague Academy of International Law</b> New York, New York Project on mediation in East Africa	20,000			20,000
<b>Georgetown University</b> Washington, D.C. Center for Strategic and International Studies U.S.-Soviet meetings on risk reduction centers	60,000*			60,000
<b>Institute for East-West Security Studies</b> New York, New York General budgetary support	225,000*	150,000	75,000	

\*Appropriation made prior to 1987

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Institute for International Economics</b>				
Washington, D.C.				
Agricultural trade reform project	\$ 50,000		\$ 50,000	
<b>Institute of International Education</b>				
New York, New York				
Committee on International Relations Studies with the People's Republic of China	250,000		135,000	\$115,000
<b>Institute of Southeast Asian Studies</b>				
Republic of Singapore				
Program of training and scholarly exchange	210,000*	\$140,000	70,000	
<b>International Council of Scientific Unions</b>				
Paris, France				
Scientific Committee on Problems of the Environment				
Environmental Consequences of Nuclear War project	150,000*	75,000	75,000	
<b>ISAR</b>				
Washington, D.C.				
General budgetary support	45,000*	15,000	15,000	15,000
<b>Japan Center for International Exchange</b>				
Tokyo, Japan				
Toward its Asia-Pacific related programs of exchange, research, and dialogue	70,000*	35,000	35,000	
<b>Japan Society</b>				
New York, New York				
Seventh Shimoda Conference	50,000		50,000	
<b>Maureen and Mike Mansfield Foundation</b>				
Helena, Montana				
Project on North-South Relations in Transition: the Role of the United States and Japan	30,000		30,000	
<b>Natural Resources Defense Council</b>				
New York, New York				
<i>Nuclear Weapons Databook</i> series	75,000*	60,000	15,000	
Nuclear Test Verification Project	75,000		75,000	
<b>Nuclear Control Institute</b>				
Washington, D.C.				
Outreach program of its Nuclear Terrorism Prevention project	75,000		50,000	25,000
<b>Parliamentarians Global Action for Disarmament, Development and World Reform</b>				
New York, New York				
Activities related to verification of arms control agreements	75,000		75,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Peace Research Institute Frankfurt</b>				
Frankfurt, Federal Republic of Germany				
Nonproliferation program	\$ 68,000*	\$ 34,000	\$ 34,000	
Annual survey of West European nonproliferation policy	23,000		23,000	
<b>Rocky Mountain Institute</b>				
Old Snowmass, Colorado				
Project on the Elements of Security: New Perspectives from Resource Policy	70,000*	35,000	35,000	
<b>Roosevelt Center for American Policy Studies</b>				
Chicago, Illinois				
Public education project in halting the spread of nuclear weapons	100,000		100,000	
<b>Southampton, University of</b>				
Southampton, England				
Programme for Promoting Nuclear Non- Proliferation	200,000		120,000	\$ 80,000
<b>Trilateral Commission (North America)</b>				
New York, New York				
General budget	240,000*	160,000	80,000	
<b>United Nations Association of the United States of America</b>				
New York, New York				
Program on Proliferation Norms and the Asian Security Environment	150,000		50,000	100,000
<b>Universities Field Staff International</b>				
Indianapolis, Indiana				
Reorganization expenses	25,000		25,000	
<b>Wisconsin, University of</b>				
Madison, Wisconsin				
Enforcing Controls on Nuclear Exports project	110,000		55,000	55,000
<b>Woodrow Wilson International Center for Scholars</b>				
Washington, D.C.				
European Institute East European Program	50,000*	25,000	25,000	



Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>NEW YORK CITY</b> (\$759,500 Paid)				
<b>American Woman's Economic Development Corporation</b> New York, New York Management training and technical assistance for women business owners in economically distressed areas of New York City	\$ 38,000		\$ 38,000	
<b>Broad Jump</b> New York, New York Development of its management structure	75,000		75,000	
<b>Fund for the City of New York</b> New York, New York Citizens commission on AIDS	100,000*		100,000	
<b>Gay Men's Health Crisis</b> New York, New York Strategic planning process	18,000		18,000	
<b>International Center for Integrative Studies</b> New York, New York The Door project	70,000		70,000	
<b>National Federation of Community Development Credit Unions</b> New York, New York Study of individual socially responsible investors	26,000		26,000	
<b>New School for Social Research</b> New York, New York Research and planning project for the Adult Division	50,000		50,000	
<b>New York City Partnership</b> New York, New York Core budgetary needs in economic development, housing, and youth employment and education	750,000*	\$407,500	192,500	\$150,000
<b>New York Interface Development Project</b> New York, New York Research and analysis on neighborhood eco- nomic development efforts in New York City	100,000*	50,000	50,000	
<b>New York Urban League</b> New York, New York Black Leadership Strategy Project on AIDS in the Black Community	30,000		30,000	

\*Appropriation made prior to 1987

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Pratt Institute</b> Brooklyn, New York Center for Community and Environmental Development	\$ 45,000		\$ 45,000	
<b>Studio Museum in Harlem</b> New York, New York Planning for an expanded museum shop	30,000		30,000	
<b>Village Nursing Home</b> New York, New York Model AIDS long-term care facility	70,000*	\$ 35,000	35,000	
<hr/>				
<b>NONPROFIT SECTOR</b> (\$571,525 Paid)				
<b>Amherst College</b> Amherst, Massachusetts Second phase of investigation into ways to increase the use of deferred giving instruments in charitable giving	\$ 40,000*	\$ 7,300	\$ 32,700	
<b>Association of Governing Boards of Universities and Colleges</b> Washington, D.C. Center for Nonprofit Directorship	75,000		50,000	\$ 25,000
<b>Center for Effective Philanthropy</b> Belmont, Massachusetts Study on fiscal treatment of private giving in other countries	15,000		15,000	
<b>Council on Foundations</b> Washington, D.C. Membership for 1988	30,000		22,300	7,700 <sup>3</sup>
<b>Facing History and Ourselves</b> National Foundation Brookline, Massachusetts Facing Today and the Future project	20,000		20,000	
<b>Foundation Center</b> New York, New York General support	25,000		25,000	
<b>Independent Sector</b> Washington, D.C. General support Membership for 1988	50,000 7,400		50,000 7,400	

<sup>3</sup> Lapsed

\*Appropriation made prior to 1987

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Johns Hopkins University</b>				
Baltimore, Maryland				
Institute for Policy Studies				
Nonprofit Sector Project	\$ 40,000		\$ 40,000	
International Fellows in Philanthropy program	170,000		70,000	\$100,000
<b>National Assembly of National Voluntary Health and Social Welfare Organizations</b>				
Washington, D.C.				
Project on competition between nonprofit and for-profit organizations	50,000*	\$ 25,000	25,000	
<b>New Business Ventures for Not-For-Profit Organizations</b>				
New York, New York				
General operating support	55,000*	30,000	25,000	
<b>New York Regional Association of Grantmakers</b>				
New York, New York				
Membership for 1988	7,125		7,125	
<b>New York University</b>				
New York, New York				
Graduate School of Business Administration				
Initiatives for Not-for-Profit Entrepreneurship program	70,000*	35,000	35,000	
<b>Leland Stanford Junior University, Trustees of the</b>				
Stanford, California				
Graduate School of Business				
Student internships in nonprofit organizations	12,000		12,000	
<b>Union for Experimenting Colleges and Universities</b>				
Cincinnati, Ohio				
Institute for Public Policy and Administration				
Financing the Nonprofit Sector Project	100,000		100,000	
<b>Urban Institute</b>				
Washington, D.C.				
Nonprofit Sector Project	80,000*	40,000		40,000*
<b>Volunteer Consulting Group</b>				
New York, New York				
Project fostering involvement of corporate executives as trustees of nonprofit organizations	20,000		20,000	
<b>Yale University</b>				
New Haven, Connecticut				
School of Organization and Management				
Student internships in nonprofit organizations	15,000		15,000	

<sup>4</sup> Rescinded

\*Appropriation made prior to 1987

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>SPECIAL CONCERNS</b>				
(\$720,000 Paid)				
<b>Africa News Service</b>				
Durham, North Carolina				
Development plan	\$ 225,000		\$ 75,000	\$150,000
<b>African-American Institute</b>				
New York, New York				
Expanded program related to South Africa	150,000*	\$ 50,000	50,000	50,000
Leadership program for black South Africans and program for black South African authors	75,000		75,000	
<b>Catholic Institute for International Relations</b>				
London, England				
Toward further development of the South Africa Crisis Information Service and its bulletin, <i>Southscan</i>	45,000		15,000	30,000
<b>Columbia University in the City of New York, Trustees of</b>				
New York, New York				
Center for United States-China Arts Exchange				
General budgetary expenses	70,000*	35,000	35,000	
Funds functioning as endowment	300,000		300,000	
Final conference of arts education research and exchange project	75,000			75,000
<b>Domestic and Foreign Missionary Society of the Protestant Episcopal Church in the USA</b>				
New York, New York				
Ubuntu Social Development Institute	25,000		25,000	
<b>Foundation for International Conciliation</b>				
Windsor, England				
South African project	50,000*	30,000		20,000 <sup>5</sup>
<b>Northfield Mount Hermon School</b>				
Northfield, Massachusetts				
Independent School South African Education Program	35,000			35,000
<b>Rockefeller University</b>				
New York, New York				
Thai-American Fellowship	100,000		100,000	
<b>St. Barnabas College Fund</b>				
New York, New York				
Toward the organization of an association of independent, multiracial schools in South Africa	15,000		15,000	

<sup>5</sup> Lapsed

\*Appropriation made prior to 1987

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1987	Unpaid Balance
<b>Woodrow Wilson International Center for Scholars</b>				
Washington, D.C. African Program planning	\$ 150,000*	\$120,000	\$ 30,000	
<b>RAMON MAGSAYSAY AWARD FOUNDATION FUND</b> (\$50,000 Paid)				
<b>Ramon Magsaysay Award Foundation</b>				
Manila, Philippines Awards	\$ 50,000		\$ 50,000	
<b>POCANTICO FUND</b> (\$35,000 Paid)				
<b>National Trust for Historic Preservation in the United States</b>				
Washington, D.C. Pocantico Planning Project	\$ 35,000		\$ 35,000	
			\$7,611,087	
Payments matching employee contributions to charitable institutions			20,351	
			<u>\$7,631,438</u>	<u>\$3,458,638<sup>6</sup></u>

<sup>6</sup> Total does not include lapsed items  
\*Appropriation made prior to 1987

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

**Unpaid Appropriations, December 31, 1986:**

Principal Fund	\$4,761,700	
Ramon Magsaysay Award Foundation Fund	—0—	
Pocantico Fund	—0—	
	4,761,700	
RBF Awards in Arts Education	284,514	
		\$5,046,214

**Appropriations authorized in 1987:**

Principal Fund	6,680,725	
Ramon Magsaysay Award Foundation Fund	50,000	
Pocantico Fund	35,000	
RBF Awards in Arts Education	—0—	
Charitable Matching Gifts	20,351	
	6,786,076	
Less:		
Appropriations lapsed:		
Principal Fund	457,700	6,328,376
		11,374,590

**Appropriations paid in 1987:**

Principal Fund	7,526,087	
Ramon Magsaysay Award Foundation Fund	50,000	
Pocantico Fund	35,000	
	7,611,087	
RBF Awards in Arts Education	58,019	
Charitable Matching Gifts	20,351	
		7,689,457

**Unpaid Appropriations, December 31, 1987:**

Principal Fund	3,458,638	
Ramon Magsaysay Award Foundation Fund	—0—	
Pocantico Fund	—0—	
	3,458,638	
RBF Awards in Arts Education	226,495	
		\$ 3,685,133

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FINANCIAL INFORMATION

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Following the report of Arthur Andersen & Co.,  
Independent Certified Public Accountants, are  
financial statements comprising:

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**Financial Statements**

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Balance Sheet, December 31, 1987 with Comparative  
1986 Totals  
Statement of Fund Activity for the year ended  
December 31, 1987 with Comparative 1986 Totals  
Notes to Financial Statements  
Schedule of Functional Expenses for the year ended  
December 31, 1987 with Comparative 1986 Totals

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

We have examined the balance sheet of ROCKEFELLER BROTHERS FUND, INC. (a New York not-for-profit corporation) as of December 31, 1987 and the related statement of fund activity for the year then ended. Our examination was 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. as of December 31, 1987 and the results of its operations for the year then ended, in conformity with generally accepted accounting principles applied on a basis consistent with that of the preceding year.

ARTHUR ANDERSEN & CO.

New York, N.Y.  
April 8, 1988

ROCKEFELLER BROTHERS FUND, INC. BALANCE SHEET  
December 31, 1987 With Comparative 1986 Totals

	<i>Principal Fund</i>	<i>Pocantico Fund</i>	<i>Ramon Magsaysay Award Foundation Fund</i>	<i>Asian Projects Fund</i>	<i>Total All Funds</i>	<i>Total 1986 (Note 8)</i>
<b>Assets</b>						
Cash	\$ 345,087	\$ 3,000	\$ —	\$ 24,225	\$ 372,312	\$ 373,648
Accounts receivable	42,328	10,308	—	—	52,636	12,409
Investments, at market value (Note 3)	190,129,214	22,791,031	1,612,591	2,392,934	216,925,770	218,383,727
Program related investments, at net realizable value:						
Program mortgage loans	636,947	—	—	—	636,947	653,983
Real estate (Note 4)	510,000	—	—	—	510,000	510,000
Other	937,494	—	—	—	937,494	800,000
<b>Total assets</b>	<b>\$192,601,070</b>	<b>\$22,804,339</b>	<b>\$1,612,591</b>	<b>\$2,417,159</b>	<b>\$219,435,159</b>	<b>\$220,733,767</b>
<b>Liabilities and Fund Balances</b>						
<b>Liabilities:</b>						
Grants payable	\$ 3,685,133	\$ —	\$ —	\$ —	\$ 3,685,133	\$ 5,046,214
Federal excise tax payable	18,759	1,248	201	137	20,345	504,000
<b>Total liabilities</b>	<b>3,703,892</b>	<b>1,248</b>	<b>201</b>	<b>137</b>	<b>3,705,478</b>	<b>5,550,214</b>
<b>Fund balances</b>	<b>188,897,178</b>	<b>22,803,091</b>	<b>1,612,390</b>	<b>2,417,022</b>	<b>215,729,681</b>	<b>215,183,553</b>
<b>Total liabilities and fund balances</b>	<b>\$192,601,070</b>	<b>\$22,804,339</b>	<b>\$1,612,591</b>	<b>\$2,417,159</b>	<b>\$219,435,159</b>	<b>\$220,733,767</b>

The accompanying notes to financial statements are an integral part of this balance sheet.

STATEMENT OF FUND ACTIVITY  
for the year ended December 31, 1987 with Comparative 1986 Totals

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Total All Funds	Total 1986 (Note 8)
Revenues:						
Contributions	\$ 182,500	\$ —	\$ —	\$ 10,000	\$ 192,500	\$ 311,000
Dividend income	3,257,469	427,428	—	—	3,684,897	4,066,562
Interest income	3,840,324	500,927	102,552	35,493	4,479,296	4,293,453
	7,280,293	928,355	102,552	45,493	8,356,693	8,671,015
Grants and Expenses:						
Grants awarded	6,243,376	35,000	50,000	—	6,328,376	6,006,026
Provision for Federal excise tax (Note 2)	531,167	35,048	1,906	3,632	571,753	504,000
Functional expenses (Exhibit I):						
Direct charitable activities	362,577	16,099	32,186	504,325	915,187	472,822
Program and grant management	1,096,123	—	—	—	1,096,123	1,225,374
Investment management	1,360,783	139,175	7,263	2,841	1,510,062	1,410,721
General management	584,422	—	—	—	584,422	572,045
	10,178,448	225,322	91,355	510,798	11,005,923	10,190,988
Expense reimbursement received from Rockefeller Family Fund, Inc.	63,638	—	—	—	63,638	61,275
Excess (deficiency) of revenues over grants and expenses	(2,834,517)	703,033	11,197	(465,305)	(2,585,592)	(1,458,698)
Gain (Loss) on Investments:						
Net Realized Gain From Securities Sales	19,139,615	991,683	—	148,962	20,280,260	18,935,386
Net Change in Unrealized Gain on Investments	(15,654,115)	(1,849,396)	(80,630)	435,601	(17,148,540)	(5,087,704)
	3,485,500	(857,713)	(80,630)	584,563	3,131,720	13,847,682
Excess (Deficiency) of income over grants and expenses	650,983	(154,680)	(69,433)	119,258	546,128	12,388,984
Transfers From Principal Fund	(571,226)	—	571,226	—	—	—
Fund Balances, beginning of year	188,817,421	22,957,771	1,110,597	2,297,764	215,183,553	202,794,569
Fund Balances, end of year	\$188,897,178	\$22,803,091	\$1,612,390	\$2,417,022	\$215,729,681	\$215,183,553

The accompanying Exhibit I and notes to financial statements are an integral part of this statement.



**1. Organization and purpose:**

The Rockefeller Brothers Fund, Inc. (the "Fund") 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.

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

*Pocantico Fund*

For the planning, development and operation of the Kykuit Historic Park area at Pocantico Hills, New York as an historic park benefiting the public.

*Ramon Magsaysay Award Foundation Fund*

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

*Asian Projects Fund*

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

**2. Summary of significant accounting policies:**

*Basis of presentation*

The Fund maintains its books on a modified cash basis. However, the accompanying financial statements are not materially different from statements which would result from the use of the accrual basis of accounting.

Certain reclassifications of the 1986 financial statements have been made to comply with the 1987 presentation.

*Investments*

Investments in securities are carried at quoted market prices. Unrealized gains or losses are determined using quoted market prices at the respective balance sheet dates. Realized gains or losses from sales of securities are determined on a specific identification basis.

Program related investments with limited or no marketability are stated at fair value as determined by management.

Investments in limited partnerships are valued on the basis of the Fund's equity in the net assets of such partnerships.

*Grants payable*

Grants are recorded at the time of approval by the trustees and notification to the recipient. The Fund estimates that the grants payable balance as of December 31, 1987, will be paid as follows:

	<i>Amount</i>
1988	\$2,518,533
1989	931,600
1990	235,000
	\$3,685,133

The balance of grants payable at December 31, 1987 includes \$965,000 due upon receipt of notification from grant recipients that matching contributions have been received from other donors.

*Tax status*

The Fund is exempt from Federal income taxes under Section 501(c)(3) of the Internal Revenue Code and has been classified as a "private foundation." Provision has been made for Federal excise tax on net investment income.

### 3. Investments:

Investments as of December 31, 1987 are as follows:

	<i>Cost</i>	<i>Unrealized Appreciation (Depreciation)</i>	<i>Quoted Market or Equity Value</i>
<b>Principal Fund:</b>			
Short-term investments	\$ 12,132,879	\$ —	\$ 12,132,879
Stocks	111,898,499	20,036,284	131,934,783
Bonds	36,017,983	(643,889)	35,374,094
Venture capital partnerships	11,151,607	(464,149)	10,687,458
	171,200,968	18,928,246	190,129,214
<b>Pocantico Fund:</b>			
Short-term investments	556,440	—	556,440
Stocks	14,086,902	205,209	14,292,111
Bonds	7,948,047	(5,567)	7,942,480
	22,591,389	199,642	22,791,031
<b>Ramon Magsaysay Award Foundation Fund:</b>			
Short-term investments	22,705	—	22,705
Bonds	1,316,859	273,027	1,589,886
	1,339,564	273,027	1,612,591
<b>Asian Projects Fund:</b>			
Short-term investments	493,907	—	493,907
Bonds	153,360	(5,039)	148,321
Balanced pooled fund	1,299,413	451,293	1,750,706
	1,946,680	446,254	2,392,934
<b>Total investments</b>	<b>\$197,078,601</b>	<b>\$19,847,169</b>	<b>\$216,925,770</b>

**4. Real estate:**

The Fund's real estate, which is carried at the cost to the donor, has been leased to a nonprofit organization under the terms of an agreement which expires in 2056.

**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. However, in 1987 and 1986 no contribution was required since the plan was adequately funded as determined by the Fund's actuaries. Accumulated plan benefits and plan net assets are presented below:

	<i>January 1,</i>	
	<i>1987</i>	<i>1986</i>
Actuarial present value of accumulated plan benefits:		
Vested	\$2,570,500	\$2,355,349
Nonvested	79,645	86,874
	\$2,650,145	\$2,442,223
Net assets available for plan benefits	\$4,391,272	\$4,159,768

The assumed rates of return used in determining the actuarial present value of accumulated plan benefits were 7.5% in 1987 and in 1986, compounded annually.

**6. Related party transactions:**

The Fund engages Rockefeller and Company, a related party, as one of four investment advisors. The Fund also is reimbursed for certain common expenses by Rockefeller Family Fund, Inc. In both instances, financial arrangements are determined on a fair value basis.

**7. Commitments:**

The Fund occupies office facilities which provide for minimum aggregate annual rental payments as follows:

Fiscal year:	
1988	\$286,000

Rent expense aggregated approximately \$237,000 in 1987.

**8. Prior year's financial statements:**

The amounts shown for 1986 in the accompanying financial statements are presented to provide a basis for comparison with 1987 and present totals only.

SCHEDULE OF FUNCTIONAL EXPENSES  
for the year ended December 31, 1987 with Comparative 1986 Totals

	Direct Charitable Activities	Program and Grant Management	Investment Management	General Management	Total	
					1987	1986 (Note 8)
<b>Salaries and related expenses:</b>						
Salaries	\$166,162	\$ 543,034	\$ 32,925	\$240,147	\$ 982,268	\$1,030,506
Group life insurance	3,233	10,562	640	4,672	19,107	25,224
Thrift plan	10,276	33,573	2,035	14,849	60,733	57,333
Other employee benefits	8,444	27,586	1,672	12,201	49,903	67,384
Unemployment and disability insurance	1,523	4,976	302	2,201	9,002	9,827
Social Security tax	8,907	29,099	1,763	12,871	52,640	54,810
	198,545	648,830	39,337	286,941	1,173,653	1,245,084
<b>Other expenses:</b>						
Consultants' fees	270,703	143,470	—	2,195	416,368	317,407
Investment services	—	—	1,427,882	—	1,427,882	1,310,439
Legal and audit fees	—	—	23,960	86,281	110,241	104,014
Travel	328,817	71,129	—	—	399,946	131,553
Rent and electricity	40,092	130,985	7,938	57,934	236,949	255,709
Telephone	6,167	19,780	1,199	8,749	35,895	41,556
Furniture and equipment	1,169	3,820	231	1,689	6,909	39,713
General office expenses	69,694	78,109	9,515	111,419	268,737	211,726
Publications	—	—	—	29,214	29,214	23,761
	\$915,187	\$1,096,123	\$1,510,062	\$584,422	4,105,794	3,680,962
Less, Reimbursement received for share of expenses: Rockefeller Family Fund, Inc.					(63,638)	(61,275)
					\$4,042,156	\$3,619,687



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**TRUSTEES**

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**Thornton F. Bradshaw**

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<sup>2</sup> Effective November 14, 1987

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<sup>2</sup> Effective November 14, 1987

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<sup>5</sup> Until June 30, 1987

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