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ROCKEFELLER BROTHERS FUND

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ANNUAL REPORT

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1988

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RBF

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## INTRODUCTION

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1988 was a time of significant transition for the Rockefeller Brothers Fund. A new chairman took office just before the year began and a new president assumed his responsibilities as the year was drawing to a close. Both of us found these roles well-defined and the Fund in exemplary condition, the welcome legacy of our predecessors, David Rockefeller and William Dietel. We are particularly grateful to Russell A. Phillips, the Fund's Executive Vice President, for his able and energetic stewardship as Acting President. His deep understanding of the values that underlie the Fund's programs, his faithful attention to the myriad details of foundation management, and his patience as a teacher and counselor made the transition simpler and more enjoyable than we had a right to expect.

The change in Fund leadership occurred at a time when all of the pieces of the One World program, initiated in 1985 after considerable study, were in place. Although we have every reason to feel that the direction set by the trustees remains sound and responsive to domestic and global needs, we believe that it is timely to evaluate all of the Fund's current activities to be sure that they represent the most appropriate means of achieving the long-term objectives that have guided the Fund for the nearly fifty years of its existence. This review will continue through 1989. Any modifications in program guidelines that might result will be reported immediately and will be discussed in future annual reports.

Among the program highlights of the year the following deserve special mention:

- A series of grants was made to projects in the field of public education marking the Fund's return to this program area after more than a decade. The grants followed a lengthy staff review and trustee discussion with the assistance of outside consultants. A more substantial education program is planned, beginning in 1990.
- The first grants were made under the Program for Asian Projects, an initiative approved by the trustees in 1987 as a means of continuing the important work of the Ramon Magsaysay Award winners.
- The Foundation for the Development of Polish Agriculture, after several years of planning and negotiation, began operations. An innovative mechanism for promoting East-West cooperation, the FDPA was established under Polish law as a self-funding, self-sustaining foundation to help the Polish people strengthen private farming in the country and to further the concept of sustainable agriculture.
- The three-year comparative research and exchange program in general education in the arts between the United States and the People's Republic of China concluded, with a conference in July 1988. Twenty-eight arts education professionals from the United States and China formed the core group of participants in an undertaking that involved more than 100 arts education specialists in both countries.

• A special program of grants related to South Africa, initiated in 1985, was completed after providing support for a range of leadership development, education, and media projects. An evaluation of these projects, now underway, will be the first step in determining whether the Fund will continue grantmaking in South Africa and, if so, with what emphasis.

All of us at the Rockefeller Brothers Fund, and the many others who were fortunate to have had the benefit of his wise counsel and warm friendship, were deeply saddened by the death of Thornton F. Bradshaw who had been a valued member of the Fund's Board for seven years.

Although we are delighted that the Rockefeller Foundation selected Peter C. Goldmark, Jr. as its President, we miss the lively and pertinent contributions which marked his six years of Board service. Hugh B. Price, a new Board member in 1987, also joined the Rockefeller Foundation, as Vice President, necessitating his resignation as a trustee. We wish him well. And we are grateful to James H. Evans for his eleven years of distinguished service as a trustee and finance committee member.

At year end, the Fund's former general counsel, Richard D. Parsons, joined us as trustee. We welcome his continued participation in Fund affairs with the sure knowledge that his presence will be of great benefit to our deliberations.

The Fund has a full agenda for 1989. We are excited about the opportunity to further develop programs already underway and to move in new directions. Working with committed trustee colleagues and a fine staff we are confident that the Rockefeller Brothers Fund will continue to be a creative and significant force in American philanthropy.

Colin G. Campbell  
President

David Rockefeller, Jr.  
Chairman

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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 1988 were \$242,120,725 and its 163 grant payments and its matching gifts during the year amounted to \$7,999,659. Since 1940, the RBF has disbursed a total of \$364,269,587 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.

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.
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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;
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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.
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STRATEGIES	<i>Arms Control</i> 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;
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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.

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

GOAL	To support emergency situations and compelling new opportunities.
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In 1985, the Fund initiated a special series of grants dealing with the current crisis in South Africa. This program is currently under review.

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.

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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## PROGRAM FOR ASIAN PROJECTS

In the fall 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, and brought together trustees of the Foundation and of the Fund, as well as nearly one hundred recipients of the award, to discuss challenges and dilemmas currently facing Asia. On this occasion, the Fund announced the creation of a new, \$2,000,000 designated fund, the income from which is to be used for identifying, supporting, and publicizing certain Asian projects in the spirit of both the Magsaysay awards and the Fund's international concerns: the Program for Asian Projects.

This program is both a new expression of the Fund's long-standing interest in and commitment to Asia as well as an outgrowth of the Fund's prior efforts in the region, including support for the Ramon Magsaysay Award Foundation. In 1956, the Fund was largely responsible for the creation of the Foundation which makes awards annually to individuals or organizations in Asia whose civic contributions and leadership exemplify the ideals of former Philippine President Ramon Magsaysay.

In an effort to further support the endeavors of the awardees, the Program for Asian Projects makes grants of up to \$10,000 to former recipients of the Magsaysay award. The vision and scope of the grant program is quite encompassing; it includes, for example, the identification and resolution of Asia's economic and social problems, the improvement of education, the development of rural communities, the preservation of traditional cultures, the fostering of peace and security and the general enhancement of the lives of the people of Asia now and in the future. The program will also provide grants to the Magsaysay Foundation to support broad-based projects of research and policy dialogue involving awardees.

The Program for Asian Projects was conceived and carries out its work with two special objectives in mind. First, the program funds projects which aid the very poorest members of Asian societies. This is the populace in which, generally, the Magsaysay awardees are active. Projects supported during this inaugural year of grant making include: Safeguard of the Lao Culture (Thailand), Housing for Disabled Leprosy Patients (India), and Training of Farmer Advocates for Regenerative Agriculture (Philippines).

Second, the program is intended to be a cooperative philanthropic effort of East and West. Although the approval of grants rests with the Fund's board of trustees, the program is directed on a day-to-day basis by an Asian Board of Advisers whose five members include three former Magsaysay awardees. The board is charged with identifying and recommending well-conceived projects and with administering the program's budget.

The program's headquarters are located in Manila, Philippines.

## 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 pages 9-12, above). The guidelines should be read together with the descriptions of grants approved in the most recent year, beginning on page 16, which provide specific illustrations of the ways in which the Fund is pursuing its program.

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 Fund.

The review of inquiries is ongoing throughout the year; there are no deadline dates to be observed.

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 follow projects along throughout the life of the grant and 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.
<b>Center for Resource Economics</b> Washington, D.C.	For the center's Island Press, a nonprofit publishing and marketing service for conservation and resource management organizations. Over the next two years, in addition to its publishing activities, the Press will begin a technical assistance program on communications and publications to benefit individuals and organizations working on environmental issues. <b>\$100,000</b> (over two years)
<b>H. J. Coolidge Center for Environmental Leadership</b> Cambridge, Massachusetts	For general budgetary purposes. Since 1983, the center has fostered sustainable development in third world countries by providing relevant training for young adults who hold leadership promise and who are in the U.S. as graduate students. Seminars, retreats, internships, and other educational programs are designed to both stimulate dialogue among these students as well as with U.S. academic, government, and business experts. Featured topics include agriculture, forestry, energy, and marine resources. The center also assists alumni who have returned to their homelands. <b>\$60,000</b> (over three years)
<b>Global Tomorrow Coalition</b> Washington, D.C.	For general budgetary purposes. The coalition was founded in 1981 as a clearinghouse for nongovernmental organizations and businesses—especially those active in environment, development, public health, population, and related fields. Aside from its publication services, the coalition provides a framework for its member groups to share information, broaden public understanding of long-term international trends and their potential effects on the U.S., and encourage active U.S. leadership in the search for solutions to global issues. <b>\$75,000</b> (over two years)
<b>Land Institute</b> Salina, Kansas	Toward a conference to strengthen programs of applied research on sustainable agriculture. The conference, to be held in June of 1989, will assemble leading American ecologists, agriculturalists, and media representatives to discuss and coordinate programs of applied research on alternative agricultural practices that are less destructive to soil and water resources. The institute encourages the preservation and adaptation of natural ecosystems—for example, deciduous forests and unplowed prairies—to produce food for human and animal consumption. Up to <b>\$38,000</b>

**National Audubon Society**  
New York, New York

Toward start-up funding for a project to mobilize the society's one-half million members into a more active force on global environmental issues, especially in promoting environmentally sound U.S. foreign assistance. In the first year of the project, a white paper on foreign assistance policy will be drafted, to be reviewed and appraised by Audubon members and other sustainable development experts at regional workshops. During the second, members will organize global environment committees in their chapters. In the third, representatives of developing countries and U.S. agencies will work with society members to establish this work on a lasting footing. **\$75,000** (over three years)

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

To its project, State Action for Sustainable Growth in Agriculture. Through policy meetings and technical assistance, the project will work to encourage state governments—initially eight in the Midwest—to adopt policy measures that will assist farmers in converting to agricultural practices that are both economically viable and ecologically sound. The center views this project as an important first component of a more comprehensive effort to incorporate the sustainable resource use concept into state government planning on other issues such as energy efficiency and waste recycling. **\$225,000** (over three years)

**Synergos Institute**  
New York, New York

Toward its general budgetary expenses. Believing that conventional problem solving approaches have not been sufficient to address the many problems associated with poverty and underdevelopment, the institute puts forward an alternative problem solving methodology which emphasizes collaboration between sectors of a particular society as well as among nations. Its current three-year projects include preparing and publishing case studies documenting such techniques, facilitating exchange between professionals employing such methods, and assisting a variety of groups worldwide to establish such partnerships. **\$300,000** (over three years)

STRATEGY

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 its research and planning assistance for Polish agricultural revitalization. This U.S. organization was created to help launch the Foundation for the Development of Polish Agriculture, located in Poland, and then to provide the foundation with financial, scientific, and other knowledge and experience. The foundation is the first independent, nonprofit, self-funding foundation to be established in a communist country. Its aim is to advance sustainable agriculture and the food economy in Poland, especially by strengthening private farming. It will undertake commercial export projects as well as research, on-farm experimentation, extension service exchanges and internships. Up to **\$250,000** (over two years)

**Center for Cultural and Technical  
Interchange Between East and West**  
Honolulu, Hawaii

**Environmental Law Institute**  
Washington, D.C.

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

**Green Library**  
Berkeley, California

**International Network of Resource  
Information Centers**  
Plainfield, New Hampshire

For a project to develop closer relations between American, Southeast Asian, and Vietnamese academics concerned with sustainable agricultural development. Cooperative relations are particularly sought between members of the Southeast Asian Universities Agroecosystem Network (SUAN) and counterpart institutions in Vietnam, a country in which ecological conditions have steadily worsened. The project will include scholarly exchanges, workshops, and information support services set up at centers in Vietnam. Up to **\$55,500**

Toward its new East European and Soviet Program. The institute, which undertakes research and education on environmental law and policy, employs a cross-disciplinary approach to draw together professionals of differing viewpoints in order to promote effective environmental management. The four components of the new program are a clearinghouse service to assist North American and East and West European environmental professionals; visiting scholar exchanges for East and West environmental professionals; policy-oriented research and problem solving on a binational and multilateral basis; and seminars, training courses, and other initiatives to enhance East-West cross-disciplinary dialogue in the environmental field. **\$120,000** (over three years)

Toward the expenses of its recently established office in the Philippines. Known as the Citizen ADB Monitoring Office, it has as one of its principle objectives a better understanding of how the Asian Development Bank (ADB)—the largest source of long-term development financing in the Asia-Pacific region—functions and how its lending practices affect patterns of resource use. Further objectives include promoting sensitivity to the environment in World Bank, ADB, and other banks' lending practices in the region, as well as serving as a link between Asian and U.S. nongovernmental organizations. **\$80,000** (over two years)

For general budgetary needs of Green Library-Poland. A new U.S. organization, the Green Library's aim is to create and stock a network of environmental libraries around the world. In Poland, this effort is in response to the need for information to impede environmental degradation and to increase public consciousness about environmental problems facing the country. During the next three years, Green Library will seek funds on behalf of Green Library-Poland for initial capital costs, basic operating expenses, translation services, a quarterly newsletter, and other outreach activities. **\$75,000** (over three years)

For general budgetary purposes. The association, also known as the Balaton Group, is an international group of professionals and managers concerned with sustaining the long-term productivity of natural resources. Through workshops and meetings, members identify common concerns and develop collaborative programs, some of which have recently included: a project to design a nonfossil, nonnuclear energy plan for Europe; a Soviet-American exchange for architects interested in energy-efficient buildings; and a project to prepare and monitor indices of sustainable agriculture on farms in six countries. **\$75,000** (over three years)

**Khon Kaen University**  
Khon Kaen, Thailand

For a project to improve knowledge of agroecosystem management in Southeast Asia and China. The Southeast Asian Universities Network (SUAN)—an informal association of scholarly programs concerned with agricultural resource management—will conduct a collaborative research project to examine how the concept of sustainability might be incorporated more successfully into policy-making and scientific inquiry influencing the region's agricultural development. **\$58,500**

**Minnesota Foundation, University of**  
Minneapolis, Minnesota

Toward a project on environmental protection in Poland and other East European countries under the auspices of the Hubert H. Humphrey Institute of Public Affairs. Drawing particularly on the experience of the U.S., West Germany, and Japan, the project will focus on comparative analysis and discussion of economic and other mechanisms for environmental protection that might have applicability in Eastern Europe. Workshops held in Poland will provide an opportunity for national, state, and municipal officials to meet with both Polish and foreign environmental and academic experts to examine specific ways to structure environmental management and pollution control. **\$30,000** (over two years)

**Obor**  
Clinton, Connecticut

For two publication projects: the first, the translation of material found in the 1987 and 1988 editions of the Worldwatch Institute's *State of the World* reports into Bahasa Indonesian, Bahasa Malay, and Thai; the second, the publication of a special issue of the English-language Philippine journal *Solidarity* that will examine critical resource management issues in the Philippines. These projects are designed to increase the availability in the Asia-Pacific region of information about sustainable resource use. **\$35,850** (over two years)

**Sabre Foundation**  
New York, New York

For its legal research project to secure enhanced tax deductibility for U.S. donations of publications and supplies to East European countries. Sabre Foundation facilitates the transmission and distribution of printed materials, principally of philosophical, medical, or scientific nature, to Hungary, Poland, and other countries where hard currency for the purchase of such materials is limited. While the foundation is undertaking a program expansion to include other fields of study, successful operation of the expanded program is dependent on distributions by the foundation meeting the requirements of the Internal Revenue Code for tax-advantaged inventory donations. **\$15,000**

**Wildlife Fund Thailand**  
Bangkok, Thailand

Toward a meeting in March of 1989, convening representatives from approximately forty environmental nongovernmental organizations in the Asia-Pacific region. Participants will discuss regional environmental problems, the role of emerging NGOs in promoting better resource management, and the role of public and private donors in assisting the efforts of nongovernmental organizations. **\$47,800**



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

Toward the final planning for its program to prepare African women for leadership in the agricultural and rural social sciences. Faced with declining agricultural productivity, economic stagnation, and degradation of the natural resource base in sub-Saharan countries, a need for new leadership in sub-Saharan Africa has become evident. Women produce about three-quarters of the food supply in these countries. The Winrock program is a long-term commitment to the development, including academic training, of a core of well-educated women having technical skills, experience, and professional stature in the agricultural sciences who can serve in leadership and policy-related positions. **\$125,000**

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.

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

Toward general budgetary expenses. The institute seeks to aid developing countries improve the efficiency of their energy use, with the view to both assist third world countries meet their increasing energy needs and at the same time address the long-term problem of global warming. Over the next few years, the institute will pursue its primary objectives—to disseminate information, to conduct demonstrations of energy efficient technologies, and to stimulate the interest of private business in energy conserving practices—in Latin America as well as Asia where it has been active to date. **\$300,000** (over three years)

**Renew America**  
Washington, D.C.

Toward its program on climate warming trends to increase public awareness of the gravity of greenhouse gases emissions. The organization’s annual report, *State of the States*, ranks every state on specific environmental management issues. Another publication, *Target Report*, suggests steps that state and local governments can take to reduce the greenhouse effect, as well as steps citizen groups can take to encourage governmental action. **\$75,000** (over two years)

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

Continued general support as a challenge grant to help the foundation build a broader base of private support. Through its projects, the foundation attempts to demonstrate how modest amounts of philanthropic and international development agency funds can underwrite preinvestment activities (feasibility studies, development planning, and marketing assistance) in order to leverage substantial private-sector scientific, technological, managerial, and financial resources into third world ventures that promote more sustainable development. Through alternative approaches, the foundation focuses on reducing the environmental degradation resulting from efforts to meet the rising food and energy needs of expanding populations. Up to **\$450,000** (over two years)

**Woods Hole Research Center**  
Woods Hole, Massachusetts

To its project to draft a model multilateral protocol for limiting emissions of all gases responsible for the warming problem. The project’s goal is to develop a model legal convention which is characterized by a sensitivity to the interests of developing countries, believing such a component to be necessary in the effort to develop an international consensus around the issue. **\$100,000** (over two years)

**World Resources Institute**  
Washington, D.C.

Toward its program to address global climate warming. An international panel assembled by the institute is considering promising technological approaches and financial, economic, and regulatory measures that governments might adopt to restrict emissions of the gases that are causing the warming phenomenon. The panel’s published findings and recommendations will be forwarded to the United Nations Environment Program and to key individuals and organizations in countries that are either currently or potentially major contributors to the warming problem. **\$150,000** (over two years)

The following grant was made to an organization that had received support under the Fund’s previous program.

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

Continued support for the center’s development office to help maintain and expand its efforts during the first two years of the center’s Twentieth Anniversary Fund campaign. The center is recognized nationally for its catalytic role in advancing the interests of independent community-based groups in urban, rural, Spanish-speaking, Indian, and black and white communities. Assistance is tailored to meet the individual financial, technical, and policy needs of each group. The campaign’s aim is to increase endowment to ensure the center’s long-term financial viability and institutional capacity. **\$150,000** (over two years)

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.

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

Toward its project, Managing the ABM Treaty Regime, an interdisciplinary study of ways to safeguard the objectives of the 1972 SALT I ABM Treaty. Over the past several years, technological progress and differing views on how best to prevent nuclear war have led to growing problems of treaty reinterpretation and compliance. A working group of the academy's Committee on International Security Studies, which includes scientists, lawyers, and diplomats, is identifying possibilities by which the treaty can be adapted and remain efficacious. The group is working in consultation with Soviet scientists and will hold a meeting in Moscow for in-depth discussions of options and recommendations. **\$75,000**

**International Institute for  
Strategic Studies**  
London, England

Toward its project, Strategic Arms Control in the Post-START Era, to define future directions for strategic arms control. The program is intended to engender an exchange of ideas between East and West and will culminate in three working group meetings in the U.S., Europe, and the USSR. A core group of thirty people—policy analysts, senior policymakers, academics, and media representatives—will participate in each meeting to examine and discuss such major issues as the strategic impact of START, the nature and feasibility of minimal or finite deterrence, qualitative limitations, a comprehensive test ban, and the relationship between START II and horizontal proliferation. Results of the deliberations will be set out in three reports and a final volume of papers, and briefings will be held by the institute's Washington office for senior administration officials, key members of Congress, and members of the diplomatic and press corps. **\$150,000** (over two years)

**International Peace Academy**  
New York, New York

Toward its project, *Soviet and American Perceptions of Third World Regional Conflicts: Their Origins and Resolution*, which involves two workshops co-sponsored with the Soviet Academy of Sciences' Institute of World Economy and International Relations. The workshops will involve for the first time experts from the third world in serious discussions with U.S. and Soviet leaders about regional disputes, providing a multilateral context for discussions of third world conflicts and regional security. The first meeting was held in the USSR this year; the second will be held in the U.S. in 1989. **\$75,000**

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

Continued support of its Nuclear Test Verification Project, a U.S.-Soviet program of seismic monitoring and research which aims to demonstrate that verification is technically and politically feasible and thereby to pave the way for agreements to limitations on nuclear weapons testing. To assure the longevity of these efforts, the project will work to secure the support of the U.S. government for the maintenance and expansion of U.S.-Soviet cooperation on seismic verification. The project will also hold a small conference to develop the technical policy basis for action toward a nuclear test ban. **\$75,000**

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

Toward work on emerging issues in arms-reduction and non-proliferation policy by the Program on Nuclear Policy Alternatives. The program, in which both American and Soviet scientists participate, is expanding its analytical work on finite deterrence to include analysis relating to stabilization and reduction of the conventional weapons confrontation in Central Europe, and the budgetary and economic implications of the program's own arms reductions proposals. In addition, the program is launching a new international journal, *Science and Global Security*, aimed at helping the U.S. and Soviet scientific communities develop a shared understanding of technical aspects of security and environmental issues affecting the two countries. **\$150,000** (over two years)

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## STRATEGY

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.

**Cornell University**  
Ithaca, New York

Toward its Global Environment Program, now the sponsor of the national case studies on the environmental effects of nuclear war begun by the Scientific Committee on Problems of the Environment of the International Council of Scientific Unions. Studies in Australia, China, India, Japan, sub-Saharan Africa, and Venezuela will examine the effects of nuclear weapons use on ecosystems so as to advance scientific understanding of global repercussions by making use of detailed data available at the national level and local scientists' knowledge of specific national conditions. It is hoped that this information will affect policy makers, especially in countries that have believed they would be relatively unaffected by a U.S.-Soviet nuclear war and countries that are close to attaining nuclear weapons capability. **\$150,000** (over two years)

**Atlantic Council of the U.S.**  
Washington, D.C.

**Centre for European Policy Studies**  
Brussels, Belgium

**Harvard University**  
**John F. Kennedy School of Government**  
Cambridge, Massachusetts

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

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

Toward its public education program relating to the International Atomic Energy Agency, which administers safeguards against the diversion of nuclear material from civilian to military uses. Building on recent efforts to increase public and policy attention to the agency's role, the Atlantic Council program will continue to inform national policymakers, diplomats, business and community leaders, and the media about the agency's activities and the stake that the U.S. and other countries have in its welfare. Through briefings, seminars, public information letters, technical assistance to congressional study groups, and the preparation of policy papers, the program aims to help ensure the continued vigor of the agency and its capability to assist the maintainance of peace and security in the world by preventing the further spread of nuclear weapons. **\$180,000** (over three years)

Continued support of its nonproliferation program, which operates in collaboration with the Peace Research Institute Frankfurt's twelve-country nonproliferation program. The program will hold seminars in Brussels for European parliamentarians and journalists from leading European media; carry out research on nonproliferation issues of particular concern to Europeans; and contribute to the biennial survey of West European nonproliferation policies which will be published by the Peace Research Institute Frankfurt. **\$30,000**

Toward the project, Nuclear Proliferation: Developing an International Cadre for the 21st Century, sponsored by the Center for Science and International Affairs. To meet the nonproliferation challenges of the next decades, the project will bring to the U.S. each year one person from a major nuclear supplier country and one from a developing country who wish to develop expertise on nonproliferation issues. Each fellow's research will focus on particular nuclear proliferation issues directly affecting his or her country and will be carried out in collaboration with a range of people throughout the U.S. who are involved with proliferation issues. **\$210,000** (over three years)

Toward its Nuclear Oversight Project, which aims to confront the nonproliferation challenges of the 1990s, including nuclear terrorism, commercial circulation of nuclear weapon-grade material, and sabotage of nuclear reactors, fuel facilities, and fuel shipments. The project will address ongoing dangerous situations in both third world and major industrialized countries as well as respond to unanticipated proliferation developments. In carrying out its work, the project utilizes policy research and analysis, public-information campaigns, congressional and organizational networking, regulatory interventions, legal challenges, and outreach seminars and meetings in various countries. **\$130,000** (over two years)

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

Continued support of its nonproliferation program. The program is the first intercountry European effort to focus on horizontal proliferation, to share information about different European countries' nonproliferation policies, and to work toward common nonproliferation policies. Activities include a biennial survey of West European nonproliferation policies; publications and workshops addressing current nonproliferation issues; and seminars for parliamentarians and for journalists from leading European media. The program is also working to prepare Europe to play a constructive role at the Non-Proliferation Treaty's last review conference in 1990. **\$225,000** (over three years)

STRATEGY

*International Relations, Development, Trade, and Finance*  
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.

**American Center for International Leadership**  
Columbus, Indiana

Toward general budgetary purposes on a challenge basis. The center conducts exchange programs for emerging leaders, ages 25 to 40, from the United States, the USSR, Hungary, Mexico, and West European countries. Over the next three years, the center plans to expand exchanges to include Poland, Czechoslovakia, and the People's Republic of China; to convene with the USSR Committee of Youth Organizations the first Soviet-American conference of young leaders sanctioned by both governments; and to organize greater systematic use of exchange alumni in all countries. The program's aim is to build a network of young leaders with an appreciation of global interdependence as a result of firsthand knowledge of East-West relations and international affairs. Up to **\$300,000** (over three years)

**Colorado Outward Bound School**  
Denver, Colorado

For East-West bilateral and multilateral wilderness youth exchanges, organized jointly with the US-USSR Youth Exchange Program and involving the Soviet Union, Hungary, the U.S., and a Western European country. Most of the programs take place in the U.S. and the USSR; they focus on developing self-reliance through wilderness skills, and on inculcating sound resource management concepts in young adults, while at the same time building communication, understanding, and trust. Special instructor exchanges involving Soviets and Americans provide training in teaching the Outward Bound philosophy. **\$75,000** (over three years)

**Fondation pour une Entraide Intellectuelle Européenne**  
Paris, France

For general budgetary purposes of the foundation, established twenty years ago to give moral support and practical assistance to scholars, writers, and artists in totalitarian countries of Europe. By providing invitations, assistance with passports and visas, and small stipends, the foundation enables intellectuals from all over Eastern Europe and the Soviet Union to have extended visits in Western Europe in order to attend meetings and to work with colleagues. The foundation also provides books and periodicals that are otherwise unavailable. **\$75,000**

**Institute for East-West  
Security Studies**  
New York, New York

For general budgetary purposes. Established in 1982, the institute brings East and West Europeans together with American and Soviet counterparts to explore the political and military aspects of East-West security and, more recently, economic, social, and environmental issues. The East-West Task Force on Seeking Security in the 1990s, which includes Japanese and Chinese participants for the first time in an institute program, will examine the topics of conventional arms reduction; international economic change, restructuring, and East-West security; and multilateralism in the 1990s and opportunities for East-West cooperation. **\$300,000** (over three years)

Further support toward the institute's reserve fund. **\$40,000**

**International House, New York**  
New York, New York

Toward the start-up of a new East-West leadership development program. The program will enable up to twelve young adults each year from the Eastern bloc to reside for periods of three to twelve months at International House, with access to major universities, international organizations, and home visits. The program, which offers partial tuition scholarships, is designed to increase the number of Eastern bloc students, scholars, and young adults who visit the United States. **\$75,000** (over three years)

**Pittsburgh, University of**  
Pittsburgh, Pennsylvania

Toward its program to assist the launching and initial operations of the International Management Center in Budapest, Hungary, an initiative designed to transfer market-economy management expertise and skills to receptive planned-economy countries. The School of Business and the Russian and East European Studies Center together are developing cooperative programs for staff training, student and faculty exchanges, and syllabus and course preparation. **\$75,000**

Further support for its program for the launching and initial operations of the International Management Center in Budapest, Hungary. **\$150,000** (over three years)

**Woodrow Wilson International Center  
for Scholars**  
Washington, D.C.

Continued support of its East European Program. High-level U.S. and foreign experts on Eastern Europe comprise a rotating group of participants in the program, which was created in 1985 to enhance knowledge of the region for the benefit of the executive and legislative branches of government, academia, and the general public. The program includes workshops, seminars, lectures, conferences, and media activities, in addition to research and writing. It is being expanded to undertake more joint conferences with other American and foreign organizations; to arrange more seminars outside of Washington, D.C., including some in Eastern and Western Europe; and to give greater attention to the training of younger scholars. Two major conferences will address, respectively, public health systems and the East European environmental crisis, and modernization in East European societies. **\$90,000** (over three years)



**Australian National University  
Research School of Pacific Studies**  
Canberra, Australia

**California, Berkeley, University of  
Institute of East Asian Studies**  
Berkeley, California

**Council on Foreign Relations**  
New York, New York

**Japan Center for International Exchange**  
New York, New York

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.

Continued support for the Pacific Trade and Development Conference series during 1988, 1989, and 1990. Convened annually, the conferences are the region's leading forum for the presentation and discussion of academic research concerning trade and investment policies of Pacific Basin nations. They bring together distinguished economists from throughout the region to assess policy options and coordinate economic decision making. The 1985, 1986, and 1987 meetings addressed the themes of financial interdependence, industrial policy, and trade in services. Participants in 1988 considered the subject of technological change and its impact on further economic development in Asia-Pacific nations. **\$30,000** (over three years)

Continued support for the Quadrilateral Project, a discussion series involving leading scholars from international relations and strategic studies institutes in the U.S., Japan, Korea, and the nations of Southeast Asia. Focused on the region's contemporary economic, political, and security affairs, the discussions help to strengthen the intellectual foundations for cooperative regional policy development. Published volumes of papers presented at the meetings are distributed to members of Congress and the administration; participating Asian scholars arrange for dissemination to policymakers in their respective countries. **\$67,300**

Toward the costs of American participation in a three-day symposium on U.S.-Japan relations, co-sponsored with the Asia Pacific Association of Japan and convened at the suggestion of the Sasakawa Peace Foundation, a major new Japanese philanthropy. High-level delegations met in Japan to assess the current state of the bilateral relationship. Delegations of approximately twenty-five members from each country included state and federal government officials, business leaders, editors and publishers, public opinion analysts, academics, and science and technology specialists. **\$50,000**

Toward general budgetary expenses to strengthen the U.S. affiliate of the Japanese organization of the same name. JCIE promotes policy-oriented dialogues examining the Asia-Pacific region's important economic, political, and security issues. The U.S. office assists American citizens and public officials in broadening their links to Japan; advises Japanese corporations that operate in the U.S. on local philanthropic activities; facilitates collaboration between American and Japanese research organizations and private foundations; and helps create opportunities for regular exchange between members of the U.S. Congress and the Japanese Diet. **\$105,000** (over three years)



**Japan Society**  
New York, New York

A special one-time contribution to its U.S.-Japan Leadership Program, which affords promising young American leaders the opportunity to reside in Japan for up to six months. To date 34 fellows have been selected from such fields as journalism, law, business, government service, and the arts. The program's aim is to develop a cadre of influential private citizens who can inform Americans' perceptions of Japan and the U.S.-Japan partnership in global affairs during the periods of tension that will inevitably arise as the two countries become increasingly inter-linked. **\$50,000**

**Korea University**  
**Asiatic Research Center**  
Seoul, Korea

Continued support for the annual meetings of the Pacific Workshop on Regional Affairs. The workshop offers Asian political scientists and international relations specialists the opportunity to examine the region's political and security affairs. The first workshop, held in the Philippines in 1985, focused on security relations among the major Pacific region countries; the second, convened in Malaysia in 1987, centered on the management of significant local conflicts. Future workshops will examine the transition underway in several East Asian countries from authoritarian to more pluralistic forms of government, and the implications of that trend for the region. **\$75,000** (over three years)

**Lingnan College**  
**Centre for Asian Pacific Studies**  
Hong Kong

Continued support of the ASEAN-China Hong Kong Forum. Established in 1987, the forum aims to improve relations between China and the ASEAN nations by creating opportunities for dialogue between Chinese scholars and policymakers and their Southeast Asian counterparts. At the first meeting, more than 40 academics participated in a three-day discussion of political and economic relations. The second forum considered the growing presence of Japan in Southeast Asia and its economic and social implications for China and its ASEAN neighbors. **\$20,000**

**National Committee on**  
**United States-China Relations**  
New York, New York

Toward a U.S.-China exchange program involving individuals in the 25-40 age range who are likely to assume positions of national prominence. The program, assisted by the American Center for International Leadership, includes twelve Chinese and twelve Americans chosen for their leadership in such fields as industry, commerce, education, the arts, and local government. In 1988, the Chinese participants came to the U.S. for an in-depth orientation to contemporary American society, highlighted by a three-day conference with the American participants on the general theme of youth attitudes and values and their effect on public service and public life. The project's Chinese co-sponsor is arranging a reciprocal visit for the American group in 1989. **\$123,900** (over two years)

**Americas Society**  
New York, New York

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

Toward its Latin American Public Affairs program, to be used as funds functioning as endowment. The society's purpose is to educate Americans about the range of contemporary issues confronting Latin America, the Caribbean, and Canada, and to increase public awareness of the cultural heritages in the hemisphere. Its programs attract high-level leaders from all countries of the hemisphere. The Latin American Public Affairs Program addresses such current issues as stabilization of democracy, rapid population growth, destruction of rain forests, reduction of drug traffic, and promotion of sustainable development. **\$250,000**

**Brookings Institution**  
Washington, D.C.

Toward the establishment of a forum for the study and discussion of African issues. The forum has been initiated to bring together African scholars and policymakers and their counterparts from other parts of the world, particularly the U.S., for policy discussions of the development issues facing African countries and their implications for the world community. The forum represents a new institutional effort to build awareness and understanding of the diversity of regional, political, social, and economic development in Africa. The forum will also provide a critical African perspective on research priorities and help to develop additional research capacity in Africa. **\$300,000** (over three years)

**Fund for Private Assistance in International Development**  
Washington, D.C.

For general budgetary purposes. The fund was established in 1984 to foster social and economic progress abroad through the use of blocked assets of U.S. corporations held in foreign countries. PAID developed a process through which U.S. corporations can donate these assets for charitable purposes in the foreign country and receive a U.S. tax deduction for the donation. The fund is now exploring new strategies, including 'debt-for-nature' and 'debt-for-development' swaps. **\$180,000** (over three years)

**Hague Academy of International Law**  
The Hague, The Netherlands

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. **\$40,000**

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

Continued support for general budgetary expenses. Established in 1973, the commission is an organization of influential private citizens of Western Europe, Japan, and North America. Its aim is to foster closer cooperation among the three regions in areas of common interest, particularly in global economic and security affairs. At its 1989 meeting, the commission will discuss two member-authored reports, "International Management of Financial Interdependence" and "Probing the New Possibilities in East-West Relations." The subsequent publishing of such reports is intended to focus attention on important issues of common interest and suggest collaborative approaches for addressing them. **\$240,000** (over three years)

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.

**Pacific Institute for Studies in  
Development, Environment, and Security**  
Berkeley, California

Toward its project, Sustainable Resource Management and Global Security, designed to strengthen analysis of the environmental dimension of security. The project will prepare case studies of instances in which environmental degradation has contributed to social and political instability both within and among nations, focusing in particular on the Philippines, Mexico, and southern Africa. The case studies will serve as the basis for discussion at a workshop whose participants will include both natural and social scientists as well as environmentalists and security specialists. **\$80,000** (over two years)

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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.

**New Business Ventures for  
Not-For Profit Organizations**  
New York, New York

For a project to develop options for providing long-term support for community development organizations in New York City. Such organizations provide much of the housing and economic development in disadvantaged local neighborhoods, and have been particularly effected by changes in federal support and the tax code. The project will analyze the actual and potential role of community development organizations in New York City, and prepare an inventory of active organizations and their programs, accomplishments, and public and private support. **\$40,000**

**New York Interface Development Project**  
New York, New York

Toward its project concerning the personnel crisis at New York City’s voluntary human service agencies. In recent years these agencies have faced great difficulty in attracting and retaining personnel, and an Interface study, *Short Staffed!*, brought the crisis and its effect on the delivery of human services in the city to public attention. It documented the magnitude and scope of the problems of wage scales, employee turnover rate, professional position vacancies, and reduced number of new workers with degrees in social work. To build on the momentum the study created, Interface is defining more specifically the steps needed to implement the recommendations of the study. Interface also is serving as liaison between state agencies and the private non-profits, including higher education and professional associations, to catalyze the creative, coordinated interagency action required to resolve the crisis. **\$50,000**

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## STRATEGY

### **Cultural Council Foundation** New York, New York

Strengthening vital institutions of special importance to the City.

Toward the costs of administering the Manhattan Decentralization Program of the New York State Council on the Arts. The program distributes state funds for the arts to small community-based arts and cultural organizations, many of which are in minority and ethnic neighborhoods, and encourages community leaders to participate in the selection of the groups and the distribution of funds. The foundation has been asked to apply its expertise in program and management advisory services to assist emerging community arts organizations with grant applications, budgeting, fiscal management, record keeping, and reporting. **\$37,500** (over three years)

### **New York Urban Coalition** New York, New York

Toward its program to increase support from private sources. The coalition brings together representatives of business, labor, community groups, and government in a common effort to address the critical issues affecting New York City's development—racial harmony, homelessness and low income housing, and community development. The coalition is embarking on a major effort to increase private charitable support for operating expenses, build a working capital fund, and develop an expanded information program for supporters. **\$60,000**

### **Nonprofit Coordinating Committee of New York** New York, New York

Toward general operating expenses of the committee, a membership organization that represents the common interests of a wide range of New York City nonprofit groups and institutions. The committee is conducting a series of special projects to improve the conditions in which nonprofits operate in the city: a liability insurance project on the needs and loss experience of New York nonprofits, with educational workshops for nonprofit managers; a feasibility study on a citywide program to facilitate donations of goods, materials, and other gifts-in-kind to nonprofits; workshops on publicity and media coverage; and a collaborative project to develop comprehensive data on the number, size, scope and functions of the city's nonprofits. **\$75,000** (over three years)

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## STRATEGY

### **Beth Israel Medical Center** New York, New York

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

Toward its Helping Hand Program to train stabilized methadone patients from its Methadone Maintenance Treatment Program, the largest drug treatment program in the U.S., to serve as "buddies" to homebound methadone patients with AIDS. Practical assistance by buddies will extend the weekly services of the methadone program's nurses and social workers and provide additional monitoring of patient progress, with the expectation that homebound AIDS patients will be kept better stabilized and that their rate of rehospitalization, with its attendant high costs, will be reduced. This is a pilot program that combines the delivery of compassionate care to former drug users with the rehabilitation of stabilized methadone patients, since the buddies who successfully complete the Helping Hand Program will be placed in regular training to become home health care attendants. **\$70,000** (over two years)

**Fund for the City of New York**  
New York, New York

Toward the general budgetary expenses of the Citizens Commission on AIDS for New York City and Northern New Jersey, which was launched in mid-1987 to increase private sector leadership in responding to the AIDS epidemic in the region. Supported by a consortium of foundations and corporations from the two states, the commission has obtained the endorsement of a broad spectrum of community leaders for its reports. Its initial statement, "Ten Principles for the Workplace," was aimed at achieving fair treatment for AIDS-infected people in the work force and has now been endorsed by over 160 corporations, unions, and nonprofit agencies. A second major statement on the need for expanded drug abuse treatment and education was made public in 1988; two others are due in 1989 on the care and service needs of people with AIDS and HIV infection, and prevention and education. **\$75,000**

**Montefiore Hospital and Medical Center**  
New York, New York

Toward its AIDS prevention and risk reduction intervention project for adolescents, the group most at risk nationwide for future infection, especially in inner cities. The Montefiore Medical Center, which has played a lead role in conducting AIDS-related research and providing care to AIDS patients, has initiated the first program specifically devoted to adolescents infected with or at high risk of infection with AIDS. Working in cooperation with a New York City high school, the AIDS intervention project aims to develop and test a model for behavioral intervention, with an accompanying manual, that can be widely adopted for use by schools, clinics, and community-based organizations. **\$70,000** (over two years)

**Village Nursing Home**  
New York, New York

Toward initial operation of its AIDS Day Treatment Center and accompanying Home Care Service which aims to provide comprehensive, cost effective, and compassionate care for people with AIDS. Without such daytime care services, a large number of AIDS patients would require costly hospital care. The center also coordinates the special placement, training, and supervision of home health care aides. The center is the first program specifically devoted to treating AIDS dementia and, in addition to providing chronic care services, is testing new approaches in the diagnosis and treatment of this condition in conjunction with local hospitals and universities. **\$70,000** (over two years)

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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.

**Rockefeller University**  
New York, New York

Toward the Resident Scholar Program of the Rockefeller Archive Center, to host one established scholar of the history of philanthropy each academic year. Working at the center, which has the largest collection of foundation archives, the resident scholar will inform both staff and interested parties, as well as conduct research in the field. **\$50,000** (over two years).

STRATEGY

**Aspen Institute for Humanistic Studies**  
Queenstown, Maryland

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

Toward its five-year program to study the performance of American philanthropy. Through small working groups, the institute will analyze the major obstacles to improved foundation performance and develop practical ideas for overcoming them, thereby improving the climate for the creation of new foundations. **\$50,000** (over two years)

**Boston Foundation**  
Boston, Massachusetts

Toward a project to promote deferred giving as an aspect of the fund-raising programs of smaller nonprofit organizations. The Boston Foundation, which is receiving and administering grants to support the project, is one of several umbrella organizations participating in a three-year pilot program to test the concept of using pooled income funds, managed by trust companies, as the first step in establishing deferred giving programs for smaller nonprofits. Up to five other umbrella organizations of different types will participate in the program and establish pooling services in order to test the concept fully and give it wide visibility. **\$150,000** (over three years)

**Foundation Center**  
New York, New York

Continued general budgetary support for 1989; and a contribution to the center's five-year major gifts campaign to modernize and expand its many information services and thereby provide easier access to more complete and complex data. The Foundation Center is the nation's principal information resource on foundations and their grants. **\$225,000**

**National Charities Information Bureau**  
New York, New York

Toward publication costs of its Standards Review Project. To initiate the project, an advisory panel made a comprehensive review of the basic standards by which the bureau evaluates national nonprofit organizations. The panel's draft of proposed revised standards, formulated in consultation with a wide range of nonprofit organizations, will result in a statement by and for the sector. Once adopted by its board, the standards will be distributed with interpretative guidelines and materials, and given national publicity. **\$15,000**

**New York Community Trust**  
New York, New York

Toward the New York City program of the national Daring Goals for a Caring Society program established by Independent Sector to encourage Americans to increase their charitable giving and volunteer time. A New York City steering committee has been formed to begin program planning, set goals, and build a coalition of organizations in all the city's boroughs; its initial activity will be to conduct a survey to measure the current level of giving and volunteering in the city. **\$20,000**

**United Way of Tri-State**  
New York, New York

Toward its retiree solicitation program, a pilot program designed to increase individual giving in the U.S. by encouraging retired workers to remain active as donors; retirees are also helped to identify volunteer work. Forty-one member companies in the Connecticut-New Jersey-New York area have instituted the program as part of the United Way workplace solicitation that helps fund community service programs. The retiree program not only responds to the fact of the increasing number of retired persons in the country but also to the considerable impact of their giving. **\$160,000** (over three years)

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STRATEGY

**New York University**  
**Leonard N. Stern School of Business**  
New York, New York

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

**Yale University**  
**School of Organization and Management**  
New Haven, Connecticut

Promoting the improved management of nonprofits.

Continued support for the Initiative for Nonprofit Entrepreneurship of the Center for Entrepreneurial Studies. The program, established in 1985 to provide a resource for nonprofit organizations contemplating or involved in income-earning activities, has evolved into a program fostering research in a number of areas of importance to nonprofit management, particularly those related to innovation and earned income. **\$35,000**

Continued support for the Stanford Management Internship Fund that enables students to work during the summer 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. Up to **\$15,000**.

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. 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

**City University of New York**  
**Graduate School and University Center**  
New York, New York

Promoting greater international grant making.

Toward the establishment of an international fellows program at the Center for the Study of Philanthropy, and for the costs of a core group of three fellows in each of the first three years. The program is being developed to provide a semester's work at the center for the fellows, who are to be selected from professionals affiliated with nonprofits and nongovernmental organizations in the third world and Japan. In the selection process, preference will be given to talented younger people who have had only limited international contacts and who are working with women's groups, in particular, and with groups concerned with such issues as urban poverty, health, and conservation. The program will contribute to the building of an international network within the nonprofit sector. **\$130,000** (over four years)

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MEMBERSHIPS

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

A membership grant for 1989. The council has over 1,100 members, representing independent, community, operating, and public foundations, corporate grant makers, and trust companies, for whom it provides advisory and informational services and conducts representational activities with congressional legislators. Special projects have been initiated to encourage the formation of new foundations, provide more services aimed at foundation trustees, and strengthen community foundations. The council also works with more than 21 affinity groups that are coalitions of grant makers with a common interest in a specific subject, and with 23 regional associations of grant makers. Up to **\$30,000**

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

A membership grant for 1989. Independent Sector operates on many fronts to bring about a better understanding and appreciation by policymakers and the general public of the private nonprofit sector and the role it plays in American life. Its 654 members are national voluntary organizations and those foundations and corporations whose giving programs are national in scope and impact. It has been particularly effective in its government relations work on behalf of the entire sector, and in its efforts to encourage and foster academic and public policy research concerning nonprofits. A newer program to help improve the leadership and management of nonprofits is well under way. **\$7,400**

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

A membership grant for 1989. The association has 160 members in New York, New Jersey, and Connecticut to whom it offers a program of meetings, seminars, and workshops on a wide range of topics, from the legal and technical to existing and emerging areas of grant-making interest. It plays a valuable role in helping corporate giving programs and newer and smaller foundations widen their horizons and improve the quality of their grant making. **\$7,125**

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SPECIAL CONCERNS

GOAL

To support emergency situations and compelling new opportunities.

**Library of Congress**  
Washington, D.C.

Toward long-range planning and the first major reassessment of the library's mission as it approaches its bicentennial. The goals are to assist the library evaluate the use of its resources and to provide guidance for the maintenance and expansion of the library's collections—which number more than fourteen million books on all subjects in all languages. Keeping in mind the array of new information technologies available, a national advisory committee plus an internal staff group and a management consultant firm will review the library's ability to provide data and detailed policy analyses to Congress, develop imaginative approaches for sharing its treasures more broadly in the U.S. and the world, increase its internal capacity to conduct and promote basic research from the collections, and improve its managerial efficiency. **\$50,000**



**National Association of Independent Schools**  
Boston, Massachusetts

For its work with the Southern African Association of Independent Schools in Johannesburg, and to develop ties between that association and independent schools in the U.S. This effort to assist multiracial, independently governed secondary schools in South Africa is in collaboration with the Independent School South African Education Program under the leadership of Northfield Mount Hermon School. **\$10,000**

**Northfield Mount Hermon School**  
Northfield, Massachusetts

Toward the Independent School South African Education Program, founded by a consortium of independent secondary schools to make higher education at an American university or college more accessible to promising black South African students by providing a preparatory year of study in the U.S. **\$25,000**

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

Continued support for the Southern African Association of Independent Schools. The association's primary effort is to help alternative, multiracial schools which have broad community support to establish themselves. Membership is open to private and public schools that have stated policies and practices of non-discrimination, and appropriate educational standards. Related projects include: establishing a scholarship trust for needy students; providing consultations and workshops designed to improve teachers' qualifications and morale; creating an alternative high school exam acceptable as entrance qualification to tertiary institutions. **\$60,000** (over two years)

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EDUCATION

At a time when the Fund is considering establishing a new program in education, the following grants were made on the basis of their respective contributions to the improvement of the nation's public schools, and as a means by which the Fund might explore the future direction of its grant making in the field.

**Brown University**  
Providence, Rhode Island

Toward the work of the Coalition of Essential Schools, a high school-university partnership based on the educational reforms presented by TheodoreSizer in his book, *Horace's Compromise: The Dilemma of the American High School*. Over fifty high schools have been involved through the coalition in implementing Sizer's theories, which call for a vital engagement between teachers and pupils, and an autonomy of the classroom rooted in the belief that reform begins there. To publicize its work, the coalition will prepare a sequel entitled *Horace's School*, describing how schools have turned Sizer's theories into practice. **\$98,500**

**Editorial Projects in Education**  
Washington, D.C.

Toward start-up costs associated with *Career Teacher*, a new monthly journal focusing on teachers and their concerns, and encouraging efforts that place teachers at the center of education reform. A major part of the new magazine will function as a "seminar in print," with a letters page, advice column, and roundtable for sharing approaches to professional and pedagogical problems. **\$100,000**

**Harvard University**  
**Graduate School of Education**  
Cambridge, Massachusetts

For the adaptation of Project Spectrum materials and their implementation with preschoolers drawn from socio-economic backgrounds at risk for school failure. Project Spectrum is an innovative curriculum geared toward the specific development capabilities of preschool children, using specially designed puzzles, games, and toys plus assessment tools to help ascertain a child's developmental stage and ability. **\$66,000**

**National Center on Education and the Economy**  
Rochester, New York

To its school-based management project for Rochester's elementary and secondary schools. The project is one segment of the education reform program for the new organization and management of Rochester schools which is receiving national attention. School-based management gives decision-making powers to the immediate professional staff, working in conjunction with parents, noncertified staff, and students. **\$150,000**

**Recruiting Young Teachers**  
Princeton, New Jersey

Toward general budgetary expenses. The organization's national advertising campaign has been highly successful in attracting inquiries regarding the profession. Funding is now being utilized for individual follow-up, and for a database to connect potential teachers with colleges, universities, school systems, and government agencies. **\$100,000**

**Research Foundation of the City University of New York**  
New York, New York

Toward the study, "Searching for Answers to Improve Education: Interviewing Competent Principals in Poverty-Area Elementary Schools in New York City." Twenty-five ghetto elementary school principals have been asked their views on the nature of inner city educational problems and the resources needed to address them; on reforms proposed for New York City schools that call for greater teacher, parent, student, and community involvement; and on recent national education reform proposals. The study team will release their findings nationally. **\$30,000**

**Tufts University**  
Medford, Massachusetts

For the adaptation of Project Spectrum materials, for use with preschoolers drawn from socio-economic backgrounds at risk for school failure. Spectrum is an innovative approach to preschool education developed at the Graduate School of Education at Harvard University. Implemented in selected middle-class schools over the last five years, the materials—games, toys, puzzles, assessment tools—are being adapted for use with the at-risk preschool population at schools in Somerville, Massachusetts, and Indianapolis, Indiana. **\$54,000**

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**RAMON MAGSAYSAY AWARD FOUNDATION FUND**

**Ramon Magsaysay Award Foundation**  
Manila, Philippines

For the Ramon Magsaysay Awards for 1988. 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. **\$100,000**

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## PROGRAM FOR ASIAN PROJECTS FUND

<b>Amte, Murlidhar Devidas</b> India	To a project, Housing for Disabled Leprosy Patients. <b>\$9,500</b>
<b>Ariyaratne, Ahangamage Tudor</b> Sri Lanka	To a project, Integrated Rural Development for Selected Five Villages. <b>\$10,000</b>
<b>Bayanihan Folk Arts Center</b> Philippines	To a project, Peace and Unity Through Folk Dance and Music. <b>\$9,471</b>
<b>Desai, Manibhai Bhimbhai</b> India	To a project, Development of Communication and Training Materials for Ecologically Sound Development Programmes. <b>\$10,000</b>
<b>Hariphitak, Fua</b> Thailand	To a project, The Publication of Notes on the Survey of Northern Thai Architecture. <b>\$9,624</b>
<b>International Institute of Rural Reconstruction</b> Philippines	To a project, Training of Farmer Advocates for Regenerative Agriculture. <b>\$10,000</b>
<b>Kabayao, Gilopez</b> Philippines	To a project, Listening Program of Fine Music for Filipino Youth. <b>\$9,615</b>
<b>Pintong, Nilawan</b> Thailand	To a project, Teaching Materials on Environment for Pre-School Children. <b>\$6,337</b>
<b>Ramon Magsaysay Award Foundation</b> Manila, Philippines	For the administration of the Program for Asian Projects during 1989. <b>\$27,000</b>
<b>Srinivas Malliah Memorial Theater Crafts Trust</b> India	To a project, Traditional Artistic Expression as an Educational Tool. <b>\$9,560</b>
<b>Summer Institute of Linguistics</b> Philippines	To a project, Literature Production for Philippine Cultural Communities. <b>\$10,000</b>
<b>Thongpao, Thongbai</b> Thailand	To a project, Legal Program Expenditure. <b>\$4,080</b>
<b>Viphakone, Keo</b> Thailand	To a project, Safeguard of the Lao Culture. <b>\$9,000</b>

PAYMENTS MADE IN 1988 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
ONE WORLD: SUSTAINABLE RESOURCE USE (\$2,971,732 Paid)				
<b>American Trust for Agriculture in Poland</b> McLean, Virginia				
Research and planning assistance for Polish agricultural revitalization	\$200,000*	\$175,000	\$ 25,000	
Research and planning assistance for Polish agricultural revitalization	250,000		225,000	\$ 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	250,000*	125,000	125,000	
<b>BioEnergy Users Network</b> Washington, D.C.				
Core program in 1988	75,000*		75,000	
<b>Center for Community Change</b> Washington, D.C.				
Development office	150,000		150,000	
<b>Center for Cultural and Technical Interchange Between East and West</b> Environment and Policy Institute Honolulu, Hawaii				
Research and scientific exchange project on sustainable management of resource in Vietnam	55,500		29,820	18,180 7,500 <sup>1</sup>
<b>Center for Resource Economics</b> Washington, D.C.				
Sustainable Resources Program of the Island Press	100,000		50,000	50,000
<b>Chiangmai University</b> Chiangmai, Thailand				
Master's degree program in agricultural systems	33,200*			33,200
<b>Conservation Foundation</b> Washington, D.C.				
Venture Fund for New Initiatives	150,000*	100,000	50,000	
<b>Coolidge Center for Environmental Leadership</b> Cambridge, Massachusetts				
General budgetary purposes	60,000		20,000	40,000

<sup>1</sup> Lapsed

\*Appropriation made prior to 1988

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>Environmental Law Institute</b> Washington, D.C. East European and Soviet Program	\$120,000		\$ 40,000	\$ 80,000
<b>Environmental Policy Institute</b> Washington, D.C. Citizens ADB Monitoring Office in Manila	80,000		40,000	40,000
<b>Friends of WWB/USA</b> New York, New York Establishment of international intercommuni- cations system for WWB affiliates	125,000*	\$100,000		25,000
<b>Global Tomorrow Coalition</b> Washington, D.C. General budgetary purposes	75,000		40,000	35,000
<b>Green Library</b> Berkeley, California Green Library-Poland	75,000		25,000	50,000
<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	
<b>Institute for 21st Century Studies</b> (formerly Global Studies Center) Arlington, Virginia General budgetary expenses	480,000*		160,000	320,000
<b>Institute of International Education</b> New York, New York Toward merger of Arts International with the institute	75,000*	65,000	10,000	
<b>International Federation of Institutes for Advanced Study</b> Toronto, Canada 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	25,000	25,000

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>International Institute for Energy Conservation</b>				
Washington, D.C.				
General budgetary expenses	\$300,000		\$100,000	\$200,000
<b>International Institute of Rural Reconstruction</b>				
New York, New York				
Low-Input Rice Production Project	105,000*	\$ 70,000	35,000	
<b>International Network of Resource Information Centers</b>				
Plainfield, New Hampshire				
General budgetary purposes	150,000*	100,000	50,000	
General budgetary purposes	75,000		30,000	45,000
<b>International Union for Conservation of Nature and Natural Resources</b>				
Gland, Switzerland				
East European program	150,000*	100,000	50,000	
<b>Khon Kaen University</b>				
Khon Kaen, Thailand				
Collaborative research project of the Southeast Asian Universities Agroecosystem Network	58,500		30,000	28,500
<b>Land Institute</b>				
Salina, Kansas				
Conference to strengthen applied research on sustainable agricultural practices	38,000		30,500	7,500
<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>Minnesota Foundation, University of</b>				
Minneapolis, Minnesota				
Hubert H. Humphrey Institute of Public Affairs				
Project on environmental protection in Poland and other East European countries	30,000		15,000	15,000
<b>Nanjing Institute of Environmental Science</b>				
Nanjing, People's Republic of China				
Agroecosystem program	50,000*	34,562	13,612	1,826 <sup>2</sup>
<b>National Audubon Society</b>				
New York, New York				
Foreign assistance action project	75,000		25,000	50,000

2 Lapsed  
 \*Appropriation made prior to 1988

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>National Center for Policy Alternatives</b> Washington, D.C. State Action for Sustainable Growth in Agriculture project	\$225,000		\$ 75,000	\$150,000
<b>New York University</b> New York, New York Urban Research Center Mega-Strategies for Mega-Cities project	100,000*	\$ 50,000	50,000	
<b>Nitrogen Fixing Tree Association</b> Waimanalo, Hawaii General budgetary expenses	70,000*	35,000	35,000	
<b>Obor</b> Clinton, Connecticut <i>State of the World</i> translations	35,850		25,000	10,850
<b>Quebec-Labrador Foundation</b> Ipswich, Massachusetts Atlantic Center for the Environment Inter-Regional Exchange and Policy Program	75,000*	25,000	25,000	25,000
<b>Renew America</b> (formerly Fund for Renewable Energy and the Environment) Washington, D.C. General budgetary purposes Program on climate warming trends	75,000* 75,000	50,000	25,000 25,000	50,000
<b>Resources Development Foundation</b> Washington, D.C. 1988 core budget of the International Biotechnology Program General support	250,000* 450,000		250,000 75,000	375,000
<b>Rodale Institute</b> Emmaus, Pennsylvania General budgetary expenses	150,000*		75,000	75,000
<b>Sabre Foundation</b> New York, New York Legal research project	15,000		15,000	
<b>Society for the International Public Interest (Ashoka Society)</b> Washington, D.C. General budgetary expenses	75,000*	40,000	35,000	
<b>Sussex, University of</b> Brighton, England Science Policy Research Unit Core support of the Developing Country Group	45,000*	15,000	15,000	15,000

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>Synergos Institute</b>				
New York, New York				
General budgetary expenses	\$300,000		\$100,000	\$200,000
<b>Wildlife Fund Thailand</b>				
Bangkok, Thailand				
Meeting for leaders of Asia-Pacific environmental nongovernmental organizations	47,800		47,800	
<b>Winrock International Institute for Agricultural Development</b>				
Morrilton, Arkansas				
Agriculture project in China	135,000*	\$ 50,000	50,000	35,000
Final planning and development costs of program to prepare African women for leadership in the agricultural sciences	125,000		125,000	
<b>Woods Hole Research Center</b>				
Woods Hole, Massachusetts				
Model international protocol for restricting emissions of all greenhouse gases	100,000		50,000	50,000
<b>World Resources Institute</b>				
Washington, D.C.				
International climate program	150,000		75,000	75,000
<b>World Wildlife Fund</b>				
Washington, D.C.				
Venture Fund for New Initiatives	150,000*	100,000	50,000	
<b>Worldwatch Institute</b>				
Washington D.C.				
<i>World Watch</i> magazine	225,000*	75,000	75,000	75,000
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ONE WORLD:				
WORLD SECURITY				
(\$2,640,000 Paid)				
<b>Alerdinck Foundation</b>				
The Hague, The Netherlands				
Soviet-American young journalists exchange program	\$ 90,000*	\$ 30,000		\$ 60,000
<b>American Academy of Arts and Sciences</b>				
Cambridge, Massachusetts				
Managing the ABM Treaty Regime project	75,000		\$ 75,000	
<b>American Center for International Leadership</b>				
Columbus, Indiana				
General budgetary support	300,000		100,000	200,000
<b>Americas Society</b>				
New York, New York				
Latin American Public Affairs program	250,000		250,000	



Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>Asia Society</b> New York, New York Contemporary Affairs Department	\$150,000*	\$100,000	\$ 50,000	
<b>Atlantic Council of the U.S.</b> Washington, D.C. Public education program relating to the International Atomic Energy Agency	180,000		60,000	\$120,000
<b>Australian National University</b> Canberra, Australia Research School of Pacific Studies Pacific Trade and Development Conferences	30,000		10,000	20,000
<b>Brookings Institution</b> Washington, D.C. Forum on Africa	300,000		100,000	200,000
<b>California, University of, Berkeley</b> Berkeley, California Institute of East Asian Studies Quadrilateral Project for the Asia-Pacific region	67,300		40,000	27,300
<b>California, University of, Los Angeles</b> Los Angeles, California Center for International and Strategic Affairs Emerging Nuclear Suppliers and Nonproliferation project	75,000*	37,500	37,500	
<b>Centre for European Policy Studies</b> Brussels, Belgium Nonproliferation program	30,000		30,000	
<b>Colorado Outward Bound School</b> Denver, Colorado East-West wilderness youth exchanges	75,000		50,000	25,000
<b>Cornell University</b> Ithaca, New York Global Environment Program	150,000		75,000	75,000
<b>Council on Foreign Relations</b> New York, New York Symposium on U.S.-Japan relations	50,000		50,000	
<b>East-West Management Institute</b> New York, New York Hungarian Management Center	225,000			225,000 <sup>3</sup>
<b>Federation of American Scientists Fund</b> Washington, D.C. Nuclear Proliferation Data Project	75,000*	37,500	37,500	

<sup>3</sup> Rescinded

\*Appropriation made prior to 1988

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>Fondation pour une Entraide Intellectuelle Européenne</b> Paris, France General budgetary purposes	\$ 75,000			\$ 75,000
<b>Friends of the Hague Academy of International Law</b> New York, New York Project on mediation in East Africa	20,000*			20,000 <sup>4</sup>
<b>Fund for Private Assistance in International Development</b> Washington, D.C. General budgetary purposes	180,000		\$ 60,000	120,000
<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 <sup>5</sup>
<b>Hague Academy of International Law</b> The Hague, The Netherlands Project on mediation in East Africa	40,000		40,000	
<b>Harvard University</b> Cambridge, Massachusetts John F. Kennedy School of Government Nuclear Proliferation: Developing an International Cadre for the 21st Century project	210,000		70,000	140,000
<b>Institute for East-West Security Studies</b> New York, New York Toward a reserve fund General budgetary purposes	40,000 300,000		40,000 150,000	150,000
<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>International House</b> New York, New York East-West leadership development program	75,000		35,000	40,000
<b>International Institute for Strategic Studies</b> London, England Strategic Arms Control in the Post-START Era project	150,000		75,000	75,000
<b>International Peace Academy</b> New York, New York Project on Soviet and American Perceptions of Third World Regional Conflicts: Their Origins and Resolution	75,000		75,000	

<sup>4</sup> Rescinded

<sup>5</sup> Lapsed

\*Appropriation made prior to 1988

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>ISAR</b>				
Washington, D.C.				
General budgetary support	\$ 45,000*	\$ 30,000	\$ 15,000	
<b>Japan Center for International Exchange</b>				
New York, New York				
General budgetary expenses	105,000		35,000	\$ 70,000
<b>Japan Society</b>				
New York, New York				
U.S.-Japan Leadership Program	50,000		50,000	
<b>Korea University</b>				
Seoul, Korea				
Asiatic Research Center				
Pacific Workshop on Regional Affairs	75,000		25,000	50,000
<b>Lingnan College</b>				
Hong Kong				
Centre for Asian Pacific Studies				
Second ASEAN-China Hong Kong Forum	20,000		20,000	
<b>National Committee on United States- China Relations</b>				
New York, New York				
Young leaders exchange program	123,900		90,000	33,900
<b>Natural Resources Defense Council</b>				
New York, New York				
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	
Nuclear Oversight Project	130,000		100,000	30,000
<b>Pacific Institute for Studies in Development, Environment, and Security</b>				
Berkeley, California				
Sustainable Resource Management and Global Security project	80,000		40,000	40,000
<b>Peace Research Institute Frankfurt</b>				
Frankfurt, Federal Republic of Germany				
Nonproliferation program	225,000		70,000	155,000
<b>Pittsburgh, University of</b>				
Pittsburgh, Pennsylvania				
International Management Center, Budapest, Hungary	225,000		75,000	150,000

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>Princeton University, Trustees of</b> Princeton, New Jersey Program on Nuclear Policy Alternatives	\$150,000		\$ 75,000	\$ 75,000
<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		80,000	160,000
<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	75,000	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. East European Program	90,000		30,000	60,000
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NEW YORK CITY (\$555,000 Paid)				
<b>Beth Israel Medical Center</b> New York, New York Helping Hand Program for home care services to methadone patients with AIDS	\$ 70,000		\$ 35,000	\$ 35,000
<b>Cultural Council Foundation</b> New York, New York Administration of the Manhattan Decentralization Program of the New York State Council on the Arts	37,500		15,000	22,500
<b>Fund for the City of New York</b> New York, New York General budgetary expenses of the Citizens Commission on AIDS for New York City and Northern New Jersey	75,000		75,000	
<b>Montefiore Hospital and Medical Center</b> Bronx, New York AIDS prevention and risk reduction intervention project for adolescents	70,000		35,000	35,000

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>New Business Ventures for Not-For-Profit Organizations</b>				
New York, New York				
Project to develop options for providing long-term support for New York City community development organizations	\$ 40,000		\$ 40,000	
<b>New York City Partnership</b>				
New York, New York				
Core budgetary needs in economic development, housing, and youth employment and education	750,000*	\$600,000	150,000	
<b>New York Interface Development Project</b>				
New York, New York				
Project dealing with the personnel crisis at New York City's voluntary human service agencies	50,000		50,000	
<b>New York Urban Coalition</b>				
New York, New York				
Toward program to increase its private support	60,000		60,000	
<b>Nonprofit Coordinating Committee of New York</b>				
New York, New York				
General support	75,000		25,000	\$ 50,000
<b>Village Nursing Home</b>				
New York, New York				
AIDS Day Treatment Center	70,000		70,000	
NONPROFIT SECTOR				
(\$664,125 Paid)				
<b>Aspen Institute for Humanistic Studies</b>				
Queenstown, Maryland				
Program for improving the performance of American philanthropy	\$ 50,000		\$ 50,000	
<b>Association of Governing Boards of Universities and Colleges</b>				
Washington, D.C.				
Center for Nonprofit Directorship	75,000*	\$ 50,000	25,000	
<b>Boston Foundation</b>				
Boston, Massachusetts				
Project to promote deferred giving among smaller nonprofit organizations	150,000		50,000	\$100,000
<b>Council on Foundations</b>				
Washington, D.C.				
Membership for 1989 and support for affiliated affinity groups	30,000		24,600	5,400 <sup>6</sup>

<sup>6</sup> \$400 Lapsed

\*Appropriation made prior to 1988

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>Foundation Center</b>				
New York, New York				
General support	\$ 25,000		\$ 25,000	
Major gifts campaign	200,000		200,000	
<b>Graduate School and University Center</b>				
City University of New York				
Center for the Study of Philanthropy				
International fellows program	130,000		60,000	\$ 70,000
<b>Independent Sector</b>				
Washington, D.C.				
Membership for 1989	7,400		7,400	
<b>Johns Hopkins University</b>				
Baltimore, Maryland				
Institute for Policy Studies				
International Fellows in Philanthropy program	170,000*	\$ 70,000		100,000
<b>National Charities Information Bureau</b>				
New York, New York				
Standards Review Project	15,000		15,000	
<b>New York Community Trust</b>				
New York, New York				
Daring Goals for a Caring Society program in New York City	20,000		20,000	
<b>New York Regional Association of Grantmakers</b>				
New York, New York				
Membership for 1989	7,125		7,125	
<b>New York University</b>				
New York, New York				
Leonard N. Stern School of Business				
Initiative for Nonprofit Entrepreneurship	35,000		35,000	
<b>Rockefeller University</b>				
New York, New York				
Rockefeller Archive Center				
Resident Scholar Program in the History of Philanthropy	50,000		50,000	
<b>Leland Stanford Junior University, Trustees of the</b>				
Stanford, California				
Graduate School of Business				
Student internships in nonprofit organizations	15,000			15,000

\*Appropriation made prior to 1988

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>United Way of Tri-State</b>				
New York, New York				
Retiree solicitation program	160,000		80,000	80,000
<b>Yale University</b>				
New Haven, Connecticut				
School of Organization and Management				
Student internships in nonprofit organizations	\$ 15,000		\$ 15,000	
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SPECIAL CONCERNS				
(\$346,000 Paid)				
<b>Africa News Service</b>				
Durham, North Carolina				
Development plan	\$225,000*	\$ 75,000	\$ 75,000	\$ 75,000
<b>African-American Institute</b>				
New York, New York				
Expanded program related to South Africa	150,000*	100,000	50,000	
<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				
Final conference of arts education research and exchange project	75,000*		75,000	
<b>Library of Congress</b>				
Washington, D.C.				
Long-range planning efforts	50,000		50,000	
<b>National Association of Independent Schools</b>				
Boston, Massachusetts				
For its work with the Southern African Association of Independent Schools	10,000		10,000	
<b>Northfield Mount Hermon School</b>				
Northfield, Massachusetts				
Independent School South African Education Program	35,000*			35,000 <sup>7</sup>
Independent School South African Education Program	25,000		25,000	

<sup>7</sup> Rescinded

\*Appropriation made prior to 1988

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>Radcliffe College</b>				
Cambridge, Massachusetts				
Martha Stuart Archive Project	3,000		3,000	
<b>Ramon Magsaysay Award Foundation</b>				
Manila, Philippines				
Supplemental compensation for its staff	35,000		35,000	
<b>St. Barnabas College Fund</b>				
New York, New York				
Support for the Southern African Association of Independent Schools	\$ 60,000		\$ 23,000	\$ 37,000
<hr/>				
EDUCATION				
(\$598,500 Paid)				
<b>Brown University</b>				
Providence, Rhode Island				
Coalition of Essential Schools	\$ 98,500		\$ 98,500	
<b>Editorial Projects in Education</b>				
Washington, D.C.				
Start-up costs of journal, <i>Career Teacher</i>	100,000		100,000	
<b>Harvard University</b>				
Cambridge, Massachusetts				
Adaptation of Project Spectrum materials to the at risk preschool population	66,000		66,000	
<b>National Center on Education and the Economy</b>				
Rochester, New York				
School-based management program	150,000		150,000	
<b>Recruiting Young Teachers</b>				
Cambridge, Massachusetts				
General budgetary needs	100,000		100,000	
<b>Research Foundation of the City University of New York</b>				
Staten Island, New York				
Study interviewing principals in poverty-area elementary schools in New York City	30,000		30,000	
<b>Tufts University</b>				
Medford, Massachusetts				
Adaptation of Project Spectrum materials to the at risk preschool population	54,000		54,000	



Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>RAMON MAGSAYSAY AWARD FOUNDATION FUND</b>				
(\$100,000 Paid)				
<b>Ramon Magsaysay Award Foundation</b>				
Manila, Philippines				
Awards	\$100,000		\$100,000	
<b>PROGRAM FOR ASIAN PROJECTS FUND</b>				
(\$107,187 Paid)				
<b>Amte, Murlidhar Devidas</b>				
India				
Housing for Disabled Leprosy Patients project	\$ 9,500		\$ 9,500	
<b>Ariyaratne, Ahangamage Tudor</b>				
Sri Lanka				
Integrated Rural Development for Selected Five Villages project	10,000		10,000	
<b>Bayanihan Folk Arts Center</b>				
Philippines				
Peace and Unity Through Folk Dance and Music project	9,471		9,471	
<b>Desai, Manibhai Bhimbhai</b>				
India				
Development of Communication and Training Materials for Ecologically Sound Development Programmes project	10,000		10,000	
<b>Hariphitak, Fua</b>				
Thailand				
The Publication of Notes on the Survey of Northern Thai Architecture project	9,624		9,624	
<b>International Institute of Rural Reconstruction</b>				
Philippines				
Training of Farmer Advocates for Regenerative Agriculture project	10,000		10,000	
<b>Kabayao, Gilopez</b>				
Philippines				
Listening Program of Fine Music for Filipino Youth project	9,615		9,615	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1988	Unpaid Balance
<b>Pintong, Nilawan</b>				
Thailand				
Teaching Materials on Environment for Pre-School Children project	6,337		6,337	
<b>Srinivas Malliah Memorial Theater Crafts Trust</b>				
India				
Traditional Artistic Expression as an Artistic Tool project	9,560		9,560	
<b>Summer Institute of Linguistics</b>				
Philippines				
Literature Production for Philippine Culture Cultural Communities project	10,000		10,000	
<b>Thongpao, Thongbai</b>				
Legal Programs Expenditure project	4,080		4,080	
<b>Viphakone, Keo</b>				
Thailand				
Safeguard of the Lao Culture project	9,000		9,000	
			<u>\$7,982,544</u>	<u>                    </u>
Payments matching employee contributions to charitable institutions			17,115	
			<u>\$7,999,659</u>	<u>\$5,103,930<sup>8</sup></u>

<sup>8</sup> Total does not include lapsed or rescinded items

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

Unpaid Appropriations, December 31, 1987:

Principal Fund	\$3,458,638	
Ramon Magsaysay Award Foundation Fund	—0—	
	3,458,638	
	226,495	
		\$3,685,133

Appropriations authorized in 1988:

Principal Fund	9,770,375	
Ramon Magsaysay Award Foundation Fund	100,000	
Asian Projects Fund	107,187	
RBF Awards in Arts Education	—0—	
Charitable Matching Gifts	17,115	
	9,994,677	
Less:		
Appropriations lapsed:		
Principal Fund	349,726	9,644,951
		13,330,084

Appropriations paid in 1988:

Principal Fund	7,775,357	
Ramon Magsaysay Award Foundation Fund	100,000	
Asian Projects Fund	107,187	
	7,982,544	
RBF Awards in Arts Education	75,501	
Charitable Matching Gifts	17,115	
		8,075,160

Unpaid Appropriations, December 31, 1988:

Principal Fund	5,103,930	
Ramon Magsaysay Award Foundation Fund	—0—	
Asian Projects Fund	—0—	
	5,103,930	
RBF Awards in Arts Education	150,994	
		\$ 5,254,924

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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, 1988 with Comparative  
1987 Totals
  - Statement of Fund Activity for the year ended  
December 31, 1988 with Comparative 1987 Totals
  - Notes to Financial Statements
  - Schedule of Functional Expenses for the year ended  
December 31, 1988 with Comparative 1987 Totals
-



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

We have audited the accompanying balance sheet of Rockefeller Brothers Fund, Inc. (a New York not-for-profit corporation) as of December 31, 1988 and the related statement of fund activity for the year then ended. These financial statements are the responsibility of the Fund's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Rockefeller Brothers Fund, Inc. as of December 31, 1988 and the results of its operations for the year then ended in conformity with generally accepted accounting principles.

Our audit was made for the purpose of forming an opinion on the basic financial statements taken as a whole. The schedule of functional expenses (Exhibit I) is presented for purposes of additional analysis and is not a required part of the basic financial statements. This information has been subjected to the auditing procedures applied in our audit of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

ARTHUR ANDERSEN & CO.

New York, New York  
April 10, 1989

ROCKEFELLER BROTHERS FUND, INC. BALANCE SHEET  
December 31, 1988 With Comparative 1987 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 1987 (Note 8)</i>
<b>Assets</b>						
Cash	\$ 199,234	\$ 2,173	\$ 228	\$ 2,062	\$ 203,697	\$ 372,312
Accounts receivable	81,131	—	—	—	81,131	52,636
Investments, at market value (Note 3)	209,250,019	26,717,002	1,628,550	1,989,238	239,584,809	216,925,770
Program related investments:						
Program mortgage loans	619,398	—	—	—	619,398	636,947
Real estate (Note 4)	510,000	—	—	—	510,000	510,000
Other	934,285	—	—	—	934,285	937,494
Prepaid Federal Excise Tax	187,405	—	—	—	187,405	—
Total assets	\$211,781,472	\$26,719,175	\$1,628,778	\$1,991,300	\$242,120,725	\$219,435,159
<b>Liabilities and Fund Balances</b>						
Liabilities:						
Grants payable	\$ 5,254,924	\$ —	\$ —	\$ —	\$ 5,254,924	\$ 3,685,133
Federal excise tax payable	—	—	—	—	—	20,345
Total liabilities	5,254,924	—	—	—	5,254,924	3,705,478
Fund balances	206,526,548	26,719,175	1,628,778	1,991,300	236,865,801	215,729,681
Total liabilities and fund balances	\$211,781,472	\$26,719,175	\$1,628,778	\$1,991,300	\$242,120,725	\$219,435,159

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

STATEMENT OF FUND ACTIVITY  
for the year ended December 31, 1988 with Comparative 1987 Totals

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Total All Funds	Total 1987 (Note 8)
Revenues:						
Contributions	\$ 151,746	\$ —	\$ —	\$ 36,521	\$ 188,267	\$ 192,500
Dividend income	3,925,149	471,293	—	—	4,396,442	3,684,897
Interest income	4,046,001	737,996	190,543	81,748	5,056,288	4,479,296
	8,122,896	1,209,289	190,543	118,269	9,640,997	8,356,693
Grants and Expenses:						
Grants awarded	9,437,764	—	100,000	107,187	9,644,951	6,328,376
Provision for federal excise tax (Note 2)	342,636	31,380	3,600	5,270	382,886	571,753
Functional expenses (Exhibit I):						
Direct charitable activities	118,776	—	32,466	182,930	334,172	915,187
Program and grant management	1,066,988	—	—	—	1,066,988	1,096,123
Investment management	1,283,630	137,974	10,026	2,103	1,433,733	1,510,062
General management	814,875	—	—	—	814,875	584,422
	13,064,669	169,354	146,092	297,490	13,677,605	11,005,923
Expense reimbursement received from Rockefeller Family Fund, Inc.	76,280	—	—	—	76,280	63,638
Excess (deficiency) of revenues over grants and expenses	(4,865,493)	1,039,935	44,451	(179,221)	(3,960,328)	(2,585,592)
Gain (Loss) on Investments:						
Net Realized Gain From Securities Sales	10,419,868	497,596	—	183,715	11,101,179	20,280,260
Net Change in Unrealized Gain on Investments	12,074,995	2,378,553	(28,063)	(430,216)	13,995,269	(17,148,540)
	22,494,863	2,876,149	(28,063)	(246,501)	25,096,448	3,131,720
Excess (Deficiency) of income over grants and expenses	17,629,370	3,916,084	16,388	(425,722)	21,136,120	546,128
Fund Balances, beginning of year	188,897,178	22,803,091	1,612,390	2,417,022	215,729,681	215,183,553
Fund Balances, end of year	\$206,526,548	\$26,719,175	\$1,628,778	\$1,991,300	\$236,865,801	\$215,729,681

The accompanying 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.

*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.

Other program related investments have limited or no marketability and are stated at the lower of cost or estimated fair value.

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, 1988, will be paid as follows:

	Amount
1989	\$3,223,324
1990	1,996,600
1991	35,000
	\$5,254,924

The balance of grants payable at December 31, 1988 includes \$910,000 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, 1988 are as follows:

	<i>Cost</i>	<i>Unrealized Appreciation (Depreciation)</i>	<i>Quoted Market or Equity Value</i>
Principal Fund:			
Short-term investments	\$ 11,744,035	\$ (668)	\$ 11,743,367
Stocks	118,642,777	31,770,660	150,413,437
Bonds	31,656,972	(38,626)	31,618,346
Limited partnerships	16,268,122	(793,253)	15,474,869
	178,311,906	30,938,113	209,250,019
Pocantico Fund:			
Short-term investments	4,011,593	—	4,011,593
Stocks	17,200,540	2,562,034	19,762,574
Bonds	2,926,674	16,161	2,942,835
	24,138,807	2,578,195	26,717,002
Ramon Magsaysay Award Foundation Fund:			
Short-term investments	31,523	—	31,523
Bonds	1,352,063	244,964	1,597,027
	1,383,586	244,964	1,628,550
Asian Projects Fund:			
Short-term investments	731,768	—	731,768
Bonds	1,241,432	16,038	1,257,470
	1,973,200	16,038	1,989,238
Total investments	\$205,807,499	\$33,777,310	\$239,584,809

**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 noncontributory plan covering substantially all its employees. The Fund makes annual contributions to the plan equal to the amount accrued for pension expense. However, in 1988 and 1987, 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>1988</i>	<i>1987</i>
Actuarial present value of accumulated plan benefits:		
Vested	\$2,663,180	\$2,570,500
Nonvested	52,512	79,645
	<u>\$2,715,692</u>	<u>\$2,650,145</u>
Net assets available for plan benefits	<u>\$4,450,062</u>	<u>\$4,391,272</u>

The assumed rates of return used in determining the actuarial present value of accumulated plan benefits were 7.5% in 1988 and in 1987, compounded annually.

**6. Related party transactions:**

The Fund paid Rockefeller and Co., Inc., fees of \$256,375 as one of its investment advisors and paid 5600, Inc., fees of \$100,507 for accounting, legal, and other services for the year ended December 31, 1988. The Fund was reimbursed \$76,280 for certain common expenses by Rockefeller Family Fund, Inc. In all 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:	
1989	\$ 437,371
1990	437,371
1991	437,371
1992	437,371
1993	437,371
1994-1998	2,469,031

Rent expense aggregated approximately \$253,000 in 1988.

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

The amounts shown for 1987 in the accompanying financial statements are presented to provide a basis for comparison with 1988 and present totals only.

SCHEDULE OF FUNCTIONAL EXPENSES  
for the year ended December 31, 1988 with Comparative 1987 Totals

EXHIBIT I

	<i>Direct Charitable Activities</i>	<i>Program and Grant Management</i>	<i>Investment Management</i>	<i>General Management</i>	<i>Total</i>	
					<i>1988</i>	<i>1987 (Note 8)</i>
<b>Salaries and related expenses:</b>						
Salaries	\$ 58,142	\$ 513,201	\$ 41,139	\$316,170	\$ 928,652	\$ 982,268
Group life insurance	1,248	11,014	883	6,785	19,930	19,107
Thrift plan	3,358	29,637	2,376	18,259	53,630	60,733
Other employee benefits	2,949	26,028	2,086	16,035	47,098	49,903
Unemployment and disability insurance	366	3,231	259	1,990	5,846	9,002
Social Security tax	3,520	31,071	2,491	19,143	56,225	52,640
	69,583	614,182	49,234	378,382	1,111,381	1,173,653
<b>Other expenses:</b>						
Consultants' fees	206,146	97,792	—	7,799	311,737	416,368
Investment services	—	—	1,283,301	—	1,283,301	1,427,882
Legal and audit fees	—	—	66,628	122,634	189,262	110,241
Travel	6,905	122,477	—	—	129,382	399,946
Rent and electricity	15,861	139,996	11,222	86,248	253,327	236,949
Telephone	2,118	18,699	1,500	11,523	33,840	35,895
Furniture and equipment	1,555	13,726	1,100	8,456	24,837	6,909
General office expenses	32,004	60,116	20,748	167,888	280,756	268,737
Publications	—	—	—	31,945	31,945	29,214
	\$334,172	\$1,066,988	\$1,433,733	\$814,875	\$3,649,768	\$4,105,794
Less, Reimbursement received for share of expenses: Rockefeller Family Fund, Inc.					(76,280)	(63,638)
					\$3,573,488	\$4,042,156

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<sup>1</sup> Deceased December 6, 1988

<sup>2</sup> Effective September 1, 1988

<sup>3</sup> Until June 17, 1988

<sup>4</sup> Effective November 18, 1988

<sup>5</sup> Until December 23, 1988

<sup>6</sup> Advisory Trustee

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Edna Michele Edwards<sup>5</sup>  
Bridget M. Fenlon  
Catalina M. Griffin  
Helen E. Mann<sup>1</sup>  
Bridget Massay  
Ellen M. Merrick  
Jennifer B. Parker  
Barbara Schauber  
Robert Stone  
Anne W. Suessbrick<sup>6</sup>  
Florence E. Thompson<sup>7</sup>  
Emily Voorhis  
Sandra Ziering

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Thomas E. Hassan  
Lonna B. Jones  
James R. Rush  
Thomas W. Wahman

<sup>1</sup> Effective September 1, 1988  
<sup>2</sup> Acting President November 14, 1987 to September 1, 1988  
<sup>3</sup> Until June 17, 1988  
<sup>4</sup> Until January 28, 1988  
<sup>5</sup> Until March 17, 1988  
<sup>6</sup> Effective April 1, 1988  
<sup>7</sup> Part time

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