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ROCKEFELLER
BROTHERS
FUND

SEP 24 1990

ANNUAL REPORT
1990

T H E F I F T I E T H Y E A R

RBF

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BROTHERS
FUND

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CHAIRMAN'S INTRODUCTION



Seal Harbor, Maine, 1960 (l. to r.) John D. Rockefeller 3rd, Winthrop Rockefeller, Abby Rockefeller Mauzé, Laurance S. Rockefeller, David Rockefeller, Nelson A. Rockefeller

At two-thirty on the afternoon of December 29, 1940, the five sons of John D. Rockefeller, Jr., gathered at the family home in Pocantico Hills, New York, for the first meeting of the incorporators of Rockefeller Brothers Fund, Inc. My uncle, John D. Rockefeller 3rd, was elected chairman of the meeting, and my father (the youngest son) was elected secretary. Following the adoption of proposed bylaws the meeting was adjourned, and the first meeting of the board of trustees of the Fund, which was composed of those five brothers, was called to order.

That first board meeting was devoted to organizational business, including the election of officers and of the Fund's first director, Arthur W. Packard, a long-time adviser to my grandfather on his philanthropic activities. The first official discussion of a program, and the first grant appropriations, came at later meetings, but this formal creation of the Fund was the result of several years of thought and discussion among the Brothers. Through the late 1930s, as each brother began to develop and pursue his own individual interests, they shared a strong sense of family unity and a desire to work together on common concerns. It is not surprising, given the family's strong tradition of philanthropy established by my great-grandfather and my grandfather, that these discussions soon focused on ways that the Brothers might coordinate the philanthropy of their generation. In 1934, my grandfather had established the Davison Fund as a vehicle

to handle what he called his citizenship giving—the annual, small-scale grants to social service and other charities in the communities where he lived. By the end of 1940 the Brothers, with advice and assistance from Arthur Packard, decided to set up a fund of their own, to which they would make annual contributions. And while both the scale and the specific programs of the Rockefeller Brothers Fund have changed over the past fifty years, the themes of family unity and effective philanthropy have remained constant.

Although established to coordinate what the Brothers termed a “recurring citizenship program” of grants to organizations such as the Boy Scouts, the Girl Scouts, the United Hospital Fund, and the Community Service Society, the time in which the RBF was founded and the family’s wide-ranging interests made it almost inevitable that the Fund should have an international agenda. In 1941, the first full year of operation, \$16,770 was appropriated for citizenship grants and more than twice that amount—\$38,000—to “war distress and defense activities.” Given the RBF’s later, and continuing, activities in Asia, it is interesting to note that the latter category included \$10,000 to United China Relief, Inc.

While the Fund continued to function throughout the Second World War, it was not precisely as originally envisioned by its founders. After that first meeting, all five Brothers met as RBF trustees at a special meeting held on Christmas Day, 1941, and it was not until January 15, 1947 that all members of the board were again together for a meeting.

The war over, the Brothers returned to New York and to civilian pursuits. Over the next decades, they built this philanthropic vehicle from a collective response to their citizenship duties into an internationally known foundation with global activities in such areas of social and cultural policy as international relations, development, equal rights, arts and culture, economic opportunity, conservation, population, and the environment. Endowed in two separate pieces by their father, the Fund by 1967 was making annual grants of over \$7 million. With that endowment came the capacity to plan further ahead and to consider issues more systematically. Special program interests were defined, and the Fund began to make more multi-year grant commitments. Over its first fifty years, the Fund has made grants of just under \$384 million to 1,342 grantee institutions in 37 countries. In 1990, 73 percent of the grants paid went for international purposes.

Although the Family itself put a strong imprint on the Fund from the beginning, the Brothers also took advantage of external expertise and judgment. They added to the Board non-family colleagues of considerable stature (early on, Detlev Bronk and Wallace Harrison, and later, among others, William McChesney Martin, John Gardner, Henry Kissinger, and Thornton Bradshaw), and they hired professionals to operate the Fund, building from just one, Arthur Packard, in the late 40s, to more than fifteen led successfully during the 50s, 60s and 70s by Dana Creel and William Dietel.

Beginning in the 50s, the Brothers included other members of the family as trustees. Their sister, Abby Mauzé, and her daughter, Abby O'Neill, were notable early examples. Others were added, and as of 1990, twenty-three members of the Rockefeller Family and their spouses had served as RBF trustees.



RBF 50th Anniversary Dinner (l. to r.) David Rockefeller, Jr., David Rockefeller, Laurance S. Rockefeller.

The Brothers shared the chairmanship, handing it from John to Nelson to Laurance to David over the first forty-seven years of the Fund's existence. Because the Fund's program was an extension of the mutual interests of the Brothers, who in many cases took an active role in and provided personal support for RBF grantees, the Fund's effectiveness often went beyond the scale of its grants. Under Nelson's leadership, in the late 50s, the Fund published the Rockefeller Special Studies Reports, *America At Mid-Century*, which explored the problems and opportunities facing the nation in the decade to come. With substantial help from the RBF and the Brothers individually, such institutions of international importance (though New York City based) as Lincoln Center, the Museum of Modern Art, Memorial Sloan-Kettering, the Population Council, and the Rockefeller University were founded or taken to new levels of development.

At the same time the Brothers believed in supporting small institutions and individual leaders with big ideas. For example, the New York Blood Center, Worldwatch Institute, Technoserve, the American Farmland Trust, and the Foundation for the Development of Polish Agriculture have all benefitted from RBF funding prior to their having established an institutional track record.

At least two other strands can be detected in the fifty years of Fund history: consistent underlying values and effective process. The language and emphasis of philanthropy may have changed, from “conservation” and “beautification” to “environmental protection” and “sustainable resource use,” but the underlying value of respecting the vulnerable gifts of the natural world has remained constant. And as to “process,” the Fund has operated since the 50s as a philanthropy committed to broad collaboration with others, high leverage grantmaking opportunities and the synergistic interweaving of grants to amplify the power of the parts. Our colleagues in the grantmaking world are as important as our grantee associates.

In the 80s, the Brothers’ children—known within the Family as the “Cousins”—were given an opportunity to redesign the program direction of the Fund, and the result was a “One World” emphasis which reconfigured a well-established international and domestic program by focusing on “Resources” and “Security” issues, and later added an emphasis on teacher preparation for the public schools of America.

The Brothers yielded the chairmanship to the Cousins generation in 1987, with this writer being the first such beneficiary. Today there are seven members of my generation who are active trustees, and we enjoy the company of five non-family trustees who were elected for their talent, their experience, and their commitment to the Fund’s goals.

We were recently fortunate to catch Colin Campbell at a pensive moment in his Wesleyan Presidency, and persuaded him to become the fourth professional leader in the Fund’s fifty-year history, a position in which we hope one of his accomplishments will be to continue the tradition of long-tenured presidents.

Looking ahead, I can only say it is a challenge to imagine how we could collectively improve the results of the Fund’s first fifty years, but it is a challenge we readily accept, and one which we as Family trustees look forward, I am sure, to sharing with both our children and our children’s children. We are all blessed with the gift of the capacity to give.

David Rockefeller, Jr.

PRESIDENT'S REPORT

It has been inspiring to reflect in this anniversary year on the values and accomplishments of those who have so astutely guided the Rockefeller Brothers Fund throughout its first fifty years. My colleagues and I feel privileged to be able to share in their vision and to be charged with the responsibility for assisting the board in realizing what has so appropriately been referred to as "the Rockefeller Family's longest standing shared ideal: concern for the betterment of humanity."

Our continuing, close and highly valued association with the founders, trustees, former trustees and former leaders of the Fund inspire us in our work. In addition, each of us who has the opportunity to be with grantees, here and abroad, comes away from those experiences impressed that, with the Fund's help, they are truly making a difference. The Fund's current activities are far-ranging and varied:

contributing to the modernization of agriculture in Poland, a project of central importance as that country struggles to transform itself, politically and economically;

more broadly in East-Central Europe, assisting in the development of a nonprofit sector so vital to the functioning of a civil society;

closer to home, nurturing community-based organizations in New York City concerned with housing and neighborhood preservation as one step in combating deeply troubling racial and ethnic polarization;

encouraging minority students across the country to enter the teaching profession and assisting them with their training so that they can be equipped to add badly needed strength and sensitivity to American public education;

facilitating a fresh examination of the prospects for peace, security and economic growth on the Korean peninsula as part of a larger effort to address major power relationships in East Asia;

seeking to assure broad acceptance among nations of the concept of nuclear weapons nonproliferation in a context which is universal in its application rather than favoring those who already have developed nuclear weapons capacity;

helping to overcome one of the most heinous legacies of the apartheid system by supporting the teaching of basic literacy and numeracy skills to children and adults in the black townships and rural communities in South Africa;

pressing to make the global climate issue a matter of genuine concern to policymakers, and ultimately to the public at large, rather than viewing it solely as a subject for research and discussion within the scientific community.

These few examples speak not only to the range of the RBF program but also to its faithfulness to the Rockefeller ideal of promoting human betterment, and to its many ties back to earlier days in the Fund's existence.

Looking to the future, needs that fall clearly within the framework of Fund activities are enormous, and, sad to say, they are increasing in a world which is too often violent, too accepting of human suffering, too willing to destroy its environment. Moreover, there are pressing matters deserving the Fund's attention that are not currently being emphasized or in some cases even addressed in our grantmaking. Thus we face a continuing challenge—the challenge to maintain focus; to set and live with our priorities and to retain the all-important capacity to move in new directions, to take new risks. It is a challenge that has been successfully met these past fifty years through the extraordinary cooperation and commitment of the board and the staff. Not only am I convinced that such cooperation and commitment are vital as we face today's and tomorrow's challenges, I am also convinced, based on two and one-half years of solid experience, that they will be there, and in abundance.

In the months immediately ahead the Fund faces the happy prospect of solidifying its links with the Asian Cultural Council in a program that has been aptly described as a family treasure. We welcome this new association with a clear sense that it will be mutually reinforcing, and with gratitude to those who have brought it about.

We also look forward to working closely with the trustees of the David Rockefeller Fund—an imaginative new undertaking that reaffirms and strengthens the RBF's links with one of its founders.

The Fund starts its next 50 years in sound financial condition, thanks in significant measure to the wise counsel of its finance committee over the past decade. The Fund also starts its next 50 years as beneficiary of an invaluable legacy of a humane, energetic, intellectually rigorous board and professional leadership. And the Fund starts its next 50 years as steward of a distinguished family tradition, established by one generation, embraced and enhanced by the next. Helping to extend that tradition with the great potential for human betterment it promises is, for all of us associated with the Fund today, an exciting and immensely rewarding assignment.

Colin G. Campbell

THE ROCKEFELLER BROTHERS FUND AND ITS PROGRAM

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 1990 were \$275,262,103 and its 216 grant payments and its matching gifts during the year amounted to \$10,982,186. Since 1940, the RBF has disbursed a total of \$383,719,198 in grants.

Since June 1984, the principal part of the Rockefeller Brothers Fund's program has been organized around the theme of global interdependence—One World—with two major components: resources and security; additional program efforts have focused on New York City and the well-being of the private, nonprofit sector. In 1990, the Fund established new grantmaking programs concerned with education in the United States and with basic education in South Africa. Early in 1991, following a two-year program review, the trustees of the Fund approved revised program guidelines that appear on pages 14 through 21 of this annual report.

PROGRAM GUIDELINES

The Fund's major objective is to improve 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. Its grantmaking aims to counter world trends of resource depletion, arms build-ups, protectionism, and isolation which now threaten to move humankind everywhere further away from cooperation, equitable trade and economic development, arms restraint, and conservation.

This basic theme of interdependence presupposes a global outlook and, hence, internationally oriented activity. While attention is focused on locally based problems and grantees, this is in the context of global concerns and not simply national ones. The Fund does not have the capacity to pursue its program theme in all parts of the world simultaneously and, therefore, projects are concentrated from time to time in different geographic locations.

The Fund makes grants in five areas. The first, "One World," is made up of two components, Sustainable Resource Use and World Security, and the major portion of grant funds are applied to this area. Projects are located, for the most part, in East Asia, East-Central Europe, the Soviet Union or the United States. The other four areas are Nonprofit Sector, Education, New York City, and Special Concerns (South Africa).

ONE WORLD:

SUSTAINABLE RESOURCE USE

GOAL

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

STRATEGIES

At the global level, refining and advocating the philosophy of sustainable resource use and furthering its implementation through support of international networks of organizations that are experimenting with practices which are less destructive to land, forest, air, water, and human resources.

Within the United States, advancing progress on issues identified with a comprehensive sustainable growth agenda, including renewable agriculture, energy efficiency, municipal waste recycling, and water use efficiency; and assisting interest groups not generally concerned with environmental affairs to articulate their stakes in improved resource management.

In East-Central Europe and the Soviet Union, supporting initiatives that improve local capacity to manage the environment, agriculture, and natural resources on a sustainable basis. Emphasis is given to education and training, policy formulation, institution building, and cooperation among local agencies and their foreign counterparts as well as to efforts linking environmental, economic, and business concerns.

In East Asia, strengthening the infrastructure of institutions needed to formulate policies that serve the region's twin goals of development and conservation, including public sector bureaucracies, universities, nongovernmental organizations, and the media.

In the area of global climate change, furthering discussion of coordinated international responses to the problem, while simultaneously focusing increased attention on promising practical solutions, particularly in the areas of reforestation and energy production and consumption.

And, generally, focusing effective action on other compelling programs of special merit that are supportive of the Fund's primary sustainable resource use objective.

ONE WORLD:

WORLD SECURITY

GOAL

To improve political, security, and economic relations among nations and strengthen arms control—recognizing that world peace is threatened not only by conflicts among competing political philosophies, differing religions, and varying cultural traditions but also by frustration and aggression arising from inequities in the sharing of the food, energy, goods, and services the world economy produces.

STRATEGIES

At the global level, restraining horizontal nuclear proliferation—the spread of nuclear weapons capability to additional countries. Emphasis is given to issues related to the extension of the Nuclear Non-Proliferation Treaty, tightening nuclear export controls, controlling surplus plutonium, and exploring promising means of containing the nuclear weapons capability that has already been developed around the globe.

In East-Central Europe and the Soviet Union, encouraging, in the context of the restructuring of Europe, the development of civil societies with market-oriented economies. The focus is on assisting managers, newly elected and appointed government officials at the local and national level, and members of the broadcast and print media in carrying out their responsibilities. Emphasis is given to philosophical and practical education, training, and networking initiatives.

In East Asia, promoting stable political, security, and economic relations with an emphasis on regional, bilateral, and multilateral problems that threaten this stability. Special attention is given to problems affecting relations among the countries of Northeast Asia (especially as concerns the Korean Peninsula), among the countries of Southeast Asia, and between the United States and Japan. In the context of substantive projects, efforts are made to identify younger Asian leaders and link them with one another and with American counterparts and to inform American audiences concerned about current policy issues.

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

Under its “One World” program the Fund also assists efforts to analyze the connections between global resource management and global security.

NONPROFIT SECTOR

GOAL

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

STRATEGIES

Within the United States, promoting civic responsibility and the commitment to public service by helping all citizens, and especially young people, appreciate the value and importance of civic activities and by enhancing the effectiveness of those who volunteer, with special attention to trustees or directors of nonprofit organizations.

Within the United States, strengthening the efforts of nonprofit organizations to increase and diversify income, especially from individual donors. Emphasis is also given to supporting selected projects designed to help donors become better educated about nonprofit organizations and to broaden the repertoire of fund-raising techniques available to smaller nonprofit organizations.

At the global level, encouraging the nonprofit sector by fostering greater international communication and cooperation among nonprofit organizations and by strengthening philanthropy and nonprofit activity in other regions of the world, particularly those where the Fund is engaged in other aspects of its program.

EDUCATION

GOAL

To strengthen the numbers and quality of teachers in public education in the United States through support of the identification, recruitment, training, induction, and continuing development of individuals of the highest caliber in the teaching profession. Particular emphasis is given to projects that instill teacher preparation and in-service training programs with a perspective that reflects a worldwide view, ecological awareness, an appreciation of cultural diversity, and a sense of community and to projects that increase the numbers and excellence of minority teachers entering the profession.

STRATEGIES

Encouraging outstanding minority students from selected colleges of arts and sciences to enter graduate teacher education programs by offering Rockefeller Brothers Fund Fellowships.

Promoting the development of: early childhood education training programs for teachers in publicly supported child care centers, Head Start programs, and the early grades of elementary school; and programs to educate teachers in non-school settings.

Assisting innovative undergraduate teacher education programs of the highest quality in four-year liberal arts institutions.

Supporting teacher education programs of particular merit.

NEW YORK CITY

GOAL

To improve the quality of life in New York City, with a special awareness of the need, at a time when the City is faced with the dangers of racial and ethnic polarization, to find ways to build strength from the City's diversity.

STRATEGIES

Assisting selected clusters of community-based organizations involved in the rehabilitation and construction of low-cost and affordable housing and in neighborhood preservation and development; and supporting efforts to define and develop new housing policy options.

Responding to the AIDS crisis in the City by assisting public policy formation and leadership development; the initiation of community-based, non-hospital care and services; and the identification and development of effective public education.

And, particularly through projects consistent with the Fund's other programs, encouraging the improvement and reform of the City's public schools and promoting sustainable resource use practices within the City.

SPECIAL CONCERNS:

SOUTH AFRICA

GOAL

To improve the quality and accessibility of basic education in South Africa by supporting projects which provide a range of fundamental learning skills for children and adults.

STRATEGIES

Promoting the development of appropriate literacy, reading, and learning materials.

Assisting innovative efforts to improve teaching methodology and practice.

Encouraging curriculum development and reform.

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.

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.

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.

HOW TO APPLY FOR A GRANT

To qualify for a grant from the RBF, as from most other foundations, a prospective grantee in the United States must be either a tax-exempt organization or an organization seeking support for a project that would qualify as educational or charitable. A prospective foreign grantee must satisfy an RBF determination that it would qualify, if incorporated in the United States, as a tax-exempt organization or that a project for which support is sought would qualify in the United States as educational or charitable. A grantee must also be engaged in work that fits generally within the Fund's guidelines.

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.

Although the RBF has made substantial gifts to organizations and programs in which it has considerable interest, most grants run between \$25,000 and \$300,000, often payable over more than one year but typically not more than three.

The Fund does not support building projects or land acquisition. Neither, as a general rule, does the Fund make grants to individuals nor does it support research, graduate study, or the writing of books or dissertations by individuals. There are two exceptions. First, the Rockefeller Brothers Fund Fellowships, under the education program, are awarded to individuals selected from colleges that, because of their particular support of minority students, have been invited by the Fund to participate in the fellowship program. Second, through the Program for Asian Projects, the Fund supports projects that exemplify both the spirit of the Ramon Magsaysay Awards and the program concerns of the Fund; these grants are available only to Ramon Magsaysay Awardees, including individuals, and to the Ramon Magsaysay Award Foundation.

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 Quarterly* and *The Foundation Grants Index Annual*. Foundation Center grants data also appear on line in the Foundation Grants Index data base on DIALOG. 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



Sustainable Resource Farming Program, Rodale Institute

While strengthening its commitment to sound environmental management in East-Central Europe and East Asia during 1990, the Fund also devoted time to evaluating its global climate change grantmaking and to defining an expanded program of grants addressing resource use concerns within the United States.

The renewed attention to domestic matters was inspired largely by the recognition that there is much for this country to do to get its own house in order and that progress along these lines will be essential to the success of coordinated international responses to global-scale problems. The aim of the Fund's sustainable resource use grantmaking in the U.S. is to accomplish practical results within different dimensions of a comprehensive sustainable growth agenda, including renewable agriculture, energy efficiency, municipal waste recycling, and water use efficiency. Since much of the innovation

in these areas is occurring at state and regional levels, it is anticipated that most of the Fund's grantees will be organizations offering leadership in these spheres. In 1990, grants exemplifying this view included those to the Regional Plan Association and to the Southern Environmental Law Center. A secondary goal of the domestic effort will be to assist interest groups not generally involved in environmental affairs articulate their stakes in improved resource management.

The centerpiece of the Fund's evaluation of its six years of global climate change grantmaking was a meeting held in early December of trustees, staff, grantees, and other foundation representatives. The purpose of the exchange was to highlight lessons that had been learned from the grantmaking and to assess what that experience suggested about strategies for achieving further progress in the years ahead. A report available from the Fund summarizes the insights offered by participants.

The results of the evaluation have encouraged the foundation to continue its commitment to this area of public policy interest at least through the period of intergovernmental negotiations leading up to the United Nations Conference on Environment and Development in Brazil in June 1992. Grants to be approved early next year will allow many of the most thoughtful and experienced organizations in the climate field to monitor the progress of the negotiations, hold the process accountable to its mission, and nudge governments along from the outside toward preparation of a substantive convention on greenhouse gas emissions.

GLOBAL

BIOMASS USERS NETWORK, INC.

Washington, D.C.

\$300,000 over three years

Continued general budgetary support. The network, whose membership now includes government agencies in forty-two countries, seeks to improve developing country capabilities to produce and utilize biomass—the organic byproducts of agriculture and forestry systems and sewage and waste treatment facilities. By identifying and popularizing methods of processing biomass resources into food, fertilizers, and other marketable products, the network's programs help to raise living standards while at the same time providing economic incentives for safeguarding the supply of resources essential to the health of tropical ecosystems.

CENTER FOR RESOURCE ECONOMICS

Washington, D.C.

\$150,000 over two years

To support the Global Environmental Information Program, a new initiative of the center's Island Press. The press, which publishes titles on a wide array of environmental subjects, will broaden its operations through this program to reach an international audience. In addition to expanding its publishing and marketing capacity, the press will provide technical assistance to international coalitions working on global environmental issues.

CONSULTATIVE GROUP ON
BIOLOGICAL DIVERSITY, INC.

New York, New York

\$50,000 over two years

General budgetary support for the Consultative Group, a membership organization of twenty-seven U.S. grantmaking foundations with program interests in the environment, both national and international. The group's mission is to promote improved practices of natural resource management, particularly as relates to preservation of the world's wealth of biological life forms, and to enhance the quantity and quality of grantmaking by member foundations in this area.

INTERNATIONAL WOMEN'S
HEALTH COALITION

New York, New York

\$65,000

For the coalition's "Women, Population, and Environment" project, which will study the complex attitudinal and socio-economic factors that affect the reproductive practices and resource use patterns of women in the third world. By introducing a women's perspective into the evolving debate over the relationship between expanding human population and environmental degradation, the project hopes to demonstrate the inadequacy of narrow, technological responses to the problem.

RESOURCES DEVELOPMENT
FOUNDATION

Washington, D.C.

\$350,000 over two years

For its biotechnology program, which seeks to help meet rising food needs in developing countries through the introduction

of advanced technologies. The foundation encourages third world sustainable development by brokering partnerships in which a private sector concern in an industrialized country donates a technology it owns to a government agency in a developing nation, which then adapts and disseminates the technology to benefit local farmers.

RODALE INSTITUTE
Emmaus, Pennsylvania
\$50,000

Toward a project to plan a new international organization to encourage the exchange of information on sustainable land use systems. Such improved communication is intended to increase the efficiency of research on more ecologically sound farming practices being conducted at sites around the globe. The planning group, consisting of scientists from nine countries, will consider issues such as governance, location, and program focus.

TUFTS COLLEGE, TRUSTEES OF
PROGRAM FOR THE STUDY OF
SUSTAINABLE CHANGE
AND DEVELOPMENT
Medford, Massachusetts
\$75,000 over three years

Toward the general expenses of the Program for the Study of Sustainable Change and Development (SCD) during its initial phase of operation, beginning in spring of 1991. The program will focus on five areas of study, including an exploration of possible new institutions to respond to global change and an examination of the human resources necessary to manage such institutions. With the aim of advancing sustainable development, SCD hopes to provide a context for collaboration and sharing of ideas between two currently separated groups, theoretical economists and field-based practitioners of development.

WORLD WILDLIFE FUND, INC.
Washington, D.C.
\$300,000 over three years

Support for the Osborn Center, a joint program of the World Wildlife Fund and the Conservation Foundation. The center, which is distinguished by its two-pronged approach combining field-based research with public policy analysis, assists developing nations in making the careful management of renewable natural resources a central element of the economic development

planning process. This grant supports a three-year project to evaluate the success of community-based initiatives in developing countries to manage resources on a sustainable basis.

UNITED STATES

CENTER FOR COMMUNITY CHANGE

Washington, D.C.

\$150,000 over two years

Continued support toward costs of the center's development office, which was established in 1986 as part of a plan to ensure the center's long-term financial viability. For more than twenty years, the center has provided financial, technical, and policy assistance to community development organizations in urban and rural low-income communities across the country.

CENTER FOR POLICY ALTERNATIVES

Washington, D.C.

\$5,000

For the center's national progressive policy conference held in December 1990 in Washington, D.C. The conference, whose general theme was "progressive federalism," included discussion of promising state-level policy initiatives in areas such as sustainable agriculture, energy efficiency, and materials management.

REGIONAL PLAN ASSOCIATION

New York, New York

\$300,000 over three years

For the solid waste management component of the organization's third regional plan for the New York metropolitan area. The plan, to be completed by 1995, is intended to function as a template for economic and social progress in the tri-state region in the early decades of the next century. In addition to waste generation and management, the "sustainable region" section of the plan will include recommendations regarding land and energy use.

RENEW AMERICA

Washington, D.C.

\$180,000 over three years

Assistance for the organization's efforts to broaden and diversify its base of financial support. Established in 1984, Renew America's aim is to help define a national agenda for improved practices of resource use and management. Over the next three years, the organization's primary activity will be its new Searching for Success program, which will identify, evaluate, and publicize innovative community-level responses to environmental problems.

ROCKEFELLER FAMILY FUND

New York, New York

\$2,500

Toward the first-year costs of its Environmental Grantmakers Association program. The association, which is made up of 120 foundations and individual donors, provides up-to-date information on the activities of environmental grantmakers to its members and other interested groups.

SOUTHERN ENVIRONMENTAL

LAW CENTER

Charlottesville, Virginia

\$35,000

Support for a feasibility study to assess prospects for a major energy efficiency initiative in the southeast. The study will examine several factors, including the electric power generation and delivery network in the southeast, state regulatory laws, and general attitudes among the utilities toward conservation. This effort is modeled on a program of the Conservation Law Foundation of New England, which works with both electric utilities and state regulatory commissions to increase the efficiency of electricity production and consumption in the northeast.

EAST-CENTRAL EUROPE & THE SOVIET UNION

BIOCULTURAL ASSOCIATION

(BIOKULTURA EGYESULET)

Budapest, Hungary

\$30,000

For a conference on organic agriculture held in Hungary in the summer of 1990. Biokultura Egyesulet, a Hungarian membership organization which promotes organic farming, hosted the first International Federation of Organic Agricultural Movements (IFOAM) conference to be held in East-Central Europe. The social and economic aspects of organic agriculture, including energy use, land tenure, marketing, processing, and pricing, were major themes of the conference.

EAST EUROPEAN ENVIRONMENTAL

RESEARCH FOUNDATION

Budapest, Hungary

\$40,000

For general budgetary support. Formed by a group of Hungarian scientists and environmentalists, whose earlier protest halted construction of a hydroelectric dam on the Danube River, the East European Environmental Research Foundation ("Ister") plans to contribute to sustainable development in East-Central Europe through research, publishing, advocacy, and consulting. Ister's initial activities include research on the production and consumption of energy in order to prepare an environmentally sound energy policy for the region.

EASTERN EUROPEAN INDEPENDENT

ENVIRONMENTAL FOUNDATION

Budapest, Hungary

up to \$25,000

Support for two projects of its Independent Ecological Center, the creation of an environmental library and an environmental exchange. The library, to be established in Budapest, will make available to scientists, educators, and the general public recent publications on the environment. The exchange, which took place in the summer of 1990, assembled environmentalists from the U.S. and East-Central Europe to explore opportunities for mutual assistance.

FOUNDATION FOR SELF-RELIANCE

(AUTONOMIA ALAPITVANY)

Budapest, Hungary

\$150,000

For the start-up and initial operating costs of the foundation, an independent, nonprofit institution established to assist private voluntary organizations in Hungary. Focusing on issues of environmental degradation, poverty and unemployment, and discrimination, the new foundation will offer loans and grants as well as technical assistance to community-level projects and nonprofit organizations. The foundation's goal is to help revive and support self-help action in Hungary.

GERMAN MARSHALL FUND OF THE

UNITED STATES

Washington, D.C.

\$450,000 over three years

To launch the U.S.-European Environmental Partnership for Central and Eastern Europe, a cooperative effort of American and European funders to foster environmental problem solving in East-Central Europe through increased and better coordinated technical and financial assistance. The project will have two components: the first will place knowledgeable personnel in at least several of the countries of East-Central Europe to help local agencies sort out the practical problems and decisions facing these countries regarding environmental matters; the second will establish support mechanisms in Western Europe and North America.

INSTITUTE OF SOCIOLOGY

Prague, Czechoslovakia

\$150,000 over three years

Support for the launching of a center for environmental and social studies. The center, to be located in Prague, is intended to lead efforts to address urban and environmental problems facing the country, including the legacy of decades-old, unchecked pollution. With its library space and meeting facilities, the center will be able to acquire scientific books and journals from the West and operate an expanded library, host lectures and workshops, undertake a modest publication service, and organize exchanges of city planners, urbanologists, and others concerned about municipalities.

INSTITUTE FOR
SUSTAINABLE DEVELOPMENT

Warsaw, Poland

\$225,000 over three years

Start-up support for the institute. Its mission will be to promote economic and social development in Poland in the context of sound management of natural resources. Among its objectives, the institute will promote the principles of sustainable development, import Western expertise in the planning for the long-term protection of the environment, and cooperate with international efforts to reverse the damage done to the country's environment.

JOHNS HOPKINS UNIVERSITY
INSTITUTE FOR POLICY STUDIES

Baltimore, Maryland

\$165,000 over three years

For a project to help Poland address economic development and environmental management at the local level. The decentralization of power has shifted onto municipalities much of the responsibility of governance for the first time since the onset of World War II. To help these local governments respond effectively, this project has organized Polish-American teams of experts to consider how to address environmental issues, economic development policy, and decentralized decision making.

MINISTRY OF AGRICULTURE OF THE
CZECH REPUBLIC

Prague, Czechoslovakia

\$18,000

For the planning of a new agriculture program, designed to offer a strategy to develop environmentally sound agriculture, with a special emphasis on organic farming. The program will provide education and training activities for agricultural ministry personnel and the general public, convert certain existing agricultural training institutions to alternative training facilities, and enable a small number of Czechs to study sustainable agriculture in the West. Another dimension of the project will be to design and convert to organic farming methods portions of selected state farms.

PANOS LTD.
London, England
\$50,000

To establish Panos-Budapest, a project of this international nonprofit organization that works to increase public understanding of sustainable development. Through the environmental information center to be located in its offices, and through its publications, fact-finding missions and workshops, Panos-Budapest will provide up-to-date information to emerging nonprofit organizations and to the media, first in Hungary, and eventually in other East-Central European countries.

POLICY SCIENCES CENTER, INC.
Staten Island, New York
up to \$25,000

To develop a plan for negotiations among government, business, and nonprofit organizations to market organically grown foods from Hungary in Western Europe. The plan will address the selection of crops, markets, and possible types of joint ventures; consider policy issues, such as privatization, land reform, and tariffs; and determine a format for the negotiations themselves.

RUTGERS,
THE STATE UNIVERSITY OF NEW JERSEY
CENTER FOR URBAN POLICY RESEARCH
New Brunswick, New Jersey
\$135,000 over three years

For a project to help local-level Polish professionals in the fields of environmental management and public administration examine the many aspects of American local government. Working with a Polish organization, the Foundation in Support of Local Democracy, the Center for Urban Policy Research has organized internships, consisting of study at the university followed by placement in U.S. municipal government offices.

VERMONT LAW SCHOOL
South Royalton, Vermont
\$25,000

For the planning phase of a project to promote the concept of sustainable development at the community level in East-Central Europe. In cooperation with community leaders in East-

Central Europe and former Vermont Governor Madeline Kunin and her staff, educators at the Environmental Law Center at the University of Vermont will devise a set of strategies to carry out this goal. Steps already planned include an analysis of the environmental problems facing specific communities in this region and seminars in these communities to discuss their respective problems.

WORLD WILDLIFE FUND AND THE
CONSERVATION FOUNDATION, INC.

Washington, D.C.

\$35,000

For its Eastern European Environmental Program, begun in 1988 to help strengthen the management of environmental institutions in that region, to promote technology transfer and environmentally sound foreign investment, and to build support in the U.S. for such endeavors. The centerpiece of this program is the Eastern European Environmental Network, which involves over 175 individuals in U.S. governmental, scientific, and philanthropic communities, and provides a central source of information on East-Central European environmental efforts and needs.

E A S T A S I A

ASIAN INSTITUTE OF TECHNOLOGY

Bangkok, Thailand

\$90,000 over three years

Continued support for student participation in the master's degree course of the institute's natural resources program. The program was created in 1987 to help meet Asia's growing need for people capable of articulating and applying an interdisciplinary, systems-oriented approach to development.

ASIAN NGO COALITION
RESEARCH FOUNDATION

Manila, Philippines

\$100,000 over two years

&

FRIENDS OF THE EARTH

Washington, D.C.

\$100,000 over two years

Support for the respective roles of these two organizations in a project to monitor the lending policies and practices of the Asian Development Bank. During its initial two-year phase under the auspices of the Environmental Policy Institute, the project increased awareness of the impact of the bank's operations

on the region's natural resources. The project continues under the joint direction of the Asian NGO Coalition and Friends of the Earth, and over the next two years will develop comprehensive assessments of the bank's national lending programs, while continuing policy discussions with the bank's directors and staff.

BISHOP MUSEUM

Honolulu, Hawaii

up to \$42,000

For a week-long, interdisciplinary workshop in Hong Kong which will bring together representatives of institutions throughout southern China that are working to design economically viable and ecologically renewing systems of land use for degraded areas. It is hoped that this collaborative effort will catalyze the formation of an ongoing network of Chinese institutions interested in exploring creative responses to the problems of degraded lands management.

CENTER FOR CULTURAL AND
TECHNICAL INTERCHANGE
BETWEEN EAST AND WEST, INC.

(EAST-WEST CENTER)

Honolulu, Hawaii

\$77,000 over two years

Continued support for a project to facilitate exchange among American, Vietnamese, and other Southeast Asian scientists concerned with sustainable agricultural development. The project involves three university-based institutes in Vietnam and counterpart interdisciplinary research groups in Thailand, the Philippines, China, and Indonesia.

PHILIPPINE ENVIRONMENTAL
JOURNALISTS, INC.

Manila, Philippines

\$55,000

Toward a project of the Asian Forum of Environmental Journalists to prepare a series of citizens' reports on the environment for the nations of Malaysia, the Philippines, Thailand, and Indonesia. The reports, to be published first in local languages and then in English, will assess the state of natural resource management in these societies, emphasizing in particular the views and perceptions of ordinary citizens. The forum, whose membership consists of national organizations of environmental

journalists in ten Asian countries, works to improve the professional skills of the journalists within its network and to promote public awareness of environmental concerns through print and broadcast media.

RODALE INSTITUTE
Emmaus, Pennsylvania
\$15,000

For a bilateral, U.S.-China exchange on the subject of sustainable agriculture. During a two-week visit in 1990, a U.S. delegation met with Chinese farmers, agricultural scientists, and planning officials to discuss a variety of cost-effective, ecologically-sound food production practices, including biological pest control and the recycling of waste products within integrated farming systems.

WILDLIFE FUND THAILAND
Bangkok, Thailand
\$100,000 over three years

For a program of institution building, as part of an effort to strengthen the institutional capacities of leading, national-level nongovernmental organizations in East Asia that are addressing issues of economic development and environmental management. The seven-year-old organization administers programs of public education and directs conservation projects in threatened ecosystems throughout Thailand.

GLOBAL CLIMATE CHANGE

WOODS HOLE RESEARCH CENTER, INC.
Woods Hole, Massachusetts
\$75,000

Continued support for the center's climate change policy project, which encourages further discussion of coordinated international responses to the global warming phenomenon. The project focuses in particular on the perspectives of third world countries and, through 1990, helped organize regional meetings in Nairobi and São Paulo to define and articulate the interests of developing nations in intergovernmental discussions about a convention on greenhouse gas emissions.

PAYMENTS MADE IN 1990 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
ONE WORLD: SUSTAINABLE RESOURCE USE (\$3,242,142 PAID)				
GLOBAL				
Ashoka Washington, D.C. Resource center to assist international fellows	80,000*	40,000	40,000	
Biomass Users Network Washington, D.C. General support	300,000		100,000	200,000
Center for Resource Economics Washington, D.C. Global Environmental Information Program	150,000		75,000	75,000
Consultative Group on Biological Diversity New York, New York General support	50,000		25,000	25,000
Coolidge Center for Environmental Leadership Cambridge, Massachusetts General support	60,000*	40,000	20,000	
Institute for 21st Century Studies Arlington, Virginia General support	480,000*	320,000	160,000	
International Institute of Rural Reconstruction New York, New York Low External-Input Rice-Based Ecosystems Development project	165,000*	55,000	55,000	55,000
International Network of Resource Information Centers Plainfield, New Hampshire General support	75,000*	55,000	20,000	
International Women's Health Coalition New York, New York Women, Population, and Environment project	65,000		65,000	
New York University New York, New York Urban Research Center Mega-Cities project	225,000*	75,000	75,000	75,000
Overseas Development Council Washington, D.C. Environmental protection and poverty alleviation projects in Central America	150,000*	75,000	25,000	50,000
Resources Development Foundation Washington, D.C. General support Biotechnology program	450,000* 350,000	350,000	100,000 100,000	250,000
Rodale Institute Emmaus, Pennsylvania Planning for a new international organization concerned with sustainable land use systems	50,000		50,000	

* Appropriation made prior to 1990

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
Synergos Institute New York, New York General support	300,000*	200,000	100,000	
Tufts College, Trustees of Program for the Study of Sustainable Change and Development Medford, Massachusetts General support	75,000			75,000
World Game Institute Philadelphia, Pennsylvania World Game leaders workshops	170,000*	30,000	80,000	60,000
Worldwatch Institute Washington, D. C. <i>State of the World</i> and <i>World Watch</i> magazine	525,000*	300,000	25,000	200,000
World Wildlife Fund Washington, D. C. Osborn Center	300,000		100,000	200,000
UNITED STATES				
American Farmland Trust Washington, D. C. Agricultural policy project	450,000*	150,000	150,000	150,000
Membership development project	300,000*	100,000	100,000	100,000
Center for Community Change Washington, D. C. Institutional development	150,000		150,000	
Center for Policy Alternatives (formerly National Center for Policy Alternatives) Washington, D. C. State Action for Sustainable Growth in Agriculture project	225,000*	150,000	75,000	
National progressive policy conference	5,000		5,000	
Conservation Law Foundation of New England Boston, Massachusetts Energy conservation project	225,000*	75,000	75,000	75,000
Institute for Alternative Agriculture Greenbelt, Maryland General support	75,000*	35,000	29,240	10,760
Regional Plan Association New York, New York Solid waste management component of regional plan	300,000		100,000	200,000
Renew America Washington, D. C. Institutional development	180,000		60,000	120,000
Rockefeller Family Fund New York, New York Environmental Grantmakers Association program	2,500		2,500	
Southern Environmental Law Center Charlottesville, Virginia Energy conservation project feasibility study	35,000		35,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
EAST-CENTRAL EUROPE & THE SOVIET UNION				
American Trust for Agriculture in Poland McLean, Virginia General operating expenses and operating expenses for the charitable activities of the Foundation for the Development of Polish Agriculture	600,000*	250,000		350,000
Biocultural Association Budapest, Hungary Technical equipment	20,000*		18,090	1,910
Conference on organic agriculture Budapest University of Economic Sciences (formerly Karl Marx University of Economics) Budapest, Hungary Managers and the Environment conference	30,000		30,000	
30,000*				30,000
East European Environmental Research Foundation Budapest, Hungary General support	40,000		40,000	
Eastern European Independent Environmental Foundation Budapest, Hungary Projects of its Independent Ecological Center	25,000			25,000
Foundation for Self-Reliance Budapest, Hungary Start-up and initial operating support	150,000		75,000	75,000
German Marshall Fund of the United States Washington, D. C. U.S.-European Environmental Partnership for Central and Eastern Europe	450,000			450,000
Green Library Berkeley, California Green Library-Poland	75,000*	50,000	25,000	
Hungarian Academy of Sciences Budapest, Hungary Handbook on environmental protection	20,000*			20,000
Hungarian Institute of International Affairs Budapest, Hungary Transnational environmental conflict resolution project	60,000*			60,000
Institute of Sociology Prague, Czechoslovakia New center for environmental and social studies	150,000		21,112	128,888
Institute for Sustainable Development Warsaw, Poland Start-up support	225,000			225,000
Johns Hopkins University Institute for Policy Studies Baltimore, Maryland Project for improved municipal management in Poland	165,000		55,000	110,000
Ministry of Agriculture of the Czech Republic Prague, Czechoslovakia Planning for new organic agricultural programs	18,000		18,000	
Minnesota Foundation, University of Minneapolis, Minnesota Hubert H. Humphrey Institute of Public Affairs Project on institutional reform for improved environmental management in East-Central Europe	150,000*	50,000	50,000	50,000

* Appropriation made prior to 1990

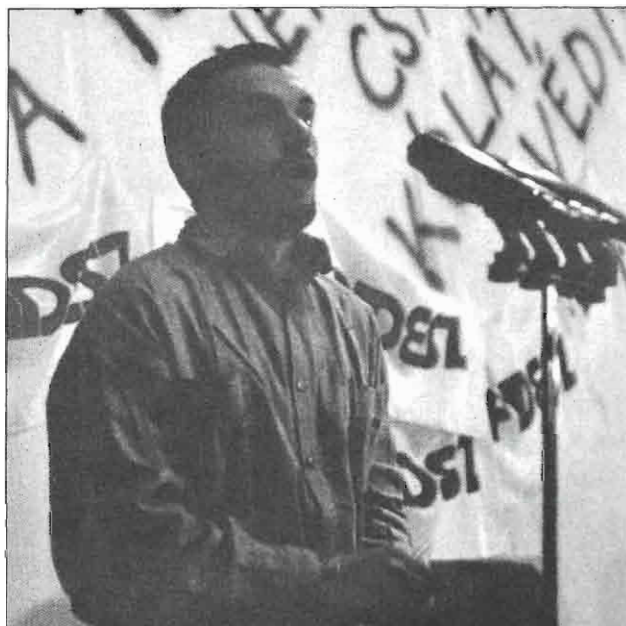
Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
National Academy of Sciences Washington, D. C. East-Central European environmental workshops	75,000*	25,000	25,000	25,000
Panos Ltd. London, England To establish Panos-Budapest	50,000		50,000	
Policy Sciences Center Staten Island, New York Planning for a project to market organic foods from Hungary in Western Europe	25,000		25,000	
Rutgers, The State University of New Jersey Center for Urban Policy Research New Brunswick, New Jersey Project to train Polish public administrators in municipal management	135,000		90,000	45,000
Vermont Law School South Royalton, Vermont Project to promote sustainable development at the community level in East-Central Europe	25,000		25,000	
World Wildlife Fund and The Conservation Foundation Washington, D. C. Eastern European Environmental Program	35,000		35,000	
EAST ASIA				
Asian Institute of Technology Bangkok, Thailand Scholarship fund of the master's degree course in natural resources management	90,000		45,000	45,000
Asian NGO Coalition Research Foundation Manila, Philippines Asian Development Bank monitoring project	100,000			100,000
Bishop Museum Honolulu, Hawaii Workshop on degraded lands management in Southern China	42,000		42,000	
Center for Cultural and Technical Interchange Between East and West Honolulu, Hawaii Research and scientific exchange project on sustainable management of resources in Vietnam	77,000		36,100	40,900
Chiang Mai University Chiang Mai, Thailand Master's degree program in agricultural systems	33,200*	16,600	16,600	
Master's degree program in agricultural systems	60,000*		15,000	45,000
Friends of the Earth Washington, D. C. Asian Development Bank monitoring project	100,000		50,000	50,000
Nanjing Institute of Environmental Science Nanjing, People's Republic of China Agroecosystem program	100,000*	34,500	33,500	32,000
Philippine Environmental Journalists Manila, Philippines Asian Forum of Environmental Journalists' reports	55,000		30,000	25,000

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
Rodale Institute Emmaus, Pennsylvania U.S.-China exchange project	15,000		15,000	
Wildlife Fund Thailand Bangkok, Thailand Institutional development	100,000		40,000	60,000
GLOBAL CLIMATE CHANGE				
Environmental and Energy Study Institute Washington, D.C. Climate change project	60,000*	30,000	30,000	
International Institute for Energy Conservation Washington, D.C. General support	300,000*	200,000	100,000	
International Institute for Environmental Technology and Management Stockholm, Sweden International climate change conferences	215,000*	120,000	95,000	
Nitrogen Fixing Tree Association Waimanalo, Hawaii General support	80,000*	40,000	40,000	
University Corporation for Atmospheric Research Boulder, Colorado Teleconference on global warming	28,000*	16,500		11,500 ¹
Woods Hole Research Center Woods Hole, Massachusetts Climate change policy project	75,000		75,000	
			3,242,142	3,914,458

* Appropriation made prior to 1990

¹ Lapsed

ONE WORLD:
WORLD SECURITY



New Visions project, American Center for International Leadership

Global events in 1990 have drawn increased attention to the issues and concerns that define the Fund's world security program. The continuing changes in U.S.-Soviet relations and the conflict in the Persian Gulf emphasized the importance of halting the spread of nuclear weapons to additional countries, and gave new visibility to projects, supported by the Fund over the past several years, that deal with these concerns. Through such grants as those in support of the Programme for Promoting Nuclear Non-Proliferation at the University of Southampton, the University of Sussex' "Civil Plutonium in Europe in the 1990s" project, the Nuclear Control Institute, and the United Nations Association's quadrilateral dialogues concerning Asian security, the Fund continued to assist a range of organizations and policy analysts to bring nuclear proliferation issues to the attention of policymakers internationally, to highlight developing trends and dangers, and to make policy recommendations.

These same events brought forth new questions about relationships among the countries of East Asia, particularly about Japan's evolving role in world affairs, the subject of Fund-supported projects at the Japan Society, the National Academy of Sciences, and Harvard's Center for International Affairs. Changing relations among the major powers also brought new attention to the tense and hostile situation on the Korean Peninsula, now frequently referred to as the last "hot spot" of the Cold War. The Fund's grant to the Asia Society supports a project to stimulate new thinking on this problem. Included in the series of discussions with an American study group are participants from North Korea, South Korea, Japan, China, and the Soviet Union.

In Central and Eastern Europe, the euphoria following the revolutions in 1989 has been replaced by a realization that the creation of democratic, market-oriented societies is a highly complicated and lengthy process. Four decades of totalitarian rule have left the countries of the region faced with severe economic problems and massive environmental degradation. Understandably, citizens of the former eastern bloc countries now seek immediate improvements in their situation: better jobs, full freedoms, increased access to opportunities, and clean air and water. While newly elected national and local officials, as well as leaders in the rapidly developing private for-profit and nonprofit sectors, are working creatively and diligently to promote the needed political, economic, and social transformation, many citizens in the region perceive the pace of change to be too slow. Ethnic sectionalism and other divisive issues inevitably impede positive action. To assist in the democratization process in East-Central Europe, support was provided for programs at the European Cooperation Fund; the Kennedy School at Harvard; the Institute for Human Sciences, in Vienna; and the Institute for East-West Security Studies. The development of a strong and independent media, an important component of a democratic society, was the aim of grants to the Alerdinck Foundation and the Center for Foreign Journalists.

GLOBAL

ARMS CONTROL ASSOCIATION

Washington, D.C.

\$60,000 over two years

Support for a program to inform the media about nuclear non-proliferation issues. The association, which publishes the monthly journal *Arms Control Today*, was formed in 1971 to provide information to the media, government officials, and the public on the national security implications and benefits of arms control. Having concentrated to date on reducing the risk of nuclear war between the superpowers, the association will now place greater emphasis on highlighting the threat to international security posed by the spread of nuclear weapons capability to additional countries.

ASPEN INSTITUTE FOR
HUMANISTIC STUDIES
Queenstown, Maryland
\$150,000 over three years

For general budgetary support of the Program on the United States and the World Economy, a yearly gathering of a small group of international leaders for intensive, off-the-record discussions focused on the global economy. The goal of this program, whose participants vary from year to year, is to come up with ways in which to provide sufficient economic stability to allow for and promote world trade and, thus, development and growth. In addition to macroeconomics—the thematic constant to these discussions—future topics to be considered include changes in the Soviet Union and Eastern Europe, and North-South challenges in development and the environment.

CENTER FOR
FOREIGN POLICY DEVELOPMENT
Providence, Rhode Island

\$24,845

For a conference which brought together Soviet, American and British naval officers and civilian specialists on naval issues to discuss maritime security and naval forces. Several factors—the lack of any official U.S.-Soviet effort to address these issues, the current international environment, and growing concern that unrestrained naval activities could lead to accidental or unauthorized use of nuclear weapons—made this a propitious time to promote unofficial, East-West naval contacts.

FRIENDS OF THE EARTH
Washington, D.C.

\$45,000

Toward its Nuclear Non-Proliferation Project, created in 1987 under the auspices of the Federation of American Scientists Fund to supply reliable scientific information in support of a broad spectrum of current efforts to stop the spread of nuclear weapons. The project has developed the first comprehensive, unclassified assessment of current capabilities of the major “threshold” nations to produce nuclear explosive materials, and is assisting scientific organizations in Brazil and Argentina toward establishing better civilian oversight of nuclear programs in each country and developing a civilian bilateral inspection system of their enrichment and reprocessing programs.

NUCLEAR CONTROL INSTITUTE

Washington, D.C.

\$130,000 over two years

Continued support for the institute's Nuclear Oversight Project. The institute was established in 1981 to monitor government and industry programs that contribute to the spread of nuclear weapons and to educate policymakers and the public. Over the next two years, the project will continue to assess plans in Europe and Japan to reprocess large quantities of plutonium for commercial use. It will also pursue initiatives to bring about better safeguards against diversion of nuclear materials from civilian to military purposes and stronger security measures against theft or sabotage at nuclear facilities at home and abroad.

SCIENCE APPLICATIONS

INTERNATIONAL CORPORATION

McLean, Virginia

\$100,000 over two years

For a project to identify and assess measures to contain the consequences of the spread of nuclear weapons. The project, to be undertaken by the corporation's Center for National Security Negotiations, will begin in the spring of 1991 with a series of workshops at which U.S. policymakers, regional specialists, and security experts will seek to define the threats to regional and global stability posed by a world with more nuclear weapons states and to identify and examine a broad range of possible regional containment measures. These workshops will lead up to a conference in the fall of 1991 involving representatives of countries of proliferation concern.

SOUTHAMPTON, UNIVERSITY OF

Southampton, England

\$330,000 over three years

Toward the Programme for Promoting Nuclear Non-Proliferation (PPNN), launched in 1987 as a means of collecting, exchanging, and analyzing nonproliferation information on a multinational basis, with the goal of strengthening international nonproliferation efforts. Directed by a core group of diplomats and scholars, from both developed and developing nations, PPNN serves as an international forum for discussion of nuclear proliferation issues, conducts briefing programs for diplomats from around the world, and publishes a newsletter and Occasional Papers. Its current priority is extending the Nuclear Non-Proliferation Treaty for a significant period.

SUSSEX, UNIVERSITY OF
SCIENCE POLICY RESEARCH UNIT

Brighton, England

up to \$77,500

Continued support for the project, "Civil Plutonium in Europe in the 1990s," which examines the implications for international relations and arms control of the anticipated European and Japanese expansion of plutonium production, storage, transport, and use. The project, which has examined such issues as the projected scale of the commercial plutonium business in the 1990s and the adequacy of the present system of controls, will use this additional year to complete its research and disseminate its findings. The group will issue recommendations on ways in which the various parties involved in plutonium activity might extricate themselves from the legacy of the extensive commitments made in the 1970s, and will also consider the best strategies for dealing with unwanted plutonium.

UNITED NATIONS ASSOCIATION OF THE
UNITED STATES OF AMERICA, INC.

New York, New York

\$150,000 over three years

Continued support for a program involving the United States, the Soviet Union, China, and Japan in quadrilateral discussions of nonproliferation issues concerning Asia. Begun in 1987, this program is intended to provide the four major powers with a forum in which to evaluate the strategic instabilities and proliferation risks in the region and the roles they each can play in lessening or increasing those risks. Over the next three years the talks—to be held in the USSR, Japan, and China—will include the looming nuclear arms race in the Indian subcontinent, proliferation dangers on the Korean peninsula, and the impact of Asian countries on ballistic missile proliferation.

VERIFICATION TECHNOLOGY

INFORMATION CENTRE

London, England

\$95,000 over three years

To establish an annual publication on important developments and issues in the field of arms control verification. Since the signing of arms control treaties increasingly hinges on the assurance of effective verification, understanding verification has become essential for negotiators, policymakers, and the media. In response, the London-based Verification Technology Information Centre (VERTIC) will publish an annual report

covering the year's technical, political, and diplomatic verification developments, emerging technologies, and issues requiring further attention.

EAST-CENTRAL EUROPE & THE SOVIET UNION

ALERDINCK FOUNDATION

Amsterdam, The Netherlands

\$60,000 over two years

For the Alerdinck Fellowship Program, an East-West journalist exchange program which supports six-week internships with foreign newspapers for young journalists from East-Central Europe, the Soviet Union, Europe and the U.S. This is a cooperative undertaking of the London-based International Press Institute, the Center for War, Peace and the News Media at New York University, and the foundation.

AMERICAN CENTER FOR INTERNATIONAL LEADERSHIP, INC.

Columbus, Indiana

\$20,000

Continued support for its New Visions project to identify emerging young leaders in East-Central Europe. Over the next year, the project will expand its activities to help establish an international youth foundation in Poland, develop a "Who's Who" guide of young leaders, and expand its leadership search throughout Central and East European countries.

AMERICAN COUNCIL OF LEARNED SOCIETIES

New York, New York

\$150,000 over two years

To establish an International Research and Exchanges Board (IREX) office in Romania in order to link Romanian and American academic communities and to help Romanians take advantage of academic, professional, and technical training opportunities in the U.S. Through this office and its Princeton headquarters, IREX will also provide information to U.S. universities, foundations and private voluntary organizations considering an involvement in Romania.

CENTER FOR FOREIGN JOURNALISTS

Reston, Virginia

\$25,000

For an East-West journalists conference, held in July of 1990 in Prague. The conference brought together leading journalists from East-Central Europe, the Soviet Union, Western Europe and the United States to discuss the business, creative, and functional aspects of electronic and print journalism.

\$9,000

For a meeting, held in October 1990 in Bratislava, to consider the formation of an association to assist in the development of a strong and independent media in East-Central Europe and the Soviet Union. Participants addressed such issues as how to assure the independence of the media, including concerns about the relationship of the media to political parties, and the adequacy of laws protecting both the media in general and individual journalists.

CENTRAL CONNECTICUT

STATE UNIVERSITY

New Britain, Connecticut

\$50,000

To create an Institute for Business Studies at Wroclaw Technical University (WTU) in Poland. The project, a collaborative effort of the two universities, responds to the great need in Poland for people with business management skills. In addition to the institute, which will offer continuing education courses for mid-career managers, the project will develop courses in market-oriented economics for the existing WTU curriculum.

CENTRAL AND EAST EUROPEAN

PUBLISHING PROJECT

Oxford, England

\$120,000 over three years

For general budgetary support. The project, an effort begun in 1986 by Western academics, publishers, editors, and authors to publish the works of East European writers, has in addition to this goal provided much-needed financial and technical support to independent publishers in East-Central Europe during the recent period of social upheaval. Its activities over the next three years will include assisting publishers in East-Central Europe to become established and self-supporting, and stimulating interest in the West for translations of literature from this region.

CHARTER SEVENTY-SEVEN
FOUNDATION, INC., THE
New York, New York
\$25,000

For a new project of the foundation, a clearinghouse for individuals and organizations in the U.S. that seek to assist in the economic development and institution-building processes now under way in Czechoslovakia. In addition, the foundation will help mobilize financial and technical assistance, encourage student and intellectual exchanges, and host Czech and Slovak visitors to the U.S. in cooperation with U.S. government and private agencies.

CRACOW INDUSTRIAL SOCIETY:
INDUSTRIAL-COMMERCIAL INSTITUTE
FOUNDATION
Cracow, Poland
\$50,000

For education and training programs. The Cracow Industrial Society (CIS) was established as a volunteer organization in 1985 to foster entrepreneurship and market-oriented reforms in Poland. Since then, CIS has offered training programs for young people no longer in school and people wanting to create private businesses. In order to expand its programs, CIS recently created the Industrial-Commercial Institute Foundation, which will formalize the society's earlier course work into the School for Business Administration and the School of General and Business English, and establish a two-year management training program.

EUROPEAN COOPERATION FUND
Brussels, Belgium
\$50,000 over two years

Support for a project to provide information on parliamentary practices to newly elected legislators in East-Central Europe and the Soviet Union. The project was initiated in the fall of 1990 with a seminar providing an overview of parliamentary experience in Western countries. It will continue through next year with a series of national workshops—on topics ranging from legislative structure to parliamentary behavior—designed to familiarize legislators with the 'mechanics' of democratic governance.

HARVARD UNIVERSITY
JOHN F. KENNEDY SCHOOL
OF GOVERNMENT
Cambridge, Massachusetts
\$300,000 over three years

To launch "Project Liberty," a multinational effort to familiarize newly elected public officials in East-Central Europe and the Soviet Union with democratic processes and institutions. Through a series of conferences and workshops, the project will nurture working relationships between prominent public leaders in the emerging democracies of East-Central Europe and experienced policymakers, academics, and private sector representatives from the West.

INSTITUTE FOR
EAST-WEST SECURITY STUDIES
New York, New York
\$200,000 over two years

For a new program to address the democratization and nation-rebuilding processes under way in East-Central Europe, as well as the political and economic restructuring of Europe as a whole. The institute has established the European Studies Center, near Prague, which will conduct research and issue policy recommendations, organize seminars and educational programs, and offer training initiatives for emerging leaders from Central Europe and the Balkans.

INSTITUTE FOR HUMAN SCIENCES
(INSTITUT FÜR DIE WISSENSCHAFTEN
VOM MENSCHEN)
Vienna, Austria
\$150,000 over three years

For conference and fellowship programs on democratization in East-Central Europe and the restructuring of Europe. These programs are intended to help the new leaders in East-Central Europe address the political, economic, and environmental problems facing their countries. In addition to its conference series, the institute sponsored a major conference in June of 1990 exploring the issue of "Central Europe on its Way to Democracy."

INTERNATIONAL HOUSE

New York, New York

\$5,000

To enable a young journalist and professor from Estonia to reside at International House while pursuing studies in the City and making valuable contacts with American journalists, professors, and media specialists. As part of the Fund's interest in encouraging a new generation of leaders in that region, previous grants have extended the same opportunity to students from East-Central Europe.

INTERNATIONAL MARKETING

INSTITUTE

Chestnut Hill, Massachusetts

\$3,000

To support the participation of a Romanian trainee in a month-long marketing management program held in Boston in July 1990. This grant was made with the continued political difficulties in Romania in mind, and the limited Western support for that country, which can keep Romanians from attending important training opportunities.

JUNIOR ACHIEVEMENT, INC.

Colorado Springs, Colorado

\$75,000

To introduce in Poland the Junior Achievement program, which educates elementary and secondary students about market-oriented economics and entrepreneurial skills. The cornerstone of the program is the JA Company, in which students form and run model corporations. This initiative, which will be introduced in several phases over the next two years, complements the adult-level business and management training programs being established in Poland with Fund support.

NATIONAL FORUM FOUNDATION

Washington, D.C.

\$150,000 over three years

For its Eastern European Internship Program, which trains young adults from East-Central Europe in institutions that are fundamental to a market-oriented, democratic society. In its first year, the program placed forty-five young adults from Poland and Hungary in three-month, on-the-job training positions in U.S. business, media, and government organizations.

PORTLAND STATE UNIVERSITY

FOUNDATION

Portland, Oregon

\$10,000

For a conference to be held in January 1991 in Wroclaw, Poland, to establish the Polish American Society of Business Educators. The society, a professional membership organization, is meant to foster links between Polish academics and their American colleagues and to improve the teaching of Western business skills in Poland. The conference is organized by the university's Soviet and East European Business Administration Center.

E A S T A S I A

ASIA SOCIETY, THE

New York, New York

\$370,000 over two years

For a public affairs project to reexamine the Korean peninsula in the context of major power relations in Asia in the 1990s. The project will bring together influential American and Asian scholars, policy analysts, business representatives, and journalists, as well as a broader audience, to consider the prospects for peace, security, and economic growth on the Korean peninsula. The cornerstone of this project is a five-nation study mission, followed by an international conference.

ASIAN CULTURAL COUNCIL

New York, New York

\$300,000

For general operating expenses. The council supports cultural exchange between Asia and the U.S. in the performing and visual arts, primarily by providing individual fellowship grants to Asian artists, scholars, students and specialists for study and travel in the United States.

COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK,
TRUSTEES OF
CENTER FOR CHINESE LEGAL STUDIES
New York, New York
\$5,500

Support for the visit by a legal scholar from the People's Republic of China to the university's Law School to lecture on China's approach to foreign relations. The objective was to give American scholars and students a better understanding of this subject and to give a reform-minded Chinese legal scholar exposure to an important Western university.

HARVARD UNIVERSITY
CENTER FOR INTERNATIONAL AFFAIRS
Cambridge, Massachusetts
\$15,450

For a series of discussion meetings focused on Japan's new role in world affairs. Leading experts from this country's international relations and Japanese studies communities will meet to discuss issues of economics and trade, foreign policy, defense policy, and science and technology. The goal of this endeavor is to develop a new conceptual framework to help undergird the U.S.-Japan relationship in a time of profound international change.

INSTITUTE OF INTERNATIONAL
EDUCATION, INC.
New York, New York
\$165,000 *over two years*

Continued support for the institute's Committee on International Relations Studies with the People's Republic of China which, since 1984, has worked to strengthen selected Chinese universities and research institutes, with the objective of expanding China's capacity to participate in the international policy community. The committee's program, which in earlier years consisted largely of aid to Chinese students to study international relations in the United States, has been reoriented with an increased emphasis on the development of an international relations teaching program in China and related activities.

JAPAN SOCIETY, INC.

New York, New York

\$75,000

Toward costs of the Eighth Shimoda Conference on “World Leadership in the 1990s: The Role of Japan and the United States.” The Shimoda Conference is the most influential, privately sponsored forum for an off-the-record discussion by public and private leaders of major issues affecting the U.S. and Japan. It is convened at critical moments of change either in the bilateral relationship or in the international environment.

\$50,000

Continued support toward the general budgetary expenses of the Commission on United States-Japan Relations for the Twenty-First Century. The commission, composed of prominent U.S. policymakers and business figures, looks beyond current bilateral trade and security issues to matters of larger concern to both nations—such as maintenance of the world trading system—and tries to define them in terms of U.S. interests and expectations. It was formed in 1989 in response to the absence of a comprehensive U.S. policy with respect to Japan and to the piecemeal manner in which periodic crises in the bilateral relationship have been addressed.

JINAN UNIVERSITY

Guangzhou, People's Republic of China

\$15,000

For a conference on the state of Southeast Asian studies at Chinese institutions. This program is part of a broader effort to assist the Chinese in developing the institutional and professional capacity to interact with counterparts in the Pacific region, including the U.S., on international and strategic issues.

NATIONAL ACADEMY OF SCIENCES

OFFICE OF JAPAN AFFAIRS

Washington, D.C.

\$140,000 over two years

To develop a policy agenda for managing the U.S.-Japan relationship in science and technology. A coherent national strategy regarding scientific research is vital to easing the growing acrimony over this issue in the bilateral relationship, the ramifications of which can have serious diplomatic, security, and trade implications. The academy's Office of Japan Affairs will organize

workshops on key issues—including foreign funding of research at U.S. universities, technology and the U.S.-Japan security relationship, and asymmetries in access to research and development—which will be followed by a series of published papers.

WOODROW WILSON INTERNATIONAL

CENTER FOR SCHOLARS

Washington, D.C.

\$120,000 over three years

Support for programs on Northeast Asia organized by the center's Asia Program, which has been expanded in recent years. Wilson Center Conferences and the fellows program of the Wilson Center help to link the scholarly and policy communities.

YONSEI UNIVERSITY

INSTITUTE OF EAST AND WEST STUDIES

Seoul, Korea

\$98,000 over two years

Support for a project, "Economic Reforms and Systems in East Asia and Eastern Europe," which will compare the experiences of several East Asian and East-Central European countries in their transitions to market-oriented economies. This study is based on the assumption that although the processes of moving away from some degree of central planning have differed radically in the respective regions, there are important lessons to be learned by each from the other. Findings will be shared at two conferences—one in Seoul, one in Budapest—and disseminated to policymakers and the academic community in both East and West.

RESOURCE/SECURITY
INTERSECTIONS

HARVARD UNIVERSITY

CENTER FOR INTERNATIONAL AFFAIRS

Cambridge, Massachusetts

\$88,000

For a project to examine the strengths and weaknesses of institutions that already play some role in managing major international resource use challenges, such as global climate change, acid rain, deforestation and species loss. Through a series of

case studies, which will inventory and analyze a cross section of existing institutions, the project hopes to draw more attention to the need for effective international mechanisms to implement regional and global policy prescriptions.

PACIFIC INSTITUTE FOR STUDIES
IN DEVELOPMENT, ENVIRONMENT,
AND SECURITY

Berkeley, California

\$100,000 *over two years*

Continued support for its project on sustainable resource management and global security, the aim of which is to strengthen the analytical framework for examining how patterns of resource use can affect social and political stability both within and among nations. Over the next two years, the project will focus in particular on the growing demand for fresh water in many regions of the world and the likelihood of conflict over supplies of this resource in the years ahead.

PAYMENTS MADE IN 1990 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
ONE WORLD: WORLD SECURITY (\$3,796,795 PAID)				
GLOBAL				
Arms Control Association Washington, D.C. Nuclear nonproliferation media project	60,000		30,000	30,000
Aspen Institute for Humanistic Studies Queenstown, Maryland Program on the United States and the World Economy	150,000		50,000	100,000
Atlantic Council of the U.S. Washington, D.C. Public education program relating to the International Atomic Energy Agency	180,000*	120,000	60,000	
Brookings Institution Washington, D.C. Forum on Africa	300,000*	200,000	100,000	
California, University of, Los Angeles Los Angeles, California Center for International and Strategic Affairs Emerging Nuclear Suppliers Project	100,000*	50,000	50,000	
Center for Foreign Policy Development Providence, Rhode Island Conference on maritime security	24,845		24,845	
Federation of American Scientists Fund Washington, D.C. Nuclear Non-Proliferation Project	90,000*	45,000		45,000 ²
Friends of the Earth Washington, D.C. Nuclear Non-Proliferation Project	45,000		45,000	
Harvard University Cambridge, Massachusetts John F. Kennedy School of Government Nuclear Proliferation: Developing an International Cadre for the 21st Century project	210,000*	70,000	70,000	70,000
International Institute for Strategic Studies London, England Strategic Arms Control in the Post-START Era project	150,000*	75,000	75,000	
International Peace Academy New York, New York Mitigating and Resolving Regional Crises: A Trilateral Approach project	135,000*	75,000	60,000	
Johns Hopkins University Washington, D.C. Washington Council on Nonproliferation	120,000*	60,000	60,000	
Mediators Foundation Lexington, Massachusetts PARTNERS project	150,000*	75,000	75,000	
Nuclear Control Institute Washington, D.C. Nuclear Oversight Project	130,000		65,000	65,000

* Appropriation made prior to 1990

² Rescinded

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
Peace Research Institute Frankfurt Frankfurt, Federal Republic of Germany Nonproliferation Program	225,000*	145,000	80,000	
Science Applications International Corporation McLean, Virginia Containing the consequences of nuclear weapons proliferation project	100,000		50,000	50,000
Southampton, University of Southampton, England Programme for Promoting Nuclear Non-Proliferation	330,000		135,000	195,000
Henry L. Stimson Center Washington, D.C. Multilateral Verification Project	110,000*	55,000	55,000	
Sussex, University of Brighton, England Civil Plutonium in Europe in the 1990s project	77,500		77,500	
Trilateral Commission (North America) New York, New York General support	240,000*	160,000	80,000	
United Nations Association of the United States of America New York, New York Program on Proliferation Norms and the Asian Security Environment	150,000		60,000	90,000
Verification Technology Information Centre London, England Publication on arms control verification issues	95,000		47,500	47,500
Wisconsin, University of Madison, Wisconsin Wisconsin Project on Nuclear Arms Control	165,000*	55,000	55,000	55,000
EAST-CENTRAL EUROPE & THE SOVIET UNION				
Alerdinck Foundation The Hague, The Netherlands East-West journalists exchange program	60,000		30,000	30,000
American Center for International Leadership Columbus, Indiana General budgetary support	300,000*	200,000	100,000	
New Visions project	20,000*	10,000	10,000	
	20,000			20,000
American Council of Learned Societies New York, New York U.S. task force mission to Romania To establish an International Research and Exchanges Board office in Romania	52,000*	26,000	26,000	
	150,000		75,000	75,000
Center for Foreign Journalists Reston, Virginia East-West journalists conference	25,000		25,000	
Conference on the media in East-Central Europe and the Soviet Union	9,000		9,000	
Central Connecticut State University New Britain, Connecticut To create a business school at the Wroclaw Technical University in Poland	50,000		50,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
Central and East European Publishing Project Oxford, England General support	120,000		40,000	80,000
Charter Seventy-Seven Foundation New York, New York Clearinghouse project	25,000		25,000	
Colorado Outward Bound School Denver, Colorado East-West wilderness youth exchanges	75,000*	50,000	25,000	
Cracow Industrial Society: Industrial-Commercial Institute Foundation Cracow, Poland Education and training programs	50,000		34,000	16,000
European Cooperation Fund Brussels, Belgium Parliamentary practices project	50,000			50,000
Harvard University Cambridge, Massachusetts John F. Kennedy School of Government Project Liberty	300,000		100,000	200,000
Institute for East-West Security Studies New York, New York General support	300,000*	150,000	50,000	100,000
European Studies Center in Czechoslovakia	200,000		150,000	50,000
Institute for Human Sciences Vienna, Austria Conference and fellowship programs	150,000		50,000	100,000
International House New York, New York East-West leadership development program	75,000*	60,000	15,000	
Residence for an Estonian student	5,000		5,000	
International Marketing Institute Chestnut Hill, Massachusetts Participation of a Romanian trainee in a marketing management program	3,000		3,000	
Junior Achievement Colorado Springs, Colorado To introduce Junior Achievement programs in Poland	75,000		40,000	35,000
National Forum Foundation Washington, D.C. Eastern European Internship Program	150,000		100,000	50,000
Pittsburgh, University of Pittsburgh, Pennsylvania Budapest, Hungary Assistance to the International Management Center in Budapest, Hungary	225,000*	200,000	25,000	
Portland State University Foundation Portland, Oregon Soviet and East European Business Administration Center For a conference to establish the Polish American Society of Business Educators	10,000		10,000	
Woodrow Wilson International Center for Scholars Washington, D.C. East European Program	90,000*	60,000	30,000	

* Appropriation made prior to 1990

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
EAST ASIA				
Asia Society New York, New York Public affairs project on Korean peninsula	370,000		270,000	100,000
Asian Cultural Council New York, New York General support	300,000		300,000	
Australian National University Canberra, Australia Research School of Pacific Studies Pacific Trade and Development Conferences	30,000*	20,000	10,000	
Columbia University in the City of New York, Trustees of New York, New York Pacific Basin Studies Program of the East Asian Institute Center for Chinese Legal Studies For Visiting Scholar Program with the People's Republic of China	320,000*	80,000	80,000	160,000
5,500		5,500		
Harvard University Cambridge, Massachusetts Center for International Affairs Discussion meetings on Japan's role in world affairs	15,450		15,450	
Institute of International Education New York, New York Committee on International Relations Studies with the People's Republic of China General support	165,000		165,000	
Institute of Southeast Asian Studies Republic of Singapore Scholarly exchange program	210,000*	70,000	70,000	70,000
Japan Center for International Exchange New York, New York General support	105,000*	70,000	35,000	
Japan Society New York, New York Eighth Shimoda Conference Commission on United States-Japan Relations for the Twenty-First Century	75,000		75,000	
50,000		50,000		
Jinan University Guangzhou, People's Republic of China Conference on Southeast Asian studies	15,000		15,000	
Korea University Seoul, Korea Asiatic Research Center Pacific Workshop on Regional Affairs	75,000*	25,000		50,000
Lingnan College Hong Kong Conference on the changing face of East Asian security	26,000*		26,000	
National Academy of Sciences Washington, D.C. Office of Japan Affairs Managing the U.S.-Japan relationship in science and technology project	140,000		70,000	70,000

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
Woodrow Wilson International Center for Scholars Washington, D.C. Programs on Northeast Asia	120,000		40,000	80,000
Yonsei University Seoul, Korea Institute of East and West Studies Economic Reforms and Systems in East Asia and Eastern Europe project	98,000			98,000
RESOURCE/SECURITY INTERSECTIONS				
Harvard University Cambridge, Massachusetts Center for International Affairs International institutions project	88,000		88,000	
Pacific Institute for Studies in Development, Environment, and Security Berkeley, California Sustainable Resource Management and Global Security project	100,000		50,000	50,000
			3,796,795	2,186,500



Dianne Woods

Charitable Behavior Study, University of San Francisco

In 1990, the Fund continued to expand the international dimensions of its nonprofit sector program. Two grants, to the American Committee for Aid to Poland and to the Charter Seventy-Seven Foundation, assisted the emergence and development of foundations and voluntary organizations in East-Central Europe; another, to the National University of Singapore, brought together for a meeting in Bangkok a group of Asians involved in encouraging the growth of organized philanthropy in East Asia. Support was also provided for a major international comparative research project dealing with nonprofits, conducted by the Institute for Policy Studies at Johns Hopkins University.

In the U.S., the Fund continued its efforts to identify ways in which nonprofits can expand their financial resources. The RBF's interest in increasing giving from individual donors led to a grant

to the University of San Francisco for a study of the charitable behavior of Hispanic and Asian Americans. In addition, the Fund began to devote attention to increasing the human resources of the sector: grants to ACCESS: Networking in the Public Interest and to the Student Internship Fund at the Yale School of Organization and Management aim to stimulate interest in nonprofit sector careers, and support for the Campus Compact project of the Educational Commission of the States promotes community service by college students. Grants to the new National Center for Nonprofit Boards and to the Volunteer Consulting Group marked a transition from the Fund's general interest in the improved management of nonprofits to a more focused concern with improving the effectiveness of those who serve as trustees or directors of nonprofit organizations.

UNITED STATES

ACCESS: NETWORKING IN THE
PUBLIC INTEREST

Boston, Massachusetts

\$175,000 over three years

Continued general budgetary support. Founded in 1986, ACCESS works to encourage employment in the nonprofit and public sectors and participation in public service. The organization maintains computerized job banks and publishes companion registers for the nonprofit sector, public interest law, and state government. Currently, ACCESS is developing a Public Service Minority Resume Bank to encourage greater staff and board diversity in nonprofit organizations.

EDUCATIONAL COMMISSION OF
THE STATES

Denver, Colorado

\$160,000 over two years

To help establish statewide coalitions of college and university presidents to promote opportunities for student participation in public service. Building on the success of Campus Compact, a national coalition of 235 colleges which seeks to make community service an integral part of the educational process, compacts at the state level will increase the number of schools participating and allow for more direct assistance to member schools and their student volunteers.

FOLKWORKS, INC.
New York, New York
\$46,000

For a pilot year of a national program to provide nonprofit organizations with training in special events production, a valuable tool in raising funds, furthering program goals, and increasing public awareness. Folkworks, through its Special Events Production Technical Assistance (SEPTA) program, has grown beyond its initial objective of providing production services to nonprofits to conducting training workshops for nonprofit staff in New York City. This grant supports a project to expand SEPTA's scope to other communities, beginning with a pilot initiative in one city.

FOUNDATION CENTER
New York, New York
\$30,000

Continued general support for 1991. The Foundation Center is an independent national service organization established by foundations to provide an authoritative source of information on private philanthropic giving. It disseminates information through public service programs, publications, and through a national network of library reference collections for public use.

MACARTHUR FOUNDATION,
JOHN D. AND CATHERINE T.
Chicago, Illinois
\$6,500

Toward the costs of a feasibility study for a common investment fund for foundations.

NATIONAL CENTER FOR
NONPROFIT BOARDS
Washington, D.C.
\$120,000 over three years

To support the center in its first years as a separate, free-standing organization. The center offers a variety of programs and services designed to strengthen the governing boards of nonprofit organizations throughout the country, thereby improving the effectiveness of these organizations.

NATIONAL CHARITIES
INFORMATION BUREAU, INC.

New York, New York
\$120,000 over three years

For its Public Outreach Project, designed to expand public awareness of the bureau as an independent, reliable source of information on charitable organizations. The National Charities Information Bureau (NCIB), which publishes the *Wise Giving Guide* and reports on individual charities, was established in 1918 to help contributors make informed choices. This grant also supports NCIB's work with the International Committee on Fund Raising Organizations.

NEW YORK REGIONAL ASSOCIATION
OF GRANTMAKERS

New York, New York
\$4,500

For a conference on specific opportunities for New York City nonprofits and funders to affect government policies, regulations, laws and practices. Sponsored in cooperation with the Nonprofit Coordinating Committee of New York, the meeting will bring together both grantors and grantees to discuss the ways in which city, state and federal policy issues are affecting nonprofit organizations.

NEW YORK UNIVERSITY
LEONARD N. STERN
SCHOOL OF BUSINESS

New York, New York
\$60,000 over two years

Continued support for the Initiative on Nonprofit Entrepreneurship (INE) at the Leonard N. Stern School's Center for Entrepreneurial Studies. INE, established in 1985 to provide a resource for nonprofit organizations contemplating or involved in income-earning activities, has developed a program of research and publication in a number of areas of importance to nonprofit management, particularly those related to innovation and earned income.

SAN FRANCISCO, UNIVERSITY OF
San Francisco, California

up to \$70,000

Toward a study of the charitable behavior of Hispanic and Asian Americans. The fourteen-month project will inquire

into subjective attitudes toward philanthropy, asking what motivates people to contribute time or money; why one charitable activity is chosen over another; why certain forms of philanthropy appear in one community but not others. Following extensive fieldwork, research findings will be analyzed to illuminate the ways in which cultural elements affect giving and volunteering.

SOCIAL POLICY CORPORATION
FUND FOR INDEPENDENT PUBLISHING

New York, New York

\$12,000

For the planning of a new, not-for-profit, public interest publishing house. Established with the intent of publishing books of social and intellectual significance which might otherwise not be published, this new house will concentrate on economic and social issues, including supplements and alternatives to standardized texts, materials prepared by educational reform groups, policy studies and research funded by foundations, and materials developed by museums and research institutes.

VOLUNTEER CONSULTING GROUP, INC.

New York, New York

\$110,000 over two years

Toward development of a systematic process to identify and recruit strong candidates for nonprofit boards. The new Civic Leadership Placement Program is expected to provide a more effective and efficient means of expanding the pool of potential board members and of matching appropriate candidates with organizational needs.

YALE UNIVERSITY
SCHOOL OF ORGANIZATION
AND MANAGEMENT

New Haven, Connecticut

\$52,000 over three years

For the School of Organization and Management's student internship fund, which provides support to students who wish to work in nonprofit organizations during the summer of their two-year academic program. This phase-out grant will assist the fund in establishing an advisory board and a program of alumni fund-raising.

AMERICAN COMMITTEE FOR
AID TO POLAND
McLean, Virginia
\$50,000 over two years

For a project of the committee, formerly the Emergency Committee for Aid to Poland, to strengthen the voluntary sector in Poland. The organization serves as an intermediary between U.S. government agencies and the private sector in identifying and developing programs; it secures humanitarian aid for those at greatest risk; and it facilitates initiatives by private corporate and voluntary organizations to assist economic modernization. For the next year or so, the committee will give special attention to the voluntary sector through efforts that emphasize the use of volunteers to address societal needs and that train Poles in the management of voluntary organizations.

CHARTER SEVENTY-SEVEN
FOUNDATION, INC., THE
New York, New York
up to \$35,000

For a conference on foundations and voluntary organizations in Czechoslovakia. The conference, held in August of 1990 in Bratislava, addressed a wide range of legal and administrative issues relating to the functioning of foundations and voluntary organizations in the West. Discussion also included the practical steps needed to revive an indigenous nonprofit sector.

COUNCIL ON FOUNDATIONS, INC.
Washington, D.C.
\$100,000 over two years

For its Program for Leadership in International Philanthropy, through which the council will expand its efforts to encourage international grantmaking and, especially, to assist in the development of vitally needed private philanthropic sectors in newly emerging democracies. Among its aims, the program will promote the sharing of information among grantmakers on a global basis as well as the development of relationships of mutual benefit between U.S. and foreign grantmakers.

ESQUEL GROUP FOUNDATION

Bethesda, Maryland

\$75,000

To develop a plan for the creation of national foundations in Chile, Argentina, and Uruguay. The objective is to establish well-endowed national foundations to facilitate the development of long-term strategies to address local needs. The Esquel Group, a regional network of nongovernmental organizations and individuals, has consistently emphasized the need for indigenous initiative and control over Latin America's development agenda.

JOHNS HOPKINS UNIVERSITY, THE
INSTITUTE FOR POLICY STUDIES

Baltimore, Maryland

\$210,000 over three years

Toward a comparative study of the international private sector. At a time when the potential role the nonprofit sector can play in advancing the social weal is being reconsidered, especially in countries of recent social change, little is known about the various forms it takes from country to country. The project will conduct in-depth studies of the private sector in at least eight nations, examining its size, internal structure, financing, and relationship with government.

NATIONAL UNIVERSITY OF SINGAPORE

Republic of Singapore

\$10,066

For a project to encourage the development of organized philanthropy in East Asia. The grant supported a meeting in March of 1990 at which representatives from Singapore, Indonesia, Taiwan and South Korea worked together to create a common model for presenting and analyzing data on private philanthropy in their countries. In addition, it has permitted the extension of this new network to Malaysia and Thailand.

MEMBERSHIPS

COUNCIL ON FOUNDATIONS

Washington, D.C.

up to \$30,000

A membership grant for 1991. The council has over 1,200 members, representing independent, community, operating, and public foundations, corporate grantmakers, and trust companies. The council also works with more than 25 affinity groups that are coalitions of grantmakers with a common interest, and with 34 regional associations of grantmakers.

INDEPENDENT SECTOR

Washington, D.C.

\$7,400

A membership grant for 1991. Independent Sector operates 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.

NEW YORK REGIONAL ASSOCIATION

OF GRANTMAKERS

New York, New York

\$7,125

A membership grant for 1991. The association offers its more than 150 members in New York, New Jersey, and Connecticut a program of meetings, seminars, and workshops on a wide range of topics, from the legal and technical to existing and emerging areas of grantmaking interest.

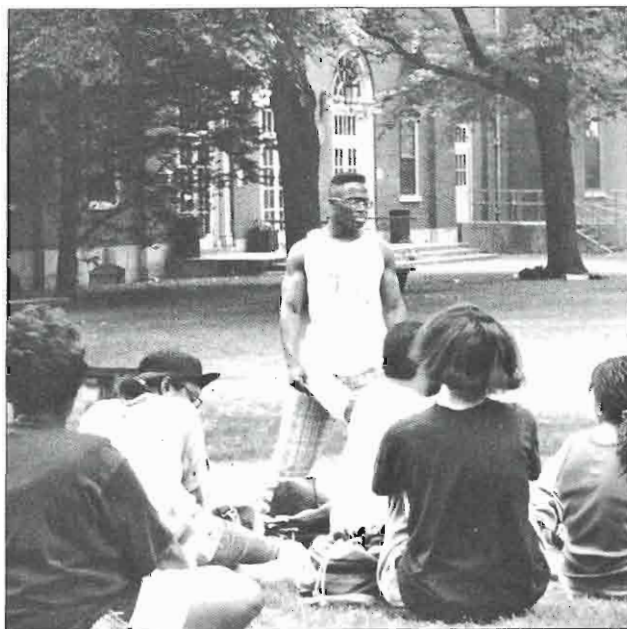
PAYMENTS MADE IN 1990 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
NONPROFIT SECTOR				
(\$1,073,791 PAID)				
UNITED STATES				
ACCESS: Networking in the Public Interest Boston, Massachusetts General support	175,000		50,000	125,000
Boston Foundation Boston, Massachusetts Project to promote deferred giving among smaller nonprofit organizations	150,000*	100,000	50,000	
Development Training Institute Baltimore, Maryland Fund-raising campaign for Internship in Community Economic Development	125,000*	75,000	50,000	
Educational Commission of the States Denver, Colorado To establish Campus Compacts at the state level	160,000		80,000	80,000
Folkworks New York, New York Special Events Production Technical Assistance program	46,000		46,000	
Foundation Center New York, New York General support	30,000		30,000	
MacArthur Foundation, John D. and Catherine T. Chicago, Illinois Feasibility study for a common investment fund for foundations	6,500		6,500	
National Center for Nonprofit Boards Washington, D.C. General support	120,000		50,000	70,000
National Charities Information Bureau New York, New York Public Outreach Project	120,000		40,000	80,000
New York Regional Association of Grantmakers New York, New York Conference on nonprofits and public policy	4,500		4,500	
New York University New York, New York Leonard N. Stern School of Business Initiative on Nonprofit Entrepreneurship	60,000		35,000	25,000
San Francisco, University of San Francisco, California Study of philanthropic behavior in Hispanic and Asian American communities	70,000		46,500	23,500 ³
Social Policy Corporation New York, New York Fund for Independent Publishing Planning for a not-for-profit publishing house	12,000		12,000	
United Negro College Fund New York, New York Pilot Planned Giving Program	150,000*	40,000	60,000	50,000
United Way of Tri-State New York, New York Retiree solicitation program	160,000*	130,000	30,000	

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
Volunteer Consulting Group New York, New York Civic Leadership Placement Program	110,000		55,000	55,000
Yale University New Haven, Connecticut Institution for Social and Policy Studies Program on Non-Profit Organizations School of Organization and Management Student internship fund	150,000* 52,000	100,000	21,500	50,000 30,500
INTERNATIONAL				
American Committee for Aid to Poland McLean, Virginia Programs to strengthen the nonprofit sector in Poland	50,000		25,000	25,000
Charter Seventy-Seven Foundation New York, New York Conference on the nonprofit sector in Czechoslovakia	35,000		35,000	
Council on Foundations Washington, D.C. Program for Leadership in International Philanthropy	100,000		50,000	50,000
Esquel Group Foundation Bethesda, Maryland Planning phase of project to create national foundations in Chile, Argentina and Uruguay	75,000		75,000	
Graduate School and University Center City University of New York New York, New York Center for the Study of Philanthropy International fellows program	130,000*	95,000		35,000
International Foundation for Development Alternatives Nyon, Switzerland Establishing a Hungarian foundation	17,500*		17,500	
Japanese NGO Center for International Cooperation Tokyo, Japan General support	105,000*	35,000	35,000	35,000
Johns Hopkins University Baltimore, Maryland Institute for Policy Studies International Fellows in Philanthropy program Study of international private sector	170,000* 210,000	120,000	50,000 70,000	140,000
National University of Singapore Republic of Singapore Philanthropy in East Asia project	10,066		10,066	
MEMBERSHIPS				
Council on Foundations Washington, D.C. Membership for 1990 Membership for 1991	30,000 30,000	24,700	24,700	5,300 ⁺ 5,300
Independent Sector Washington, D.C. Membership for 1991	7,400		7,400	
New York Regional Association of Grantmakers New York, New York Membership for 1991	7,125		7,125	
			1,073,791	855,800

* Appropriation made prior to 1990

⁺ Lapsed



Robert E. Mays, Jr.

Institute for Recruitment of Teachers, Phillips Academy

In 1989, the trustees approved an education program for the Fund which aims to strengthen the numbers and quality of teachers in American public schools through support for the identification, training, induction, and continuing development of individuals of the highest quality in the teaching profession. Based on the conviction that the successful reform of public education depends on the quality of people entering and remaining in the teaching force, this program seeks to counter the declining interest among college students in the teaching profession, the “congenital prestige deficiency” of teaching as a career, and the shortage of teachers, which is expected to accelerate through the 1990s. Further, as the student population becomes increasingly diverse, the Fund believes that it is crucial to seek to reflect that diversity within the teaching profession and to insure that all teachers are fully competent to the task of educating students with varying cultural backgrounds.

In 1990, as plans were being developed for the Rockefeller Brothers Fund Fellowships for outstanding minority students entering the teaching profession, the Fund supported activities under each of the other specific areas of concentration of the new program. As part of its interest in promoting improved training programs for teachers of young children, the Fund made grants to Pacific Oaks college for its project to assist preschool workers, many of whom are minority, obtain teaching credentials; and to Wheelock College for its new Center for Career Development in Early Care and Education, which is expected to play a leading role in national efforts to improve standards for teacher training in the field of early childhood education.

Within age groups ranging from young children to late adolescents, student populations are becoming ever more heterogeneous, yet this trend is not reflected among people entering the teaching profession. In keeping with the Fund's interest in supporting efforts which encourage minorities to consider teaching as a career, grants were made to the Hispanic Teacher Mentoring Project at Claremont University, an initiative designed to encourage Hispanics to enter the teaching profession by providing matriculants with a broad range of support mechanisms, and to the Institute for Recruitment of Teachers at Phillips Academy in Andover, which brings outstanding minority undergraduate students to the campus each summer to study and explore the possibility of a career in teaching.

MINORITIES

CAMBRIDGE COLLEGE
Cambridge, Massachusetts
\$50,000

For a planning grant to develop an alternative teacher certification program for adult students. In addition to its primary objective, curriculum development, the planning phase will include development of methods of student assessment and faculty and student recruitment. Through this new program, the college hopes to attract to the teaching profession nontraditional candidates: people without bachelor's degrees, especially members of minority groups, who have valuable experience to bring to the urban classroom.

CLAREMONT UNIVERSITY CENTER
Claremont, California
\$150,000 over three years

Support for the university's Hispanic Teacher Mentoring Project, which recruits qualified Hispanic students into the university's graduate education program. Once matriculated, students are provided with the financial, social and professional support

necessary to sustain them through completion of their graduate education and initial full-time teaching. The center began this project in 1988 as a response to the lack of Hispanic teachers in the nation's public schools.

PHILLIPS ACADEMY, TRUSTEES OF

Andover, Massachusetts

\$150,000 over two years

Toward the academy's recently inaugurated Institute for Recruitment of Teachers, which identifies talented Hispanic, African-American, and Native American students in their junior year of college and seeks to interest them in careers in teaching. Students spend four weeks during the summer at Andover, preparing for graduate coursework and exploring the nature and rewards of the teaching profession.

E A R L Y C H I L D H O O D

PACIFIC OAKS

Pasadena, California

\$96,600 over two years

Toward the creation of a career development program for early childhood teachers. The program will assist uncredentialed preschool workers, many of whom are minority, to complete a bachelor of arts degree at Pacific Oaks and obtain a teaching credential. As a specific, local model for addressing the shortage of well-trained early childhood education teachers, this program complements the Wheelock College initiative [see below], which is concerned with policy issues and large-scale change.

WHEELOCK COLLEGE

Boston, Massachusetts

\$200,000 over two years

Support for the college's new Center for Career Development in Early Care and Education. The center is intended to serve as a focal point for national efforts to strengthen teacher education, training, and career development in the field of early care and education, which includes day care, Head Start, and the early grades of public school. Among its several projects over the next three years, the center will produce a state by state report, supply assistance to five pilot initiatives, and hold a conference of prominent educators.

NON-SCHOOL SETTINGS

BROOKLYN INSTITUTE OF
ARTS AND SCIENCES
Brooklyn, New York
\$150,000 over two years

For the museum's Summer Teachers' Institutes, intensive three-week programs which familiarize teachers with the museum's resources and show them how to use these resources to teach children about the many cultural streams that form contemporary American society. This grant supports the summer 1991 institute on American decorative arts and the 1992 institute on Spanish colonial art in America.

CHILDREN'S MUSEUM
OF INDIANAPOLIS
Indianapolis, Indiana
\$24,000

For a conference, "America's Youth Museums: Implications of Research on Their Practices." Scheduled for March of 1991, the conference will bring together youth museum directors, academic researchers, and public school teachers to explore issues of teaching and learning in these non-school settings.

\$5,250

To cover increased costs for participants at the above conference.

HARVARD UNIVERSITY
GRADUATE SCHOOL OF EDUCATION
Cambridge, Massachusetts
\$240,000 over two years

Support for a pilot program, "Project Spectrum: Connecting Children to their Community." The project, which has been designed to be particularly helpful to children from disadvantaged minority backgrounds, seeks to address the diversity of abilities of children through a program of adult mentoring and community field experiences. Spectrum teachers will work with early grade public school children in one community, before branching out to other sites over the course of the pilot study.

UNDERGRADUATE,
LIBERAL ARTS PROGRAMS

YALE UNIVERSITY
New Haven, Connecticut
\$57,500

For a conference, "The Role of the Liberal Arts Colleges in Teacher Preparation," organized by the Consortium for Excellence in Teacher Education. The conference, to be held in March of 1991, will bring together presidents and deans along with education program heads from selective undergraduate liberal arts colleges to discuss how best to strengthen those institutions' teacher education programs.

PROJECTS OF PARTICULAR MERIT

EDITORIAL PROJECTS
IN EDUCATION, INC.
Washington, D.C.
\$100,000

Continued support for its publication, *Teacher Magazine*. The emphasis of the magazine, launched in 1989 as the nation's first professional journal for teachers of all disciplines at all levels, is on informing and motivating teachers and on helping them to understand and address the complex issues facing their schools and their profession.

NATIONAL FACULTY, INC.
Atlanta, Georgia
\$150,000 *over two years*

General budgetary support. The National Faculty of Humanities, Arts, and Sciences provides in-service training for elementary and secondary school teachers by linking groups of teachers with outstanding college professors for two or three years to acquaint teachers with new advances in their fields and to help them become more effective in the classroom.

PAYMENTS MADE IN 1990 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
EDUCATION				
(\$925,150 PAID)				
MINORITIES				
Cambridge College Cambridge, Massachusetts Planning for alternative teacher certificate program	50,000		50,000	
Claremont University Center Claremont, California Hispanic Teacher Mentoring Project	150,000		50,000	100,000
Phillips Academy, Trustees of Andover, Massachusetts Institute for Recruitment of Teachers	150,000		75,000	75,000
EARLY CHILDHOOD				
Pacific Oaks Pasadena, California Career development program for early childhood teachers	96,600		47,400	49,200
Wheelock College Boston, Massachusetts Center for Career Development in Early Care and Education	200,000		100,000	100,000
NON-SCHOOL SETTINGS				
Brooklyn Institute of Arts and Sciences Brooklyn, New York Summer Teachers' Institutes	150,000		75,000	75,000
Children's Museum of Indianapolis Indianapolis, Indiana Conference on youth museums	24,000 5,250		24,000 5,250	
Harvard University Cambridge, Massachusetts Graduate School of Education Project Spectrum: Connecting Children to their Community	240,000		116,000	124,000
UNDERGRADUATE, LIBERAL ARTS PROGRAMS				
Yale University New Haven, Connecticut Conference on The Role of Liberal Arts Colleges in Teacher Preparation	57,500		57,500	
PROJECTS OF PARTICULAR MERIT				
Brown University Providence, Rhode Island Coalition of Essential Schools For <i>Horace</i> newsletter	150,000*	75,000	75,000	
Editorial Projects in Education Washington, D.C. For <i>Teacher Magazine</i>	100,000		100,000	
National Faculty Atlanta, Georgia General support	150,000		150,000	
			925,150	523,200

* Appropriation made prior to 1990



Henry Wang

Neighborhood Builders Program, New York City Partnership Foundation

The Fund re-cast its New York City program in 1990, with a new concentration on assisting clusters of community-based groups working to create low-cost and affordable housing, and on selected projects in the City that relate to the RBF's global and national programs in sustainable resource use and in education. Throughout this program, the Fund will favor projects that have the potential to forestall or reduce racial and ethnic polarization in the City. Examples of this initiative include the conflict resolution and peer mediation program for the City's middle schools supported by a 1990 grant to the Fund for New York City Public Education and the grant to the New York City Partnership Foundation for its efforts, in collaboration with local development organizations, to promote minority participation in the development of affordable housing.

The Fund's revised New York City program maintains a commitment to assist in the AIDS crisis in New York City. During 1990

the Fund gave specific attention to the issues and needs surrounding adolescents and women with children who are infected. Initial support was provided to the AIDS and Adolescents Network of New York, which facilitates the work of AIDS organizations, health care facilities, and government agencies trying to respond to AIDS infection in the adolescent community by developing prevention programs, policies, and services that are sensitive to young people.

Two other 1990 grantees seek to respond to this increasingly critical problem of mothers with AIDS and their children. One, the Lower East Side Family Union, is developing a cost-effective pilot program that coordinates care and assistance for mothers with AIDS; the other, the Fund for the City of New York, will explore over the next two years options for meeting the widely varying needs of AIDS orphans, who are expected to number in the tens of thousands in New York City alone during this decade.

STRENGTHENING
VITAL INSTITUTIONS &
ENCOURAGING PUBLIC-PRIVATE
COLLABORATION

FUND FOR NEW YORK CITY

PUBLIC EDUCATION

New York, New York

\$300,000

To develop a conflict resolution and peer mediation program for public middle schools in New York City. Approximately twenty schools will be selected to test a model program which, if successful, could be established in middle schools City-wide. The Fund for New York City Public Education, which serves as a bridge between the City's public schools and the private sector, will administer the program in collaboration with the school system.

MS. FOUNDATION FOR WOMEN, INC.

New York, New York

\$150,000

Toward the New York City portion of a national collaboration of twelve foundations to support innovative economic development initiatives that benefit low-income women and women of color. Under the program, grants will be awarded to non-profit organizations involved in self-employment and small business development that provides training, technical assistance, and credit to women. Grants will also be made for cooperative and nonprofit-based enterprise development that creates jobs within a selected sector or industry.

NEW YORK CITY MISSION SOCIETY

New York, New York

\$187,500 over three years

Support for a special project to provide management assistance to private social service delivery agencies in New York City. The programs of many such agencies, on which the City relies heavily to deliver critical social services such as child care, drug treatment, and youth counseling, have become increasingly hampered by inadequacies of management at both the staff and board levels. This project seeks to help a number of agencies to build stronger boards, develop better fiscal accountability, and design more efficient and realistic program goals.

NEW YORK CITY

PARTNERSHIP FOUNDATION

New York, New York

up to \$250,000

Support for the work of the Partnership Foundation with the Community Partnership Development Corporation (CPDC). CPDC, a City-wide local development corporation, promotes minority participation in the development of affordable housing and provides technical assistance, training, and referral services to minority professionals and minority-led, community-based nonprofit groups to enhance their ability to plan, finance, and build affordable housing. This grant will also provide support for emerging community development organizations participating in CPDC programs.

NEW YORK PUBLIC LIBRARY,

ASTOR, LENOX AND TILDEN

FOUNDATIONS

New York, New York

\$163,500

To complete the organization of the new Collections Maintenance Office, one of the final pieces to be put in place in the larger effort to refurbish and renew the New York Public Library. The office, which will be responsible for maintaining books in the stacks, is central to the library's plans for addressing the conservation requirements of the collections through an effective, systematic, and long-term program.

FUND FOR THE
CITY OF NEW YORK, INC.

New York, New York

\$100,000 over two years

For a project to define policy options for the care of AIDS orphans. Taking into account the needs of the entire spectrum of affected children, from dying infants to healthy adolescents, the AIDS and Orphans Project will seek to present the advantages and disadvantages of a range of policy options, including additional financial and psychosocial support for extended family members, foster care, adoption, small group care, placement out of New York City, and the creation of new models within the community for childrearing.

LOWER EAST SIDE FAMILY UNION, INC.

New York, New York

\$80,000 over two years

To initiate a pilot case management program for women with AIDS and their children. The aim of the Living with AIDS Project is to help women with AIDS remain with their children, out of the hospital and in control of their lives, for as long as possible; to assist them in assessing and obtaining the services they need; and to help them in creating sound arrangements for the future care of their children.

PAYMENTS MADE IN 1990 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
NEW YORK CITY				
(\$1,093,500 PAID)				
STRENGTHENING VITAL INSTITUTIONS AND ENCOURAGING PUBLIC-PRIVATE COLLABORATION				
Central Park Conservancy New York, New York Costs of capital campaign	150,000*	50,000	100,000	
Coro Foundation New York, New York New leadership training programs	75,000*	40,000	35,000	
Cultural Council Foundation New York, New York Administration of the Manhattan Decentralization Program of the New York State Council on the Arts	37,500*	27,500	10,000	
Fund for New York City Public Education New York, New York Conflict resolution and peer mediation program	300,000		200,000	100,000
Ms. Foundation for Women New York, New York Women's economic development initiative	150,000		50,000	100,000
New York City Mission Society New York, New York Management assistance to private social service delivery agencies	187,500		187,500	
New York City Partnership Foundation New York, New York Collaborative programs of the Community Partnership Development Corporation	250,000		100,000	150,000
New York Public Library, Astor, Lenox and Tilden Foundations New York, New York Collections Maintenance Office	163,500		163,500	
Nonprofit Coordinating Committee of New York New York, New York General support	75,000*	50,000	25,000	
AIDS				
Fund for the City of New York New York, New York AIDS and Adolescents Network of New York Project to define policy options for the care of AIDS orphans	90,000*	45,000	45,000	
Lower East Side Family Union New York, New York Pilot case management program for women	100,000		100,000	
80,000		40,000	40,000	
New York City Mission Society New York, New York Black Leadership Commission on AIDS	75,000*	37,500	37,500	
			1,093,500	390,000



Primary Math Project, University of Cape Town

During the past three decades, the Fund has supported an extensive range of activities in South Africa. This involvement began in the late 1960s with a high-level exchange program between leaders in the U.S. and South Africa. From 1978 to 1984, the RBF tried to counteract the deteriorating human rights situation by supporting South African organizations which participated in important test cases, expanded practical training in public interest law, and improved free legal assistance to the poor. More recently, Fund grants focused on institution building, educational reform, leadership training, and the alternative media.

Following a review of the Fund's grantmaking in South Africa, the trustees approved new guidelines in June of 1990. The revised program aims to improve the quality and accessibility of basic education for both children and adults. This program is based on the premise that a more universally informed public will help

prepare for a post-apartheid South Africa and will be vital to the transformation of society. Consequently, most grants are for projects which help South Africans, especially those who are most disadvantaged, acquire fundamental learning skills such as literacy and numeracy.

In 1990, the first grants were made under this initiative. Conscious of the importance of supporting projects which enable all members of society to take action on their own behalf, a strong effort was made to identify community-based projects. One such program, the Primary Math Education Project located at the University of Cape Town, provides in-service training for primary school mathematics teachers in squatter camps. The goal of the Teacher's Action Research Project at the University of the Western Cape is to help teachers in disadvantaged communities learn to evaluate their own performance. Both programs seek to encourage teachers to reflect upon and improve their own teaching practices, rather than rely on the traditional methodology which stresses memorization and repetition.

BASIC EDUCATION

CAPE CHURCHES URBAN TRUST

Cape Town, South Africa

\$34,000

For Molo Songololo, a community-based project which offers educational programs for children, organizes workshops for teachers on alternative educational methodology, and produces a children's magazine. The magazine aims to make relevant educational reading material available to children, to promote contact between children from different backgrounds, and to encourage community involvement with education.

CAPE EDUCATIONAL TRUST

Cape Town, South Africa

\$53,000 over three years

For its Early Learning Resource Unit to launch a second-language curriculum development program for preschool children. This pilot program is intended to counter the high drop-out rates which occur in the first years of elementary school, when the primary language of instruction is changed to English. Since learning a second language is bound with attitudes toward the language and its speakers, the program will include anti-bias activities to foster intercultural awareness.

CAPE TOWN, UNIVERSITY OF

Cape Town, South Africa

\$30,000

For a pilot project to research and develop an adult education program for rural communities in South Africa. The project is based on the "Delta" model of educational training, which aims to stimulate development by teaching people to define their own needs, evaluate available resources, and take action to improve their situation. Coordinators will work with community and church leaders in rural settings to build networks of resource people and foster community initiatives such as literacy projects.

\$33,000

For the Primary Math Education Project, which provides in-service training and support for primary mathematics teachers in squatter communities in the Cape Town region. Through workshops and classroom visits, the project exposes teachers to alternative instructional methods, while encouraging teachers to reflect on their work, identify problems, and improve their performance.

NATAL, UNIVERSITY OF

Durban, South Africa

\$58,000 over two years

Toward a project of the Adult Basic Education Program to research and develop a series of fiction and nonfiction books for new readers, in Zulu and in English, with both a rural and urban focus. Such easy reading texts, the existence of which is necessary to consolidate and extend literacy skills beyond basic levels, are in scarce supply in South Africa.

NATIONAL LITERACY COOPERATION

Durban, South Africa

\$51,000

Toward a program of activities to increase communication and cooperation among progressive literacy groups in South Africa. Established in 1989, the National Literacy Cooperation will expand its capacities in 1991 with the opening of a national office, publication of a newsletter to link literacy organizations, and formation of working groups to discuss materials and curricula development as well as teacher training.

SACHED TRUST

Johannesburg, South Africa

\$100,000 over two years

For its children's literacy project, which is intended to ease the entry of illiterate children, aged nine to sixteen years, into the formal education system. Concentrating its efforts in rural areas and squatter camps, the project trains children's literacy and primary school teachers, develops curricula and educational materials, and explores innovative teaching methodology. Beginning in 1991, Sached will offer an English-literacy training course, establish a resource center, and publish a magazine for literacy teachers.

STORYTELLER GROUP, THE

Johannesburg, South Africa

\$33,000

For its project to publish and distribute free of charge one million educational comic books to mark the International Year of Literacy. The comic book, which is based on the true story of children's efforts to clean up a polluted river in Natal, will be used as a teaching resource and for research into the role of accessible print media in promoting literacy and encouraging reading at primary, secondary and adult levels.

WESTERN CAPE, UNIVERSITY OF THE

Bellville, South Africa

\$150,000 over three years

Support for a project of the Centre for Adult and Continuing Education to build a national network of trained educators of adults, and to develop methodology, resources, and curricula for adult educators. This grant supports two components of the project: workshops for educators and the production of training manuals.

\$88,000 over three years

Support for the Teacher's Action Research Project (TARP), established in 1987 to work directly with teachers in disadvantaged communities to encourage them to reflect on and improve their own teaching methodology. The project emphasizes an approach to education reform that stresses the importance of teacher participation. Over the next three years TARP, which has been mainly active in secondary schools, will expand its work with primary school teachers.

WITWATERSRAND, UNIVERSITY OF THE

Johannesburg, South Africa

\$32,000

Support for the Era Initiative (Era), a project of the Centre of Continuing Education to develop and distribute easy reading materials for adults. Era, a collaborative effort on the part of various groups, including progressive literacy organizations, universities, and libraries, encourages commercial publishers to commit more resources to the production and distribution of basic reading materials.

SPECIAL OPPORTUNITIES

AFRICAN-AMERICAN INSTITUTE

New York, New York

\$100,000 over two years

To the institute's South African leadership project. Through a program of activities, including conferences, training programs, and visitor exchange, AAI aims to encourage communication between progressive South Africans and U.S. leaders during the current period of transition in the areas of education, the media, and national institutional development.

INSTITUTE OF

INTERNATIONAL EDUCATION, INC.

New York, New York

\$40,000

As a contribution to the work of its South African Information Exchange (SAIE), which provides up-to-date information on South African human resource and development needs. SAIE has developed a series of resources, including a database, to assist grantmakers and service organizations wishing to support nonprofit organizations and initiatives in South Africa.

PHELPS-STOKES FUND,

THE TRUSTEES OF THE

New York, New York

\$12,500

For the publication and distribution of Nelson Mandela's 1990 speeches at Cape Town and Soweto. Published as part of the Phelps-Stokes Fund's *Statements* program, the copies of Mandela's speeches were distributed free of charge to libraries and to key individuals in government, education, and journalism.

PAYMENTS MADE IN 1990 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
SPECIAL CONCERNS—SOUTH AFRICA				
(\$617,500 PAID)				
BASIC EDUCATION				
Cape Churches Urban Trust Cape Town, South Africa Molo Songololo	34,000		34,000	
Cape Educational Trust Cape Town, South Africa Second language curriculum development project of its Early Learning Resource Unit	53,000		14,000	39,000
Cape Town, University of Cape Town, South Africa Pilot adult education program for rural communities	30,000		30,000	
Primary Math Education Project	33,000		33,000	
Natal, University of Durban, South Africa Adult Basic Education Program's materials development project	58,000		29,000	29,000
National Literacy Cooperation Durban, South Africa For increasing communication and cooperation among progressive literacy groups in South Africa	51,000		51,000	
Sached Trust Johannesburg, South Africa Children's literacy project	100,000		50,000	50,000
Storyteller Group C.C. Johannesburg, South Africa Educational comic book project	33,000		33,000	
Western Cape, University of the Bellville, South Africa Programs of the Centre for Adult and Continuing Education	150,000		50,000	100,000
Teacher's Action Research Project	88,000		44,000	44,000
Witwatersrand, University of the Johannesburg, South Africa Centre of Continuing Education's Era Initiative	32,000		32,000	
SPECIAL OPPORTUNITIES				
African-American Institute New York, New York South African leadership project	100,000		100,000	
Institute of International Education New York, New York South African Information Exchange	40,000		25,000	15,000
Phelps-Stokes Fund, The Trustees of the New York, New York Distribution of speeches of Nelson Mandela	12,500		12,500	
Southern African Advanced Education Project Oxford, England Administrative and managerial training for black South Africans	240,000*	90,000	80,000	70,000
			617,500	347,000

PROGRAM FOR
ASIAN PROJECTS FUND



Claudia Raean

International Institute of Rural Reconstruction

The Program for Asian Projects was created in 1987 to support projects in Asia that exemplify both the spirit of the Ramon Magsaysay Awards and the program concerns of the Fund. Ramon Magsaysay Awards have been made by the Ramon Magsaysay Award Foundation since the mid-1950s to individuals and organizations in Asia whose civic contributions and leadership reflect the ideals of the former Philippine President. Under the Program for Asian Projects, grants are approved annually to Magsaysay awardees and to the Magsaysay Foundation in amounts of up to \$10,000 for projects that they propose to undertake in order to extend their work. These awards support initiatives in the areas of international understanding, government service, public service, community leadership, and journalism, literature and creative communication arts.

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. In 1990, for example, support was provided for a project in Malaysia to teach formerly landless women, who now live in resettlement camps, to produce traditional handicrafts and thus contribute to the livelihood of their families. Another grant was made to support construction projects at a special commune in Anandwan, India, where leprosy patients are sheltered and rehabilitated.

Second, the program is envisioned as a cooperative philanthropic effort of East and West. Although the approval of grants rests with the Fund's board of trustees, the program is administered by an Asian board of advisers with staff support from the Ramon Magsaysay Award Foundation in the Philippines. The Program for Asian Projects, headquartered in Manila, is supported by a separate endowment of \$2 million.

PROGRAM FOR
ASIAN PROJECTS FUND

ALIAS, MUHAMAD

Malaysia

\$10,000

Handicraft Production as a Means to Upgrade the Quality of Rural Life.

ALVAREZ, CECILE G.

Philippines

\$10,000

Using the Arts for the Rehabilitation and Education of Disadvantaged Children.

AMTE, M.D.

India

\$10,000

Construction of Community Kitchen, Dining Hall and Toilets for New Commune.

ARIYARATNE, A.T.

Sri Lanka

\$10,000

Agricultural Development Project for a Selected Village in the Dry Zone Area of Sri Lanka.

ASIAN INSTITUTE OF TECHNOLOGY

Thailand

\$10,000

Pilot Demonstration Project for the Development of
Hua Nong Waeng Village, Khon Kaen Province,
Northeast Thailand.

BAYANIHAN FOLK ARTS ASSOCIATION

Philippines

\$10,000

Continuing the Search for Peace and Unity—New Horizons.

DALAI LAMA, H.H.

India

\$10,000

Volunteer Health Aide Project.

DESAI, MANIBHAI BHIMBHAI

India

\$3,000

Development of Communication and Training Materials for
Ecologically Sound Development Programmes.

HATA, PRATEEP U.

Thailand

\$10,000

Youth Development—Klong Toey.

INTERNATIONAL INSTITUTE OF

RURAL RECONSTRUCTION

Philippines

\$10,000

People's Education and Organization for the Protection of the
Living Environment.

ISHIMURE, MICHIKO

Japan

\$7,843

Production of a Pamphlet on Minamata Disease in English.

KIM, IM-SOON

Korea

\$10,000

Public Information for the Amended Family Law of Korea.

LEE, TAI-YOUNG

Korea

\$10,000

Public Information for the Amended Family Law of Korea.

RAMON MAGSAYSAY

AWARD FOUNDATION

Philippines

\$10,000

PROJECT SURMA: Training the Successors of Ramon Magsaysay Awardees.

\$10,000

PROJECT LEGACY: Publication of the Important Works of the Deceased Ramon Magsaysay Awardees.

\$10,000

An Asian-wide Information Campaign for the Ramon Magsaysay Awardees and the Ramon Magsaysay Award Foundation.

REUTER, JAMES B.

Philippines

\$10,000

Designing, Producing, and Video Taping a 60-hour Course to Train Trainers for the Introduction of Media Education into the Schools.

SARACHCHANDRA, V. E.

Sri Lanka

\$10,000

Preservation of Sinhala Theatrical Works.

SARIAN, ZACARIAS

Philippines

\$10,000

Secrets of Farming Success: All About Successful Farmers and Their Ideas That Work.

SHOURIE, ARUN

India

\$10,000

Sustaining Good Work.

SOEDJARWO, ANTON

Indonesia

\$10,000

Support for Community Development Activities.

SUMMER INSTITUTE OF LINGUISTICS

OF TEXAS

Philippines

\$10,000

Vernacular Education Resources and Other Literature for the Philippine Cultural Communities.

TIMM, RICHARD W.

Bangladesh

\$5,000

Subsidized Bengali Production of a Practical Manual on Justice and Human Rights.

PAYMENTS MADE IN 1990 AND GRANTS OUTSTANDING

Recipient and Purpose	Total Appropriation	Paid in Previous Years	Payment in 1990	Unpaid Balance
PROGRAM FOR ASIAN PROJECTS FUND (\$215,843 PAID)				
Alias, Muhamad Malaysia	10,000		10,000	
Alvarez, Cecile G. Philippines	10,000		10,000	
Amte, M.D. India	10,000		10,000	
Ariyaratne, Ahangamage Tudor Sri Lanka	10,000		10,000	
Asian Institute of Technology Thailand	10,000		10,000	
Bayanihan Folk Arts Association Philippines	10,000		10,000	
Dalai Lama, H.H. India	10,000		10,000	
Desai, Manibhai Bhimbhai India	3,000		3,000	
Hata, Prateep U. Thailand	10,000		10,000	
International Institute of Rural Reconstruction Philippines	10,000		10,000	
Ishimure, Michiko Japan	7,843		7,843	
Kim, Im-soon Korea	10,000		10,000	
Lee, Tai-Young Korea	10,000		10,000	
Ramon Magsaysay Award Foundation Philippines	10,000 10,000 10,000		10,000 10,000 10,000	
Reuter, James B. Philippines	10,000		10,000	
Sarachchandra, V.E. Sri Lanka	10,000		10,000	
Sarian, Zacarias Philippines	10,000		10,000	
Shourie, Arun India	10,000		10,000	
Soedjarwo, Anton Indonesia	10,000		10,000	
Summer Institute of Linguistics of Texas Philippines	10,000		10,000	
Timm, Richard W. Bangladesh	5,000		5,000	
			215,843	

SUMMARY OF PAYMENTS MADE IN 1990 AND GRANTS OUTSTANDING

	Payments in 1990	Unpaid Balances	% of Total
One World: Sustainable Resource Use	\$ 3,242,142	\$3,914,459	30%
One World: World Security	3,796,795	2,186,500	35%
Nonprofit Sector	1,073,791	855,800	10%
Education	925,150	523,200	8%
New York City	1,093,500	390,000	10%
Special Concerns: South Africa	617,500	347,000	5%
Program for Asian Projects Fund	215,843		2%
	10,964,721	\$8,216,959 ⁵	
Payments matching employee contributions to charitable institutions	17,465		
	10,982,186		
Pocantico Historic Area	163,258		
Grant returned	(4,843)		
	\$11,140,601		

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

Unpaid Appropriations, December 31, 1989:

Principal Fund	\$ 5,795,900	
RBF Awards in Arts Education	89,946	\$ 5,885,846

Appropriations authorized in 1990:

Principal Fund	\$13,250,393	
Pocantico Fund	163,258	
Asian Projects Fund	215,843	
RBF Awards in Arts Education	-0-	
Charitable Matching Gifts	17,465	
	\$13,646,959	
Less:		
Appropriations lapsed:		
Principal Fund	85,300	
		\$13,561,659

Appropriations paid in 1990:

Principal Fund	\$10,744,035	
Pocantico Fund	163,258	
Asian Projects Fund	215,843	
	11,123,136	
RBF Awards in Arts Education	-0-	
Charitable Matching Gifts	17,465	
		\$11,140,601

Unpaid Appropriations, December 31, 1990:

Principal Fund	\$ 8,216,959	
Pocantico Fund	-0-	
Asian Projects Fund	-0-	
	8,216,959	
RBF Awards in Arts Education	89,946	
		\$ 8,306,904

⁵ Total does not include lapsed items

REPORT OF INDEPENDENT PUBLIC ACCOUNTANTS

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, 1990 and the related statement of fund activity for the year then ended. These financial statements and the schedule referred to below are the responsibility of the Fund's management. Our responsibility is to express an opinion on these financial statements and schedule 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, 1990 and the results of its operations for the year then ended in conformity with generally accepted accounting principles.

As explained in Note 2, the financial statements include investments in limited partnerships which, in certain instances, have valued portions of their underlying portfolios on fair value bases as determined by management of each limited partnership or their designee. As of December 31, 1990 and 1989, \$21,817,000 (8.2% of fund balance) and \$13,352,000 (4.6% of fund balance), respectively, of the investments in the limited partnerships have been recorded at fair value. Because of the inherent uncertainty of valuation, the estimates of fair values may differ significantly from the values that would have been used had a ready market for the investments existed, and the differences could be material.

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
May 10, 1991

BALANCE SHEET

DECEMBER 31, 1990
WITH COMPARATIVE 1989 TOTALS

ASSETS	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Total All Funds	Total 1989 (Note 8)
CASH	\$ 857,840	\$ 24,822	\$ 861	\$ 8,792	\$ 892,315	\$ 3,636,990
ACCOUNTS RECEIVABLE	79,173	-	-	-	79,173	124,689
INTEREST and DIVIDENDS RECEIVABLE	2,154,738	264,066	26,884	45,276	2,490,964	2,572,150
DUE FROM BROKERS and DEALERS	35,274	-	-	-	35,274	1,780,262
INVESTMENTS, at market value (Note 3)	229,813,105	35,454,736	1,816,202	2,127,232	269,211,275	287,218,468
PROGRAM RELATED INVESTMENTS:						
Program mortgage loans	589,264	-	-	-	589,264	601,543
Real estate (Note 4)	510,000	-	-	-	510,000	510,000
Other	833,140	-	-	-	833,140	862,064
PREPAID FEDERAL EXCISE TAX	21,300	11,753	555	712	34,320	-
FIXED ASSETS (net of accumulated depreciation of \$121,843)	586,378	-	-	-	586,378	294,769
Total Assets	\$235,480,212	\$35,755,377	\$1,844,502	\$2,182,012	\$275,262,103	\$297,600,935
LIABILITIES AND FUND BALANCES						
LIABILITIES:						
Grants payable (Note 2)	\$ 8,306,904	\$ -	\$ -	\$ -	\$ 8,306,904	\$ 5,885,846
Due to brokers and dealers	691,946	-	-	-	691,946	1,232,961
Federal excise tax payable	-	-	-	-	-	85,417
Total liabilities	8,998,850	-	-	-	8,998,850	7,204,224
FUND BALANCES	226,481,362	35,755,377	1,844,502	2,182,012	266,263,253	290,396,711
Total liabilities and fund balances	\$235,480,212	\$35,755,377	\$1,844,502	\$2,182,012	\$275,262,103	\$297,600,935

The accompanying notes are an integral part of this statement.

STATEMENT OF FUND ACTIVITY

FOR THE YEAR ENDED DECEMBER 31, 1990
WITH COMPARATIVE 1989 TOTALS

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Total All Funds	Total 1989 (Note 8)
REVENUES:						
Dividend income	\$ 6,180,226	\$ 677,709	\$ -	\$ -	\$ 6,857,935	\$ 7,001,447
Interest income	7,092,488	936,978	140,826	186,477	8,356,769	6,551,395
Other income	233,562	-	-	-	233,562	199,475
	13,506,276	1,614,687	140,826	186,477	15,448,266	13,752,317
GRANTS AND EXPENSES:						
Grants awarded	13,182,558	163,258	-	215,843	13,561,659	9,159,395
Provision for federal excise tax (Note 2)	510,372	78,247	2,645	3,288	594,552	1,172,821
Functional expenses (Exhibit I)						
Direct charitable activities	352,382	140,733	37,783	-	530,898	437,893
Program and grant management	1,525,694	-	-	-	1,525,694	1,263,453
Investment management	1,240,022	204,048	8,592	6,981	1,459,643	1,516,491
General management	907,289	5,223	-	45,000	957,512	968,927
	17,718,317	591,509	49,020	271,112	18,629,958	14,518,980
Excess (deficiency) of revenues over grants and expenses	(4,212,041)	1,023,178	91,806	(84,635)	(3,181,692)	(766,663)
GAIN ON INVESTMENTS:						
Net realized gain (loss) from securities sales	11,364,622	2,157,352	-	(15,111)	13,506,863	46,442,690
Net change in unrealized gain (loss) on investments	(31,143,899)	(3,307,077)	8,333	(15,986)	(34,458,629)	7,854,883
	(19,779,277)	(1,149,725)	8,333	(31,097)	(20,951,766)	54,297,573
Excess (deficiency) of income over grants and expenses	(23,991,318)	(126,547)	100,139	(115,732)	(24,133,458)	53,530,910
FUND BALANCES, beginning of year	250,472,680	35,881,924	1,744,363	2,297,744	290,396,711	236,865,801
FUND BALANCES, end of year	\$226,481,362	\$35,755,377	\$1,844,502	\$2,182,012	\$266,263,253	\$290,396,711

The accompanying notes are an integral part of this statement.

NOTES TO FINANCIAL STATEMENTS
DECEMBER 31, 1990

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.

In certain instances, portions of the underlying investment portfolios of the limited partnerships contain non-marketable or thinly traded investments which have been recorded at fair value by the limited partnerships. As of December 31, 1990 and 1989, \$21,817,000 and \$13,352,000, respectively, of the Fund's investments in limited partnerships were recorded at fair value which might differ significantly from the market value that would have been used had a ready market for the investment existed.

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, 1990 will be paid as follows:

	Amount
1991	\$5,450,758
1992	2,499,446
1993	356,700
	\$8,306,904

The balance of grants payable at December 31, 1990 includes \$10,760 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 the Federal excise tax on net investment income.

FIXED ASSETS

In 1989, the Fund began capitalizing fixed assets, which include leasehold improvements, furniture and fixtures and office equipment. Depreciation and amortization of the fixed assets are provided over the following estimated services lives:

Leasehold improvements	life of lease
Furniture & fixtures	7 years
Office equipment	5 years

3 INVESTMENTS:

Investments as of December 31, 1990 are as follows:

	Cost	Unrealized Appreciation	Quoted Market or Equity Value
Principal Fund:			
Short-term investments	\$ 36,839,901	\$ 1,181	\$ 36,841,082
Stocks	96,032,659	(4,249,028)	91,783,631
Bonds	71,023,691	2,184,359	73,208,050
Limited partnerships	23,431,207	4,549,135	27,980,342
	227,327,458	2,485,647	229,813,105
Pocantico Fund:			
Short-term investments	4,145,878	-	4,145,878
Stocks	17,917,314	4,166,197	22,083,511
Bonds	9,069,116	156,231	9,225,347
	31,132,308	4,322,428	35,454,736
Ramon Magsaysay Award Foundation Fund:			
Short-term investments	143,499	-	143,499
Bonds	1,367,594	305,109	1,672,703
	1,511,093	305,109	1,816,202
Asian Projects Fund:			
Short-term investments	297,849	-	297,849
Bonds	1,723,611	105,772	1,829,383
	2,021,460	105,772	2,127,232
Total Investments	\$261,992,319	\$7,218,956	\$269,211,275

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.

Actuarial present value of benefit obligations:

Accumulated benefit obligation, including vested benefits of \$2,828,422	\$2,917,177
--	-------------

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's policy is to make contributions to maintain the plan on a sound financial basis.

Effective January 1, 1989, Financial Accounting Standards Board Statement No. 87, Employer's Accounting for Pensions was adopted for the plan.

The following table sets forth the plan's funded status and amounts recognized in the Fund's balance sheet at December 31, 1990:

Projected benefit obligation for service rendered to date	\$3,654,102
Plan assets at fair value	5,042,123
Plan assets in excess of projected benefit obligation	1,388,021
Unrecognized prior service cost	(2,454)
Unrecognized net gain from past experience different from that assumed and effects of changes in assumptions	237,739
Unamortized transitional net asset	1,083,845
Prepaid pension cost included in assets	\$ 68,891
Net pension cost for 1990 included the following components:	
Service cost—benefits earned during period	\$ 180,230
Interest cost on projected benefit obligation	296,505
Actual return on plan assets	(167,588)
Net amortization and deferral	(349,345)
Net periodic pension cost (benefit)	\$ (40,198)

The weighted-average discount rate and rate of increase in future compensation levels used in determining the actuarial present value of the projected benefit obligation were 9 percent and 6 percent, respectively. The expected long-term rate of return on assets was 9 percent.

Fiscal Year:	
1991	\$ 437,371
1992	437,371
1993	437,371
1994	493,806
1995	493,806
1996-1998	1,481,418

6 RELATED PARTY TRANSACTIONS:

The Fund paid Rockefeller and Co., Inc., fees of \$268,120 as one of its investment advisors and paid 5600, Inc., fees of \$8,200 for accounting, legal, and other services for the year ended December 31, 1990. The Fund was reimbursed \$89,734 for certain common expenses by Rockefeller Family Fund, Inc. In all instances, financial arrangements are determined on a fair value basis.

The lease expires on December 31, 1998. Rent expense aggregated approximately \$437,000 in 1990.

8 PRIOR YEAR'S FINANCIAL STATEMENTS:

The amounts shown for 1989 in the accompanying financial statements are presented to provide a basis for comparison with 1990 and present totals only. Certain reclassifications of the 1989 financial information have been made to conform to the 1990 presentation.

7 COMMITMENTS:

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

EXHIBIT I

SCHEDULE OF FUNCTIONAL EXPENSES FOR THE YEAR ENDED DECEMBER 31, 1990 WITH COMPARATIVE 1989 TOTALS

	Direct Charitable Activities	Program and Grant Management	Investment Management	General Management	Total 1990	(Note 8) 1989
SALARIES AND EMPLOYEE BENEFITS:						
Salaries	\$171,346	\$ 763,345	\$ 55,696	\$412,789	\$1,403,176	\$1,125,200
Employee benefits	32,342	144,069	10,527	76,467	263,405	204,266
	203,688	907,414	66,223	489,256	1,666,581	1,329,466
OTHER EXPENSES:						
Consultants fees	37,783	39,955	-	11,269	89,007	200,014
Investment services	-	-	1,337,276	-	1,337,276	1,427,198
Legal and audit fees	147,333	-	25,941	109,515	282,789	292,265
Travel	50,593	174,423	-	-	225,016	164,244
Rent and electricity	56,958	253,750	18,515	133,877	463,100	434,527
Telephone	4,031	17,959	1,310	10,865	34,165	35,599
General office expenses	20,366	86,967	7,111	103,010	217,454	239,001
Publications	-	-	-	55,147	55,147	28,588
Renovations & refurbishing	-	-	-	17,231	17,231	-
Depreciation and amortization	10,146	45,226	3,267	27,342	85,981	35,862
	\$530,898	\$1,525,694	\$1,459,643	\$957,512	\$4,473,747	\$4,186,764

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Washington, D.C. 20037

FINANCE COMMITTEE

James Wolfensohn, Chairman
Henry Upham Harris, Jr.
Claudine Malone
Robert B. Taylor

¹ Until June 14, 1990

² Advisory Trustee until June 14, 1990

OFFICERS

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Middlebury, Vermont 05753

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Domenica Giacalone, Assistant Treasurer
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STAFF

Program Officers

Nancy E. Chapman
William F. McCalpin
William S. Moody
Nancy L. Muirhead
Hilary K. Palmer
Caroline Zinsser³

Program Support

Lynn E. Anderson
Miriam Aneses
Margaret Ameer Cataldo⁴
Bridget M. Fenlon
Catalina M. Griffin
Teresa Jeanpierre⁵
Joan A. Landis⁶
Hugh Lawson⁷
Helen E. Mann⁸
Bridget Massay
Ellen M. Merrick
Jennifer B. Parker⁹
Adrienne Rudolph
Barbara Schauber
Robert Stone
Anne W. Suessbrick
Joan Sullivan¹⁰
Susan C. Wolfrom¹¹
Sandra Ziering

Consultant

James R. Rush

¹ Effective June 14, 1990

² Effective October 9, 1990

³ Effective January 1, 1990

⁴ Through January 10, 1990

⁵ Effective February 26, 1990

⁶ Effective June 29, 1990

⁷ Part-time

⁸ Through September 7, 1990

⁹ Through March 9, 1990

¹⁰ Effective March 12, 1990

¹¹ Effective October 22, 1990

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