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ROCKEFELLER BROTHERS FUND ANNUAL REPORT 1991

ROCKEFELLER BROTHERS FUND

ANNUAL REPORT

ROCKEFELLER
BROTHERS FUND, INC.

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RBF

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1991 was not only the Rockefeller Brothers Fund's 50th Anniversary year (as noted in some detail in last year's annual report), but as chance would have it, a pivotal year in which several hoped-for affiliations were sealed and in which trustees and staff for the first time crossed the Atlantic ocean together for a board meeting.

The formal affiliation of the Rockefeller Brothers Fund and the Asian Cultural Council, formed by founding Trustee John D. Rockefeller 3rd, began in 1991. This arrangement both deepens the Fund's commitment to Asia, where the Council keeps offices in Hong Kong and Tokyo, and also revives its active role in arts and culture—areas in which it has had no formal program since 1984. As the Pacific Rim nations in particular draw closer economically, it seems more important than ever that the "cultural conversation" among them should be strengthened. To this end, we look forward to an enriching alliance with our new partner and its able long-time President, Richard Lanier.

On September 20, 1991, an agreement was signed by the Fund and the National Trust for Historic Preservation in which the Fund leased from the Trust properties which have been historically associated with the Rockefeller Family in Westchester County. These properties, known as the Pocantico Historic Area, include Kykuit—the historic home and gardens of my great-grandfather, John D. Rockefeller—which has been occupied by four generations of the family. They also include my uncle Nelson Rockefeller's art collections and a coach barn, part of which will be refashioned into a meeting facility where programs related to the Fund's fields of interest can be carried out in creative tranquility. These programs will include seminars organized around the work of one of the Fund's grantees, workshops of groups of grantees involved in the same field, and meetings with grantmakers who share the Fund's concern with international and domestic issues. Both Kykuit and the Coach Barn will be open for a program of public visitation that will be operated by Historic Hudson Valley on behalf of the Fund.

This vision of a historic area having two quite different public purposes the visitation of a significant and beautiful site as well as the enhancement of international and domestic grantmaking—is a particularly creative aspect of the agreement. Members of my generation of the family have long felt that Kykuit and the Coach Barn should continue to be active centers of philanthropic programs to which our family has been dedicated for so long.

Two of the Fund's co-founders, Laurance S. Rockefeller and David Rockefeller, have made generous contributions to cover the start-up costs, enabling the Fund to focus its resources on the active public programs, which are expected to begin in 1994.

In mid-October, the Fund's trustees and senior staff paid a 10-day visit to many of its 62 grantees in Central Europe. Stops were made in Warsaw, Budapest and Prague, three venerable cities struggling to find a formula for revival, wedged as they are between the very visible revolutions at work in the European Community and the former Soviet Union. We had an opportunity to see first hand the results of almost 50 years in which the human and environmental consequences of industrial pollution were ignored. We visited controversial projects such as the Nagymaros Dam, which threatens the viability of the Danube, and projects that promise positive change, such as the Fund-supported International Management Center in Budapest. The Center is the first western-style school of business management in that region.

Central Europe's economic, environmental and educational challenges, however daunting, seemed more manageable to us when we met in stimulating private conversation with the emerging entrepreneurs and policymakers—mayors, environmentalists, journalists, educators, ministers, and heads of state—who will shape the new Poland, Hungary and Czechoslovakia.

For all of the above reasons and many more, it is with satisfaction but wistfulness that I turn over the Chairman's pen and gavel after nearly five years to another member of the family representing the immediate offspring of the Fund's founders. It has been a privilege to serve with such a conscientious group of colleagues: fellow trustees, professional staff and grantees alike.

To Colin Campbell, who happily continues into his fourth year as President and to my successor chair, my cousin, Abby O'Neill, I wish courage and wisdom and look forward to sharing a seat at their table for the remaining years of my trusteeship.

David Rockefeller, Jr. May 1992



When, in 1983, the Board of Trustees of the Rockefeller Brothers Fund chose the theme of "One World" to guide the Fund's grantmaking for the remainder of the decade and beyond, it emphasized two major components of this new strategy—Resources and Security. In formulating this recommendation, the Board's Planning Committee urged that "what is done under the flag of world security should be related, where appropriate, to what the Fund undertakes in the resources area." This synergistic approach, which is a feature of much of the Fund's grantmaking today, is particularly evident in its activities in East-Central Europe. In addition to addressing critical resources and security issues, these activities, which comprise a significant portion of the One World Program, include an increasing emphasis on the development of foundations and voluntary associations in the region in keeping with the Fund's commitment to the enhancement of a nonprofit sector, internationally as well as domestically.

The visit by the Fund's Trustees to Poland, Hungary and Czechoslovakia in the Fall of 1991 offered a rare view of the remarkable and rapid changes underway in those countries where the bulk of the Fund's grants and technical assistance for the region has been directed since the mid-1980s. The trip also provided invaluable help to Board members and program officers as they seek to assess whether allocations of time and money to resources, security and nonprofit sector activities are in appropriate balance and at least have the potential to have an impact that exceeds the sum of the individual efforts. While it was clear to us that the process of political and economic transformation varies among the three countries, and is intertwined with particular national conditions and patterns of historical development, a number of challenges of regional significance became apparent. In many ways, the economic, security, ecological, and social challenges faced in common by Poland, Hungary and Czechoslovakia are a testament to the condition of interdependence among nations where sound national policies are necessary but not sufficient, in the absence of international cooperation, for peace, prosperity and health.

Poland, Hungary and Czechoslovakia stand at the edge of a community of nations to the West which provide relevant examples of pluralistic political processes and institutions, economic prosperity, and civil society. That they would seek to deepen and broaden contacts with this community seems

obvious and appropriate. As they continue the process of transformation in the context of their unique national characteristics, each country has opportunities, challenging as they may be, to make improvements on political, economic and social conditions seen in the West, particularly in the area of sustainable economic development.

The three countries also stand at the edge of a group of nations to the South and East, less politically and economically developed than nations in the West, still struggling to transcend many of the destabilizing currents dominant in 19th century Europe, and offering quite different models of political behavior than those found in the West. The historic challenge facing Poland, Czechoslovakia and Hungary, then, is to find ways to develop democratic attitudes, political institutions and economic systems. As one step toward this goal, it is clear that government officials and others in positions of important public responsibility in Poland, Hungary and Czechoslovakia could benefit from exposure to practices associated with democratic governance elsewhere.

One of the consequences of the revolutions of 1989 has been a proliferation of political parties and movements. The behavior of the newly enfranchised electorates with historically narrow political participation is, of course, unpredictable. Rapid and, in all probability, unforeseen swings are inevitable. Dramatically expanded political opportunity has yielded a group of leaders with diverse backgrounds and little relevant experience, who neither know the West well nor are well known to Westerners, thus increasing the risk of miscommunication between the new governments and their Western counterparts.

Ethnic identity and territorial disputes are obviously politically significant and potentially explosive issues in Poland, Hungary and Czechoslovakia as they are in Yugoslavia and the former Soviet republics. Conflicts that have international as well as domestic implications may arise over issues concerned with Hungarians living in Slovakia, the republics of Yugoslavia and the Transylvanian region of Romania. Within Czechoslovakia tensions between the Czechs and Slovaks seem likely to lead to national disintegration. Moreover, Poland, Hungary and Czechoslovakia all share a common past of antisemitism and troubled relations with the Gypsy populations living within their borders.

From a security perspective, Poland, Hungary and Czechoslovakia are in a precarious geographic position at the crossroads between East and West. Individuals in the region frequently express a sense of vulnerability that can be further enervating to an already strained populous. The three countries are, therefore, not only trying to deepen their economic ties with the West but are seeking to make new security alliances as well. In addition to the obvious security advantages of whatever linkages do emerge, the new arrangements may well provide wider forums in which potentially destructive cross-border ethnic disputes can be addressed.

The collapse of trade between Poland, Hungary and Czechoslovakia on the one hand and the former Soviet republics on the other, combined with the absence of significantly greater trade between the three countries and Western Europe, represent a clear obstacle to economic transformation. Increased regional economic, political and environmental cooperation seems essential but is hampered by the understandable determination to assert national identity and sovereignty after decades of suppression. Unfortunately, there is a real danger that this mind-set will become self-defeating and retard the process of economic change. For example, already enacted statutes and regulations governing privatization, foreign investment and environmental protection to be effective require regional cooperation and a degree of harmonization not currently in evidence.

There seems to be little alternative—given the severe air, water and soil pollution throughout the region, one of the most disgraceful and costly legacies of the communist era—than to view economic and political imperatives in the context of these environmental conditions. Yet the interconnections among economic, political and environmental issues severely complicate the process of policy choice. Under these circumstances, to be successful, efforts aimed at environmental rehabilitation will require broad public understanding. This will involve a comprehensive approach to public education that reaches from primary school students all the way to senior policymakers.

Environmental protection must be viewed not only as an economic and political imperative but also as a health and a moral issue, given the substantial impact of environmental degradation on the quality of life in the region. In the rural areas attention to the introduction of sustainable agriculture practices and responsible land use planning will be essential. As municipalities in the region become increasingly important economic and tourist centers, careful attention must be paid to issues of urban planning and historic preservation. As an example, it would be ironic and sad if the new appeal to visitors from across the world of the great cities of the region, such as Warsaw, Budapest and Prague, were to exacerbate the environmental hazards from which they suffer as a result of over-crowding and crumbling infrastructures.

In addition to the recent disintegration of regional arrangements such as the Warsaw Pact and the Council for Mutual Economic Assistance, an internal disintegrative process is evident as well. The legal and fiscal responsibilities and powers of national, regional and municipal governments in Poland, Hungary and Czechoslovakia are ill defined, posing, for example, major obstacles to the delivery of social services that were formerly the sole province of central governments. Sorting out responsibility for the delivery of social services—a process which must involve the several levels of government as well as the emerging private sector, profit and nonprofit—is not only interwoven with questions concerning the allocation of taxing authority but also with the general level of taxation.

The strengthening of civil society is essential to the viability of democracy and the protection of individual rights. As civil societies evolve, some responsibility for social, cultural, environmental and educational activities is appropriately shifted to voluntary associations. The development of both a legal framework and a code of ethics facilitating the creation and operation of voluntary associations which are publicly accountable is a necessary step in this process—one in which Western technical and financial assistance can play a vital role.

Contacts and cooperation among voluntary associations within and across national borders can contribute disproportionately to coordinated solutions to common problems, the emergence of permeable national boundaries and the lessening of international and inter-ethnic conflict. This interaction, if it is to be effective, will require broader public understanding of the role and specific projects of voluntary associations. The strengthening of an independent media is essential to this process. Not only in connection with the activities of voluntary associations but also with regard to the entire societal transformation there is an urgent need to reform school curricula to include such topics as the nature of democratic process, respect for civil liberties, the need for inter-ethnic tolerance, environmental protection, and the importance of voluntarism.

It was perhaps inevitable that the simultaneous move away from authoritarian rule and centrally planned economies would lead to a perception that democracy and capitalism function with identical objectives and methods. This attitude tends to downplay the concept of democracy as an all-encompassing practice which manifests itself in politics, economic activity, familial associations, education, and the arts—a practice which can be strengthened by action and linkages among organizations in civil society, within and across borders. Western private institutions and governments by providing technical assistance that is informed by democratic practice to their counterparts in Poland, Hungary and Czechoslovakia have the potential to make a significant contribution to the process of societal transformation. The broadcast and print media can also play an especially constructive role in civic education.

It is clear that the nations in East-Central Europe are undergoing processes of rebuilding and transformation, involving a fundamental change of ingrained habits and the development of alternative incentives. The populations of Poland, Hungary and Czechoslovakia are well educated by world standards, which on the one hand eases the challenge of effecting positive change but on the other has led to high expectations followed by alienation and frustration.

A major challenge facing individuals and institutions committed to societal transformation in East-Central Europe, including the Rockefeller Brothers Fund, is the determination of how best to contribute ideas and facilitate their implementation throughout the region. Possible means to achieve this include education and training for children and adults, the creation and strengthening of institutions devoted to policy research and development, programs to facilitate the improved delivery of technical assistance, and specialized training in effective governance, independent journalism, and business management. Much of this activity has been reflected in the Fund's grantmaking related to the region over the last several years. In the process the interrelationship of resources, security and nonprofit sector issues has become increasingly clear as has the Fund's determination in engaging these issues.

Colin G. Campbell May 1992



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 1991 were \$317,926,715 and its 209 grant payments and its matching gifts during the year amounted to \$10,922,366. Since 1940, the RBF has disbursed a total of \$394,641,564 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 18 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.

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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. The touchstones are: 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.

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 former Soviet Union or the United States. The other four areas are Nonprofit Sector, Education, New York City, and Special Concerns (South Africa).



GOAL

STRATEGIES

ONE WORLD: SUSTAINABLE RESOURCE USE

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

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 former 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

STRATEGIES

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.

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 former 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

STRATEGIES

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

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 fundraising 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.



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.

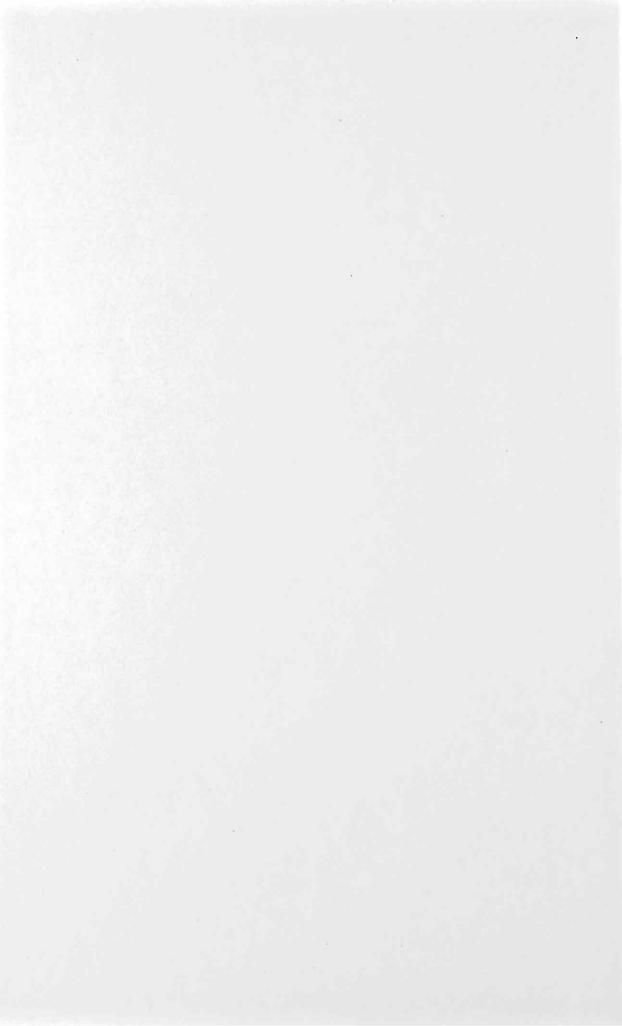
A detailed proposal, when requested, is expected to include a complete description of the purpose of the project or organization, the background and the research that have led to the development of the proposal, the methods by which the project is to be carried out, the qualifications and experience 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.



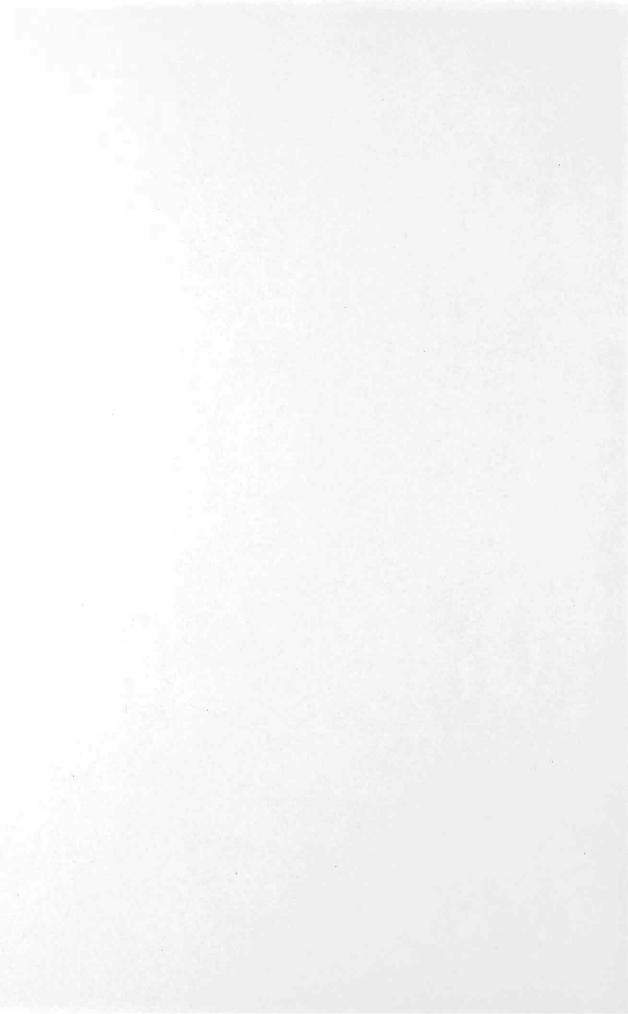
GRANT INFORMATION

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 (File 27) on DIALOG Information Services. 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 180 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).



ROCKEFELLER BROTHERS FUND

GRANTS 1991





Having made a series of grants in 1990 to support new organizations and projects that foster the wise use of natural resources in East-Central Europe, in 1991 the Fund paused to take stock of the significant changes that continue to occur in that region and to assess its own program strategies designed to find the best ways of contributing to the region's environmental recovery and renewal. Meanwhile, a number of these new organizations began operations. One, the Hungarian Foundation for Self-Reliance, makes small grants and loans to community-based nonprofit groups formed to address problems of environmental degradation, poverty and discrimination. In addition to providing much-needed tangible assistance, the Foundation seeks to help develop the capacity of individuals to manage the environment at the local level—a main emphasis of Fund grantmaking in East-Central Europe. The new Institute for Sustainable Development in Poland and the Institute of Sociology in Czechoslovakia, on the other hand, are primarily engaged in policy-related research, leading efforts to address environmental problems and to map out a course for encouraging sustainable development policies and practices. Finally, recognizing the urgent need for mechanisms through which funders can better coordinate technical and financial assistance to the region, the RBF joined with other American and European philanthropic institutions to create the U.S.-European Environmental Partnership for Central and Eastern Europe. The Partnership, by combining the resources of a number of funders, is able to work closely with many of the new nongovernmental organizations being formed in Poland, Hungary and Czechoslovakia to help their societies address the serious environmental issues that they face. The Partnership's capacity to provide these fledgling organizations with information and advice as well as financial support, and to help build communication among them, is particularly important given the lack of experience with nongovernmental organizations in the region.

While continuing to support sound environmental management in East Asia and domestically, the Fund also approved a cluster of grants in 1991 to organizations whose work on the issue of global climate change is building toward the United Nations Conference on Environment and Development in Rio de Janeiro in June 1992—an event which is expected to highlight key issues related to the development of effective international environmental policy. The RBF began funding several of these organizations, including the Environmental Defense Fund and the Woods Hole Research Center, in 1985,



when the phenomenon of global warming was discussed among scientists but not the public at large. Over the past six years, through a carefully planned series of international meetings and published analyses, this informal network of nongovernmental organizations has succeeded in increasing public awareness of the warming phenomenon and in moving discussion of the issue from the scientific community to the policymaking arena. The Fund's most recent round of grants in this area will support efforts to ensure that the nations represented at the U.N. conference have a clear understanding of the importance of limiting greenhouse gas emissions.

GLOBAL

ASHOKA
Washington, D.C.
\$100,000 over two years

A final contribution for institutional development purposes, to be used to strengthen the organization's base of financial support. Ashoka, a young organization devoted to assisting third world public service entrepreneurs, has grown significantly since its inception—increasing the number of Ashoka Fellows selected annually from four in 1984 to sixty-eight in 1990. Ashoka Fellows work both individually and collaboratively to address problems that persist throughout the third world, including environmental degradation, illiteracy, unequal access to justice, and malnutrition.

ECOFUND '92 Washington, D.C. \$113,500 over two years Support for a project to examine the relationships between population dynamics, environmental change, and development processes. The results of this project—a series of case studies exploring the extent to which developing countries are accounting for demographic change and population maldistribution in their efforts to address environmental challenges—will be presented at the United Nations Conference on Environment and Development in 1992. The project will be carried out by the secretariat established by the United Nations to prepare for the conference; Ecofund '92 is a nonprofit organization whose sole purpose is to support the activities of the secretariat.

INFORUM Kutztown, Pennsylvania \$100,000 over two years For a new international organization to facilitate exchange of information about sustainable land use systems. In order to improve the flow of information among researchers worldwide, Inforum plans to develop a digest of newsletters for international circulation, and electronic conferencing capabilities among land use centers. In addition, Inforum will develop standardized research and monitoring techniques and serve as an advocate for improving research on sustainable agriculture.



INSTITUTE FOR RESEARCH ON PUBLIC POLICY Ottawa, Canada \$50,000 over two years Support for a project to examine the political and institutional barriers to environmental policy reform. For global problems such as climate change, species loss, and fresh water depletion and contamination, mitigating policy measures have now been well described—and corroborated by field-level experience. These recommendations, however, have been largely ignored in the policy arena. This study, conducted by one of Canada's leading nongovernmental centers of public policy analysis, will identify existing bottlenecks in national and international policymaking processes, as well as suggest steps that might be taken to surmount these obstacles.

INSTITUTE FOR 21ST CENTURY STUDIES Arlington, Virginia \$100,000 over two years A final contribution to improve the organization's fund-raising capability and its visibility with planners and policymakers. Established in 1984, the institute provides training and support to national research teams, composed of local policy and academic experts, that analyze options for long-term sustainable development. Called "21st century studies," institute reports are designed to encourage national planners to better integrate economic, social and environmental data into policy decision-making. The institute has assisted in the development of reports for over 150 countries.

THE SYNERGOS INSTITUTE New York, New York \$250,000 over two years Continued general budgetary support. Established in 1986, the institute promotes the use of collaborative partnerships, across sectors of a particular society as well as across national boundaries, as an alternative approach to addressing problems of poverty worldwide. As part of its effort to help groups establish and manage collaborative partnerships, Synergos currently advises projects ranging from youth poverty in Brazil to rainforest preservation in Mexico.

UNITED STATES

CONSERVATION LAW FOUNDATION Boston, Massachusetts \$100,000 over two years To support an economic analysis of issues pertaining to sustainable resource use in the forest lands of northern New England and New York, which are increasingly threatened with unsustainable logging practices and with conversion to uses other than forestry. The analysis will be the first step in an effort to develop a land management strategy which provides for economic stability for local communities and sustainable forest management. The Conservation Law Foundation is joined in this effort by the Appalachian Mountain Club, the Audubon Society of New Hampshire, the Maine Audubon Society, and the Vermont Natural Resource Council.



MANAGEMENT
INSTITUTE FOR
ENVIRONMENT
AND BUSINESS
Arlington, Virginia
\$100,000 over two years

General budgetary support for the institute, founded in 1990 and dedicated to incorporating principles of environmental stewardship into business management theory and practice. Through its research and training programs and its information services, the institute seeks to promote a more environmentally literate business community and to strengthen the environmental content of graduate business management training in the U.S.

RODALE INSTITUTE Emmaus, Pennsylvania \$225,000 over three years For a program to increase the recycling of urban yard wastes for use in agriculture. Over the next several years, the institute will work with entrepreneurs, municipal officials, farmers, and citizens' groups to promote on-farm composting of urban yard wastes—leaves and grass clippings which currently account for 17 percent of the nation's solid waste stream and usually wind up in landfills. Under this system, municipalities will pay farmers for accepting the wastes at rates substantially below those now paid for other forms of disposal. Farmers will be able to lower their production costs and improve the sustainability of their farming methods by substituting this compost for chemical fertilizers.

SOUTHERN ENVIRONMENTAL LAW CENTER Charlottesville, Virginia \$225,000 over three years For its new energy initiative, which will encourage utilities in the southeast to pursue programs to increase the efficiency of electricity consumption. The project will also monitor the effectiveness of utility conservation programs, both voluntary and compulsory; and work to transform existing financial incentive systems, created by public utility commissions to regulate utility behavior, so that they reward the efficient use of energy. Established in 1986, the Southern Environmental Law Center is a public interest law firm which protects the natural resources of the south.

EAST-CENTRAL EUROPE & THE FORMER SOVIET UNION

AMERICAN-LATVIAN ASSOCIATION IN THE UNITED STATES Dix Hills, New York \$55,000 over two years Support for two environmental projects to be undertaken by the Latvian-American Environmental Task Force (Eco-Latvia), a voluntary network founded in 1989 under the aegis of the American-Latvian Association. The first project will enable a group of Latvian scientists to work as interns at the Andrew B. Breidenbach Environmental Research Center in Cincinnati, Ohio, studying research techniques and management practices. The second, a conference to be held in conjunction with an environmental trade show scheduled for Fall 1991 in Riga, Latvia, will provide information to the exhibition audience about technologies for addressing environmental problems.



HUNGARIAN FOUNDATION FOR SELF-RELIANCE Budapest, Hungary \$10,000 For conservation projects in the city of Dorog, Hungary. The grant provides for the planting of trees in the town square in Dorog, one of the most polluted cities in Hungary. Any remaining funds will support a project to monitor the level of toxic emissions from a local incinerator.

MICHAEL FIELDS AGRICULTURAL INSTITUTE East Troy, Wisconsin \$150,000 over three years For a program to advance ecological agriculture in East-Central Europe and the former Soviet Union. The Michael Fields Agricultural Institute, a small research institution dedicated to improving the sustainability of agriculture through alternative farming methods, will carry out cooperative programs in Poland, Hungary, Lithuania, Russia, and Moldavia. These projects have a variety of purposes: sharing current scientific information, conducting research and educational activities, converting existing farms from conventional to sustainable agricultural practices, and enabling young agronomists to visit alternative farms in the American Midwest.

MINISTRY OF AGRICULTURE OF THE CZECH REPUBLIC Prague, Czechoslovakia \$35,000 For projects to promote alternative agriculture in the Czech and Slovak republics. This initiative began in 1990 with the development of training programs for Czech Agriculture Ministry personnel and the general public, and with planning for the conversion of portions of selected state, cooperative, and private farms to organic farming methods. As this effort goes forward, the next steps include technical assistance to farmers who began farm conversions without adequate knowledge, further training programs directed at both Czech and Slovak agronomists, and information exchange to promote cooperation between the two republics.

WINROCK
INTERNATIONAL
INSTITUTE FOR
AGRICULTURAL
DEVELOPMENT
Morrilton, Arkansas
\$19,500

To undertake an assessment of the state of agricultural development in East-Central Europe. The purpose of the study, completed in 1991, was to answer questions about the ways in which organizations such as Winrock might be most helpful to the development of sustainable agriculture in East-Central Europe, and to explore opportunities for collaboration and possible funding sources.

EAST ASIA

INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION Washington, D.C. \$300,000 over three years To support an expansion of its energy efficiency activities in East Asia. Since 1987, the International Institute for Energy Conservation (IIEC) has worked in Thailand and neighboring countries to promote energy efficiency and conservation in the face of a region-wide energy crisis. Arguing that simply expanding energy sources is not sustainable, the institute has worked to disseminate information on current technologies, to promote energy efficiency in the electricity and transportation sectors, and to encourage development banks to integrate



energy efficiency components into their lending programs. Over the next three years, IIEC plans to expand its program of activities, including its education and outreach efforts.

NATIONAL COMMITTEE ON UNITED STATES-CHINA RELATIONS New York, New York \$40,000 Toward a conference on U.S.-China cooperation on environmental management. In the Fall of 1991, a group composed mainly of Americans knowledgeable about China-related programs met to discuss ways to enhance U.S. involvement in China's environmental affairs. Participants, representing the government, corporate, academic, and nonprofit sectors, shared insights gained from activities in China and explored options for increasing the effectiveness of programs to strengthen Chinese capacity for managing the country's natural resources.

NITROGEN FIXING TREE ASSOCIATION Waimanalo, Hawaii \$135,000 over three years To extend the organization's research, training, and outreach programs in Southeast Asia. Since its inception in 1981, the association has studied a special group of fast-growing trees, known as "nitrogen fixing" trees because they have the capacity to convert or "fix" nitrogen gas from the atmosphere into soluble form for enrichment of the soil. In addition to its research activities, the organization provides technical assistance on the introduction of successful tree varieties into community-based agricultural and forestry systems in developing countries. This grant supports an effort, starting in Thailand, the Philippines, and Indonesia, to address the widespread problem of soil depletion with an alternative agricultural system that mixes crops and trees.

OBOR Clinton, Connecticut \$63,700 To produce Thai, Malay, and Indonesian versions of the Worldwatch Institute's publications, *Saving the Planet* and *The Worldwatch Reader on Global Environmental Issues*, for distribution in South and Southeast Asia. In addition, Obor plans to publish affordable English-language editions of both titles to make these works more easily available to the many readers of English in the region. Since 1985, the Fund has supported Obor's efforts to bring selected Worldwatch publications to countries throughout Southeast Asia.

SAVE THE CHILDREN FEDERATION Westport, Connecticut \$30,000 To complete plans for a regional sustainable agriculture initiative in Asia. In recent years, Save the Children, like many other international development assistance agencies, has gradually shifted the focus of its field-level activities from short-term relief to long-term development. Based on the success of a pilot project being conducted at its main project area in Thailand, Save the Children is now going forward with plans for a major, multiyear initiative designed to incorporate a sustainable resource use philosophy into the rural development programs that it manages in five other nations.



THAILAND
DEVELOPMENT
RESEARCH INSTITUTE
FOUNDATION
Bangkok, Thailand
\$68,000

For a meeting of East Asian public policy research institutes to discuss possibilities for increased regional cooperation on sustainable development issues. Representatives of institutes in Thailand, China, Japan, South Korea, Taiwan, Malaysia, Indonesia, the Philippines, and Singapore—most of which have not yet broadened their economic and political agendas to include resource management concerns—assessed the state of research in the region on subjects such as hazardous waste control, forest management, and energy planning. The June 1991 meeting in Bangkok was scheduled to dovetail with a larger conference on global climate change organized by the Woods Hole Research Center.

GLOBAL CLIMATE CHANGE

ENVIRONMENTAL
AND ENERGY STUDY
INSTITUTE
Washington, D.C.
\$100,000 over two years

Continued support for the climate-related programming of the institute, an independent, bipartisan organization that seeks to educate the U.S. Congress on important public policy issues relating to the environment. Since 1987, the institute has helped to increase awareness of the climate change issue among members of Congress and their senior staff through a variety of activities, including workshops and weekend retreats. Over the next two years, these programs will focus especially on educating Congress about issues related to a possible convention on greenhouse gas emissions.

ENVIRONMENTAL
DEFENSE FUND
New York, New York
\$150,000 over two years

For the international component of its global atmosphere program. In 1992, at the United Nations Conference on Environment and Development, the international community will debate and most likely endorse some form of convention regarding greenhouse gas emissions. Over the next two years, as government representatives negotiate the wording of the document to be proposed, the Environmental Defense Fund (EDF) will provide leadership to the international network of nongovernmental organizations which are monitoring these discussions. The primary objective of EDF's activities is to increase the likelihood that the international convention eventually adopted be of a truly substantive nature.

STOCKHOLM ENVIRONMENT INSTITUTE Stockholm, Sweden \$120,000 over two years Support for its Climate Network-Europe, a project to coordinate the activities of European public interest organizations involved in global climate change issues. The network is supported by a secretariat, located in Brussels, which provides a range of services to thirty member organizations from the twelve nations of the European Community. The secretariat's current focus is to enhance its members' participation in the international discussions of a climate change convention.



WOODS HOLE RESEARCH CENTER Woods Hole, Massachusetts \$150,000 over two years

WORLD RESOURCES INSTITUTE Washington, D.C. \$150,000 over two years

Continued support for the center's project to hold regional conferences on the climate change issue in the developing world. Having organized and hosted three such meetings since 1988, with the object of increasing understanding of the stakes that developing nations have in addressing the warming problem, the center held its fourth and final conference in Bangkok in June of 1991. This grant also supports participation by the center in governmental and nongovernmental exchanges surrounding the convention negotiations.

Continued support for the institute's program of climate-related research and advocacy. The institute is a co-sponsor with the Woods Hole Research Center of the regional, developing country conferences on global warming; along with the Environmental Defense Fund, it provides support to nongovernmental leaders from Japan, Europe, and the developing world who wish to raise awareness of the climate change issues in their societies. Domestically, the institute works to encourage the adoption of measures reducing emissions of greenhouse gases and the development of a national energy policy based on increased efficiency and wider use of alternative sources of power.



PAYMENTS MADE IN 1991 AND	GRANTS OUTSTANDING	Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
GLOBAL					
ASHOKA Washington, D.C.	Institutional development	100,000		50,000	50,000
BIOMASS USERS NETWORK, INC. Washington, D.C.	General support	300,000*	100,000	100,000	100,000
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	
COFUND '92 Washington, D.C.	Study on population dynamics, environmental change and development	113,500		60,000	53,500
NFORUM Kutztown, Pennsylvania	Start-up support	100,000			100,000
NSTITUTE FOR RESEARCH DN PUBLIC POLICY Ottawa, Canada	To study the political and institu- tional barriers to environmental policy reform	50,000		25,000	25,000
NSTITUTE FOR 21ST CENTURY STUDIES Arlington, Virginia	Institutional development	100,000		50,000	50,000
NTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION New York, New York	Low External-Input, Rice-Based Ecosystems Development project	165,000*	110,000	55,000	
NEW YORK UNIVERSITY New York, New York	Urban Research Center: Mega-Cities Project	225,000*	150,000	75,000	
OVERSEAS DEVELOPMENT COUNCIL Washington, D.C.	Environmental protection and poverty alleviation projects in Central America	150,000*	100,000	50,000	
resources development foundation Washington, D.C.	Biotechnology program	350,000*	100,000	100,000	150,000
SYNERGOS INSTITUTE, INC.,THE New York, New York	General support	250,000		125,000	125,000
TUFTS COLLEGE, TRUSTEES OF Medford, Massachusetts	General support, Program for the Study of Sustainable Change and Development	75,000*		50,000	25,000
WORLD GAME INSTITUTE Philadelphia, Pennsylvania	World Game leaders workshops	170,000*	110,000	60,000	
world wildlife fund and the conservation foundation, inc. Washington, D.C.	Osborn Center	300,000*	100,000	100,000	100,000
			*Approp	riation made	prior to 199



ASSOCIATION IN THE

UNITED STATES, INC. Dix Hills, New York AMERICAN TRUST FOR

AGRICULTURE IN POLAND McLean, Virginia

BIOCULTURAL ASSOCIATION

Budapest, Hungary

		Appropriation	Previous Years	in 1991	Balance
WORLDWATCH INSTITUTE Washington, D.C.	State of the World and World Watch magazine	525,000*	325,000	200,000	
UNITED STATES					
AMERICAN FARMLAND TRUST	Agricultural policy project	450,000*	300,000	150,000	
Washington, D.C.	To its membership development project	300,000*	200,000	100,000	
CONSERVATION LAW	Energy conservation project	225,000*	150,000	75,000	
Boston, Massachusetts	Economic analysis of forest lands use in New England and New York	100,000		50,000	50,000
NSTITUTE FOR ALTERNATIVE AGRICULTURE, INC. Greenbelt, Maryland	General support	75,000*	64,240	10,760	
MANAGEMENT INSTITUTE FOR NVIRONMENT AND BUSINESS Arlington, Virginia	General support	100,000		50,000	50,000
regional plan association, inc. New York, New York	Solid waste management component of its plan for the New York metropolitan area	300,000*	100,000	100,000	100,000
RENEW AMERICA Washington, D.C.	Institutional development	180,000*	60,000	80,000	40,000
RODALE INSTITUTE Emmaus, Pennsylvania	For a program to recycle urban yard wastes for use in agriculture	225,000		75,000	150,000
OUTHERN ENVIRONMENTAL AW CENTER Charlottesville, Virginia	Energy conservation project	225,000		75,000	150,000
EAST-CENTRAL EU	JROPE & THE FORMER S	OVIET U	NION		
AMERICAN-LATVIAN	Latvian-American Environmental	55,000		48,000	7,000

Paid in

Payment

Unpaid

*Appropriation made prior to	1001

285,000

65,000

1,910

600,000*

20,000*

250,000

18,090

Task Force projects

Technical equipment

General operating expenses and

operating expenses for the charitable activities of the Foundation for the

Development of Polish Agriculture



			4		
		Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
BUDAPEST UNIVERSITY OF ECONOMIC SCIENCES Budapest, Hungary	Managers and the Environment conference	30,000*		30,000	
eastern european INDEPENDENT ENVIRON- MENTAL FOUNDATION Budapest, Hungary	Projects of its Independent Ecological Center	25,000*		6,871	18,129
GERMAN MARSHALL FUND OF THE UNITED STATES Washington, D.C.	U.SEuropean Environmental Partnership for Central and Eastern Europe	450,000*		215,000	235,000
HUNGARIAN ACADEMY	Handbook on environmental protection	20,000*			20,000
OF SCIENCE Budapest, Hungary					
HUNGARIAN FOUNDATION FOR SELF-RELIANCE	General support	150,000*	75,000	75,000	
Budapest, Hungary	Conservation projects in Dorog, Hungary	10,000		10,000	
HUNGARIAN INSTITUTE OF INTERNATIONAL AFFAIRS Budapest, Hungary	Transnational environmental conflict management project	60,000*			60,000
INSTITUTE OF SOCIOLOGY Prague, Czechoslovakia	To launch a center of environmental and social studies	150,000*	21,112	47,000	81,888
INSTITUTE FOR SUSTAINABLE DEVELOPMENT Warsaw, Poland	Start-up support	225,000*		75,000	150,000
JOHNS HOPKINS UNIVERSITY Baltimore, Maryland	Institute for Policy Studies: Project for improved municipal management in Poland	165,000*	55,000		110,000
MICHAEL FIELDS AGRI- CULTURAL INSTITUTE, INC. East Troy, Wisconsin	For a program to advance ecological agriculture in East-Central Europe and the Soviet Union	150,000		50,000	100,000
ministry of agriculture of the czech republic Prague, Czechoslovakia	Alternative agriculture projects in the Czech and Slovak republics	35,000		25,980	9,020
MINNESOTA, UNIVERSITY OF, FOUNDATION Minneapolis, Minnesota	Hubert H. Humphrey Institute of Public Affairs: Project on institutional reform for improved environmental management in East-Central Europe	150,000*	100,000	50,000	
NATIONAL ACADEMY OF SCIENCES Washington, D.C.	East-Central European environmental workshops	75,000*	50,000	25,000	
RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY New Brunswick, New Jersey	Center for Urban Policy Research: Project to train Polish public administrator in municipal management	135,000*	90,000		45,000



				100		
WINROCK INTERNAT INSTITUTE FOR AGRIC DEVELOPMENT, INC. Morrilton, Arkansas		To study the state of agricultural levelopment in East-Central Europ	19,500 De		19,500	
EAST ASIA						
ASIAN INSTITUTE OF TECHNOLOGY Bangkok, Thailand	(cholarship fund of the two-year m legree course in natural resource nanagement	naster's 90,000*	45,000	45,000	
ASIAN NGO COALITION RESEARCH FOUNDATI Manila, Philippines		ssian Development Bank monitori roject	ng 100,000*		50,000	50,000
CENTER FOR CULTUR TECHNICAL INTERCH BETWEEN EAST AND V Honolulu, Hawaii	ANGE C	Research and scientific exchange pr n sustainable management of reso n Vietnam		36,100	40,900	
CHIANG MAI UNIVERS Chiang Mai, Thailand		Aaster's degree program in agricult ystems	ural 60,000*	15,000	30,000	15,000
FRIENDS OF THE EAR Washington, D.C.		sian Development Bank monitori roject	ng 100,000*	50,000	50,000	
INTERNATIONAL INST FOR ENERGY CONSER INC.		nergy efficiency activities in East A	Asia 300,000			300,000
Washington, D.C.						
NANJING INSTITUTE ENVIRONMENTAL SCI Nanjing, People's Repu of China	ENCES	groecosystem program	100,000*	68,000		32,000
national committ united states-chin relations, inc. New York, New York		Conference on U.SChina coopera n environmental management	tion 40,000		40,000	
nitrogen fixing tr association Waimanalo, Hawaii	ее Т	o extend its programs in Southeas	t Asia 135,000		45,000	90,000
OBOR, INC. Clinton, Connecticut	v	o produce Thai, Malay, and Indor ersions of Worldwatch Institute ublications	nesian 63,700		63,700	
PHILIPPINE ENVIRONN JOURNALISTS, INC. Manila, Philippines		sian Forum of Environmental ournalists reports	55,000*	30,000	25,000	
SAVE THE CHILDREN FEDERATION, INC. Westport, Connecticut	i	lanning for a sustainable agricultu nitiative in Asia	re 30,000		30,000	
				*Appropr	iation made r	prior to 1991

^{*}Appropriation made prior to 1991

Payment in 1991

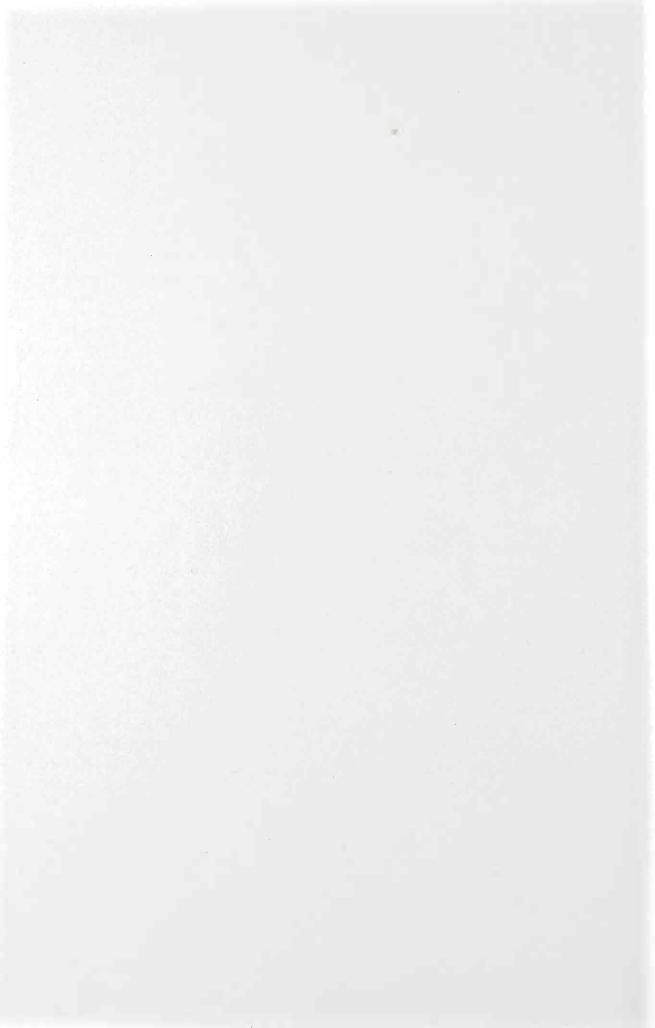
Unpaid Balance

Paid in Previous Years

Total Appropriation



<u> </u>		Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
THAILAND DEVELOPMENT RESEARCH INSTITUTE FOUNDATION Bangkok, Thailand	Meeting on increased regional cooperation regarding sustainable development issues	68,000		68,000	
WILDLIFE FUND THAILAND Bangkok, Thailand	Institution building	100,000*	40,000	30,000	30,000
GLOBAL CLIMATE	CHANGE				
ENVIRONMENTAL AND ENERGY STUDY INSTITUTE Washington, D.C.	Climate change project	100,000		50,000	50,000
environmental defense fund New York, New York	International component of climate change program	150,000		75,000	75,000
STOCKHOLM ENVIRONMENT INSTITUTE Stockholm, Sweden	Climate Network-Europe	120,000		60,000	60,000
WOODS HOLE RESEARCH CENTER, INC. Woods Hole, Massachusetts	Climate change policy project	150,000		75,000	75,000
WORLD RESOURCES INSTITUTE Washington, D.C.	Climate change project	150,000		75,000	75,000
SUBTOTAL		*		3,780,711	3,073,447





While tensions eased considerably in 1991 between the United States and the former Soviet Union, horizontal nuclear proliferation—the spread of nuclear weapons to additional countries—became an increasingly dangerous element of the international security environment. The treaties, export controls, and institutions on which international nonproliferation efforts rest came under increasing strain, in particular the Nuclear Non-Proliferation Treaty, which must be renegotiated in 1995. At the same time, the conflict between Iraq and the international community over Iraq's clandestine nuclear weapons program brought the issue of nuclear proliferation vividly to public attention. The Fund's nine-year-old nonproliferation program had been restructured in 1990 to focus on helping meet the following needs: educating policymakers and the general public about issues related to the extension of the Non-Proliferation Treaty, tightening nuclear export controls, controlling surplus plutonium, and exploring promising means of containing the nuclear weapons capability that has already been acquired around the globe. During 1991, these emphases were reevaluated and found to be sufficiently encompassing to allow the Fund to respond appropriately to the new nonproliferation challenges and opportunities. For example, a grant was made to the Atlantic Council in support of a new phase of its program to strengthen the International Atomic Energy Agency; and the Natural Resources Defense Council received support toward its project that seeks to control surplus plutonium in the republics of the former Soviet Union and to help the U.S. and Russia determine how to safely store the plutonium that will remain once nuclear weapons are dismantled.

In East-Central Europe, the centerpiece of Fund grantmaking in the economic sphere was its contribution toward the establishment of the Czechoslovak Management Center in Prague, the first independent management training institute in that country. In providing technical assistance and financial support for the Center, the Fund was able to build on its experience four years earlier in helping to establish the International Management Center in Budapest, at that time the only Western-style business management school in East-Central Europe. These projects reflect the Fund's belief that increasing the number of individuals skilled in market-oriented business and management practices is an essential element in the economic transformation of the region. As business management training increasingly becomes the province of governments, corporations, and Western universities, the Fund has begun



to consider ways to help strengthen the capacities of the countries of East-Central Europe for public and university administration.

In East Asia, the Fund continued its efforts to encourage the U.S. academic and policy communities to give urgent attention to America's relationship with that region and to do so in a manner that is comprehensive rather than piecemeal. With respect to bilateral issues, the Fund made a grant to the Institute for International Economics for a project to assess the current state of U.S.-Japan economic relations, at a time of increased tension in the relationship. The Fund also seeks to promote cooperation on trade, policy and security issues among nations of the Asia-Pacific region. A grant to the Asia Foundation is intended to help Asian nations reflect on their evolution over the past forty years and analyze their current status in the process of democratization. Such reflection is important, not only in terms of regional stability and growth, but also in terms of the changing role these nations are playing globally.

GLOBAL

ATLANTIC COUNCIL OF THE U.S. Washington, D.C. \$133,500 over two years

Continued support for the council's program to strengthen the International Atomic Energy Agency (IAEA). Since 1989, the project has sought to ensure the future soundness of the IAEA safeguards system and to increase understanding of the importance of the IAEA to the maintenance of world peace and security. Over the next two years, the project will examine issues of the agency's strengths, weaknesses, authority, scope and resources in light of the extensive new responsibilities in the areas of arms control and nuclear nonproliferation that have been handed to the agency as a result of the UN Security Council cease-fire resolution of the Gulf War and the end of the Cold War.

THE BROOKINGS INSTITUTION Washington, D.C. \$375,000 over three years

Continued support for the Africa Program, a private forum for the study and discussion of policy issues related to Africa. Initiated in 1989 as part of Brookings' Foreign Policy Studies Program, the forum, in addition to conducting research, brings together American scholars and policymakers involved with Africa with their counterparts from countries in Africa for policy discussions organized around four themes: conflict resolution, human rights, democratic participation, and sustainable development. Over the next several years, a particular effort will be made to establish contacts and engage in collaborative work on particular policy issues with policy research institutions and scholars based in Africa.



CARNEGIE
ENDOWMENT FOR
INTERNATIONAL
PEACE
Washington, D.C.
\$170,000 over two years

Continued support for the endowment's Non-Proliferation Project. Since the mid-1980s, the project has produced annual, book-length reports on the state of nuclear weapons proliferation worldwide, with the intention of building a broad international constituency concerned about proliferation and of encouraging policymakers to work toward strengthening nonproliferation measures. Over the next two years, new elements to be added to the project include an international conference aimed at initiating a dialogue between North and South Korea on the nuclear question, and an international computer network to enable the widely dispersed nonproliferation community to rapidly share new policy information, research, and analysis.

FRIENDS OF THE EARTH
Washington, D.C.
\$100,000 over two years

Continued support for its Nuclear Non-Proliferation Project, the main purpose of which is to provide a reliable base of scientific and technical information for the broad spectrum of current efforts to stop the spread of nuclear weapons. During the next two years, the project will give special attention to evaluating secret programs in countries that are on the threshold of being able to produce nuclear weapons, including Iran, India, Pakistan, and North Korea; and to assisting in the development of effective civilian control over nuclear weapons programs in countries which have pursued nuclear weapon capability but are now willing to explore means of restraining those capabilities.

MASSACHUSETTS
INSTITUTE OF
TECHNOLOGY
Cambridge,
Massachusetts
\$100,000 over two years

Continued support for the Center for International Studies' project on nuclear arms control in the Middle East. The project was initiated in 1990 in order to help devise a realistic nuclear arms control agenda for consideration by U.S., Israeli, and Arab policymakers and to raise the level of public understanding of these issues in the region. Over the next two years, the project will work to advance the ideas and proposals developed during its first phase and to explore new possibilities in light of the changes brought about by the Gulf War. Special attention will be given to exploring the verification requirements of its nuclear arms control and confidence-building proposals.

MEDIATORS FOUNDATION Lexington, Massachusetts \$75,000 Continued general budgetary support for its PARTNERS project, a global team of men and women of diverse backgrounds, nationalities, and professions whose mission is to address a range of critical issues around the globe, including demilitarization, development, and environmental degradation. The group, which acts as a catalyst for developing new patterns of transnational action and cooperation, has initiated three projects since its inception in 1989: the Armswatch Institute, the Earth Education project, and the South-North Development Initiative.



MONTEREY
INSTITUTE OF
INTERNATIONAL
STUDIES
Monterey, California
\$120,000 over two years

Continued support for the Emerging Nuclear Suppliers Project (ENSP), which uses a computer-based system to track the nuclear export practices of nuclear supplier states, including the "emerging" nuclear suppliers, most of whom are not party to the Non-Proliferation Treaty. ENSP is a major source of information for arms control analysts, journalists, and policymakers, and has contributed to government efforts to strengthen nonproliferation policies and practices. (The project operated under the auspices of the Center for International and Strategic Affairs at the University of California at Los Angeles from its inception in 1987 until 1990.)

NATURAL RESOURCES DEFENSE COUNCIL New York, New York \$110,000 over two years Toward a new project to control surplus stocks of plutonium in the republics of the former Soviet Union. Of particular concern are plans to reprocess and recycle large amounts of plutonium in nuclear energy programs, and the rise of independent enterprises marketing nuclear technology and materials. The project will assist the government of the Russian Federation in establishing a regulatory framework for controlling domestic use and export of these materials, and help develop safeguards for the storage of the surplus plutonium that is likely to come both from civilian nuclear energy programs and from the dismantlement of nuclear warheads.

PEACE RESEARCH INSTITUTE FRANKFURT Frankfurt, Federal Republic of Germany \$210,000 over three years Continued support for its nonproliferation program, which seeks to educate government officials and policy analysts in Europe about nuclear proliferation issues. The institute's work in eleven European countries—many of which are major suppliers to potential nuclear-weapons states—has contributed in these countries to a deeper sense of the gravity of the issues and to the adoption of new policies, including more stringent export controls, and the forging of common European nonproliferation policies. Program activities over the next three years will include: periodic meetings of its analysts group from the eleven countries, continued briefings for relevant government officials, workshops in East-Central European countries, and a biennial survey of European nonproliferation policies.

PRINCETON
UNIVERSITY,
TRUSTEES OF
Princeton, New Jersey
\$120,000 over two years

To initiate a project aimed at strengthening international nuclear nonproliferation efforts by removing many of their discriminatory features, thus making them more universally applicable. The Princeton Program on Nuclear Policy Alternatives, considering the current international climate to be now more receptive to such measures, plans to establish the technical basis for three global initiatives that would apply equally to all countries: a Comprehensive Nuclear-Warhead Test Ban, a global ban on producing materials for nuclear weapons, and a global ban on producing and using in civilian nuclear power reactors materials that can easily be diverted to weapons purposes.



THE HENRY L.
STIMSON CENTER
Washington, D.C.
\$100,000 over two years

Toward its project, "Adapting East-West Arms Control to New Regions: An Approach to Ease Regional Conflicts and Facilitate Nonproliferation Objectives." Over the next two years, the center will explore the feasibility of applying confidence-building and other types of arms control measures, which were developed to help reduce tensions between the U.S. and the Soviet Union, to other regions of the world. The project will focus in particular on regions where tensions exist between nations which are not signatories to the Non-Proliferation Treaty, for example, South Asia and South America.

SUSSEX, UNIVERSITY OF East Sussex, England \$64,000 over two years For the Surplus Plutonium in Europe and Japan project of the university's Science Policy Research Unit (SPRU). For several years, SPRU has studied the security implications of an anticipated expansion in plutonium reprocessing, trade, and use in Europe and Japan, drawing attention in particular to the limited international safeguards on these growing commercial plutonium stocks and to the increasing economic disadvantages of plutonium reprocessing. In the period 1992-93, as the scale of plutonium reprocessing and shipment increases substantially and as debate over these issues intensifies, SPRU will monitor developments, provide information and advice, and continue to call into question the wisdom of creating huge quantities of surplus plutonium. The project will also explore ways of strengthening international controls.

EAST-CENTRAL EUROPE & THE FORMER SOVIET UNION

THE CHARTER SEVENTY-SEVEN FOUNDATION New York, New York \$50,000 For general budgetary support. Established in 1984 out of a concern for human rights in Czechoslovakia, the Charter Seventy-Seven Foundation has broadened its mission since the events of Autumn 1989 and now serves as a clearinghouse for American individuals and organizations that seek to assist in the democratization processes in Czechoslovakia. Over the next year the foundation will continue to expand its activities, in particular its efforts to strengthen the nonprofit sector in Czechoslovakia through the participation of its local affiliate in a newly formed consortium whose purpose is to assist indigenous voluntary organizations.

CZECHOSLOVAK
MANAGEMENT
CENTER
FOUNDATION
Prague, Czechoslovakia
\$300,000 over three
years

To establish the Czechoslovak Management Center, the first independent management training center in Czechoslovakia. The center, formed in response to the urgent need for managers with market-economy skills, will offer a Master of Business Administration program, advanced management seminars, business English, internships in Western Europe and North America, and special courses for government administrators.



MIROSLAW DZIELSKI INSTITUTE OF INDUSTRY AND COMMERCE Cracow, Poland \$50,000 A contribution for education and training programs. In 1990, the Fund provided support to the Industrial-Commercial Institute Foundation of the Cracow Industrial Society (now the Miroslaw Dzielski Institute of Industry and Commerce) to establish the Polish American Business School. Along with the Chicago-based Polish Institute of Science and Culture, the institute also organized a pilot summer school program in 1990. This grant supports a second, expanded summer program, to be developed in collaboration with the National-Louis University of Chicago, and further business, secretarial, and computer courses for the next academic year.

FOUNDATION FOR SOCIAL INNOVATIONS-U.S.A. San Francisco, California \$25,000 General budgetary support. The Foundation for Social Innovations-U.S.A. (FSI-USA) works with its Moscow counterpart to promote the development of civil society in the former USSR. Currently, in collaboration with its affiliates and other nongovernmental organizations, the foundation is conducting several programs, including the Electronic Media Project under which FSI-USA has helped to introduce new publishing technologies to mass media; and the Civil Society Leadership Program through which it has developed training and support projects for leaders in the nonprofit field in the former USSR.

GOVERNMENT OF THE REPUBLIC OF HUNGARY Budapest, Hungary \$25,000 Support for its efforts to modernize the procedures of the office of the prime minister, which is seriously hampered by old organizational structures that make it extremely difficult for the prime minister and his colleagues to function effectively. To address this situation, a Washington, D.C.-based consulting firm has been engaged to provide assistance in reorganizing the office.

HUDSON INSTITUTE Indianapolis, Indiana \$100,000 over two years Support for the International Baltic Economic Commission (IBEC). Established by the Hudson Institute, IBEC is an eighteen-month project to help the Baltic States develop a strategic planning process for the transformation of their economies to market-oriented systems. Among its aims, IBEC is meant to foster dialogue between Baltic economists, government officials, and their Western counterparts; provide a neutral forum for the discussion of controversial issues; and increase cooperation among the three states. To carry out this agenda, IBEC is divided into working groups which will consider topics such as the role of government agencies in the transition to a market economy, property ownership, and the formation of legal and legislative processes.

INSTITUTE FOR EAST-WEST SECURITY STUDIES New York, New York \$25,000 To establish the Task Force on Western Assistance to East-Central Europe. Created at the request of parliamentary leaders, grantmakers, and grant recipients in East-Central Europe, the task force will assess the effectiveness of past Western public and private assistance to East-Central Europe, identify obstacles to the effective use of Western assistance, improve dialogue between donors and recipients, and make recommendations. This grant supports the first phase of the project, which will concentrate on fact-finding.



QUEBEC-LABRADOR FOUNDATION

Ipswich, Massachusetts \$150,000 over three years To expand the Inter-Regional Exchange and Policy program (IREP) of the Quebec-Labrador Foundation's Atlantic Center for the Environment. Over the next decade, IREP will assist private voluntary organizations in four regions of the world, including East-Central Europe, in meeting their institutional and leadership development challenges. Concentrating in particular on organizations whose activities promote improved environmental management and sustainable resource use, IREP will provide organizational development support, professional and leadership training, and information exchange activities.

EAST ASIA

THE ACADEMY OF POLITICAL SCIENCE New York, New York \$12,000

A contribution to help underwrite the costs of an issue of its publication, *Proceedings*, which will be devoted to a collection of papers on "China and East Asia: Implications for American Policy." These papers were originally presented by U.S., Chinese, and East Asian scholars and specialists at a conference held at Wingspread in January 1991. The gathering was the most comprehensive private U.S. effort since the events at Tiananmen Square to examine the role of China in East Asia and the effect this might have on the foreign policy of the United States.

THE ASIA FOUNDATION San Francisco, California \$150,000 over three years For its project, "Democratization in Asia: Meeting the Challenges of the 1990s." The foundation will undertake a three-year study of the movement toward more representative government and greater individual liberty in various countries of East Asia. The project, which will be organized around three international conferences involving prominent scholars and experts from the region, the U.S., and, for comparative purposes, the countries of East-Central Europe, has the principal objectives of focusing attention on the common challenges facing newly democratized countries in East Asia and stimulating practical strategies for meeting these challenges.

ASIAN CULTURAL COUNCIL New York, New York Up to \$400,000 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.

THE BROOKINGS INSTITUTION Washington, D.C. \$180,000 over three years Continued support for the East Asia Studies Program. Through its published research, visiting scholars program, conferences, and other outreach activities, the program contributes to policy research and debate, focusing in particular on the economic and political interaction among the countries of East Asia. Over the next five years, Brookings intends to center this program around the principal themes of cooperative security and economic integration.



CHINESE ACADEMY OF SOCIAL SCIENCES Beijing, People's Republic of China \$30,000 For a conference, "America and the Asia-Pacific Region in the 20th Century," held in May 1991 in Beijing. The conference brought together seventy Chinese scholars and seventy scholars from North America and other Asian countries for a broad-ranging look at American-East Asian relations in this century. Individual panels examined economic and trade relations, education, cultural interaction, and political relations.

CHINESE SCHOLARS
OF INTERNATIONAL
STUDIES
Arlington, Virginia
Up to \$31,500

To support short-term teaching assignments at Chinese universities and research institutes by students from the People's Republic of China currently studying in the United States. The students, doctoral candidates in the field of international relations, will teach intensive, one-month courses at Chinese institutions of higher learning. A primary objective of this project is to help reinvigorate ties between Chinese students studying in the U.S. and their home institutions in China.

COUNCIL ON FOREIGN RELATIONS New York, New York \$60,000 Toward a study of the foreign and economic relations of the United States and Southeast Asia in the coming decade. The study, to be conducted by a group made up of council members and participants from Southeast Asia, will analyze in particular the role of the region in the larger international community and the reintegration of the three Indochinese countries with the rest of Southeast Asia and the world. At the end of its discussions, the group will publish a document to provide information, analysis, and recommendations to the policy community.

INSTITUTE FOR
INTERNATIONAL
ECONOMICS
Washington, D.C.
\$160,000 over two years

For a project to assess the state of U.S.-Japan economic relations in light of significant changes in bilateral relations and the world over the past four years. The goals of the study are to weigh the results of recent measures taken to improve the bilateral relationship and analyze, in the broad political context, remaining economic problems, including alleged trade barriers, the U.S. budget deficit, and burden sharing for international security. Finally, the study will set forth a policy strategy for the U.S. and Japan in the 1990s that will minimize bilateral friction and provide for joint leadership on international economic issues.

JAPAN CENTER FOR INTERNATIONAL EXCHANGE New York, New York \$120,000 over three years Continued general budgetary support for the American affiliate of the Tokyoheadquartered Japan Center for International Exchange (JCIE). JCIE is the leading private organization involved in promoting the enhancement and stability of the U.S.-Japan relationship; for two decades, the center has promoted dialogue between the two countries on both bilateral and global issues related to economics, politics, and security. The organization works principally to facilitate contact between American and Japanese policymakers, to help promote joint research between American and Japanese scholars, and to encourage greater collaboration between American and Japanese funders.



LINGNAN COLLEGE Hong Kong \$22,000 Toward a conference on economic and security concerns related to the South China Sea, in particular issues involving the Spratly and Paracel Islands, to which six countries, including China and Taiwan, lay claim. The conference, organized by the college's Centre for Asian Pacific Studies and held in May 1991, brought together representatives of policy-related institutes in the People's Republic of China and maritime specialists from Hong Kong and Taiwan to consider policy options for wider international debate.

SHANGHAI INSTITUTE FOR INTERNATIONAL STUDIES Shanghai, People's Republic of China \$15,460 For the first meeting of the Chinese-Indonesian Bilateral Forum, a series of annual conferences to be jointly hosted by the Shanghai Institute and the Centre for Strategic and International Studies located in Jakarta. These conferences will bring together international relations specialists and policy analysts from the two countries to discuss questions affecting bilateral relations as well as political and economic developments in the wider Asia-Pacific region and their implications for China and Indonesia. The forum is intended to foster dialogue between the two nations, which resumed official diplomatic relations in 1990 after more than two decades of estrangement.

UNITED STATES
NATIONAL
COMMITTEE FOR
PACIFIC ECONOMIC
COOPERATION
Washington, D.C.
\$42,000 over three years

Toward support of a development office for the U.S. National Committee, the American organization of the Pacific Economic Cooperation Conference (PECC), a private group of government, business, and academic leaders from the Asia-Pacific region, who seek to explore new opportunities for regional economic and trade cooperation. Working through task forces and discussion forums, PECC considers particular aspects of Pacific trade and examines the regional economic impact of international events. The purpose of the grant is to help the U.S. National Committee, which assumed the chairmanship of PECC for the first time in 1991, increase its capacity to organize and participate in PECC activities.

RESOURCE / SECURITY INTERSECTIONS

HARVARD UNIVERSITY Cambridge, Massachusetts \$8,500 To cover additional costs of the international environmental institutions project of the Kennedy School's Center for International Affairs. The project, to which the Fund provided earlier support, has completed a series of case studies analyzing the strengths and weaknesses of existing institutions that have a role in managing major international resource challenges, such as acid rain, deforestation, and species loss. Through these studies, the project hopes to highlight the need for effective international mechanisms to implement global and regional policy prescriptions affecting the environment. This grant will allow the project's findings to be widely distributed, and to be presented at the United Nations Conference on Environment and Development.



PAYMENTS MADE IN 1991 AND	GRANTS OUTSTANDING	Appropriation	Previous Years	in 1991	Balance
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	50,000	50,000
ATLANTIC COUNCIL OF THE U.S., INC. Washington, D.C.	Public education program relating to the International Atomic Energy Agency	133,500		73,500	60,000
BROOKINGS INSTITUTION, THE Washington, D.C.	Africa Program	375,000		125,000	250,000
CARNEGIE ENDOWMENT FOR NTERNATIONAL PEACE Washington, D.C.	Non-Proliferation Project	170,000		85,000	85,000
FRIENDS OF THE EARTH Washington, D.C.	Nuclear Non-Proliferation Project	100,000		50,000	50,000
HARVARD UNIVERSITY Cambridge, Massachusetts ohn F. Kennedy School of Government	Nuclear Proliferation: Developing an International Cadre for the 21st Century project	210,000*	140,000	70,000	
MASSACHUSETTS INSTITUTE DF TECHNOLOGY Cambridge, Massachusetts	Project on nuclear arms control in the Middle East	100,000		50,000	50,000
MEDIATORS FOUNDATION, INC. Lexington, Massachusetts	PARTNERS project	75,000		75,000	
10NTEREY INSTITUTE OF NTERNATIONAL STUDIES Monterey, California	Emerging Nuclear Suppliers Project	120,000		60,000	60,000
natural resources defense council, inc. New York, New York	Project to control surplus plutonium stocks in the Soviet Union	110,000		55,000	55,000
NUCLEAR CONTROL NSTITUTE Washington, D.C.	Nuclear Oversight Project	130,000*	65,000	65,000	
EACE RESEARCH INSTITUTE RANKFURT Frankfurt, Germany	Nonproliferation Program	210,000		70,000	140,000
RINCETON UNIVERSITY, RUSTEES OF Princeton, New Jersey	Nuclear nonproliferation project	120,000		60,000	60,000
CIENCE APPLICATIONS NTERNATIONAL CORPORATION	Nuclear weapons containment project	100,000*	50,000	50,000	

^{*}Appropriation made prior to 1991



		Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
SOUTHAMPTON, UNIVERSITY OF Southampton, England	Programme for Promoting Nuclear Non-Proliferation	330,000*	135,000	103,000	92,000
STIMSON CENTER, HENRY L., THE Washington, D.C.	Adapting East-West Arms Control to New Regions project	100,000		50,000	50,000
sussex, university of Brighton, England	Surplus Plutonium in Europe and Japan project	64,000		32,000	32,000
united nations association of the united states of america New York, New York	Program on Proliferation Norms and Asian Security	150,000*	60,000	60,000	30,000
VERIFICATION TECHNOLOGY INFORMATION CENTRE London, England	Publication on arms control verification issues	95,000*	47,500	31,500	16,000
WISCONSIN, UNIVERSITY OF Madison, Wisconsin	Wisconsin Project on Nuclear Arms Control	165,000*	110,000	55,000	

EAST-CENTRAL E	UROPE & THE FORMER SC	VIET UN	NOI		
ALERDINCK FOUNDATION Amsterdam, The Netherlands	East-West journalists exchange program	60,000*	30,000	30,000	
AMERICAN CENTER FOR INTERNATIONAL LEADERSHIP, INC. Baltimore, Maryland	New Visions project	20,000*		20,000	
AMERICAN COUNCIL OF LEARNED SOCIETIES Princeton, New Jersey	To establish an International Research and Exchanges Board in Romania	150,000*	75,000	75,000	
CENTRAL & EAST EUROPEAN PUBLISHING PROJECT Oxford, England	General support	120,000*	40,000	40,000	40,000
CHARTER SEVENTY-SEVEN FOUNDATION, INC., THE New York, New York	General support	50,000		50,000	
CZECHOSLOVAK MANAGEMENT CENTER FOUNDATION Prague, Czechoslovakia	To establish the Czechoslovak Management Center	300,000		100,000	200,000
MIROSLAW DZIELSKI	Education and training programs	50,000*	34,000	16,000	
INDUSTRY AND COMMERCE Cracow, Poland	Education and training programs	50,000		30,000	20,000



		Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
EUROPEAN COOPERATION FUND Amsterdam, The Netherlands	Training programs for newly elected public officials in Central and Eastern Europe	50,000*		50,000	
FOUNDATION FOR SOCIAL INNOVATIONS -U.S.A. San Francisco, California	General support	25,000		25,000	
GOVERNMENT OF THE REPUBLIC OF HUNGARY Budapest, Hungary	To modernize procedures of the office of the prime minister	25,000		25,000	
HARVARD UNIVERSITY Cambridge, Massachusetts	John F. Kennedy School of Government: Project Liberty	300,000*	100,000	100,000	100,00
HUDSON INSTITUTE, INC. Indianapolis, Indiana	International Baltic Economic Commission	100,000		50,000	50,000
INSTITUTE FOR EAST-WEST	General support	300,000*	200,000	100,000	
SECURITY STUDIES, INC. New York, New York	Democratization and institution building program	200,000*	150,000	50,000	
	Task Force on Western Assistance to East-Central Europe	25,000		25,000	
NSTITUTE FOR HUMAN SCIENCES Vienna, Austria	Conference and fellowship programs	150,000*	50,000	50,000	50,00
JUNIOR ACHIEVEMENT Colorado Springs, Colorado	To introduce Junior Achievement programs in Poland	75,000*	40,000		35,00
national forum foundation Washington, D.C.	Eastern Europe Internship Program	150,000*	100,000		50,00
QUEBEC-LABRADOR FOUNDATION, INC. Ipswich, Massachusetts	Inter-Regional Exchange and Policy program	150,000		100,000	50,00
EAST ASIA					
ACADEMY OF POLITICAL SCIENCE, THE New York, New York	Toward an issue of <i>Proceedings</i>	12,000		12,000	
ASIA FOUNDATION, THE San Francisco, California	Democratizațion in Asia project	150,000		60,000	90,00
asia society, inc., the New York, New York	Public affairs project regarding the Korean peninsula	370,000*	270,000	100,000	
asian cultural council, inc. New York, New York	General support	400,000		300,000	100,000

^{&#}x27; Lapsed

^{*}Appropriation made prior to 1991



		Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
BROOKINGS INSTITUTION, THE Washington, D.C.	East Asia Studies Program	180,000		60,000	120,000
CHINESE ACADEMY OF SOCIAL SCIENCES Beijing, People's Republic of China	America and the Asia-Pacific Region in the 20th Century conference	30,000		30,000	
CHINESE SCHOLARS OF INTERNATIONAL STUDIES, INC. Arlington, Virginia	Teaching program for People's Republic of China students	31,500		27,500	4,000
COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF	East Asian Institute: Pacific Basin Studies Program	320,000*	160,000	80,000	80,000
New York, New York					
COUNCIL ON FOREIGN RELATIONS, INC. New York, New York	Study of foreign and economic relations of the United States and Southeast Asia	60,000		60,000	
INSTITUTE FOR INTERNATIONAL ECONOMICS Washington, D.C.	Project on U.SJapan economic relations	160,000		80,000	80,000
INSTITUTE OF SOUTHEAST ASIAN STUDIES Republic of Singapore	Scholarly exchange program	210,000*	140,000	70,000	
Japan center for international exchange, inc. New York, New York	General support	120,000		40,000	80,000
KOREA UNIVERSITY Seoul, Korea	Asiatic Research Center: Pacific Workshop on Regional Affairs	75,000*	25,000		50,000²
LINGNAN COLLEGE Hong Kong	Conference on economic and security concerns regarding the South China Sea	22,000		22,000	
NATIONAL ACADEMY OF SCIENCES Washington, D.C.	Managing the U.SJapan relationship in science and technology project	140,000*	70,000	70,000	
SHANGHAI INSTITUTE FOR INTERNATIONAL STUDIES Shanghai, People's Republic of China	Chinese-Indonesian Bilateral Forum	15,460		15,460	
UNITED STATES NATIONAL COMMITTEE FOR PACIFIC ECONOMIC COOPERATION Washington, D.C.	Institutional development	42,000		16,000	26,000
WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS Washington, D.C.	Programs on Northeast Asia	120,000*	40,000	40,000	40,000

² Lapsed

^{*}Appropriation made prior to 1991



	Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
Economic Reforms and Systems in East Asia and Eastern Europe project	98,000*		49,000	49,000
JRITY INTERSECTIONS				
Center for International Affairs: International environmental institutions project	8,500		8,500	
Sustainable Resource Management and Global Security project	100,000*	50,000	50,000	
	East Asia and Eastern Europe project JRITY INTERSECTIONS Center for International Affairs: International environmental institutions project Sustainable Resource Management	Economic Reforms and Systems in East Asia and Eastern Europe project JRITY INTERSECTIONS Center for International Affairs: International environmental institutions project Sustainable Resource Management 100,000*	Economic Reforms and Systems in East Asia and Eastern Europe project JRITY INTERSECTIONS Center for International Affairs: 8,500 International environmental institutions project Sustainable Resource Management 100,000* 50,000	Economic Reforms and Systems in East Asia and Eastern Europe project Previous Years in 98,000* 49,000 JRITY INTERSECTIONS Center for International Affairs: 8,500 International environmental institutions project Sustainable Resource Management 100,000* 50,000 50,000



In 1991 the Rockefeller Brothers Fund made three major multiyear grants to help launch programs and organizations that promise to be important contributions to the growing infrastructure of the nonprofit sector in the United States: the Investment Fund for Foundations, the Nonprofit Sector Research Fund at the Aspen Institute, and The New Press. A fourth grant was made to help build the capacity of a well-established institution, Independent Sector, which already plays a central role in the nonprofit community. The Investment Fund for Foundations, by improving the return on the endowments of smaller and medium-sized foundations, should help increase the amount available for foundation grantmaking over the long term. The Nonprofit Sector Research Fund will provide a vehicle for broadening the base of support for research, and will place special emphasis on making its research accessible and relevant to individuals and organizations active in philanthropic work. The founding of The New Press, a not-for-profit publishing house, provides an important opportunity for the publication of books that deal with the educational and social issues that are at the heart of the work of many foundations and nonprofit organizations. The New Press will also be a vehicle for publishing foundation-sponsored research.

Internationally, the Fund's 1991 grants focused on building an infrastructure for nonprofit, nongovernmental, and voluntary activity in other countries, and on encouraging the growth of such activity throughout the world. These include the grants to Johns Hopkins for continued support of its International Fellows in Philanthropy program and to Independent Sector for a "primer" on the U.S. nonprofit sector—in response to the increasing interest from abroad in the structure and functioning of the sector in the U.S. Other international support focused on the development of nonprofit and voluntary activity in the regions where the Fund is actively engaged in sustainable resource use and security grantmaking. In East-Central Europe and the former Soviet Union, where there is considerable interest in the potential benefit to society of a strong nonprofit sector, the Fund has organized conferences with the primary purpose of explaining the legal and grantmaking structures for philanthropy, and has supported indigenous efforts to develop voluntary sectors. A 1991 grant to the Council on Foundations, for example, provided for a gathering of the newly formed Federation of Hungarian Foundations, whose 120 members participated in discussions with Western



experts on issues ranging from simplified rules for establishing foundations to ethical standards and accountability. In East Asia, Fund efforts to assist with the development and organization of philanthropy have concentrated in particular on encouraging corporate philanthropy. Through grants for such projects as the new Center for Corporate Citizenship, established by Philippine Business for Social Progress, the Fund seeks to encourage the growing role of the corporate sector in East Asia in pursuing solutions to public problems and in providing social services.

UNITED STATES

ASPEN INSTITUTE FOR HUMANISTIC STUDIES

Queenstown, Maryland \$250,000 over three years

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

INDEPENDENT SECTOR Washington, D.C. \$250,000 over three years

INVESTMENT FUND FOR FOUNDATIONS Washington, D.C. \$225,000 over three years

To help launch a nonprofit sector research fund. The research fund has been established to foster both theoretical and applied research on the nonprofit sector and to provide a cost-effective and reliable vehicle through which corporations, foundations, charitable institutions and individuals can support such research.

Continued general support for 1992. 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.

A contribution to the Building for Greater Achievements Campaign of Independent Sector (IS), which in the past decade has become the preeminent national institution representing the nonprofit sector to the public. This grant supports the organization's capacity building and planning campaign, through which IS intends to streamline its activities and increase the effectiveness of its core program areas: increased giving and volunteering, leadership and management, research, and government relations.

To launch a commingled investment fund for private, community, and corporate foundations. Modeled on the successful Common Fund for educational institutions, the Investment Fund for Foundations is intended to benefit in particular small and medium-sized foundations whose endowment performance tends to lag behind that of more well-endowed foundations. This grant will help complete the organization's start-up phase and carry it through its early period of operation.



JOHN D. AND CATHERINE T. MACARTHUR **FOUNDATION** Chicago, Illinois Up to \$16,000

sector. This initiative led to the establishment of the Investment Fund for Foundations (see above). NATIONAL COMMITTEE FOR RESPONSIVE

PHILANTHROPY Washington, D.C. \$120,000 over three years For its workplace fundraising project, which provides assistance to alternative funds seeking to use the mechanism of workplace-giving campaigns to increase charitable giving. Through its organizational and technical support, including an annual national training conference, the National Committee for Responsive Philanthropy has encouraged the growth and development of such funds. It also has worked on behalf of nontraditional charities to afford them access to workplace-giving campaigns.

For activities to advance plans to create a collective investment, mechanism for

foundations. The primary goal of this effort is to enable foundations, especially

smaller ones, to realize enhanced returns at reduced cost, and thereby to generate

additional resources for sustaining the activities of organizations in the nonprofit

THE NEW PRESS New York, New York \$150,000 over three years General budgetary support for the New Press, the first full-scale nonprofit book publisher, other than university presses, in this country. The objective of the press is to publish books of intellectual merit that address vital educational and social issues; for example, it intends to commission substantive nonfiction focusing on basic economic and social questions. The press is conceived of as moving in the opposite direction of the for-profit publishing industry which, with its heavy emphasis on commercial success, threatens to leave individuals whose voices should be heard on the important issues of the day without a vehicle for conveying their ideas to the public.

INTERNATIONAL

COUNCIL ON **FOUNDATIONS** Washington, D.C. \$22,000

To support a conference of the Federation of Hungarian Foundations held in Budapest in November 1990. The aim of the two-day conference was to provide information and encouragement to members of the Hungarian group, which organized the meeting along with the Council on Foundations and the European Foundation Centre. Modeled on earlier Fund-supported initiatives, this meeting was an opportunity for men and women involved in the development of a healthy nonprofit sector in Hungary to meet with experts from other countries, to examine both legal and practical issues relating to foundation management, and to strengthen their contacts with each other and with the Federation.



INDEPENDENT SECTOR Washington, D.C. \$38,000 \$30,000 for a review of existing means of facilitating communication and cooperation in the voluntary sector internationally, and of the possible need for new ways to achieve these objectives. This effort, under the auspices of Independent Sector and advised by an international committee of representatives from voluntary organizations, will consider the merit of establishing a new organization and explore other, less formal avenues for encouraging international collaboration.

\$8,000 to support the completion of a "primer" on the American nonprofit sector. The primer was prepared in response to repeated requests, particularly from abroad, for information about the basic composition, policies, and funding of the sector in this country. It will be published by the Foundation Center.

INTERACTION: THE
AMERICAN COUNCIL
FOR VOLUNTARY
INTERNATIONAL
ACTION
New York, New York
\$70,000 over two years

For a project to develop standards of conduct for the council's 124 members—U.S. private voluntary organizations (PVOs) working on a broad range of international concerns. Recognizing the size and breadth of the combined programs of its members and the inherent difficulties faced by PVOs, especially those active internationally, the council has identified the need for a formal set of standards which will cover issues of governance, finances, fundraising, public relations, management practices, human resources and program services.

THE JOHNS HOPKINS UNIVERSITY Baltimore, Maryland \$150,000 over three years Continued support for the Institute for Policy Studies' International Fellows in Philanthropy program, which seeks to promote leadership development in the nonprofit sector internationally and to create an international network of people familiar with the operation of the sector in different national settings. Each year, the program hosts six to eight fellows for a semester or an academic year of individualized study coupled with visits to prominent third sector organizations in the U.S. Over the next three years, in recognition of the importance of strengthening indigenous nonprofit organizations in East-Central Europe, the program will select one-half its fellows from this region.

PHILIPPINE BUSINESS FOR SOCIAL PROGRESS Manila, Philippines \$125,000 over three years For the new Center for Corporate Citizenship, established by Philippine Business for Social Progress (PBSP) to promote corporate philanthropy in East Asia. The center, located in Manila, will focus on expanding the interest of chief executive officers of companies in the region in philanthropic activities for their corporations and on providing training and assistance to corporations in connection with their philanthropy. Established in 1970, PBSP is an umbrella organization which primarily facilitates the corporate giving programs of its 145 members in the Philippines.



SOUTH-NORTH DEVELOPMENT INITIATIVE New York, New York \$25,000 General budgetary support for the South-North Development Initiative (SNDI), newly created to act as a catalyst to improve the functioning and encourage the further development of the voluntary sector in Africa, Asia, and Latin America. Through its programs, SNDI will help address the lack of basic technical knowledge about nonprofit management and fundraising which has hindered the growth and effectiveness of voluntary sectors in these areas and, therefore, limited the potential role of such organizations in advancing economic and social progress.

MEMBERSHIPS

COUNCIL ON FOUNDATIONS Washington, D.C. \$27,700

\$24,700 membership grant for 1992. The council has over 1,100 members, representing independent, community, operating, and public foundations, corporate grantmakers, and trust companies. The council also works with more than 21 affinity groups that are coalitions of grantmakers with a common interest, and with 23 regional associations of grantmakers.

\$1,500 grant for its Grantmakers for Children and Youth affinity group. \$1,500 grant for its Precollegiate Education Group affinity group.

INDEPENDENT SECTOR Washington, D.C. \$7,400 A membership grant for 1992. 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 COMMUNITY TRUST New York, New York \$1,000 For the work of Funders Concerned about AIDS.

NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS New York, New York \$7,125 A membership grant for 1992. 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 1991 AN	D GRANTS OUTSTANDING	Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
UNITED STATES					
ACCESS: NETWORKING IN THE PUBLIC INTEREST, INC. Boston, Massachusetts	General support	175,000*	50,000	115,000	10,000
ASPEN INSTITUTE FOR HUMANISTIC STUDIES Queenstown, Maryland	Nonprofit sector research fund	250,000		50,000	200,000
EDUCATIONAL COMMISSION OF THE STATES Denver, Colorado	To establish Campus Compacts at the state level	160,000*	80,000	80,000	
FOUNDATION CENTER New York, New York	General support	30,000		30,000	
INDEPENDENT SECTOR Washington, D.C.	Building for Greater Achievements Campaign	250,000		50,000	200,000
INVESTMENT FUND FOR FOUNDATIONS Washington, D.C.	To launch a commingled investment fund for foundations	225,000			225,000
MACARTHUR FOUNDATION, JOHN D. AND CATHERINE T. Chicago, Illinois	Planning for a commingled investment fund for foundations	16,000			16,000
NATIONAL CENTER FOR NONPROFIT BOARDS Washington, D.C.	General support	120,000*	50,000	40,000	30,000
national charities information bureau, inc. New York, New York	Public Outreach Project	120,000*	40,000	40,000	40,000
NATIONAL COMMITTEE FOR RESPONSIVE PHILANTHROPY Washington, D.C.	Workplace fundraising project	120,000		40,000	80,000
NEW PRESS, THE New York, New York	General support	150,000		50,000	100,000
NEW YORK UNIVERSITY New York, New York	Leonard N. Stern School of Business: Initiative on Nonprofit Entrepreneurship	60,000*	35,000	25,000	
UNITED NEGRO COLLEGE FUND, INC. New York, New York	Pilot Planned Giving Program	150,000*	100,000	30,000	20,000
VOLUNTEER CONSULTING GROUP, INC. 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	150,000*	100,000	50,000	
	School of Organization and Management: Student internship fund	52,000*	21,500	18,000	12,500



		Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
INTERNATIONAL					
AMERICAN COMMITTEE FOR AID TO POLAND, INC. McLean, Virginia	Programs to strengthen the nonprofit sector in Poland	50,000*	25,000	25,000	
COUNCIL ON FOUNDATIONS, INC. Washington, D.C.	Program for Leadership in International Philanthropy	100,000*	50,000	50,000	
	Federation of Hungarian Foundations conference	22,000		22,000	
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	
INDEPENDENT SECTOR Washington, D.C.	Project to facilitate cooperation in the voluntary sector internationally	30,000		30,000	
	For a "primer" on the American nonprofit sector	8,000		8,000	
INTERACTION: THE AMERICAN COUNCIL FOR VOLUNTARY INTERNATIONAL ACTION, INC. New York, New York	To develop standards of conduct for council members	70,000		35,000	35,000
Japanese ngo center for international cooperation, the Toyko, Japan	General support	105,000*	70,000	35,000	
JOHNS HOPKINS UNIVERSITY,	Study of international private sector	210,000*	70,000	70,000	70,000
Baltimore, Maryland Institute for Policy Studies	International Fellows in Philanthropy program	150,000		25,000	125,000
PHILIPPINE BUSINESS FOR SOCIAL PROGRESS Manila, Philippines	Center for Corporate Citizenship	125,000		39,285	85,715
SOUTH-NORTH DEVELOPMENT INITIATIVE, THE New York, New York	General support	25,000		25,000	



		Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
MEMBERSHIPS					
COUNCIL ON	Membership for 1991	30,000	24,700		5,300
FOUNDATIONS, INC. Washington, D.C.	Membership for 1992	24,700		24,700	
	Grantmakers for Children and Youth	1,500		1,500	
	Precollegiate Education Group	1,500		1,500	
INDEPENDENT SECTOR Washington, D.C.	Membership for 1992	7,400		7,400	
new York Community trust New York, New York	Funders Concerned about AIDS	1,000		1,000	
new york regional association of grantmakers New York, New York	Membership for 1992	7,125		7,125	



In 1991 the RBF continued to pursue its objective of strengthening the numbers and quality of teachers in American public education by supporting organizations and projects that offer fresh ideas for improving teacher recruitment, preparation and in-service training. In order to carry out its educational goals, the Fund concentrates on four strategies, two of which—encouraging outstanding minority students to enter the teaching profession and educating teachers in non-school settings—are exemplified in a creative new project of the American Association for the Advancement of Science. Working with historically black colleges and universities, the program recruits undergraduate minority students to tutor math and science in after-school programs operated by black churches. Participating college students will receive credits for their work and, more importantly, are introduced to the possibility of a teaching career. The children, on the other hand, not only benefit from help with their schoolwork, but also may find in their tutors valuable new role models.

Under a third strategy, the Fund supports efforts to raise the quality and status of teacher education programs in four-year colleges, where the majority of teachers receive their training. Typically, such programs are perceived as less academically rigorous and less prestigious than other departments within an institution, a situation which can discourage the most qualified undergraduate students from pursuing education careers. One way to address this problem is through the development of models of innovative programs of teacher education set within distinguished four-year liberal arts institutions. In 1991, the Fund made a grant to Swarthmore College for the Consortium for Excellence in Teacher Education, a group of undergraduate teacher education programs in liberal arts colleges and universities in the Northeast, which is working to develop such models. Restructured teacher education programs will undoubtably stress academic preparation in the liberal arts and, therefore, more deeply involve faculty from the arts and sciences in the training of new teachers. The Fund seeks to foster such involvement, as well as a spirit of cooperation between those who teach education courses and those involved in the more traditional faculties of education and of arts and sciences, which currently does not exist on many campuses, to the detriment of teacher education students. A grant to the University of Redlands supported a new program specifically designed to encourage liberal arts faculty to better understand the needs of the education program students.



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As part of its interest in improving early childhood care and education in this country, in 1991 the Fund continued to work with other foundations and educators to develop a coherent system for training and credentialling teachers of young children. In particular there is a need to create systems at the state level that would provide appropriate training for those who will teach in subsidized child care centers, Head Start programs, and the early grades of elementary school. And, finally, preparations went forward for the new Rockefeller Brothers Fund Fellowships for minority students entering the teaching profession, which will be awarded for the first time in 1992. The Fellowships, each in the amount of up to \$18,000, will be given annually to up to twenty-five outstanding minority students who wish to pursue a graduate degree in education and to teach in American public schools.

MINORITIES

MOUNT HOLYOKE COLLEGE South Hadley, Massachusetts Up to \$135,000 over three years Scholarship assistance to support the participation of teachers of minority children in the college's SummerMath for Teachers program. Established in 1983, the program offers in-service training in innovative methods of teaching mathematics to elementary and secondary school teachers. For the past three years, a strong effort has been made to recruit into the program teachers of minority children, as a way of ensuring that children from low-income communities also benefit from reforms in the teaching of mathematics.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK New York, New York \$75,000 Support for a program at Hunter College for identification, training, and induction of minorities into the teaching profession. Each year, the program will select twenty-five students interested in teaching and support them until they enter either Hunter College's elementary teacher education program, the secondary education program, or a graduate program in teacher education. The new program is designed both to provoke interest in the teaching profession among minority students and to provide the additional support helpful in enabling students to complete their educational career.

EARLY CHILDHOOD

FAMILY SERVICE ASSOCIATION OF NASSAU COUNTY Hempstead, New York \$115,410 over three years Toward its new Teacher and Parent Education Project, in which undergraduate students from local universities, who are majoring in elementary education, are trained by the Family Service Association to work in Hempstead low-income neighborhoods with mothers and their kindergarten or first-grade children in a program designed to improve their school performance. The goal of the project



is twofold: mothers will learn from students how to teach their children in ways that reinforce the skills and concepts taught in school, and the students will become more sensitive teachers, having gained a better understanding of lowincome families.

NON-SCHOOL SETTINGS

AMERICAN ASSOCIATION FOR THE ADVANCEMENT OF SCIENCE Washington, D.C. \$195,000 over two years To establish a pilot project in Atlanta, Georgia, working with historically black colleges and universities to start a teaching internship program for undergraduate minority students volunteering in programs operated by black churches. The association, which has focused on black churches as community-based learning systems which can support education in science, mathematics and technology, also seeks through this project to introduce undergraduate liberal arts students to the possibility of a teaching career and to have minority college students serve as role models for public school children.

UNDERGRADUATE, LIBERAL ARTS PROGRAMS

REDLANDS. UNIVERSITY OF Redlands, California \$50,000 over two years For a program to involve liberal arts faculty in the undergraduate preparation of elementary school teachers. Under the new program, liberal arts faculty members will spend two weeks observing how their disciplines are taught in elementary school classrooms. These observations will be followed by seminars in which they and elementary school teachers discuss the teaching and learning process within particular disciplines and consider common problems of pedagogy and theory. This process is intended to lead to an increased understanding of the needs of teacher education students by the liberal arts faculty and a deeper understanding of content issues by the elementary teachers.

SWARTHMORE COLLEGE Swarthmore, Pennsylvania \$25,000

For the planning phase of a program of urban summer institutes for teacher training and for middle school students. The proposed institutes are a project of the Consortium for Excellence in Teacher Education (CETE), a group of undergraduate teacher education programs in private liberal arts colleges and universities in the Northeast. The Urban Teacher Training Summer Institute would provide undergraduate education students from CETE institutions with an opportunity to take courses and to do teaching practicums in an inner-city middle school, while the Urban Summer Institute for Middle School Students would bring urban middle school students to a CETE campus for two summers of study.



PROJECTS OF PARTICULAR MERIT

EDITORIAL PROJECTS IN EDUCATION Washington, D.C. \$35,000

EDUCATIONAL COMMISSION OF THE STATES Denver, Colorado \$100,000 For a new project to support the reform of teacher education, focusing on the role that the states play in setting standards for teacher excellence. The project, "Preparing Teachers for Restructured Schools," will bring together representatives from governors' offices, the legislatures, state departments of education, and teacher education colleges to help states rethink the knowledge and skills that teachers will need to work effectively in restructured public schools, and to shape policies that promote educational reform. The commission will also convene a policy working group to develop principles of exemplary teacher education programs to be used as a "blueprint" for all states.

Continued support for its publication, Teacher Magazine, launched in 1989 as the

nation's first professional journal for teachers of all disciplines at all levels. The goal

of the magazine is to inform and motivate teachers in the public schools and help

them to understand the complex issues facing their schools and their profession.

NATIONAL ASSOCIATION OF INDEPENDENT SCHOOLS Boston, Massachusetts \$25,000 Toward the preparation of a book on U.S. independent schools since 1940 and their relationship to the larger issues of American precollegiate education and society over that time. The study will focus in particular on the question of how privileged independent schools can best contribute to the current effort to improve American schooling. This project will complement the three volumes produced under the auspices of an earlier, Fund-supported project, "A Study of High Schools," which contributed significantly to the educational reform movement of the 1980s.

RECRUITING NEW TEACHERS
Cambridge,
Massachusetts
\$50,000

For general budgetary support. Since its founding five years ago, in response to the projected shortage of public school teachers in this country, Recruiting New Teachers (RNT) has conducted a highly effective public service campaign to interest people in teaching as a career. The campaign, with its message, "Reach for the Power: TEACH," has been particularly successful in stimulating interest among members of minority groups. Over the next year, RNT plans to broaden its mission to address the serious problems which exist with the nation's current systems of teacher recruitment and induction.

THE WOODROW
WILSON NATIONAL
FELLOWSHIP
FOUNDATION
Princeton, New Jersey
\$46,000

Support for its National Leadership Program for Teaching. Under this project, teams of high school teachers who have done advanced work in their subject areas during summer sessions on the Princeton University campus are, in subsequent summers, sent in pairs to disseminate what they have learned to other teachers during summer institutes held at colleges and universities across the nation. In addition to rapidly disseminating new material directly into classrooms, the program has the advantage, through the institutes, of reaching teachers of disadvantaged student populations.



PAYMENTS MADE IN 1991 AND	GRANTS OUTSTANDING	Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
MINORITIES					
CLAREMONT UNIVERSITY CENTER Claremont, California	Hispanic Teacher Mentoring Project	150,000*	50,000	50,000	50,000
MOUNT HOLYOKE COLLEGE South Hadley, Massachusetts	SummerMath for Teachers	135,000		35,000	100,000
PHILLIPS ACADEMY, TRUSTEES OF Andover, Massachusetts	Institute for Recruitment of Teachers	150,000*	75,000	75,000	
research foundation of the city university of new york New York, New York	Program to support minority teacher education students at Hunter College	75,000		25,000	50,000
EARLY CHILDHOC FAMILY SERVICE ASSOCIATION OF NASSAU COUNTY, INC.	DD Teacher and Parent Education Project	115,410		38,470	76,94
Hempstead, New York PACIFIC OAKS Pasadena, California	Career Development for Preschool Teachers program	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 SE	TTINGS				
american association for the advancement of science Washington, D.C.	To establish a teaching internship program for undergraduate minority students	195,000		92,400	102,60
brooklyn institute of arts and sciences Brooklyn, New York	Summer Teachers' Institutes	150,000*	75,000	75,000	
HARVARD UNIVERSITY Cambridge, Massachusetts	Graduate School of Education: Project Spectrum	240,000*	116,000	124,000	



		Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
UNDERGRADUAT	E, LIBERAL ARTS PROGRAM	15			
redlands, university of Redlands, California	Project to involve liberal arts faculty in undergraduate teacher education	50,000		50,000	
SWARTHMORE COLLEGE Swarthmore, Pennsylvania	Planning for urban summer institutes for teacher training and middle school students	25,000		25,000	
PROJECTS OF PAR	RTICULAR MERIT				
EDITORIAL PROJECTS IN EDUCATION, INC. Washington, D.C.	Teacher magazine	35,000		35,000	
educational commission of the states Denver, Colorado	Preparing Teachers for Restructured Schools project	100,000		30,000	70,000
NATIONAL ASSOCIATION OF INDEPENDENT SCHOOLS Boston, Massachusetts	Independent schools study project	25,000		25,000	
RECRUITING NEW TEACHERS, INC. Cambridge, Massachusetts	General support	50,000		50,000	
WOODROW WILSON NATIONAL FELLOWSHIP FOUNDATION, THE Princeton, New Jersey	National Leadership Program for Teaching	46,000		46,000	
SUBTOTAL				925,070	449,540



A grant to the newly formed Corporation for Supportive Housing for its program to help provide appropriate housing for mentally ill or disabled people in New York City, and to the Community Service Society of New York for its work to find ways to help community-based groups preserve low-cost housing, marked the continued expansion and elaboration of the Fund's efforts to assist community-based organizations involved in the construction, rehabilitation and preservation of affordable housing in New York City. The Fund began its housing program in 1990, concerned with the accelerating loss of low-income and affordable housing in the city.

Grants to Beth Israel Medical Center, the Latino Commission on AIDS, and the Correctional Association of New York continued the Fund's special attention to population groups especially at-risk for AIDS. In its grantmaking the Fund seeks to strengthen the capacity of community-based organizations to respond effectively to the AIDS crisis. Support for the Latino Commission in 1991, and prior to that the Black Leadership Commission on AIDS, aims to help develop leadership and encourage public education within minority communities. At the same time, the Fund provides support to innovative community-based projects that seek to improve the quality and dignity of life for people living with AIDS by enabling them to remain out of the hospital and in control of their lives for as long as possible.

These grants, as well as continuing programs supported by grants awarded under the NYC program in 1990, such as a peer mediation and conflict resolution program in several of the city's middle schools and a Ms. Foundation project which fosters economic development for low-income women and women of color, have an underlying objective of finding ways to build strength from the city's diversity at a time of increased danger of racial and ethnic polarization.

NONPROFIT COORDINATING COMMITTEE OF NEW YORK New York, New York \$25,000 Toward the costs of completing and publishing the report of the New York City Nonprofit Industry Study. The purpose of the study, which identified 19,500 nonprofit organizations and trade associations in New York City, is to document the scope and significance of nonprofit activities in the city and to help policymakers and the public understand the dimensions, potential, and limits of the city's nonprofit sector—at a time when the capacities of both the public and private sectors are being challenged, and new ways are being explored for meeting a wide range of needs within the city.



HOUSING

COMMUNITY SERVICE SOCIETY OF NEW YORK New York, New York \$164,000 For a project to forestall increased divestment and abandonment of low-income housing in New York City. Responding to indicators of a possible new wave of rental housing loss in the city's poorest neighborhoods, the Community Service Society of New York (CSS) began a collaborative project to link its policy analysis and program development capacities with the efforts of several housing organizations now operating in neighborhoods that face a high risk of property abandonment. This project will produce an analysis of current divestment and abandonment trends and develop innovative, community-based strategies for the early detection and preservation of at-risk buildings.

CORPORATION FOR SUPPORTIVE HOUSING New York, New York \$120,000 over two years For the New York City program of the Corporation for Supportive Housing (CSH), a national organization recently established to help provide homeless people who are mentally ill or who suffer from serious medical disabilities with decent, affordable housing that includes social and medical services. CSH, an initiative of the Pew Charitable Trusts and the Robert Wood Johnson and Ford foundations, will provide financing and technical support to nonprofit organizations engaged in the delivery of special needs housing for the homeless.

AIDS

BETH ISRAEL MEDICAL CENTER New York, New York \$40,000 Continued support for the center's Helping Hands Program, which trains stabilized Methadone Maintenance Treatment Program patients to serve as "buddies" to homebound methadone patients with AIDS. The program, established in 1988, delivers much-needed practical assistance and companionship to people living with AIDS. In addition, it provides both a source of self-esteem and a valuable job-training experience for the stabilized methadone patients who serve as buddies.

BLACK LEADERSHIP COMMISSION ON AIDS New York, New York \$100,000 over two years General budgetary support for the central coordinating office of the Black Leadership Commission on AIDS (BLCA), which was formed in 1987 to involve black leaders in developing and implementing strategies to combat the spread of AIDS in New York City minority communities. Now a central source of information for the black community, the media, and government agencies, BLCA supports a wide range of public education and special project initiatives. Additional programs during 1991-92 will include: an effort to involve the black media in AIDS prevention and education efforts, training and development programs for community agency personnel, and initiatives to meet the AIDS-related needs of women.



CORRECTIONAL
ASSOCIATION OF
NEW YORK
New York, New York
\$50,000 over two years

Toward its AIDS in Prison Project's work with AIDS-infected inmates being discharged from New York State and City correctional institutions. The project works to provide inmates at the time of their release with AIDS education and with assistance in gaining access to health care, housing, support groups, substance abuse treatment, and personal counseling in the communities to which they are returning. It also provides technical assistance to community-based organizations as a way of encouraging them to serve former inmates. At the policy level, the project aims to lay out the steps that need to be taken to improve discharge planning systemwide, and to serve as an advocate for the necessary changes.

LATINO COMMISSION ON AIDS New York, New York \$100,000 over two years Toward the initial program operations of the commission. Newly established, and modeled after the Black Leadership Commission on AIDS, the organization will provide advocacy, community education, technical assistance, and information services on behalf of the Latino community in New York City. The commission began initial program activities in 1991; these include a speakers' bureau to initiate a public education program and provide information to the media, a public health forum involving Latino physicians on the status of health care for Latino AIDS patients, and public hearings to provide a dialogue between government officials and the Latino community.



PAYMENTS MADE IN 1991 AND	GRANTS OUTSTANDING	Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
fund for new york city public education New York, New York	Conflict resolution and peer mediation program in the public schools	300,000*	200,000	100,000	
ms. foundation for women, inc. New York, New York	Women's economic development initiative	150,000*	50,000	50,000	50,000
NONPROFIT COORDINATING COMMITTEE OF NEW YORK New York, New York	New York City Nonprofit Industry Study	25,000		25,000	
HOUSING					
COMMUNITY SERVICE SOCIETY OF NEW YORK New York, New York	For a project to forestall increased divestment and abandonment of low-income housing	164,000		164,000	
CORPORATION FOR SUPPORTIVE HOUSING New York, New York	To provide housing for homeless people who are mentally ill or disabled	120,000		70,000	50,000
new York City partnership foundation New York, New York	Community Partnership Development Corporation	250,000*	100,000	150,000	
AIDS					
AIDS					
beth israel medical center New York, New York	Helping Hands Program	40,000		40,000	
black leadership commission on aids, inc. New York, New York	General support	100,000		50,000	50,000
correctional association of new york, the New York, New York	AIDS in Prison Project	50,000		25,000	25,000
LATINO COMMISSION ON AIDS, INC. New York, New York	Initial operating expenses	100,000		85,000	15,000
lower east side family union, inc. New York, New York	Pilot case management program for women	80,000*	40,000	40,000	
SUBTOTAL		-		799,000	190,000



Building on over twenty years of experience in South Africa, the Fund began a new grantmaking program in 1990 in that country. The program, which aims at improving the quality and accessibility of basic education for preschool and primary school-aged children as well as for adults, was developed following extensive consultation with South African educators and leaders. It focuses on three areas: supporting the development of appropriate literacy, easy reading, and learning materials; assisting innovative efforts to improve teaching methodology and practice; and encouraging curriculum development and reform. Under this new program, the Fund supports projects that are university-based, such as the University of Cape Town's Primary Education Program to develop reading materials for use by teachers in rural areas, as well as community-based projects like the English Resource Unit's efforts to promote adult basic education in informal settlements. Opportunities for supporting initiatives at the grassroots have increased with the changing political and social conditions in South Africa, allowing for a more "bottomup" approach to educational reform and development. Many Fund grantees, including the Diocese of Grahamstown and the Cooperative Organization for the Upgrading of Numeracy Training, operate in rural areas, devising new teaching methods and materials to improve the quality of education offered to the poorest South Africans.

In its grantmaking the Fund seeks out programs that are developing new educational strategies that can be used as models under a new educational system in a post-apartheid society. Through both its grants and the work of its staff, the Fund promotes networking and increased communication among its grantees.

BASIC EDUCATION

CAPE TOWN, UNIVERSITY OF Cape Town, South Africa \$22,000 over two years For its Primary Education Project (PREP) to develop a resource package on literacy and the teaching of reading for primary school teachers in rural communities. As a result of its work for the past four years with primary school teachers in township schools near Cape Town, the project has accumulated valuable resource materials, including video and audio recordings of lessons, workshops, and materials development sessions. In order to extend its work, PREP now plans to develop a resource package—consisting of materials about developing a culture of learning, the reading process, and the teaching of reading—that can be used by teachers throughout South Africa.



COOPERATIVE ORGANIZATION FOR THE UPGRADING OF NUMERACY TRAINING Johannesburg, South Africa \$72,000 over two years

To develop an in-service teacher training program for primary mathematics teachers in farm schools in the rural Transvaal. These training workshops provide farm school teachers, who work in isolation and under impoverished conditions, with an important opportunity to improve their teaching skills. As teachers establish links with colleagues, critique their own methodology, and learn to develop new teaching materials, this experience also enables them to participate in the process of curriculum development and reform.

DIOCESE OF GRAHAMSTOWN Grahamstown, South Africa \$77,000 over three years For a project of its Rural Development Program (RDP) to produce literacy materials for farm workers. In 1989, the Diocese launched the RDP to provide adult literacy classes to farm workers, who have not had access to formal education under apartheid rule. Discovering a lack of suitable literacy materials in the process, RDP will now develop such materials, based on the stories it has collected of the lives and experiences of farm workers.

EAST LONDON AND BORDER ASSOCIATION FOR EARLY CHILDHOOD **EDUCARE** East London, South Africa \$63,000

Support for a project of the Border Early Learning Centre (BELC) to develop courses for trainers of early childhood educators in the rural areas of the Border region. BELC, which provides training, support, and resources for the education and care of young children, plans to expand its services to reach rural communities through its project to prepare training materials that are targeted for use in these areas. Because those who care for young children in these communities are often semiliterate or illiterate themselves, the materials are being designed so that they can be used with ease and, simultaneously, teach the caregiver to read.

THE ELTIC EDUCATION TRUST Johannesburg, South Africa \$90,000 over three years

For its project to provide in-service courses for farm school teachers to enable them to teach English, and courses in English, more effectively. In 1990, an evaluation of the project determined that a new format, in which methodology workshops were offered on a more intensive but less frequent basis, would be of greater value to farm school teachers for whom attendance on a weekly basis often has proved difficult. This grant will help implement this new program format in the farming community of Brits in the Transvaal.

ENGLISH RESOURCE UNIT Durban, South Africa \$64,000 over two years To develop a model for offering basic education to adults in squatter camps. Because of the violence in the rural areas around Durban, people are flooding into the city and establishing informal settlements which are often without basic services and formal schooling. To help the many inhabitants of these camps who are illiterate, the English Research Unit will develop a literacy program whose elements are appropriate to these settings. Initially, the project will establish English and Zulu language learning groups and assess the possibility of training members of the community to be adult literacy coordinators.



NATAL, UNIVERSITY Durban, South Africa \$69,000

For a project of its Educare and Training Centre (ETC) to develop materials to be used in training courses for early childhood educators in the rural areas of Natal. In addition to materials development, ETC is working with rural community organizations to develop a training program, expected to start in January 1992, for early childhood educators. The content of the courses will include material in Zulu and in English on child development and learning, the health and nutritional needs of children, designing and implementing early childhood education programs, and encouraging community participation in the administration of such programs.

SPECIAL OPPORTUNITIES

CAPE TOWN FUND, UNIVERSITY OF New York, New York \$25,000

To support the Colloquium on Technology and Reconstruction, held in Cape Town, South Africa, in May of 1991. Discussion at the conference, which was sponsored in part by the Congress of South African Trade Unions, focused on labor productivity and the development of the technological capacities of a changing South Africa. Participants included representatives from the university, government ministries and commissions, business and industry, the trade unions, the African National Congress, as well as speakers and observers from abroad.

LAWYERS' COMMITTEE FOR CIVIL RIGHTS UNDER LAW Washington, D.C. \$20,000

For a conference on the organization of the judiciary and the enforcement of human rights, through the establishment of a post-apartheid constitutional court. The conference, the first in a series of consultations on constitutional options for South Africa, was co-sponsored by the Centre for Applied Legal Studies at the University of Witwatersrand and the Constitutional and Legal Affairs Committee of the Africa National Congress. It was held in February 1991 in Johannesburg.



PAYMENTS MADE IN 1991 AND	GRANTS OUTSTANDING	Total Appropriation	Paid in Previous Years	Payment in 1991	Unpaid Balance
BASIC EDUCATIO	N				
CAPE EDUCATIONAL TRUST Cape Town, South Africa	Second language curriculum development project of its Early Learning Resource Unit	53,000*	14,000	14,000	25,000
CAPE TOWN, UNIVERSITY OF Cape Town, South Africa	Primary Math Education Project	22,000		11,000	11,000
COOPERATIVE ORGANIZATION FOR THE UPGRADING OF NUMERACY TRAINING Johannesburg, South Africa	To develop an in-service training program for teachers in farm schools	72,000		33,000	39,000
DIOCESE OF GRAHAMSTOWN Grahamstown, South Africa	Rural Development Program	77,000		35,000	42,000
EAST LONDON AND BORDER ASSOCIATION FOR EARLY CHILDHOOD EDUCARE East London, South Africa	Border Early Learning Centre: Project to train teachers of early childhood educators	63,000		18,000	45,000
ELTIC EDUCATION TRUST, THE Johannesburg, South Africa	To provide in-service courses for farm school teachers	90,000		60,000	30,000
ENGLISH RESOURCE UNIT Durban, South Africa	To develop an adult basic education model for squatter camps	64,000		32,000	32,000
NATAL, UNIVERSITY OF Durban, South Africa	Adult Basic Education Program: Materials development project	58,000*	29,000	29,000	
	Educare and Training Centre: Materials development project	69,000		46,000	23,000
SACHED TRUST Johannesburg, South Africa	Children's literacy project	100,000*	50,000	50,000	
WESTERN CAPE, JNIVERSITY OF THE	Centre for Adult and Continuing Education: Training project for adult educators	150,000*	50,000	50,000	50,000
Bellville, South Africa	Teacher's action research project	88,000*	44,000	22,000	22,000
SPECIAL OPPORTU	JNITIES				
CAPE TOWN FUND, INC., UNIVERSITY OF New York, New York	Colloquium on Technology and Reconstruction	25,000		25,000	
NSTITUTE OF INTERNATIONAL EDUCATION New York, New York	South African Information Exchange	40,000*	25,000	15,000	
AWYERS' COMMITTEE FOR CIVIL RIGHTS UNDER LAW Washington, D.C.	Toward a conference on a post-apartheid constitutional court	20,000		20,000	
SOUTHERN AFRICAN ADVANCED EDUCATION PROJECT, THE Oxford, England	General support	240,000*	170,000	70,000	
SUBTOTAL				530,000	319,000



Ramon Magsaysay Awards have been made since the mid-1950s to individuals and organizations in Asia whose civic contributions and leadership reflect the ideals of Ramon Magsaysay, former president of the Philippines. Up to five awards of \$30,000 each are presented annually in five categories: government service, public service, community leadership, international understanding, and journalism, literature and creative communication arts. Grants are awarded by the board of trustees of the Ramon Magsaysay Award Foundation, which is headquartered in Manila. The Foundation received its principal support from the Fund.

In 1987 the Program for Asian Projects was created to support projects in Asia that exemplify both the spirit of the Ramon Magsaysay Awards and the program concerns of the Fund. Magsaysay awardees and the Magsaysay Foundation itself are eligible for grants under this program, which is administered by an Asian board of advisers. Approval of grants, which are intended to assist the Magsaysay awardees to extend their work, rests with the Fund's board of trustees.

RAMON MAGSAYSAY AWARD FOUNDATION

RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines \$200,000

\$100,000 for the Ramon Magsaysay Awards for 1991. Up to five awards are presented to those persons (or organizations) in Asia "who exemplify the greatness of spirit, integrity, and devotion to freedom of Ramon Magsaysay," former president of the Philippines. Awards are made in five categories: government service, public service, community leadership, international understanding, and journalism and literature, and are often regarded in the region as the Nobel Prizes of Asia.

\$100,000 for capital improvements to the Ramon Magsaysay Center, which houses the foundation.



PROGRAM FOR ASIAN PROJECTS

CHANDI PRASAD BHATT Chamoli, India \$10,000

To a project, "Environmental Conservation through People's Participation in Central Himalaya," which seeks to restore the green cover on denuded mountain slopes in the northern state of Uttar Pradesh, which have been degraded through large-scale commercial exploitation of the forest, resulting in flood, landslides, soil erosion, and scarcity of food, water and fuel. The project organizes local villagers—especially the women, who are responsible for gathering food and fuel—and teaches them how to renew and sustainably manage the land.

ELA R. BHATT Ahmedabad, India \$8,000

For a project to design educational materials to be used in literacy and non-formal education classes for poor, self-employed women in both urban and rural areas. These materials will address topics such as health, family planning, government programs and policies, legal and banking matters, and women's issues.

H.H. DALAI LAMA Dharamsala, India \$8,000

To a project, "Communication for Cultural Survival: Tibetan Refugee Settlements in India," which will provide journalistic training to members of the Tibetan Youth Council, a voluntary group which offers social and educational services in Tibetan refugee communities. It is hoped that participants, acting as independent reporters, can provide the press and Tibetan support groups with accurate information on the situation within the settlements, increase the sharing of information among refugee communities, and help preserve a sense of cultural identity among the scattered groups.

FE DEL MUNDO Manila, Philippines \$10,000

For a project, "Adolescent Mothers in the Philippines: Trends and Insights." This study will explore the situation of adolescent and teenage mothers in the Philippines, where teenage pregnancy, both within and outside marriage, is on the rise, in order to better understand these trends and to recommend appropriate care and guidance. The project will interview a wide range of young mothers to identify their attitudes and concerns, and to gauge their understanding of proper pre-natal and infant care.

GOURKISHORE **GHOSH** Calcutta, India \$7,000

For a study of the riots in the city of Bhagalpur in northeast India in 1989. The project hopes to gain a deeper understanding of the nature of community violence by analyzing human behavior during one incident, the Bhagalpur massacre. Factors such as underlying tensions within the community, the role of provocateurs, and the process of escalation will be examined, through a series of interviews with witnesses to the event.



LAKSHMI C. JAIN Delhi, India \$7,000 For a study of a five-year-old policy in the state of Karnataka, which reserves for women 25 percent of the seats in the Panchayats—the elected bodies at the village and district levels. With a constitutional amendment bill now pending in the Indian Parliament to legislate this policy throughout India, researchers will examine the merits and drawbacks of the Karnataka experiment: its impact on the status of women, on equity among the classes, and on the direction of economic development, which is largely determined by the Panchayats.

MARCELLINE JAYEKODY Colombo, Sri Lanka \$10,000 To a project, "Sinhala Songs for Peace and Posterity." Fr. Jayekody will continue his project to record and publish some of the more than 700 songs he has composed in the language of the Sinhalese people who inhabit Sri Lanka, as part of an effort to contribute to ethnic and religious harmony through music and song.

P.P. NARAYANAN Petaling Jaya, Malaysia \$10,000 For a project to train young men and women to become leaders in the National Union of Plantation Workers. The union tries to improve the quality of life among plantations workers, who are a large but poor segment of the working population, through self-help, collective action projects which provide important services such as education, vocational training, and group insurance.

RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines \$32,750 \$10,000 for a project to organize and move to a larger and more permanent space the archives of Ramon Magsaysay awardees and other collections, 1958 to date.

\$10,000 to continue a project to train the successors of Ramon Magsaysay awardees. Through fellowships, successors are able to take courses in management, writing and editing so that they are better equipped to carry on the work of RM awardees.

\$10,000 for a project, "Asian Issues and Trends for Development," to institute an annual assembly of Ramon Magsaysay awardees so that they might discuss the common political, economic, social and cultural problems facing the region; and to create a forum on the issues and trends affecting one specific country in Asia.

\$2,750 to continue publication of the Program for Asian Projects newsletter, *The Magsaysay Awardees*, so that awardees can keep in touch with one another and abreast of ongoing projects.



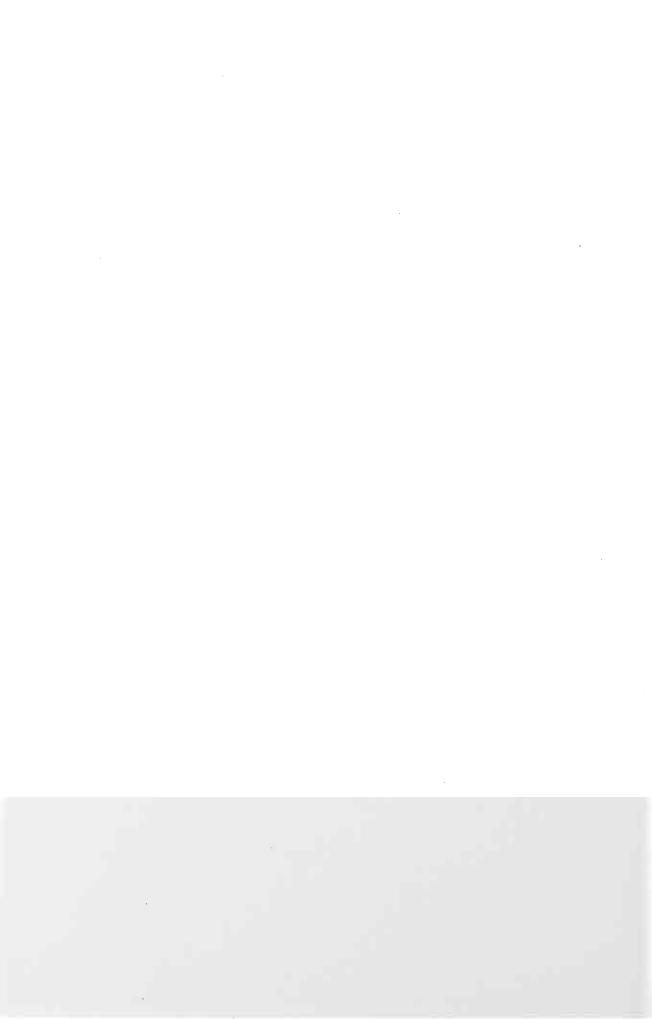
UNIVERSITY OF THE PHILIPPINES AT LOS BANOS FOUNDATION Los Banos, Philippines \$10,000

HAROLD R. WATSON Davao City, Philippines \$10,000 For a project of the College of Agriculture to improve the quality of teaching vegetable gardening in the elementary schools. Encouraging people to grow and eat vegetables is one way to counter hunger and malnutrition, especially among the poor. In the Philippines, gardening skills are taught in the elementary grades, currently with little success. This pilot project will provide elementary school teachers with two-week training programs, gardening supplies, and equipment.

For a project, "Testing an Animal-Based Sustainable Agricultural System in the Uplands Using Bali Cows and Barbados Sheep." The project will teach a small group of farmers how to raise these animals in the uplands—where the land is very steep and the soil often depleted. Barbados sheep and Bali cattle are hearty and adaptable and, if they can be successfully raised, would be excellent sources of food and income for the impoverished upland farmers.



PAYMENTS MADE IN 1991 AN	ID GRANTS OUTSTANDING	Total Paid in Appropriation Previous Years	Payment Unpaid in 1991 Balance
RAMON MAGSAY	SAY AWARD FOUNDATION		
RAMON MAGSAYSAY	Capital improvements	100,000	100,000
AWARD FOUNDATION Manila, Philippines	Ramon Magsaysay Awards for 1991	100,000	100,000
PROGRAM FOR A	SIAN PROJECTS		
BHATT, CHANDI PRASAD Chamoli, India	Environmental conservation project	10,000	10,000
BHATT, ELA R. Ahmedabad, India	Preparation of educational materials for women workers project	8,000	8,000
DALAI LAMA, H.H. Dharamsala, India	Communication for Cultural Survival project	8,000	8,000
DEL MUNDO, FE Manila, Philippines	Adolescent mothers health project	10,000	10,000
SHOSH, GOURKISHORE Calcutta, India	Report on the Bhagalpur Incident	7,000	7,000
AIN, LAKSHMI C. Delhi, India	Project on political participation of women in Panchayatraj system	7,000	7,000
AYEKODY, MARCELLINE Colombo, Sri Lanka	To record Sinhala songs	10,000	10,000
NARAYANAN, P.P. Petaling Jaya, Malaysia	Leadership Course for Plantation Youth and Women project	10,000	10,000
RAMON MAGSAYSAY	To organize the archives of RM Awardees	10,000	10,000
Manila, Philippines	Project SURMA: Training the Successors of RM Awardees	10,000	10,000
	Asian Issues and Trends for Development project	10,000	10,000
	Publication of The Magsaysay Awardees	2,750	2,750
UNIVERSITY OF THE PHILIPPINES AT LOS BANOS COUNDATION, INC. Los Banos, Philippines	College of Agriculture: Teaching vegetable gardening in elementary schools project	10,000	10,000
WATSON, HAROLD R. Davao City, Philippines	To test an animal-based sustainable agricultural system	10,000	10,000
SUBTOTAL			322,750 -

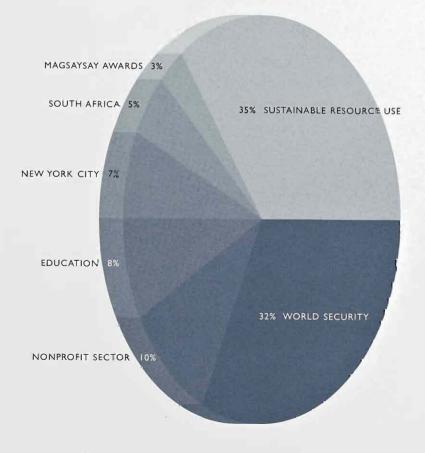




SUMMARY OF PAYMENTS MADE IN 1991 AND GRANTS OUTSTANDING

	Payments in 1991	Unpaid Balances
One World: Sustainable Resource Use	\$ 3,780,711	\$ 3,073,447
One World: World Security	3,426,460	2,244,000
Nonprofit Sector	1,115,510	1,249,215
Education	925,070	449,540
New York City	799,000	190,000
Special Concerns: South Africa	530,000	319,000
Ramon Magsaysay Awards	322,750	
	10,899,501	\$ 7,525,202
Payments matching employee contributions	. ,,,,,	
to charitable institutions	22,865	
	10,922,366	
Grant returned	(12,036)	
Appropriations paid in 1991	\$ 10,910,330	

¹ Total does not include lapsed items





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

UNPAID APPROPRIATIONS, DECEMBER 31, 1990		
Principal Fund	\$ 8,216,959	
RBF Awards in Arts Education	89,946	\$ 8,306,904
APPROPRIATIONS AUTHORIZED IN 1991		
Principal Fund	10,040,295	
Ramon Magsaysay Award Foundation	200,000	
Asian Projects Fund	122,750	
RBF Awards in Arts Education	-0-	
Charitable Matching Gifts	22,865	
	10,385,910	
Less:		
Appropriations lapsed: Principal Fund	155,300	
Grant returned	12,036	
	167,336	10,218,574
APPROPRIATIONS PAID IN 1991		
Principal Fund	10,564,715	
Ramon Magsaysay Award Foundation	200,000	
Asian Projects Fund	122,750	
	10,887,465	
RBF Awards in Arts Education	-0-	
Charitable Matching Gifts	22,865	10,910,330
UNPAID APPROPRIATIONS, DECEMBER 31, 1991		
Principal Fund	7,525,202	
Ramon Magsaysay Award Foundation	-0-	
Asian Projects Fund	-0-	
	7,525,202	
RBF Awards in Arts Education	89,946	
		\$ 7,615,148



REPORT OF INDEPENDENT PUBLIC ACCOUNTANTS

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

We have audited the accompanying balance sheet of Rockefeller Brothers Fund, Inc. as of December 31, 1991, 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, 1991 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, 1991, \$12,116,000 (4.0% of fund balance) 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 March 30, 1992



ROCKEFELLER BROTHERS FUND, INC. BALANCE SHEET

December 31, 1991 with Comparative 1990 Totals

			Ramon				
	Principal Fund	Pocantico Fund	Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Restoration Fund	Total 1991 All Funds	Tota 1990 (Note 9
ASSETS							
Cash	\$82,098	\$7,704	\$ -	\$ -	\$445,000	\$534,802	\$892,319
Accounts Receivable	81,114	-	-			81,114	79,173
Interest and Dividends Receivable	1,991,032	234,671	26,137	49,902	-	2,301,742	2,490,962
Due from Brokers and Dealers	1,020,740	276,951		-		1,297,691	35,274
Investments, at market valuc (Note 3)	264,593,120	38,906,696	1,851,919	2,255,534	3,310,132	310,917,401	269,211,279
Program Related Investments:							
Program mortgage loans	565,717				-	565,717	589,264
Real estate (Note 4)	510,000					510,000	510,000
Other	728,701					728,701	833,140
Prepaid Federal Excise Tax	354,742	-	2			354,742	34,320
Fixed Assets (net of accumulated depreciation and amortization of \$232,645)	629,175	5,630				634,805	586,378
Interfund	45,676	(35,157)	(30,557)	20,038	_	-	
Total Assets	\$270,602,115	\$39,396,495	\$1,847,499	\$2,325,474	\$3,755,132	\$317,926,715	\$275,262,103
LIABILITIES AND FUND BAL	ANCES						
Grants payable (Note 2)	\$ 7,615,148	\$ -	\$ -	\$ -	\$ -	\$ 7,615,148	\$ 8,306,904
Due to brokers and dealers	261,290	336,300				597,590	691,946
Accounts payable and accrued liabilities	18,605	60,195			-	78,800	
Total liabilities	7,895,043	396,495				8,291,538	8,998,850
Commitments (Note 7)							
Fund Balances	262,707,072	39,000,000	1,847,499	2,325,474	3,755,132	309,635,177	266,263,253
Total Liabilities and Fund Balances	\$270,602,115	\$39,396,495	\$1,847,499	\$2,325,474	\$3.755.132	\$317,926,715	\$275.262.10

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



ROCKEFELLER BROTHERS FUND, INC. STATEMENT OF FUND ACTIVITY

For the Year Ended December 31, 1991 with Comparative 1990 Totals

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Restoration Fund	Total 1991 All Funds	Total 1990 (Note 9)
REVENUES							
Dividend income	\$ 4,623,455	\$ 995,053	\$ -	\$ -	\$ -	\$5,618,508	\$6,857,935
Interest income	7,445,751	883,316	208,810	179,017	_	8,716,894	8,356,769
Contributions	-	_			445,000	445,000	-
Other income	298,630	37,784			-	336,414	233,562
-	12,367,836	1,916,153	208,810	179,017	445,000	15,116,816	15,448,266
EXPENSES	2-2						
Functional expenses (Exhibit I):							
Direct charitable activities	255,800	455,692	-	4,300	624,108	1,339,900	530,898
Program and grant managemen	nt 11,919,318	-	265,407	136,690	-	12,321,415	15,087,353
Investment management	1,221,545	218,821	8,778	14,935	-	1,464,079	1,459,643
General management	1,137,432	19,987	2,894	64,136		1,224,449	1,552,064
	14,534,095	694,500	277,079	220,061	624,108	16,349,843	18,629,958
Excess (deficiency) of revenues over expenses	(2,166,259)	1,221,653	(68,269)	(41,044)	(179,108)	(1,233,027)	(3,181,692)
GAIN ON INVESTMENTS							
Net realized gain (loss) from securities sales	13,415,358	249,675	-	(1,241)	-	13,663,792	13,506,863
Net change in unrealized gain (loss) on investments	24,976,611	4,993,769	71,266	185,747	713,766	30,941,159	(34,458,629)
	38,391,969	5,243,444	71,266	184,506	713,766	44,604,951	(20,951,766)
Excess (deficiency) of revenues and gain on investments over expenses	36,225,710	6,465,097	2,997	143,462	534,658	43,371,924	(24,133,458)
FUND BALANCES beginning of year	226,481,362	35,755,377	1,844,502	2,182,012	-	266,263,253	290,396,711
Interfund Transfers	-	(3,220,474)	_		3,220,474	-	-
FUND BALANCES end of year	\$262,707,072	\$39,000,000	\$1,847,499	\$2,325,474	\$3,755,132	\$309,635,177	\$266,263,253

The accompanying notes are an integral part of this statement.



ROCKEFELLER BROTHERS FUND, INC. NOTES TO FINANCIAL STATEMENTS

December 31, 1991

(I) 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 and other funds to the following special purpose funds:

POCANTICO FUND: For the maintenance and operation of the Pocantico Historic 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.

POCANTICO RESTORATION FUND: For the renovation and preservation of the Pocantico Historic Area for visitation by the public and for use by the Fund for philanthropic programs.

(2) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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 as of the trade date. Security costs are determined on a first-in first-out (FIFO) 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 as determined by management of the limited partnerships. As of December 31, 1991, \$12,116,000 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, 1991 will be paid as follows:

1992: \$5,123,360 1993: \$2,241,788 1994: \$250,000 Total: \$7,615,148



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: The Fund capitalizes fixed assets, which includes leasehold improvements, furniture and fixtures and office equipment. Depreciation and amortization of the fixed assets are provided over the following estimated useful service lives: leasehold improvements: life of lease; furniture & fixtures: 7 years; office equipment: 5 years.

(3) INVESTMENTS

Investments as of December 31, 1991 are	cost	Unrealized Appreciation/ (Depreciation)	Quoted Market or Equity Value
PRINCIPAL FUND			
Short-term investments	\$4,265,523	\$ (171,859)	\$4,093,664
Stocks	114,404,976	15,399,221	129,804,197
Bonds	94,258,045	4,323,222	98,581,267
Limited partnerships	24,246,102	7,867,890	32,113,992
	237,174,646	27,418,474	264,593,120
POCANTICO FUND			
Short-term investments	182,502		182,502
Stocks	18,641,111	8,748,341	27,389,452
Bonds	10,766,886	567,856	11,334,742
	29,590,499	9,316,197	38,906,696
ramon magsaysay award foundation fund			
Short-term investments	53,670		53,670
Bonds	1,421,874	376,375	1,798,249
	1,475,544	376,375	1,851,919
ASIAN PROJECTS FUND			
Short-term investments	2,655		2,655
Bonds	1,961,360	291,519	2,252,879
	1,964,015	291,519	2,255,534
POCANTICO RESTORATION FUN	D		
Short-term investments	77,983		77,983
Stocks	1,733,742	670,057	2,403,799
Bonds	784,641	43,709	828,350
	2,596,366	713,766	3,310,132



(4) REAL ESTATE

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

(5) PENSION PLAN

The Fund participates in the Retirement Income Plan for Employees of Rockefeller Brothers Fund, Inc, et al., a noncontributory plan covering substantially all its employees. The Fund's policy is to make contributions to maintain the plan on a sound financial basis.

The following table sets forth the plan's funded status and amounts recognized in the Fund's financial statements at December 31, 1991 and for the year then ended:

Actuarial present value of benefit obligations:

Accumulated benefit obligation, including vested benefits of \$3,019,196	\$3,136,638
Projected benefit obligation for services rendered to date	\$3,831,981
Plan assets at fair value	5,546,030
Plan assets in excess of projected benefit obligation	1,714,049
Unrecognized prior service cost	6,166
Unrecognized net gain from past experience different from that assumed and effects of changes in assumptions	563,426
Unamortized transitional net asset	1,016,858
Prepaid pension cost included in assets	\$127,599
Net pension cost (benefit) for 1991 included the following components:	
Service cost – benefits earned during period	\$155,505
Interest cost on projected benefit obligation	296,998
Actual return on plan assets	(732,686)
Net amortization and deferral	221,475
Net periodic pension cost (benefit)	<u>\$(58,708)</u>

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.

(6) RELATED PARTY TRANSACTIONS

The Fund paid Rockefeller and Co., Inc., fees of \$199,846 as one of its investment advisors and paid 5600, Inc., fees of \$33,071 for accounting, legal, and other services for the year ended December 31, 1991. The Fund was reimbursed \$109,405 for certain common expenses, including rent expense discussed in Note 7, by Rockefeller Family Fund, Inc. In all instances, financial arrangements are determined on an arm's length basis.



(7) COMMITMENTS

The Fund, together with its affiliate, occupies office facilities which provide for minimum annual rental commitments as follows:

Fiscal Year	
1992	\$ 550,887
1993	582,445
1994	642,469
1995	642,469
1996-1998	1,927,407

The lease expires on December 31, 1998. Rent expense aggregated approximately \$445,000 in 1991.

(8) POSTRETIREMENT HEALTHCARE BENEFITS

In December 1990, the Financial Accounting Standards Board issued a new standard on accounting for postretirement benefits other than pensions. This new standard requires that the expected cost of these benefits must be charged to expense during the years that the employees render service. This is a change from the Fund's current policy of recognizing these costs on the cash basis. The Fund is required to adopt the new accounting and disclosure rule no later than 1995, although earlier implementation is permitted.

The Fund has not decided when it will adopt the new standard or if it will adopt the new accounting method prospectively or by recording a cumulative catch-up adjustment in the year of adoption. Because of the complexities of the new standard, management has not yet determined the effect that the change in accounting will have on the Fund's reported financial position and results of operations, but it is not expected to have a material impact on the fund balance.

(9) PRIOR YEAR'S FINANCIAL STATEMENTS

The financial information presented for 1990 in the accompanying financial statements is intended to provide a basis for comparison and reflects summarized totals only.



EXHIBIT I: SCHEDULE OF FUNCTIONAL EXPENSES

For the Year Ended December 31, 1991 with Comparative 1990 Totals

	Direct Chari	itable Activities	Program			Т	otal
	General Programs	Pocantico Funds	and Grant Management	Investment Management	General Management	1991	(Note 9) 1990
SALARIES AND EMPLOYEE BENEFITS							
Salaries	\$120,346	\$35,222	\$798,385	\$38,629	\$465,148	\$1,457,730	\$1,403,176
Employee benefits	32,042		212,363	10,294	126,806	381,505	263,405
	152,388	35,222	1,010,748	48,923	591,954	1,839,235	1,666,581
OTHER EXPENSES							
Grants awarded	-	-	10,218,574	-	T ₂	10,218,574	13,561,659
Provision for federal excise tax (Note 2)			-	-	30,955	30,955	594,552
Consultants fees	-	630,479	69,497	9,116	11,389	720,481	89,007
Investment services			-	1,357,356		1,357,356	1,337,276
Legal and audit fees	-	326,560	46,865	21,173	97,186	491,784	282,789
Travel	35,762	4,619	471,026	2,269	34,204	547,880	225,016
Rent and electricity	42,601		282,211	13,674	165,483	503,969	463,100
Telephone	3,333		22,138	1,070	14,608	41,149	34,165
General office expenses	17,097	81,429	139,088	7,635	148,837	394,086	217,454
Publications			2,031	-	92,236	94,267	55,147
Renovations & refurbishing			-		-	,-	17,231
Depreciation and amortization	8,919	1,491	59,237	2,863	37,597	110,107	85,981
	\$260,100	\$1,079,800	\$12,321,415	\$1,464,079	\$1,224,449	\$16,349,843	\$18,629,958



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