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ROCKEFELLER BROTHERS FUND

ANNUAL REPORT 1992

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ROCKEFELLER BROTHERS FUND, INC.

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Abby M. O'Neill

Ten years ago, in the report of the Rockefeller Brothers Fund's Planning Committee, the trustees reaffirmed the Fund's purpose as "to help realize the shared ideals of the Rockefeller family." Since I was the first member of my generation of the Rockefeller family to serve as a trustee of the Fund, I was particularly pleased that in June of 1992, when I was elected chairman of the Fund, my daughter Catharine Broderick was elected a trustee—the first member of her generation to join the board. The continuing involvement of family members from generation to generation is key to achieving that purpose.

Two other new trustees joined us in 1992: Jonathan Fanton, president of the New School for Social Research, and Jessica T. Mathews, vice president of the World Resources Institute. I am glad to welcome them to the board, and also to welcome an old friend to a new role. Russell Train, chairman of the World Wildlife Fund/Conservation Foundation, served as a regular trustee of the RBF from 1984 until his term expired in 1992; we are delighted that he has agreed to continue to work with us as an advisory trustee.

In reviewing the work of the board over the past year, I want to express special appreciation for the leadership that Ken Lipper has provided to the Finance Committee. He has energized an excellent and productive group, and initiated a review and restructuring of the Fund's investment management that carefully balances risk and performance.

Early in my first months as chairman, I traveled to Tokyo for a meeting of the board of advisers of the Program for Asian Projects and to attend meetings in connection with the Asian Cultural Council, an affiliate of the RBF. The Program for Asian Projects gives grants to winners of the Magsaysay Award to further the work for which they received their awards, and at the conclusion of our board deliberations we met with several of the Japanese recipients of the award. We enjoyed the opportunity to meet each other and they also gave us interesting reports on the extraordinary work they continue to do. A similar session with awardees is held in a different Asian country every year in connection with the annual meeting of the board of advisers. These sessions continue the building of an awardee network across Asia that was begun in 1987 when the RBF's trustees met with all of the awardees in Bangkok. The awardees are enthusiastic over the opportunity to share experi-

ences and to work together that this network is beginning to provide. It is the intent of the Program for Asian Projects to promote this synergy. I believe there is much to learn—for the awardees and for all of us—from the "bottom up" approach that characterizes most of these imaginative activities.

In 1993 and beyond, I look forward to several challenges that face the Rockefeller Brothers Fund. One of these is to find appropriate ways to develop an even closer relationship between the work in Asia of the RBF and that of the Asian Cultural Council, and to help the staffs of the two organizations, which now share offices, to work together. The portion of my Asian trip devoted to the Asian Cultural Council was one of many early steps that have already been taken in this direction.

Another challenge is to take advantage of the Fund's opportunity, under its agreement with the National Trust for Historic Preservation in the United States, to create a viable and productive program at the Pocantico Historic Area while at the same time continuing to ensure the excellence and flexibility of the existing programs of the RBF.

Since becoming RBF chairman, I have taken special delight in developing a closer working relationship with President Colin Campbell. In addressing these and other challenges facing the RBF, we can move forward with great confidence, in part because of Colin's imaginative and energetic leadership, in part because of the excellence and commitment of the Fund's trustees, and in part because of the quality and dedication of the Fund's staff. I am proud to be the chairman of this wonderful team.

Abby M. O'Neill





Colin G. Campbell

In the spring of 1988, the Rockefeller Brothers Fund convened a day-long meeting of Fund trustees and leading educators at Pocantico Hills, New York. The purpose was to consider whether the Fund should address, through its grantmaking, some of the serious difficulties plaguing public education across the nation. At the outset David Rockefeller, Jr., then the Fund's chairman, argued that, despite the widely held view that our education system was in crisis, looking forward there was reason for optimism about reform objectives that could be achieved through concentrated and imaginative effort. Pointing out that the Chinese ideogram for crisis includes one character for danger and the other for opportunity, Mr. Rockefeller suggested that the crisis-laden atmosphere presented a rare opportunity to rebuild America's schools.

While acknowledging the seriousness of the problem and the importance of developing appropriate measures to correct the deficiencies, Fund trustees pondered whether the RBF should reenter a field already being supported quite generously by many other foundations and which, because so many decisions affecting it are made at the local level, is difficult to influence. There was understandable concern that such a move might put at-risk other significant RBF programs, most notably in the international sphere, in which the Fund has a clear comparative advantage as a result of its long history of global grantmaking. Enthusiasm among trustees for engaging a problem so fundamental to human betterment was matched by caution about the Fund's capacity to make a difference, as well as about the potential cost of such a commitment.

Those charged with considering next steps were urged to keep any proposal they might bring forward entirely specific, concrete, and practical, not only because there was a consensus favoring that approach as compared to adopting a more theoretical and vaguely defined educational reform agenda, but also because it was important to mount an effort that was spelled-out clearly enough to be isolated and measured in order to determine whether the Fund was in fact making a contribution. It was pointed out by a number of trustees that important elements of public school reform which are not likely to attract resources and commitment from local communities offer the best opportunity for effective grantmaking for the Fund. Teacher recruitment and training—especially recruitment and training of minorities—were cited as

worthwhile examples of initiatives that would be consistent with the Fund's board mandate and for which responsibility could and should be taken at the national level.

A year after the Pocantico conference, following considerable additional study and debate, the Fund's trustees determined that a focus on the quality and diversity of the teaching profession represented a worthy, potentially significant and sound direction for RBF education-related grantmaking. Several pilot grants were approved and strategies worked out that were designed to give the Fund, as well as potential applicants, a clear road map for determining whether particular proposals should be pursued and funded. The strategies, which were approved in the spring of 1990, called for:

- a Rockefeller Brothers Fund Fellowship program for minority students, currently undergraduates in selected colleges of arts and sciences, who are planning to enter graduate teacher education programs;
- support for early childhood education training programs for teachers in child care centers, Head Start programs and the early grades of elementary school;
- programs to educate public school teachers in non-school settings, including museums and churches; and
- innovative undergraduate teacher education programs in highquality four-year liberal arts institutions.

Other reform-oriented teacher education programs of particular merit would also be eligible for support should resources be available.

It is clearly too soon to assess the broader impact of the education grants made since 1990 pursuant to these strategies. There is sufficient evidence already, however, to confirm that there is ample need for RBF funding in support of education reform and that the potential for making an impact, even with relatively limited resources, is not so elusive as had been feared.

The minority fellowships are the cornerstone of the Fund's education program. It is intended to be a visible, nationwide effort to help address the discrepancy between the low number of minority teachers compared to the dramatically increasing enrollment of minority students. The program is also intended to enhance the quality of minority teachers by assisting and encouraging students with strong arts and sciences undergraduate backgrounds to enter the profession and be trained in programs that are rigorous, coherent, and sensitive to the growing diversity of the American classroom. Underlying the last point is the conviction that if teachers are to handle diversity better, they must be prepared differently.

Twenty-five Rockefeller Brothers Fund Fellows are selected annually from among nominations submitted by a group of colleges and universities chosen

by the Fund on the basis of a demonstrated commitment to admitting significant numbers of minority students and to supporting them in achieving their academic and career goals. The fellows receive significant financial incentives—up to \$18,000 per student—for education-related summer work, graduate study, and undergraduate loan forgiveness. The program is also designed to raise by means of appropriate public recognition and ceremony the status of students who choose to teach, to enhance their professional



preparation through special programs, and to create cohorts of students who maintain contact, and meet together from timeto-time, as they complete their education.

The first class of fellows was selected in the spring of 1992, and held its initial meeting at a conference center in Virginia in early August. Because they

had only recently completed, as part of their fellowships, a seven-week summer project, mostly in public school classrooms or campus-based programs, the students had interesting and useful experiences to report. In the process they revealed to the rest of us—including mentors from their colleges they had selected to counsel and guide them—just what a remarkable group they were. Caroline Zinsser, the Fund's education program officer, wrote following the workshop that the whole experience was "exhilarating.... The fellows were exhilarated by the conference itself and by meeting other students who showed their idealism and their dedication to a career in teaching; the mentors... by the potential for educational improvement represented by this outstanding group of minority students; and those of us representing the Fund... to see our hopes for the program so gratifyingly fulfilled."

Subsequently, the fellows applied to leading graduate schools across the country and not only received acceptances but in every case also received additional financial support.

There are, of course, more bridges for this first class of fellows to cross: completing their graduate work, finding the right teaching position, gaining acceptance in the classroom, and achieving the requisite credibility to provide leadership in their schools as well as to instigate change in the cause of educational reform. But they have already demonstrated the capacity and the will to do this. With the assistance of the Fund, the nurturing of their mentors and teachers, and the ongoing mutual support of their peers that

1992 recipients of the Rockefeller Brothers Fund Fellowships for Minority Students Entering the Teaching Profession: (front row, left to right) José Medina, Angel Means, Cathy Nguyen, Carmen De La Cruz, Daria Young, Noemi Donoso; (middle row) Patricia Garcia, Sarah Simpson, Delvin Dinkins, Gayle Herrington, Jane Chu, Jennifer Cortez, Rosemary Polanco, Coleen Frontin, Kimberly Phillips; (back row) Guy Reavis, Andrés Versage, Michael Brox, Derek Lynch, Delia Lovell, Yessenia Correa, Denise Juneau, Juan Garcia, Timothy Vessel, Daryl Begay.

the program is intended to encourage, they can continue this exciting journey knowing that theirs is a rare opportunity and confident that they will be able to meet the inevitable challenges of their chosen profession.

Although the fellowship program is the principal vehicle through which the Fund is attempting to increase the number and quality of minority teachers, other initiatives in recruitment as well as in pre-service, in-service and mid-career training have also been part of the effort. With support from the RBF, Recruiting New Teachers conducted a major advertising campaign that appealed with particular effectiveness to minorities and has resulted in more than 10,000 placements of minority teachers over the last several years. Outstanding minority students have also been attracted to the profession through Fund-supported programs at Hunter College and Phillips Academy (Andover). Specially designed training programs at the renowned Central Park East Schools in New York City and the Claremont Graduate Center in California, at Mount Holyoke College in the East and Pacific Oaks College on the West Coast are examples of innovative and successful attempts to reach both aspiring and practicing teachers from diverse minority communities, to strengthen their resolve and to enhance their performance in classrooms.

The Fund's decision to devote a portion of its education grantmaking to teachers of young children was motivated by conviction that intervention at an early age can pay off in long-term educational and societal gains. It was also motivated by a concern that, as more and more children are entering the public school system at age four or even three, there is a danger that patterns for educating older children will be used inappropriately on younger students. Prolonged "seatwork," regimentation, workbooks, and curtailment of play (which is the work of young children) will result, not in a head start, but in an early death of true learning. What is needed are more teachers trained in models of teaching that are particularly appropriate for young children and effective in multicultural classrooms.

Day care and Head Start are an increasingly important part of publicly supported education for young children, but have involved ever fewer teachers with sufficient education training. Head Start is receiving increased federal funding, but does not have nearly enough teachers trained in education to staff the extensive expansion already underway. Under these circumstances, it is particularly unfortunate that teaching young children has received so little attention from the educational establishment. Convinced that the need is urgent, that, by funding model early childhood teacher education programs, government training funds could be effectively leveraged and that early childhood programs offer an attractive means for recruiting minority and nontraditional teachers, the Fund entered the field and began fostering a systematic approach to their professional development.

In June of 1990, an RBF-sponsored meeting of early childhood educational leaders discussed "the possibilities for replacing the present piece-meal and

redundant training experiences most teachers face with a coherent delivery system of linked educational courses spanning the preliminary in-service training for newcomers to the advanced graduate work of leaders in the field." Following this meeting and another on the same subject co-sponsored with the Carnegie Corporation, two major initiatives were begun. The first was the Center for Career Development in Early Care and Education at Wheelock College and the second was the National Institute for Early Childhood Professional Development of the National Association for the Education of Young Children (NAEYC). While the center has concentrated on establishing statewide systems, the institute has developed a model of professional training which can be used by those systems. The Fund will continue to encourage a state-by-state effort recognizing that, while the challenges to such statewide planning are formidable, the time has never been more propitious for establishing coordinated teacher training among the systems of public schools, Head Start programs and child care centers.

The centrality of classroom teaching in implementing school reform has become increasingly apparent over the last decade and is reflected in the Fund's program emphasis. It would appear that, no matter how educational responsibilities are redistributed or school administration is restructured, change will not take place if classroom teachers do not play an integral role in the process. Yet, that change could be daunting for teachers imbued with traditional instructional practices characterized by lecturing to passive listeners. Those same teachers are now being pressed by reformers to embrace the active participation of students in formulating their own answers by directly engaging in learning experiences. Assisting teachers in making this pedagogical shift while at the same time underscoring the important educational role of institutions such as museums and programs in the arts, were dual objectives of the RBF grants to the Brooklyn Museum and the Children's Museum of Indianapolis.

The Brooklyn Museum's Summer Teacher Institute introduces the museum as an alternative learning site and valuable partner in the education process by offering participating teachers an opportunity to broaden the knowledge and enhance the skills needed to serve a culturally diverse student population. Using the museum's art installations as the focal point, these teachers are not only exposed to a variety of perspectives about the works of art and their creators, they are also introduced to new ways of teaching as part of the process. Similarly, at the Children's Museum, teachers participating in the Teacher Enrichment Program are put into the role of students engaged in an exciting learning environment in order to help them understand, through experience, that there are many interesting ways of reaching children beyond the traditional classroom methods.

A grant to the American Association for the Advancement of Science in support of its Black Churches and Black Colleges Partnership in Atlanta offers a particularly exciting example of the multiple objectives that can be accomplished in a non-school setting involving a group of committed collaborators. This volunteer teaching intern program for college minority students who conduct math and science classes in local black churches has helped those churches strengthen their non-religious education programs, provided a compelling setting for introducing minority students to the possibility of teaching careers, trained those students in a "hands on" approach to math and science, offered them a significant community service opportunity, and given the children with whom they worked positive African American teacher role models. It is difficult to imagine a more effective means of making a difference in the quality and diversity of the teaching profession, and in the lives of participating young adults and children.

The Fund's effort to encourage the development of innovative four-year teacher education programs at liberal arts institutions of high quality complements the minority fellowship program, which also emphasizes the vital importance to high-quality teaching of a sound liberal arts and sciences background. Moreover, since the vast majority of beginning teachers are graduates of relatively conventional four-year teacher education programs, the opportunity and the need to develop models of academic excellence that integrate academic preparation in the liberal arts with professional training in education seems obvious. If such an effort is successful, it could not only have a broad qualitative impact on the teaching profession but could also give undergraduate liberal arts majors who might not otherwise consider education as a career choice an exposure to teaching as part of a rigorous academic program. The Fund has attempted to serve as a catalyst in the development of such models and has struck a responsive cord at the University of Redlands in California and with a group of distinguished New England liberal arts colleges.

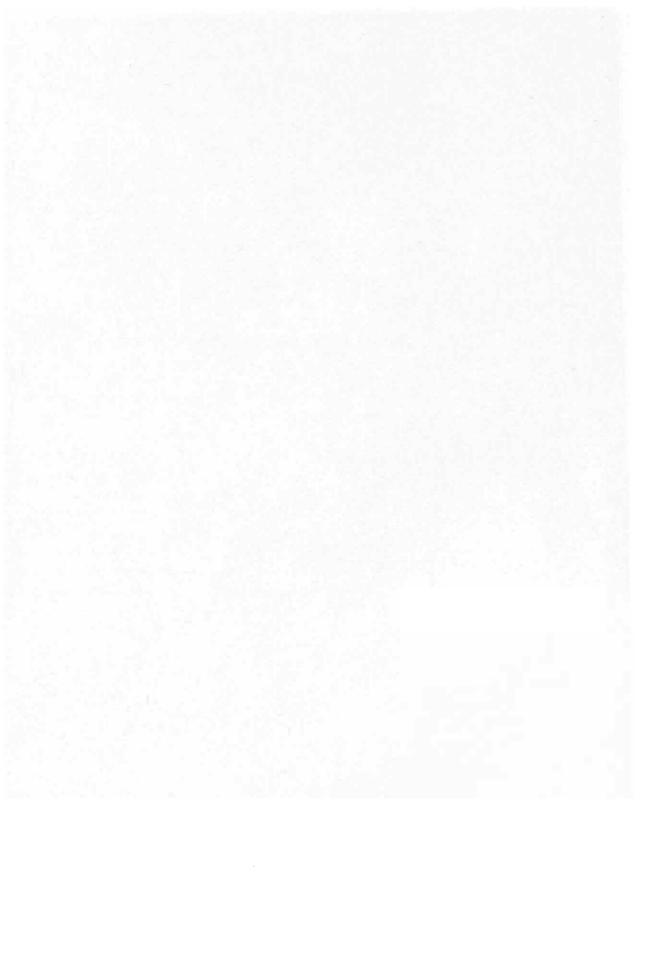
At Redlands the focus is on the urgent need to increase cooperation between the faculties of education and the liberal arts, a relationship that has long been strained and, on some campuses, is nonexistent. By encouraging liberal arts faculty members to actually observe how their disciplines are taught in public elementary schools and to have follow-up discussions with the teachers, Redlands hopes to deepen the understanding of both groups with respect to pedagogical and content issues. An increased awareness on the part of liberal arts faculty members of the needs of education department students may, in addition, have the benefit of leading to improved communications and a greater sense of common cause between the faculties of education and arts and sciences.

Following an RBF-supported conference on teacher education in an undergraduate liberal arts context held in 1991, the Consortium for Excellence in Teacher Education (CETE), a group of sixteen distinguished liberal arts colleges, developed, again with Fund support, a collaborative proposal with public school educators in New York. The objective was to develop a model to recruit and train outstanding undergraduates to become urban middle

school teachers. Seeing the merit in this unusual and promising cooperative effort, the DeWitt Wallace -Reader's Digest Fund has now provided major funding so that CETE can establish an Institute for Urban Education which will be based at Barnard College in New York City.

Since the Fund began anew its education-related grantmaking in 1989, it has become increasingly obvious that despite the continued sense of crisis in public education, imaginative and potentially significant initiatives are under way that can in time bring about much-needed improvements. The highly decentralized nature of governance and policy-making add to the difficulty of coordinating reform efforts. But the relatively limited activities of the Rockefeller Brothers Fund over these last four years suggest that the possibilities for making a difference, at least in carefully selected projects, are real and exciting. Going forward it will be particularly important for the Fund and for those with similar objectives to cull from their experiences those successes which hold out the most promise, to share them broadly with educators, local, state and national officials, and other interested groups and individuals, and to inform the public more effectively of the encouraging signs of progress in a facet of American life in need of urgent and thoughtful attention.

Colin G. Campbell





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 1992 were \$342,426,742 and its 191 grant payments and its matching gifts during the year amounted to \$11,059,856. Since 1940, the RBF has disbursed a total of \$405,701,420 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 21 through 25 of this annual report.



GUANGDONG MODERN DANCE COMPANY

Members of China's Guangdong Modern Dance Company, an Asian Cultural Council grantee, perform *Mountains* at the American Dance Festival in Durham, North Carolina.



The Asian Cultural Council (ACC), a foundation supporting cultural exchange in the visual and performing arts between the United States and Asia, became formally affiliated with the Rockefeller Brothers Fund in January 1991 and moved to the RBF offices in January 1992. The ACC's grant programs emphasize individual fellowship awards to artists, scholars, and specialists from Asia pursuing research and study in the United States. Some grants are also made to American individuals undertaking research and study in Asia and to Asian and American cultural institutions. A special feature of the council's work is the professional assistance that is offered to grantees in formulating individually tailored programs that will enable them to fully realize their goals and objectives, and the ACC thus functions as both a grantmaking foundation and as a service organization for the cultural exchange field.

The Asian Cultural Council was established in 1980 as a publicly supported operating foundation to supersede and continue the work of the Asian Cultural Program of the JDR 3rd Fund, which had been created by John D. Rockefeller 3rd in 1963. Over a thirty-year period this program in support of Asian-American cultural exchange has awarded grant assistance to more than 2,000 individuals. Funding for the council's activities is provided through a combination of endowment income and contributions from individuals, foundations, corporations, and government agencies in the United States and in Asia.

Through its extensive work in East and Southeast Asia, its growing role in stimulating regional collaboration and cooperation in Asia, its impact in cultural preservation and documentation efforts, and its support of education and creative training for young leaders in the arts, the ACC provides an important complement to the RBF's international activities.



POCANTICO HISTORIC AREA

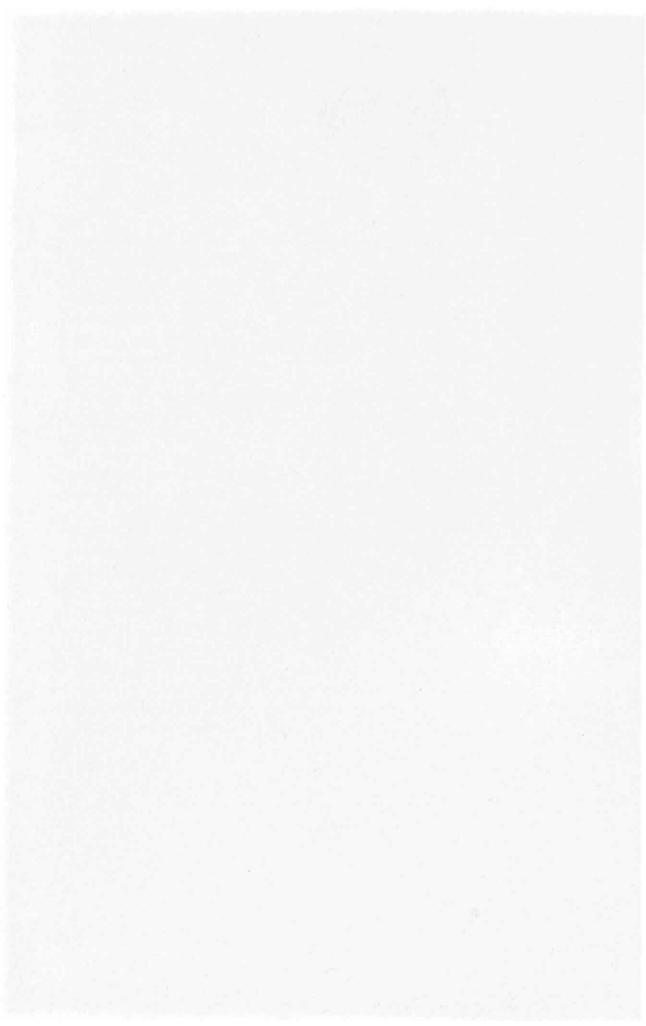
Kykuit, built in 1909 by John D. Rockefeller, stands in the center of the Pocantico Historic Area.



The Pocantico Programs were established in the fall of 1991 when the Rockefeller Brothers Fund signed an agreement with the National Trust for Historic Preservation in which the Fund leased from the National Trust the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York. The Historic Area includes John D. Rockefeller's home, Kykuit, the surrounding gardens and sculpture collections, and the Coach Barn. Under the terms of the Fund's agreement with the National Trust, a meeting facility for the Fund is being constructed in a portion of the Coach Barn, and the third and fourth floors of Kykuit are being renovated for use by meeting participants.

The Rockefeller Brothers Fund's philanthropic program at Pocantico will provide the Fund with the opportunity to convene a wide range of meetings and conferences related to its grantmaking. These may include gatherings of the Fund's grantees for sharing and collaboration; meetings of other funders interested in the areas of the Fund's program; and conferences that bring emerging and established leaders in the public and private sectors together with one another and with Fund grantees to explore new approaches to regional, national, and global issues. The philanthropic program will commence toward the end of 1993, and in its first year will be frankly exploratory and experimental in its range and scope.

In addition to the philanthropic program, a public visitation program will operate at the Pocantico Historic Area during the summer months. The public visitation program will provide guided tours, with appropriate historical interpretation, of portions of Kykuit, Nelson A. Rockefeller's art and sculpture collections, the surrounding gardens, and the Coach Barn. The public visitation program will begin in May of 1994 under the auspices of Historic Hudson Valley.





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.

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).



ONE WORLD: SUSTAINABLE RESOURCE USE

GOAL

STRATEGIES

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 1992





In both its global and U.S. sustainable resource use grants in 1992, the Fund gave increased attention to programs that broaden and deepen the constituency for the environment by linking environmentalists with other groups not notably associated with such concerns. Grants to the Program for Sustainable Change and Development at Tufts College to foster interchange between economists and those involved with sustainable resource use, to the Population Resource Center to bring together environmental researchers and demographers, and to the Cathedral Church of St. John the Divine and Physicians for Social Responsibility for conferences to convene, respectively, clergy leaders and medical doctors with environmental scientists all facilitated efforts to draw new groups into the dialogue on environmental concerns.

In East Central Europe, the RBF continued to foster the development of an infrastructure of nonprofit or nongovernmental organizations and public agencies concerned with environmental issues, giving particular attention to organizations seeking to place these issues on the agendas for change in the region. Some of these grants were made to groups in East Central Europe, including the Federal Committee for the Environment of the Czech and Slovak Federal Republic for the development of an Environmental Code of Conduct, and to the Institute for Environmental Policy in Prague, the first independent policy research institute in Czechoslovakia dealing with sustainable development. East Central Europe-related grants made to U.S.-based organizations were for projects that include a strong emphasis on building the capacity of institutions in the region. These include the work of the Environmental Law Institute in Poland, Hungary, and Czechoslovakia on environmental law, and the World Wildlife Fund's Central and Eastern European Environmental Affairs Network, which helps to strengthen the management of environmental institutions in the region. The Fund also continued to provide support to the German Marshall Fund for the Environmental Partnership for Central and Eastern Europe, launched by a consortium of foundations in 1991 as a mechanism through which to give fast and flexible support, in the form of small grants and technical assistance, to nongovernmental organizations and local governments in Poland, Hungary, and Czechoslovakia that are trying to cope with devastating environmental problems.

Pollution hangs over the city of Most, located in the industrial northwest section of Czechoslovakia.



In East Asia, the Fund's grants focused on practical research and dissemination of information about sustainable agricultural and pastoral practices. Several of these grants, including those to the American Council of Learned Societies for its Grassland Ecosystems of the Mongolian Steppe project, to the International Institute of Rural Reconstruction for its sustainable agriculture program, to Save the Children for its regional initiative in sustainable agriculture, and to the Winrock International Institute for Agricultural Development for training in China in research methodologies, help bring together individuals and groups from different countries in the region in order to develop regional networks for research and increased dissemination of information.

GLOBAL

POPULATION RESOURCE CENTER Princeton, New Jersey Up to \$50,000 For two workshops designed to advance discussions between environmental researchers and demographers on the links between population and environmental degradation. Through this project, the center seeks to encourage collaboration between the two groups and to build a base of knowledge upon which to draw in designing practical programs and policies.

TUFTS COLLEGE, TRUSTEES OF Medford, Massachusetts \$24,340 For a project of the college's Program for the Study of Sustainable Change and Development (SCD) entitled "What Environmentalists Need from Economists." The aim of the project is to gain a clearer understanding of the full range of economic analyses required to better integrate ecological and economic perspectives. SCD was founded in 1990 to promote collaboration between theoretical economists and field-based practitioners of sustainable development.

WORLDWATCH INSTITUTE Washington, D.C. \$525,000 General budgetary support. Established in 1974, Worldwatch Institute is a nonprofit research organization which analyzes and focuses attention on global environmental problems. Worldwatch publishes *State of the World*, an annual report card on the world's progress toward achieving sustainable economic and social development, and the bi-monthly *World Watch* magazine.

UNITED STATES

AMERICAN FARMLAND TRUST Washington, D.C. \$1,000,000 over four years Continued support for the membership development component of the organization's five-year capital campaign. The American Farmland Trust (AFT) is a national membership organization dedicated to protecting agricultural resources. By using public education, providing state and national-level assistance to policymakers, and by sponsoring on-farm demonstration projects, AFT



assists private groups, public agencies, and individual landowners who seek to protect farmland from threats as diverse as soil erosion and urbanization.

CATHEDRAL CHURCH OF ST. JOHN THE DIVINE New York, New York \$15,000 For a conference of senior American religious leaders and leading scientists, hosted by the cathedral's Joint Appeal by Religion & Science for the Environment. The May 1992 conference provided an important opportunity for dialogue between religious leaders and scientists concerned about the environment. It was, in addition, the culmination of an initial effort to facilitate collaboration among heads of religious faiths who seek to offer a scientifically informed, theological, and moral response to the deteriorating global environment.

CENTER FOR POLICY ALTERNATIVES Washington D.C.

Washington, D.C. \$225,000 over three years

Continued general budgetary support for the center's sustainable development program, which assists policymakers at the state level to develop innovative environmental protection policies that can be used as models by other states. The center has targeted for special assistance eight states where the potential for policy innovation, in areas such as sustainable agriculture, energy efficiency and solid waste, seems greatest.

COMMITTEE FOR THE NATIONAL INSTITUTES FOR THE ENVIRONMENT Washington, D.C. \$25,000

To support expenses for a two-day seminar on the environmental impacts of stratospheric ozone depletion and the steps required to mount a comprehensive, coordinated response. Participants from government, industry, academia, multilateral organizations, public interest groups, and private foundations met in October to discuss such matters as trends and projections of ozone depletion, the terrestrial and marine effects of global warming, future research needs, and funding priorities. The committee also sought through this meeting to highlight the need for establishment of a National Institutes for the Environment to coordinate nationwide interdisciplinary planning.

INSTITUTE FOR
ALTERNATIVE
AGRICULTURE
Greenbelt, Maryland
\$100,000 over two years

Continued general budgetary support. Established in 1983, the Institute for Alternative Agriculture is a nonprofit research and education organization whose primary goal is to facilitate the adoption of environmentally sustainable farming methods in the United States. Through its publications and other activities, the institute serves as a nationwide clearinghouse for information on sustainable agriculture.

PHYSICIANS FOR SOCIAL RESPONSIBILITY Washington, D.C. \$25,000 To initiate a broadly based program of public education on the medical consequences of environmental degradation. In particular, the project seeks to educate physicians about the intersection of environmental and health concerns. This grant supported the inaugural event of the program: a two-day symposium entitled "Human Health and the Environment" for doctors, scientists, environmentalists, and policymakers held in October at the Massachusetts Institute of Technology.



EAST CENTRAL EUROPE & THE FORMER SOVIET UNION

ENVIRONMENTAL LAW INSTITUTE
Washington, D.C.
\$120,000 over three years

Continued support for the institute's Environmental Program for Central and Eastern Europe, which advises governmental agencies and nongovernmental organizations in Poland, Hungary and Czechoslovakia in the development of environmental protection laws and policies. Over the next three years the institute will continue to provide advice in the design of environmental legislation while giving increased attention to the need to develop effective environmental protection institutions on the governmental and nongovernmental levels. The institute also will begin to work with selected law schools in the region to restructure the environmental law curricula and to create continuing legal education courses in the environmental field for lawyers and government legal experts.

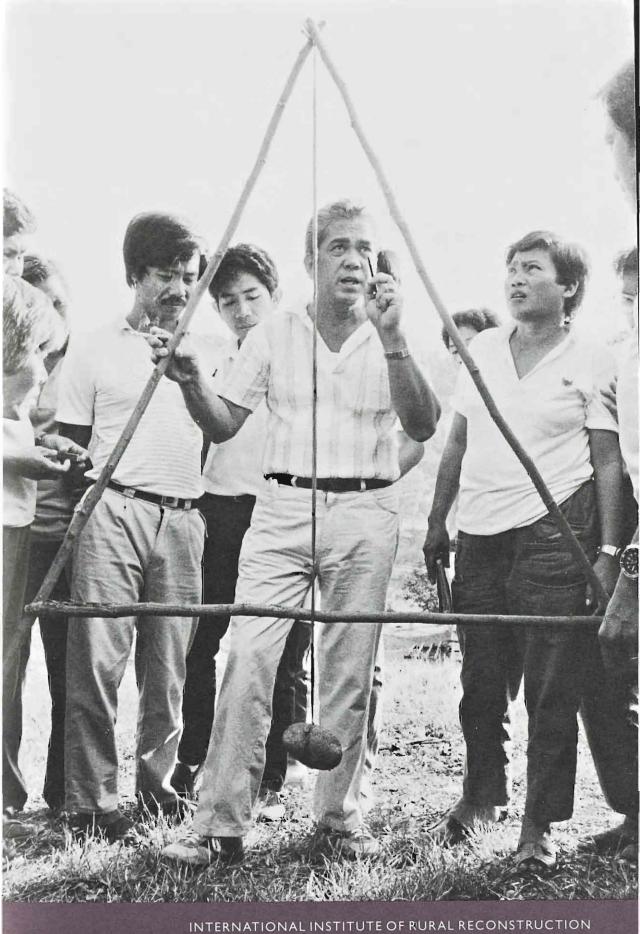
FEDERAL COMMITTEE FOR THE ENVIRONMENT OF THE CZECH & SLOVAK FEDERAL REPUBLIC Prague, Czechoslovakia \$21,500 Toward the costs of preparing, publishing, and distributing an environmental code of conduct. The code will inform Czechoslovakian industrial managers and government officials about newly passed legislation concerning environmental pollution; and outline a series of ethical principles relating to corporate conduct and environment based on those approved by the International Chamber of Commerce.

INSTITUTE FOR ENVIRONMENTAL POLICY

Prague, Czechoslovakia \$150,000 over three years To launch the Institute for Environmental Policy, the first independent policy research institute established by Czechoslovaks to provide policy analysis regarding issues of sustainable development. Activities during its first year include an appraisal of the impact of the process of democratization on environmental policy formulation, and review of a blueprint for sustainable development in Czechoslovakia.

INSTITUTE FOR SUSTAINABLE COMMUNITIES South Royalton, Vermont \$75,000 For a pilot project to encourage community-based sustainable development policymaking in Hungary. The project will introduce to selected communities in Hungary new methods for promoting cooperation between community leaders and local governments as they try to evaluate and balance the needs of economic development with the needs of environmental management. This will include training of public and private sector citizens in environmental analysis, democratic decision making, and conflict resolution as well as assistance with formulation and implementation of a sustainable development plan.

WORLD WILDLIFE FUND Washington, D.C. \$55,000 over two years Continued support for its Central and Eastern European Environmental Affairs Network, established in 1988 to help strengthen the management of environmental institutions in the region, to promote technology transfer and environmentally sound foreign investment, and to build support in the U.S. for such endeavors. Through its newsletter, *Environmental Affairs*, and other activities, the network provides a central source of information on East Central European environmental efforts and needs.



An International Institute of Rural Reconstruction instructor demonstrates the use of an A-frame in land surveying to Philippine farmers.



EAST ASIA

AMERICAN COUNCIL
OF LEARNED
SOCIETIES
New York, New York
\$100,000 over two years

To support training, applied research, and conference travel for the Chinese and Mongolian participants in the Grassland Ecosystems of the Mongolian Steppe project of the council's Committee on Scholarly Communication with China. The major goals of this joint project of the Mongolian, Chinese, and American academies of science are to study the impact of human incursion on the steppe ecosystem, to inform policymakers in China and Mongolia about the importance of grasslands management, and to address the larger question of how to balance the ecological health of the grasslands with the needs of a growing human population dependent on the land for livelihood.

FRIENDS OF THE EARTH JAPAN Tokyo, Japan \$70,000 For the planning of an independent environmental information center in Japan. The center, the first of its kind in that country, will undertake in-depth policy-oriented research on national and international environmental issues, and contribute to the development of Japan's emerging international environmental policies. In addition, the center will serve as a contact point and source of information on Japan's environmental policies and practices.

INTERNATIONAL CENTER FOR RESEARCH ON WOMEN Washington, D.C. \$75,000 To support the Southeast Asian component of its project on women, development, and the environment. In collaboration with researchers in Southeast Asia, the International Center for Research on Women will prepare case studies of efforts being made in developing countries to stem population growth and limit destruction of the environment while at the same time promoting economic development. Through these case studies, the project hopes to add a body of empirical data to the often subjective population-environment debate, and to distribute this information to individuals and organizations active in the fields of development, population and environment so as to encourage more effective and gender-sensitive policies and programs.

INTERNATIONAL
INSTITUTE OF RURAL
RECONSTRUCTION
New York, New York
\$210,000 over three
years

To support an expansion of the institute's work in sustainable agriculture. The institute conducts research on ecologically sound farming practices, primarily for rice-based ecosystems, that can be used by small-scale farming families throughout the tropical developing world. Over the next three years the institute, with research operations based in the Philippines, will greatly expand dissemination of its work in Southeast Asia and Indochina.

SAVETHE CHILDREN FEDERATION
Westport Connecticut For the first phase of its Regional Initiative in Sustainable Agriculture, a project to encourage sustainable farming practices in Southeast Asia by improving communication and collaboration among organizations working in this field, in particular encouraging contact between small, local groups and international organizations. First in Thailand, and later in other Southeast Asian countries, Save the Children will develop a nationwide network of community organiza-

Westport, Connecticut \$150,000 over three years



WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT Morrilton, Arkansas \$278,000

tions, research institutes, government agencies and other interested groups to plan, organize, and disseminate research on sustainable agriculture.

\$195,000 over three years toward continued exchanges with China in the area of sustainable agriculture. Since 1987, the project has supported selected researchers at Chinese institutions to encourage their work in sustainable agriculture and to facilitate communication among them. Over the next three years, under the project's second phase, a series of seminars and follow-up activities will be conducted in China to introduce principal tenets of Western research methodology, with the aim of enabling Chinese scientists to participate more actively in international scientific discourse.

\$83,000 to plan a program of academic exchange and training to help develop intellectual and institutional leadership in sustainable development in East and Southeast Asia. Under the new initiative, a coalition of American and Japanese universities will train scholars from selected Asian countries in natural resource management. The program will also organize workshops and exchanges, and foster international research networks, in an effort to help prepare individuals and strengthen the capacity of institutions to manage the region's environmentdevelopment challenges.



| PAYMENTS MADE IN 1992 AND | GRANTS OUTSTANDING | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|---|------------------------|---------------------------|--------------------|-------------------|
| GLOBAL | | | | 357 | |
| ASHOKA Washington, D.C. | Institutional development | 100,000 | 50,000 | 50,000 | |
| BIOMASS USERS NETWORK, INC. Washington, D.C. | General support | 300,000 | 200,000 | 100,000 | |
| ECOFUND '92 Washington, D.C. | Study on population dynamics, environmental change, and development | 113,500 | 60,000 | 53,500 | |
| INFORUM, INC. Kutztown, Pennsylvania | Start-up support | 100,000 | | 50,000 | 50,000 |
| INSTITUTE FOR RESEARCH ON PUBLIC POLICY Ottawa, Canada | To study the political and institutional barriers to environmental policy reform | 50,000 | 25,000 | 25,000 | |
| INSTITUTE FOR 21ST CENTURY STUDIES Arlington, Virginia | Institutional development | 100,000 | 50,000 | 50,000 | |
| POPULATION RESOURCE CENTER Princeton, New Jersey | Workshops on population and environmental degradation | 50,000 | | 50,000 | |
| resources development foundation New York, New York | Biotechnology program | 350,000 | 200,000 | 150,000 | |
| synergos institute, inc., the New York, New York | General support | 250,000 | 125,000 | 125,000 | |
| TUFTS COLLEGE, TRUSTEES OF Medford, Massachusetts | Program for the Study of Sustainable Change and Development: General support | 75,000 | 50,000 | 25,000 | |
| | Program for the Study of Sustainable Change and Development: What Environmentalists Need from Economists project | 24,340 | | 24,340 | |
| WORLD WILDLIFE FUND AND THE CONSERVATION FOUNDATION, INC. Washington, D.C. | Osborn Center | 300,000 | 200,000 | 100,000 | |
| WORLDWATCH INSTITUTE Washington, D.C. | General support | 525,000 | | 200,000 | 325,000 |

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AMERICAN FARMLAND TRUST Membership development project Washington, D.C.

1,000,000

250,000 750,000



| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|--|------------------------|---------------------------|--------------------|-------------------|
| CATHEDRAL CHURCH OF ST. JOHN THE DIVINE New York, New York | Conference of the Joint Appeal by Religion and Science for the Environment | 15,000 | | 15,000 | |
| CENTER FOR POLICY ALTERNATIVES Washington, D.C. | Sustainable development program | 225,000 | | 75,000 | 150,000 |
| COMMITTEE FOR THE NATIONAL INSTITUTES FOR THE ENVIRONMENT Washington, D.C. | Stratospheric ozone depletion conference | 25,000 | | 25,000 | |
| CONSERVATION LAW FOUNDATION Boston, Massachusetts | Economic analysis of forest lands use in New England and New York | 100,000 | 50,000 | 50,000 | |
| INSTITUTE FOR ALTERNATIVE AGRICULTURE, INC. Greenbelt, Maryland | General support | 100,000 | | 61,500 | 38,500 |
| MANAGEMENT INSTITUTE FOR ENVIRONMENT AND BUSINESS Washington, D.C. | General support | 100,000 | 50,000 | 50,000 | |
| PHYSICIANS FOR SOCIAL RESPONSIBILITY Washington, D.C. | Human Health and the Environment conference | 25,000 | | 25,000 | |
| regional plan association, inc. New York, New York | Solid waste management component of its third regional plan for New York | 300,000` | 200,000 | 100,000 | |
| RENEW AMERICA Washington, D.C. | Institutional development | 180,000 | 140,000 | 40,000 | |
| RODALE INSTITUTE Emmaus, Pennsylvania | Program to recycle urban yard wastes for use in agriculture | 225,000. | 75,000 | 75,000 | 75,000 |
| SOUTHERN ENVIRONMENTAL LAW CENTER Charlottesville, Virginia | Energy conservation project | 225,000 | 75,000 | 75,000 | 75,000 |

| EAST CENTRAL EUROPE & THE FORMER SOVIET UNION | | | | | | |
|---|---|---------|---------|--------|--|--|
| AMERICAN-LATVIAN ASSOCIATION IN THE UNITED STATES, INC. Dix Hills, New York | Latvian-American Environmental Task Force projects | 55,000 | 48,000 | 7,000 | | |
| AMERICAN TRUST FOR AGRICULTURE IN POLAND McLean, Virginia | General operating expenses and operating expenses for the charitable activities of the Foundation for the Development of Polish Agriculture | 600,000 | 535,000 | 65,000 | | |



| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|---|--|------------------------|---------------------------|--------------------|-------------------|
| BIOCULTURAL ASSOCIATION Budapest, Hungary | Technical equipment | 20,000 | 18,090 | | 1,910 |
| EASTERN EUROPEAN INDEPENDENT ENVIRON- MENTAL FOUNDATION Budapest, Hungary | Projects of its Independent Ecological Center | 25,000 | 6,871 | | 18,129 |
| ENVIRONMENTAL LAW INSTITUTE, THE Washington, D.C. | Environmental Program for Central and Eastern Europe | 120,000 | | 40,000 | 80,000 |
| federal committee for the environment of the czech & slovak federal republic Prague, Czechosłovakia | Environmental code | 21,500 | | 21,500 | |
| GERMAN MARSHALL FUND OF THE UNITED STATES Washington, D.C. | U.SEuropean Environmental Partnership for Central and Eastern Europe | 450,000 [°] | 215,000 | 85,000 | 150,000 |
| HUNGARIAN ACADEMY OF SCIENCE Budapest, Hungary | Handbook on environmental protection | 20,000 | | 10,000 | 10,000 |
| HUNGARIAN FOUNDATION FOR SELF-RELIANCE Budapest, Hungary | General support | 300,000 | | 175,000 | 125,000 |
| HUNGARIAN INSTITUTE OF INTERNATIONAL AFFAIRS Budapest, Hungary | Transnational environmental conflict management project | 60,000 | | 5,241 | 54,759' |
| INSTITUTE FOR ENVIRONMENTAL POLICY Prague, Czechoslovakia | Start-up and initial operating costs | 150,000 | | 50,000 | 100,000 |
| INSTITUTE OF SOCIOLOGY Prague, Czechoslovakia | To launch a center of environmental and social studies | 150,000 | 68,112 | 81,888 | |
| INSTITUTE FOR SUSTAINABLE COMMUNITIES South Royalton, Vermont | Sustainable development project in Hungary | 75,000 | | 75,000 | |
| INSTITUTE FOR SUSTAINABLE DEVELOPMENT Warsaw, Poland | Start-up support | 225,000 | 75,000 | 75,000 | 75,000 |
| 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 former Soviet Union | 150,000 | 50,000 | 95,000 | 5,000 |
| MINISTRY OF AGRICULTURE OF THE CZECH REPUBLIC Prague, Czechoslovakia | Alternative agriculture projects in the Czech and Slovak republics | 35,000 | 25,980 | 9,020 | |
| 'Lapsed | | | *Appropri | ation made p | rior to 1992. |

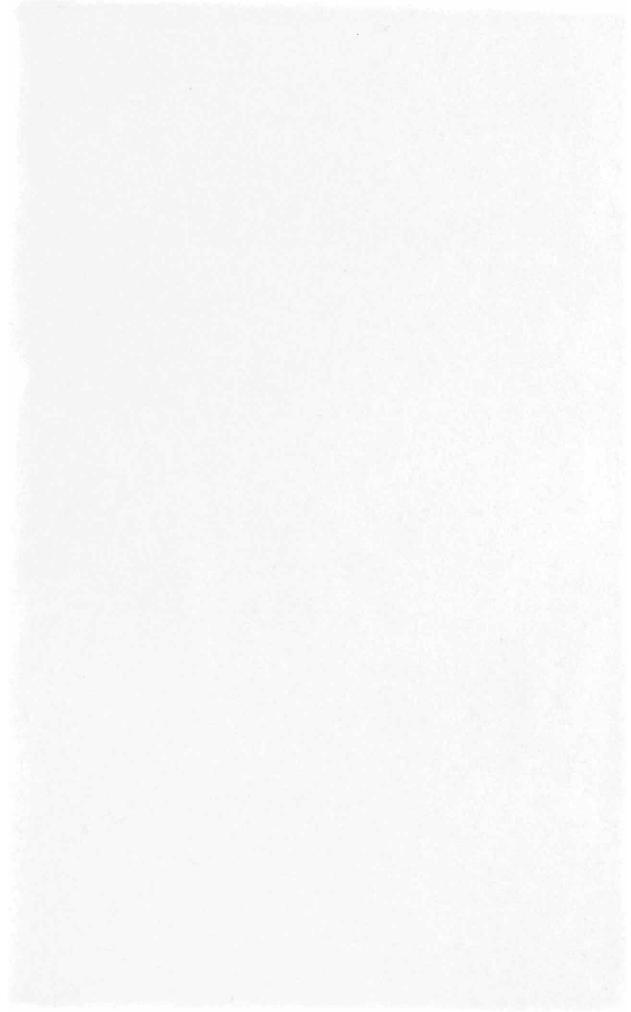


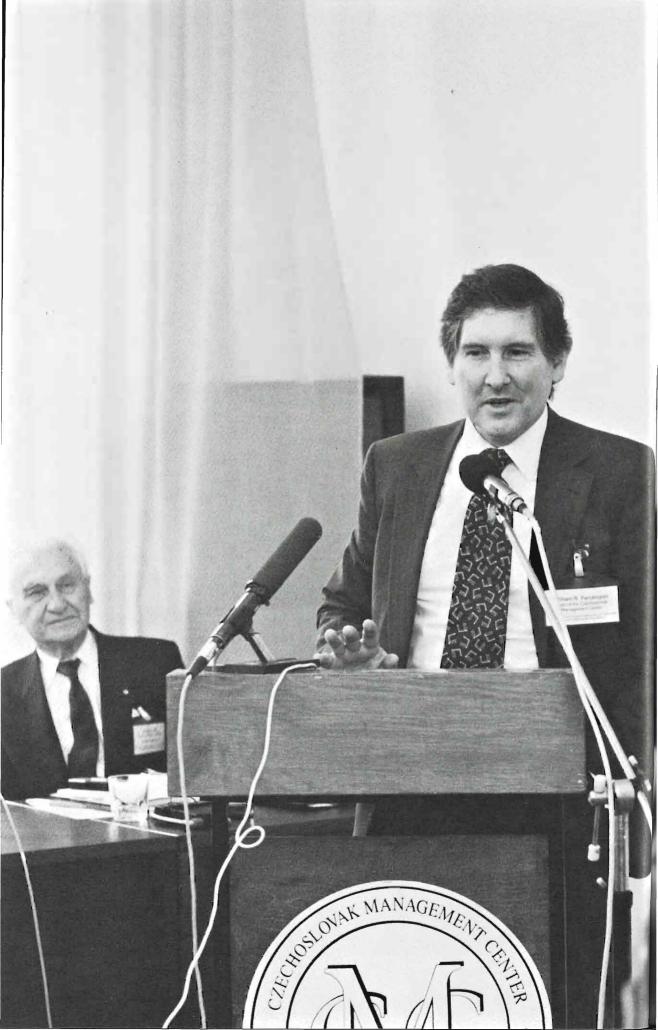
| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|--|------------------------|---------------------------|--------------------|-------------------|
| RUTGERS, THE STATE UNIVERSITY OF NEW JERSEY New Brunswick, New Jersey | Center for Urban Policy Research: Project to train Polish public admini- strators in municipal managment | 135,000 | 90,000 | 45,000 | |
| WORLD WILDLIFE FUND, INC. Washington, D.C. | Central and Eastern European Environmental Affairs Network | 55,000 | | 30,000 | 25,000 |
| EAST ASIA | | | | | |
| AMERICAN COUNCIL OF LEARNED SOCIETIES New York, New York | Grassland Ecosystems of the Mongolian Steppe project | 100,000 | | 50,000 | 50,000 |
| ASIAN NGO COALITION RESEARCH FOUNDATION, INC. Manila, Philippines | Asian Development Bank monitoring project | 100,000 | 50,000 | 50,000 | |
| CHIANG MAI UNIVERSITY Chiang Mai, Thailand | Scholarship fund of its master's degree course in natural resource management | 60,000 | 45,000 | 15,000 | |
| friends of the earth Japan Tokyo, Japan | Planning for an environmental information center | 70,000 | | 70,000 | |
| INTERNATIONAL CENTER FOR RESEARCH ON WOMEN Washington, D.C. | Southeast Asian component of its project on women, development, and the environment | 75,000 | | 75,000 | |
| INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC. Washington, D.C. | Energy efficiency activities in East Asia | 300,000 | | 100,000 | 200,000 |
| international institute of rural reconstruction New York, New York | Sustainable agriculture program | 210,000 | | 70,000 | 140,000 |
| NANJING INSTITUTE OF ENVIRONMENTAL SCIENCES Nanjing, People's Republic of China | Agroecosystem program | 100,000 | 68,000 | 32,000 | |
| NITROGEN FIXING TREE ASSOCIATION Waimanalo, Hawaii | To expand its programs in Southeast Asia | 135,000 | 45,000 | 45,000 | 45,000 |
| SAVE THE CHILDREN FEDERATION, INC. Westport, Connecticut | Regional Initiative in Sustainable Agriculture | 150,000 | | 60,000 | 90,000 |
| WILDLIFE FUND THAILAND Bangkok, Thailand | Institution building | 100,000 | 70,000 | | 30,000 |
| WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL | Scholarly exchanges with China | 195,000 | | 62,000 | 133,000 |
| DEVELOPMENT, INC. Morrilton, Arkansas | Initiative for Development of Environmental Alliances through Leadership | 83,000 | | 83,000 | |

^{*}Appropriation made prior to 1992



| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|---|------------------------|---------------------------|--------------------|-------------------|
| GLOBAL CLIMATE | CHANGE | 40.00 | | 71317 | |
| 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 NSTITUTE Washington, D.C. | Climate change project | 150,000 | 75,000 | 75,000 | |
| SUBTOTAL | | | | 3,870,989 | 2,741,539 |







Over the past several years, the focus of the RBF's world security program at the global level has been on restraining horizontal nuclear proliferation. Against a background of the rapidly changing international situation and increased public and governmental attention to the threat of horizontal proliferation following the end of the Cold War, the Fund assisted several projects that are exploring new roles that existing organizations or entities might play in encouraging nuclear nonproliferation. A conference sponsored by Dartmouth's Nelson A. Rockefeller Center for Social Sciences, for example, examined the complex issues associated with the notion of collective intervention by the international community in local crises. The Fund also provided support to the Science Applications International Corporation for a project to define an expanded U.N. role in nonproliferation through an analysis of the experience of the U.N. Special Commission on Iraq, and to the Monterey Institute of International Studies for a study on ways to increase the effectiveness of various existing international organizations in stemming nuclear proliferation in a post-Cold War era.

In East Central Europe, the Fund continued to seek opportunities to strengthen training in the functioning of democratic governments and market economies. A grant to the Eisenhower Exchange Fellowships helped to expand that organization's Single Nation Program to include participants from Czechoslovakia. A two-year grant to Friends of WWB/USA will assist low-income women in Eastern and Central Europe to enter the market economy through the establishment of affiliates of Women's World Banking in the region. The Fund joined the Mellon and Kosciuszko foundations in support of the Central and East European Teachers Program, a collaborative project of five U.S. business schools to train indigenous faculty for the new, Westernstyle business management programs in the region. In 1992 the Fund also continued its support for the work of the Institute for EastWest Studies, an important center for independent policy research and analysis on the political, economic, and social transformation under way in East Central Europe.

In East Asia, the RBF's world security program maintained an emphasis on support for multilateral projects, especially those that seek to expand international networks, both official and unofficial, to include countries that have not previously taken part in such efforts. Grants to the National Academy of Sciences, the United Nations Association of the U.S.A., and the University of

Dean William R. Pendergast welcomes participants to a conference on entrepreneurship at the Czechoslovak Management Center.

4.5



Maryland Foundation continue development of the RBF's renewed interest in the relationship between the United States and Japan, while grants to the Asia Society and the Institute of East Asian Studies at the University of California, Berkeley, continued Fund support for efforts related to North Korea.

GLOBAL

ARMS CONTROL ASSOCIATION Washington, D.C. \$120,000 over three years Continued support for a program to inform the media about nuclear nonproliferation issues. The association, which publishes the monthly journal, *Arms Control Today*, was formed in 1971 to provide information to the media, government officials, and the public on the national security implications and benefits of arms control. Until 1990, the association concentrated on reducing the risk of nuclear war between the superpowers; it now places greater emphasis on highlighting the threat to international security posed by the spread of nuclear weapons capability to additional countries and on issues that will need to be addressed when the Nuclear Non-Proliferation Treaty comes up for renewal in 1995.

DARTMOUTH COLLEGE, TRUSTEES OF Hanover, New Hampshire \$25,000 For a May 1992 conference on sovereignty and collective intervention under the auspices of the Nelson A. Rockefeller Center for Social Sciences. The event brought together prominent international affairs experts to discuss the conflicts which arise among sovereign states, collective interests, and multilateral institutions when dealing with questions concerning human rights, humanitarian assistance, environmental protection, and arms control. Participants addressed the complex issues associated with determining when a collective response to a particular crisis is warranted and possible, how such intervention might occur, and how effective it might be.

MONTEREY INSTITUTE OF INTERNATIONAL STUDIES Monterey, California \$150,000 over three

years

For a project on the new role of international organizations in nonproliferation. The project will assess the impact of the Gulf War, the end of the Cold War, and the accompanying political, economic, and military changes on a number of international organizations and entities, including the U.N. Security Council, the International Atomic Energy Agency, the Conference on Disarmament, and the Conference on Security and Cooperation. It will then issue specific recommendations for increasing the effectiveness of individual organizations and for improving cooperation among them.

NUCLEAR CONTROL INSTITUTE
Washington, D.C.
\$130,000 over two years

Continued support for its Nuclear Oversight Project. The institute was established in 1981 to monitor government and industry programs and policies that contribute to the spread of nuclear weapons. Over the next two years, the institute will continue its efforts to highlight problems associated with the



hundreds of tons of nuclear weapon-grade plutonium scheduled shortly to come into commercial circulation in Europe and Japan. It will also pursue initiatives to bring about better safeguards against diversion of nuclear materials from civilian to military purposes and stronger security measures against theft or sabotage at nuclear facilities at home and abroad.

PEACE RESEARCH INSTITUTE FRANKFURT Frankfurt, Germany \$60,000 over three years

To create a special fund to assist the work of the East European partner institutions of the Peace Research Institute Frankfurt's nonproliferation program. Beginning in 1993, support from this special fund will be made available for books, journals, computers, software, translation services and travel expenses. This assistance to East European institutions is intended to enhance their ability to contribute to European and global nonproliferation work and to deal with important issues in their respective countries, such as effective export controls on nuclear materials.

SCIENCE **APPLICATIONS** INTERNATIONAL CORPORATION McLean, Virginia \$100,000

For a project of its Center for National Security Negotiations, "Expanding U.N. Roles in Nonproliferation: Applying the Experience of the U.N. Special Commission on Iraq in Future Responses to Proliferation." Through interviews with those directly involved in the U.N. actions related to Iraq, including members of the U.N. Special Commission on Iraq, a review of pertinent documents and other activities, the project seeks to distill the lessons of the international anti-proliferation actions taken against Iraq after the Gulf War into a set of practical guidelines and options for the future use of the United Nations in responding to proliferation problems and in enhancing support for global nonproliferation.

WISCONSIN. UNIVERSITY OF Madison, Wisconsin \$110,000 over two years Continued support for the Wisconsin Project on Nuclear Arms Control, which works to strengthen controls on exports that can be used to make nuclear weapons. The project also undertakes investigative research to uncover and publicize clandestine trade in such materials and equipment. Over the next two years, the project will focus in particular on the continuing challenge of improving export controls on "dual-use" exports—items such as supercomputers or vacuum furnaces which have civilian applications but can also be used to make nuclear weapons or long-range missiles.

WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS Washington, D.C. \$75,000

For a project, "Understanding Why Countries Curtail their Nuclear Weapons Programs: Recent Lessons and Future Policy Recommendations." During the past two years, a number of countries have either halted or curtailed their nuclear weapons programs (or efforts to develop such programs). These developments raise important questions about why such steps were taken at this time, what influenced each country's decision, the extent to which diplomacy proved effective, and the roles played by other countries, multilateral institutions, and



nonprofit organizations in these decisions. The project will investigate the pressures that influenced the various countries and formulate recommendations for strengthening the nonproliferation policies of the U.S., other countries, and international nonproliferation arrangements and institutions.

EAST CENTRAL EUROPE & THE FORMER SOVIET UNION

EISENHOWER EXCHANGE FELLOWSHIPS Philadelphia, Pennsylvania \$50,000 For the Single Nation Program, an exchange to bring emerging Czech and Slovak leaders to the United States for professional enrichment and exposure to Western market-oriented businesses and democratic systems. 1992 marks the first time that Czechs and Slovaks will be able to participate in the Eisenhower Exchange Fellowships program, formed in 1953 to bring mid-career professionals to the U.S. for training in their respective fields.

FRIENDS OF WWB/USA New York, New York \$225,000 over three years To establish affiliates of Women's World Banking (WWB) in Central and Eastern Europe. Founded in 1979, WWB provides low-income women entrepreneurs throughout the world, but especially in developing countries, with access to credit, financial, and marketing services, and with guidance and training. Two WWB affiliates have been formed in Poland: The Fund for Women in Rural Enterprise Development, which promotes rural women's business enterprises, and the International Women's Foundation, which runs training programs for unemployed female workers in urban areas. WWB expects to establish local affiliates in Russia and in neighboring countries in Central and Eastern Europe as well.

HARVARD UNIVERSITY Boston, Massachusetts \$200,000 over two years For a Graduate School of Business Administration program to train teachers from Central and Eastern European business education centers in Western management principles and practices. The Central and Eastern European Teachers Program is a collaborative project of five American business schools—Harvard, MIT, Northwestern, Stanford, and Wharton. Over a two-year period, these institutions will provide intensive business and management training to a select group of participants from Central and Eastern Europe, with the goal of addressing the shortage of local instructors qualified to staff the Western-style business schools being established in the region.

INSTITUTE FOR EASTWEST STUDIES New York, New York \$600,000 over three years

General budgetary support. From 1982 to 1989, the institute (formerly the Institute for East-West Security Studies) served as a center for independent research and international dialogue on the economic, political, and security questions at the heart of the East-West conflict. Since the fall of the Berlin wall, the institute has made significant changes in its programs, which now emphasize political, economic, and social transformation and institution building in



Central and Eastern Europe. Its European Studies Center, located near Prague, is a source of important policy-oriented analysis, and provides a forum for top-level policy discussions.

EAST ASIA

THE ASIA SOCIETY New York, New York Up to \$80,000 For a follow-up study mission to North and South Korea. This initiative built upon a public affairs project, organized in 1990-91 by the Asia Society and supported by the RBF, to consider the prospects for peace, security, and economic growth on the Korean peninsula and to reexamine the Koreas in the context of major power relations in Asia in the 1990s. That project included a five-nation study mission to the region by influential American scholars, policy analysts, business representatives, and journalists intended to broaden the international policy dialogue with respect to the Korean peninsula. The follow-up mission in late 1992 reassessed the situation in light of significant policy changes in the intervening eighteen months and recommended further changes that would enhance regional stability.

ATLANTIC COUNCIL OF THE UNITED STATES
Washington, D.C. \$20,000

Toward a study, with the National Committee on United States-China Relations, of American policy toward China. In a series of meetings over nine months, a group of business leaders, academics, former government officials and China specialists will review contending viewpoints and a spectrum of policy options with the objective of setting forth recommendations for a restated American policy toward the People's Republic of China and Taiwan.

AUSTRALIAN
NATIONAL
UNIVERSITY
Canberra, Australia
\$30,000 over three years

For the next three meetings of the Pacific Trade and Development Conference (PAFTAD), a private, nongovernmental network of policy-oriented economists which, since 1968, has been the leading forum for analysis related to trade, investment and development issues in the Asia-Pacific. Research presented at its annual conferences—the 1992 gathering will consider the relationship between the Asia-Pacific economies and the international economic system—and its subsequent publication and dissemination among economists, policymakers and businessmen, has considerable influence in the shaping of economic policies in the region.

CALIFORNIA, UNIVERSITY OF, THE REGENTS OF THE Berkeley, California \$271,000 \$147,000 to the University of California at Berkeley in support of a series of bilateral conferences over three years involving Americans and North Koreans, sponsored by the university's Institute of East Asian Studies, working with the Institute of Disarmament and Peace in Pyongyang, North Korea. The private bilateral discussions, with a core group of sixteen participants and a number of rotating observers, are expected to range over political, economic, security and



cultural issues, with the objective being to broaden contacts and deepen understanding between North Korea and the United States.

\$80,100 to the University of California at San Diego toward a project of its Institute on Global Conflict and Cooperation to examine the regional implications of the evolution of economic and political relations among China, Taiwan, and Hong Kong. Trade and investment among the three has grown at an astonishing rate in the past several years, to where they now constitute the economically fastest growing area in the world. Through the exchange of research papers, culminating in a conference at the end of 1993, academic and policy specialists from throughout the Asia-Pacific will examine the policy implications of this evolution. Their findings and conference conclusions will be published and circulated in the policy communities of the countries involved.

\$44,000 to the University of California at San Diego toward a study of the prospects for Korean reunification, to be organized by the Korea-Pacific Program of the university's Graduate School of International Relations and Pacific Studies. The project will include an analysis of each of several models that has been suggested for reunification as well as consideration of the implications of reunification for the United States and options for American policy. This yearlong study is to be undertaken by faculty and graduate students from the Korea-Pacific Program, by scholars drawn from other California campuses, and, it is expected, by several participants from North Korea.

CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES Honolulu, Hawaii \$35,000 Toward the Pacific Forum/CSIS project, "Integrating the People's Republic of China into the Asia-Pacific Region," an effort to identify and assess specific measures that China's Southeast Asian neighbors, together with the U.S. and Japan, can take to encourage China's full integration and participation in the multilateral affairs of the Asia-Pacific region. Participants in the study will be drawn from a network of policy research institutes, including China, in the Asia-Pacific, organized by the center's Pacific Forum/CSIS.

THE CHICAGO COUNCIL ON FOREIGN RELATIONS Chicago, Illinois \$150,000 over three years For an analysis of economic and political changes in Northeast Asia from the perspective of their impact on the Midwest of the United States. Through a series of seminars, larger public meetings and publications, including at least one book of essays based on the seminars, the project will explore the dramatic development of the economies of Japan, Taiwan and South Korea, and the importance of their individual and collective impact on the Midwest as well as on national, regional, and global economic and security matters.



KOREAN PENINSULA STUDY MISSION

American policy analysts, scholars, business representatives and journalists visited Pyongyang, North Korea, as part of a five-nation study mission sponsored by the Asia Society to consider the prospects for peace and security on the Korean Peninsula. Pictured above, with a North Korean interpreter, are: (from left to right) Donald S. Zagoria of Hunter College, Ronald J. Hays of the Pacific International Center for High Technology Research, Russell A. Phillips, Jr., of the Rockefeller Brothers Fund, Robert Scalapino of the University of California at Berkeley, and Karen Elliott House of Dow Jones International.



EAST-WEST CENTER FOUNDATION Honolulu, Hawaii \$55,300 For the South Korea-U.S. Working Groups Project, a private bilateral forum for discussion of economic, political, and cultural issues central to the U.S.-South Korea relationship. The Korea-U.S. Working Groups Project grows out of an earlier bilateral forum, the Committee on U.S.-Republic of Korea Relations, established in 1989 to serve as a private-sector body for contact and dialogue at a difficult time of transition in the relationship between the two nations.

LINGNAN COLLEGE Hong Kong \$13,000 For a conference, "Hong Kong's Role in the Asian Pacific Region in the 21st Century," organized by the college's Centre for Asian Pacific Studies and held in Hong Kong in February. Conference participants—scholars and public figures from throughout the region, including a number of highly placed representatives from the People's Republic of China—discussed the future role of Hong Kong in Asia and its implications not only for Hong Kong but for the surrounding countries in the region with which it is linked in a web of financial, trade, and political relations.

MARYLAND, THE UNIVERSITY OF, FOUNDATION Adelphi, Maryland \$44,000 over two years Toward a project to examine the domestic interests and values contributing to difficulties in the U.S.-Japan bilateral relationship and to suggest how their impact might be mitigated. The project, "What Connects Us, What Divides Us—A Realistic Look at U.S.-Japan Relations," will be conducted by scholars at the Center for International Security Studies at the University of Maryland and the Graduate School of International Political Economy at the University of Tsukuba. The primary goal of this initiative is to produce a series of analyses and conclusions for broad public consideration, in an effort to promote cooperation and understanding between the two countries.

NATIONAL ACADEMY OF SCIENCES Washington, D.C. \$175,000 over three years Continued support for a project of the academy's Office of Japan Affairs to explore possible options for managing the U.S.-Japan relationship in science and technology. A coherent national scientific and technological strategy is vital to easing the growing U.S.-Japan acrimony over this issue, the ramifications of which could have serious diplomatic, security, and trade implications. Under the second phase of the project, the academy will draw upon discussions held over the past two years to develop a comprehensive review of the subject, concluding with a set of specific policy recommendations.

NATIONAL BUREAU OF ASIAN RESEARCH Seattle, Washington \$150,000 over three years For a multinational project to study Russia's new role in Asia, especially as it affects the nations of Inner and Northeast Asia. The three-year project will consist of a series of conferences on political, economic, and security issues to be held in Russia, Central Asia, China, Japan, South Korea, and the United States, which will be attended by scholars, policy analysts, government officials and journalists from those countries. The first two events will focus on the internal economic, political, and foreign policy changes occurring in Russia and Central



Asia, while subsequent meetings will explore the impact of these changes on Russia's evolving relations with China, Japan, the Korean peninsula, and the United States.

SHANGHAI INSTITUTE FOR INTERNATIONAL STUDIES

Shanghai, People's Republic of China \$12,000

UNITED NATIONS
ASSOCIATION OF THE
UNITED STATES OF
AMERICA

New York, New York \$100,000 over two years For a conference on recent developments in Northeast Asian affairs, focusing in particular on the Korean peninsula. The October conference was attended by scholars from North Korea, South Korea, China, the U.S., Canada, New Zealand, Japan, Singapore, Hong Kong, and Australia, and provided an opportunity to help draw North Korea into policy dialogue with its Asia-Pacific neighbors.

For a project to identify ways to strengthen the cooperative action of the United States and Japan on multilateral security and related issues. With the Asia-Pacific Association of Japan and the Japanese International Institute for Global Peace, the United Nations Association has assembled a panel of Japanese and American foreign policy specialists to discuss ways to achieve a greater understanding on how the United States and Japan should respond through multilateral organizations, including the U.N., to post-Cold War regional crises and to the newer transnational issues such as refugees, terrorism, and drugs. The panel will also explore new possibilities for more effective use of international organizations.



| PAYMENTS MADE IN 1992 AND (| GRANTS OUTSTANDING | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|---|---|------------------------|---------------------------|--------------------|-------------------|
| GLOBAL | | | | | |
| ARMS CONTROLASSOCIATION Washington, D.C. | Nuclear nonproliferation media project | 120,000 | | 40,000 | 80,000 |
| ASPEN INSTITUTE FOR HUMANISTIC STUDIES Queenstown, Maryland | Program on the United States and the World Economy | 150,000 | 100,000 | 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 | 125,000 | 125,000 |
| CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE Washington, D.C. | Non-Proliferation Project | 170,000 | 85,000 | 85,000 | |
| DARTMOUTH COLLEGE, TRUSTEES OF Hanover, New Hampshire | Nelson A. Rockefeller Center for the Social Sciences: Conference on sovereignty and collective intervention | 25,000 | | 25,000 | |
| friends of the earth Washington, D.C. | Nuclear Non-Proliferation Project | 100,000 | 50,000 | 50,000 | |
| MASSACHUSETTS INSTITUTE OFTECHNOLOGY Cambridge, Massachusetts | Project on nuclear arms control in the Middle East | 100,000 | 50,000 | 50,000 | |
| MONTEREY INSTITUTE OF INTERNATIONAL STUDIES | Emerging Nuclear Suppliers Project | 120,000 | 60,000 | 60,000 | |
| Monterey, California | Project on the new role of international organizations in nonproliferation | 150,000 | | 50,000 | 100,000 |
| natural resources defense council, inc. New York, New York | Project to control surplus stocks of plutonium in the former Soviet Union | 110,000 | 55,000 | 55,000 | |
| nuclear control institute Washington, D.C. | Nuclear Oversight Project | 130,000 | | 65,000 | 65,000 |
| PEACE RESEARCH INSTITUTE FRANKFURT | Nonproliferation Program | 210,000 | 70,000 | 70,000 | 70,000 |
| Frankfurt, Germany | To assist East European nonproliferation efforts | 60,000 | | 30,000 | 30,000 |
| PRINCETON UNIVERSITY, TRUSTEES OF Princeton, New Jersey | Nuclear nonproliferation project | 120,000 | 60,000 | 60,000 | |
| science applications International corporation McLean, Virginia | Expanding U.N. Roles in Nonproliferation project | 100,000 | | 50,000 | 50,000 |
| SOUTHAMPTON, UNIVERSITY OF Southampton, England | Programme for Promoting Nuclear Non-Proliferation | 330,000 | 238,000 | 92,000 | |

^{*}Appropriation made prior to 1992



| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|---|------------------------|---------------------------|--------------------|-------------------|
| 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, INC. New York, New York | Program on Proliferation Norms and Asian Security | 150,000 | 120,000 | 30,000 | |
| VERIFICATION TECHNOLOGY INFORMATION CENTRE London, England | Publication on arms control verification issues | 95,000` | 79,000 | 16,000 | |
| WISCONSIN, UNIVERSITY OF Madison, Wisconsin | Wisconsin Project on Nuclear Arms Control | 110,000 | | 55,000 | 55,000 |
| WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS Washington, D.C. | Understanding Why Countries Curtail their Nuclear Weapons Programs project | 75,000 | | 50,000 | 25,000 |

| EAST CENTRAL EU | PROPE & THE FORMER SOVI | ET UNI | ION | | |
|--|---|---------|---------|---------|---------|
| CENTRAL & EAST EUROPEAN PUBLISHING PROJECT Oxford, England | General support | 120,000 | 80,000 | 40,000 | |
| CZECHOSLOVAK MANAGEMENT CENTER FOUNDATION Prague, Czechoslovakia | To establish the Czechoslovak Management Center | 300,000 | 100,000 | 175,000 | 25,000 |
| MIROSLAW DZIELSKI INSTITUTE OF INDUSTRY AND COMMERCE Crakow, Poland | Education and training programs | 50,000 | 30,000 | 20,000 | |
| EISENHOWER EXCHANGE FELLOWSHIPS, INC. Philadelphia, Pennsylvania | Exchange program | 50,000 | | 50,000 | |
| friends of wwb/usa, inc. New York, New York | To establish affiliates in Central and Eastern Europe | 225,000 | | 75,000 | 150,000 |
| HARVARD UNIVERSITY Cambridge, Massachusetts | Graduate School of Business Administration: Central and Eastern European Teachers Program | 200,000 | | 100,000 | 100,000 |
| | John F. Kennedy School of Government: Project Liberty | 300,000 | 200,000 | | 100,000 |

^{*}Appropriation made prior to 1992



| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|---|--|------------------------|---------------------------|--------------------|-------------------|
| HUDSON INSTITUTE, INC. Indianapolis, Indiana | International Baltic Economic Commission | 100,000 | 50,000 | 50,000 | |
| INSTITUTE FOR EASTWEST STUDIES New York, New York | General support | 600,000 | | 250,000 | 350,000 |
| INSTITUTE FOR HUMAN SCIENCES Vienna, Austria | Conference and fellowship programs | 150,000 | 100,000 | | 50,000 |
| JUNIOR ACHIEVEMENT, INC. Colorado Springs, Colorado | To introduce Junior Achievement programs in Poland | 75,000 | 40,000 | 35,000 | |
| NATIONAL FORUM FOUNDATION Washington, D.C. | Eastern European Internship Program | 150,000 | 100,000 | 50,000 | |
| QUEBEC-LABRADOR FOUNDATION, INC. Ipswich, Massachusetts | Inter-Regional Exchange and Policy program | 150,000 | 100,000 | 50,000 | |

| EAST ASIA | | | | | 3717 |
|--|---|---------|--------|---------|---------|
| ASIA FOUNDATION, THE San Francisco, California | Democratization in Asia project | 150,000 | 60,000 | 75,000 | 15,000 |
| ASIA SOCIETY, INC., THE New York, New York | Study mission to North and South Korea | 80,000 | | 77,950 | 2,0501 |
| ASIAN CULTURAL COUNCIL, INC. New York, New York | General support | 540,000 | | 440,000 | 100,000 |
| ATLANTIC COUNCIL OF THE UNITED STATES, INC. Washington, D.C. | Study of U.S. policy toward China | 20,000 | | 20,000 | |
| AUSTRALIAN NATIONAL UNIVERSITY,THE Canberra, Australia | Pacific Trade and Development Conferences | 30,000 | | 10,000 | 20,000 |
| BROOKINGS INSTITUTION, THE Washington, D.C. | East Asia Studies Program | 180,000 | 60,000 | 60,000 | 60,000 |
| CALIFORNIA, UNIVERSITY OF, THE REGENTS OF THE Berkeley, California | Institute of East Asian Studies (Berkeley): U.SNorth Korea bilateral conferences | 147,000 | | 57,130 | 89,870 |
| | Graduate School of International Relations and Pacific Studies (San Diego): Study of prospects for Korean reunification | 44,000 | | 44,000 | |

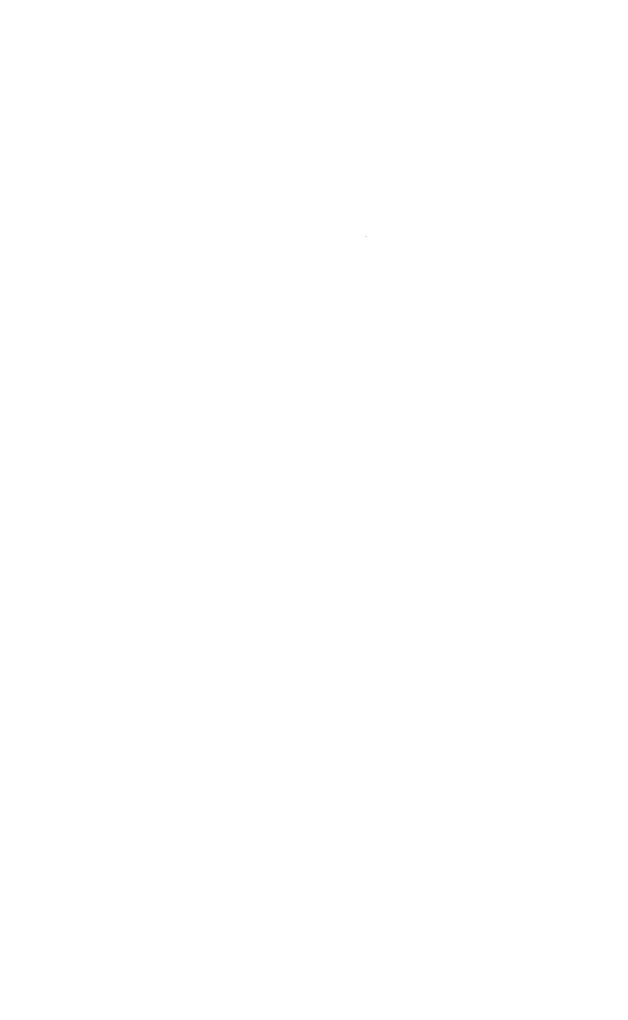


| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|---|---|------------------------|---------------------------|--------------------|-------------------|
| | Institute on Global Conflict and Cooperation (San Diego): Study of economic and political relations among China, Taiwan, and Hong Kong | 80,100 | | 40,000 | 40,100 |
| CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES Honolulu, Hawaii | Integrating the People's Republic of China into the Asia-Pacific Region project | 35,000 | | 35,000 | |
| CHICAGO COUNCIL ON FOREIGN RELATIONS, THE Chicago, Illinois | Asia and the Middle West project | 150,000 | | 50,000 | 100,000 |
| CHINESE SCHOLARS OF INTERNATIONAL STUDIES, INC. Arlington, Virginia | Teaching program for People's Republic of China students | 31,500 | 27,500 | | 4,0001 |
| COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF New York, New York | East Asian Institute: Pacific Basin Studies Program | 320,000 | 240,000 | 80,000 | |
| EAST-WEST CENTER FOUNDATION Honolulu, Hawaii | South Korea-U.S. Working Groups Project | 55,300 | | 55,300 | |
| INSTITUTE FOR INTERNATIONAL ECONOMICS Washington, D.C. | Project on U.SJapan economic relations | 160,000 | 80,000 | 80,000 | |
| JAPAN CENTER FOR INTERNATIONAL EXCHANGE, INC. New York, New York | General support | 120,000 | 40,000 | 40,000 | 40,000 |
| LINGNAN COLLEGE Hong Kong | Centre for Asian Pacific Studies: Conference on Hong Kong's role in the Asia Pacific region | 13,000 | | 13,000 | |
| maryland, university of, foundation Adelphi, Maryland | Center for International Security Studies: Project on U.SJapan relations | 44,000 | | | 44,000 |
| NATIONAL ACADEMY OF SCIENCES Washington, D.C. | Managing the U.SJapan relationship in science and technology project | 175,000 | | 75,000 | 100,000 |
| NATIONAL BUREAU OF ASIAN RESEARCH Seattle, Washington | The New Russia in Asia project | 150,000 | | 50,000 | 100,000 |
| SHANGHAI INSTITUTE FOR INTERNATIONAL STUDIES Shanghai, People's Republic of China | Conference on Northeast Asian affairs | 12,000 | | 12,000 | |
| united nations assoc- ciation of the united states of america, inc. New York, New York | Japan, the United States, Regional Crisis Management and the U.N. project | 100,000 | | 50,000 | 50,000 |
| 'Lapsed *Appropriation made prior to 1992 | | | | | |

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| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|---|------------------------|---------------------------|--------------------|-------------------|
| UNITED STATES NATIONAL COMMITTEE FOR PACIFIC ECONOMIC COOPERATION Washington, D.C. | Institutional development | 42,000 | 16,000 | 14,000 | 12,000 |
| WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS Washington, D.C. | Programs on Northeast Asia | 120,000 | 80,000 | 40,000 | |
| YONSEI UNIVERSITY Seoul, Korea | Economic Reforms and Systems in East Asia and Eastern Europe project | 98,000 | 49,000 | 49,000 | |
| SUBTOTAL | | | | 3,612,380 | 2,045,970 |



OBNOVA OBČANSKÉ OBČANSKÉ SPOLEČNOSTI

Rozvoj nevýdělečného sektoru ve východní části střední Evropy a role západní pomoci ZNOVUZRO OBČIANSKE, SPOLOČNOST

Rozvoj neziskového sektoru
v strednej a východnej Európe
nomoci

ODRODZENJE SPOŁECZENSTWA OBYWATELSKIEG OBYWATELSKIEG

Rozwój sel organizacj pozarządo w Europi -Wschod a rola po zachodi

THE REBIRTH OF CIVIL SOCIETY

The Development of the Nonprofit Sector in East Central Europe and the Role of Western Assistance

Daniel Siegel & Jenny Yancey

TARSADALOM UJJÁSZÜLETÉSE

r fejlődése



An initial grant to the National Center for Careers in Public Life to help support the first year of its Public Allies Apprenticeship Program expanded the Fund's recent efforts to identify ways to attract young people to public service. The RBF's long-standing interest in helping nonprofit organizations increase and diversify income continued through a grant to Cause Effective to expand its national program to provide training in the production of special events, and a grant to the University of San Francisco for the second phase of its study of the charitable behavior of Hispanic and Asian Americans, a study which will be expanded in this phase to include African Americans. A grant to the National Center of Nonprofit Associations helped to launch a project that will provide initial support for new state-level associations of nonprofits, building on an RBF-supported 1989 project on state-level associations at the Union Institute and helping to strengthen the infrastructure of the nonprofit sector in the United States at the regional level.

Internationally, the Fund's nonprofit grants were concentrated in East Central Europe, with grants to the Committee of Good Will in Prague, the Hungarian Foundation for Self-Reliance in Budapest, and the Case Western Reserve and Johns Hopkins universities for work in East Central Europe and the former Soviet Union. Following several years of work with the emerging nonprofit sector in the region, the Fund commissioned Dan Siegel and Jenny Yancey, who had worked with the RBF on previous projects and who know East Central Europe well, to investigate the state of the nonprofit sector there and to identify the most pressing needs for its continuing development. The English edition of their report, *The Rebirth of Civil Society: The Development of the Nonprofit Sector in East Central Europe and the Role of Western Assistance,* was published at the end of 1992 and has been widely distributed in this country and abroad. Subsequently, editions have been published in Hungarian, Polish, Czech and Slovak.

In 1992, the Fund published The Rebirth of Civil Society, a study of the nonprofit sector in East Central Europe, in five languages: (clockwise) English, Polish, Czech, Slovak, and Hungarian. International nonprofit grants with a global focus included a two-year commitment for the work of the Council on Foundation's Program for Leadership in International Philanthropy, and support for the Lincoln Filene Center of Tufts College's seminars on nongovernmental organizations for faculty members in graduate programs of international affairs in several Boston-area universities.



UNITED STATES

CAUSE EFFECTIVE New York, New York \$70,000 over two years For the expansion of a national program to provide training in special events production to nonprofit organizations. Cause Effective (formerly Folkworks) was founded in 1981 to provide smaller nonprofits with special event production services. More recently, the organization has shifted its focus to concentrate on a training program aimed at helping the staffs of nonprofit organizations learn about the potential of special events — for raising funds, furthering program goals, and increasing public awareness—and develop the skills necessary to produce them.

FOUNDATION CENTER New York, New York \$60,000 over two years Continued general support. The Foundation Center is an independent national service organization established by foundations to provide an authoritative souce 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.

NATIONAL CENTER FOR CAREERS IN PUBLIC LIFE Washington, D.C. \$60,000 General operating support for the center, founded in 1991 to serve as a catalyst to help young people take leadership in improving society through careers in nonprofit organizations and public service. Through its Public Allies Apprenticeship Program, the center places young people, drawn from diverse backgrounds, in one-year jobs in community-based organizations, public interest groups, and government agencies. The center also sponsors the Tomorrow's Leaders Today public education program, in which one hundred young people in a city or region are identified and honored for their involvement in community service.

NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS Washington, D.C. \$150,000 over three years For the council's Assistance to State Associations of Nonprofit Organizations Project to provide initial support for twelve new associations and to enhance the capacity building and program development of existing associations. In recent years, state associations have become more numerous, providing their members, especially small and medium-sized nonprofits, with services that include group purchasing discounts and health insurance as well as a vehicle for addressing public policy issues and concerns at the state level. The council, a national umbrella organization, was formed in 1989.

SAN FRANCISCO, UNIVERSITY OF San Francisco, California \$35,000 Further support for a project of the university's Institute for Nonprofit Organization Management to study the charitable behavior of Hispanic and Asian Americans. Through extensive fieldwork, researchers are inquiring into subjective attitudes toward philanthropy, asking what motivates people to contribute time and money; why one charitable activity is chosen over another; why certain forms of philanthropy appear in one community but not another. Their findings will be analyzed to illuminate the ways in which cultural elements affect giving and volunteering.



PUBLIC ALLIES

Vanessa Kirsch, executive director of the National Center for Careers in Public Life (Public Allies), at the Atlas Theatre in Washington, D.C. Public Allies is contributing to the renovation of the theatre, which once completed will house youth service organizations.



TUFTS COLLEGE, TRUSTEES OF Medford, Massachusetts \$20,150 For a seminar on nongovernmental organizations (NGOs) for faculty members in graduate programs of international affairs in several Boston area universities. Although NGOs have played an increasingly important role throughout the world, particularly in regions undergoing political and economic development, the roles and potential of private, nonprofit organizations have generally not received attention in the curricula of graduate programs in international affairs. Organized by professors at Tufts College and Boston University, and featuring presentations by NGO leaders and scholars, the seminar is intended to stimulate increased teaching about the roles of NGOs.

INTERNATIONAL

AMERICAN
COMMITTEE FOR AID
TO POLAND
Washington, D.C.
\$57,000 over two years

For programs aimed at making American assistance in Poland more effective and at supporting the voluntary sector in Poland. The American Committee for Aid to Poland (ACAP) serves as an intermediary between U.S. government agencies and the private sector in identifying and developing programs; it secures humanitarian aid for those at greatest risk; and it facilitates initiatives by private corporate and voluntary organizations to assist economic modernization. ACAP also assists citizen-based community efforts in Poland that deal with social and economic problems.

CASE WESTERN RESERVE UNIVERSITY Cleveland, Ohio Up to \$40,000 For a series of workshops for Romanian nonprofit leaders, sponsored by the university's Mandel Center for Nonprofit Organizations. The workshops, to be held in Bucharest in spring 1993, will address such topics as the current status of the Romanian nonprofit sector, the role of nonprofits in a democratic market economy, governance and management issues, strategic planning, fundraising, ethics, and accountability.

THE COMMITTEE OF GOOD WILL
Prague, Czechoslovakia
Up to \$30,000

General operating support for the Committee of Good Will (the Olga Havel Foundation), founded in 1990 to provide financial and in-kind support for the benefit of individuals with disabilities and chronic illnesses. In addition to its health-related work, the foundation, one of the first to be established following the Velvet Revolution, plays an important role in the development of the voluntary sector in the Czech and Slovak republics and in educating the public about the role of the nonprofit sector in democratic society.

COUNCIL ON FOUNDATIONS
Washington, D.C.
\$75,000 over two years

Continued support for the council's Program for Leadership in International Philanthropy. The goals of the program are two-fold: to increase the effectiveness of grantmaking at the international level, and to encourage the creation and growth of philanthropy in other countries. Since it's inception in 1990, the program has sought in particular to assist in the development of voluntary



HUNGARIAN FOUNDATION FOR SELF-RELIANCE Budapest, Hungary

\$300,000 over three

years

JOHNS HOPKINS UNIVERSITY Baltimore, Maryland \$100,000 over two years

SOUTH-NORTH DEVELOPMENT INITIATIVE New York, New York \$25,000

VOLUNTARY SECTOR RESEARCH PROJECT IN EASTERN EUROPE New York, New York \$49,165 sectors in newly emerging democracies around the globe. While continuing these activities, over the next two years the council will develop a long-term strategic plan to guide its future international philanthropy program.

General budgetary support. Established in 1990 with RBF support, the Hungarian Foundation for Self-Reliance offers grants, loans, and technical assistance to projects and organizations that promote self-help in solving societal problems in the small towns and rural areas of Hungary. The foundation concentrates on strengthening the structure and practice of civil society, encouraging environmentally sustainable economic development, and addressing the special problems of poor and marginal populations.

For the Third Sector Project of the university's Institute for Policy Studies, which will provide internships and training workshops to strengthen the voluntary sector in East Central Europe and the former Soviet Union. The in-country training sessions will address issues including the scope and role of the nonprofit sector, strategic planning, program development, legal issues, fundraising and financial management; while the internships will provide six-week placements with nonprofit organizations in the U.S. for nonprofit managers from East Central Europe and the former Soviet Union.

Continued general budgetary support. By providing basic technical knowledge about nonprofit management and fundraising to fledgling voluntary organizations, the South-North Development Initiative (SNDI) acts as a catalyst to improve the functioning and encourage the further development of nonprofit sectors in Africa, Asia, and Latin America. SNDI's initiatives in 1992 included a series of workshops on foundation development in South Africa, bilateral exchanges between foundation leaders in Latin America, Sweden, and Portugal, and planned assistance to Japanese groups interested in philanthropy in South America.

For a study of the voluntary sector in Eastern Europe. Published in December by the RBF, The Rebirth of Civil Society: The Development of the Nonprofit Sector in East Central Europe and the Role of Western Assistance describes the emergence of voluntary sectors in Poland, Hungary, and Czechoslovakia since the revolutions of 1989 and provides an assessment of the role nonprofit organizations are now playing and the challenges they face. The study also analyzes the impact of Western assistance, both positive and negative, on this process; and provides detailed recommendations for future action. The report was co-authored by Daniel Siegel and Jenny Yancey, and published in Polish, Hungarian, Czech and Slovak, as well as English, editions.



MEMBERSHIPS

COUNCIL ON FOUNDATIONS Washington, D.C. \$36,600

\$34,600 membership grant for 1993. The council has over 1,300 members, representing independent, community, operating, and public foundations, corporate grantmakers, and trust companies. The council also works with 29 affinity groups that are coalitions of grantmakers with a common interest, and with 33 regional associations of grantmakers.

\$1,000 grant for its Grantmakers for Children, Youth & Families affinity group.

\$1,000 grant for its Precollegiate Education Group affinity group.

INDEPENDENT SECTOR Washington, D.C. \$7,400 A membership grant for 1993. 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 its Funders Concerned about AIDS affinity group.

NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS New York, New York \$9,000 A membership grant for 1993. 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 1992 AND | GRANTS OUTSTANDING | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|---|---|------------------------|---------------------------|--------------------|-------------------|
| UNITED STATES | | | | | |
| ACCESS: NETWORKING IN THE PUBLIC INTEREST, INC. Boston, Massachusetts | General support | 175,000 | 165,000 | 10,000 | |
| ASPEN INSTITUTE FOR HUMANISTIC STUDIES Queenstown, Maryland | Nonprofit sector research fund | 250,000 | 50,000 | 140,000 | 60,000 |
| CAUSE EFFECTIVE New York, New York | Special events training program | 70,000 | | 40,000 | 30,000 |
| foundation center New York, New York | General support | 60,000 | | 30,000 | 30,000 |
| INDEPENDENT SECTOR Washington, D.C. | Building for Greater Achievements Campaign | 250,000 | 50,000 | 100,000 | 100,000 |
| investment fund for foundations, the Washington, D.C. | To launch a commingled investment fund for foundations | 225,000 | | 100,000 | 125,000 |
| macarthur foundation, John d. and catherinet. Chicago, Illinois | Planning for a commingled investment fund for foundations | 16,000 | | 16,000 | |
| NATIONAL CENTER FOR CAREERS IN PUBLIC LIFE Washington, D.C. | General support | 60,000 | | 36,150 | 23,850 |
| NATIONAL CENTER FOR NONPROFIT BOARDS Washington, D.C. | General support | 120,000 | 90,000 | 30,000 | |
| national charities information bureau, inc. New York, New York | Public Outreach Project | 120,000 | 80,000 | 40,000 | |
| NATIONAL COMMITTEE FOR RESPONSIVE PHILANTHROPY Washington, D.C. | Workplace fundraising project | 120,000 | 40,000 | 40,000 | 40,00 |
| national council of nonprofit associations Washington, D.C. | Assistance to State Associations of Nonprofit Organizations Project | 150,000 | | 50,000 | 100,000 |
| NEW PRESS, THE New York, New York | General support | 150,000 | 50,000 | 50,000 | 50,00 |
| SAN FRANCISCO, UNIVERSITY OF San Francisco, California | Institute for Nonprofit Organization Management: Study of charitable behavior in Hispanic and Asian American communities | 35,000 | | 35,000 | |
| TUFTS COLLEGE, TRUSTEES OF Medford, Massachusetts | Lincoln Filene Center: Seminar on nongovernmental organizations | 20,150 | | 20,150 | |
| | | | | | |

^{*}Appropriation made prior to 1992



| | | rr r | | | |
|---|--|----------|---------|--------|--------|
| united negro college fund, inc New York, New York | Pilot Planned Giving Program | 150,000 | 130,000 | 20,000 | |
| YALE UNIVERSITY New Haven, Connecticut | School of Organization and Management: Student internship fund | 52,000 | 39,500 | | 12,500 |
| INTERNATIONAL | | | 377) | 1,52 | 5 2 |
| AMERICAN COMMITTEE FOR AID TO POLAND, INC. McLean, Virginia | Programs to strengthen the nonprofit sector in Poland | 57,000 | | 32,000 | 25,000 |
| CASE WESTERN RESERVE UNIVERSITY Cleveland, Ohio | Mandel Center for Nonprofit Organizations Workshops for Romanian nonprofit leaders | : 40,000 | | 25,000 | 15,000 |
| COMMITTEE OF GOOD WILL, THE Prague, Czechoslovakia | General support | 30,000 | | | 30,000 |
| council on Foundations, inc. Washington, D.C. | Program for Leadership in International Philanthropy | 75,000 | | 40,000 | 35,000 |
| NTERACTION:THE AMERICAN COUNCIL FOR VOLUNTARY NTERNATIONAL ACTION, INC. Washington, D.C. | To develop standards of conduct for council members | 70,000 | 35,000 | 35,000 | |
| JOHNS HOPKINS UNIVERSITY,THE Baltimore, Maryland | Institute for Policy Studies: Study of international private sector | 210,000 | 140,000 | 70,000 | |
| | Institute for Policy Studies: International Fellows in Philanthropy program | 150,000 | 25,000 | 75,000 | 50,000 |
| | Institute for Policy Studies: Third Sector Project for East Central Europe and the former Soviet Union | 100,000 | | 50,000 | 50,000 |
| PHILIPPINE BUSINESS FOR SOCIAL PROGRESS Manila, Philippines | Center for Corporate Citizenship | 125,000 | 39,285 | 50,000 | 35,715 |
| south-north development initiative,the New York, New York | General support | 25,000 | | 25,000 | |
| voluntary sector research project in eastern europe New York, New York | The Rebirth of Civil Society report | 49,165 | | 49,165 | |

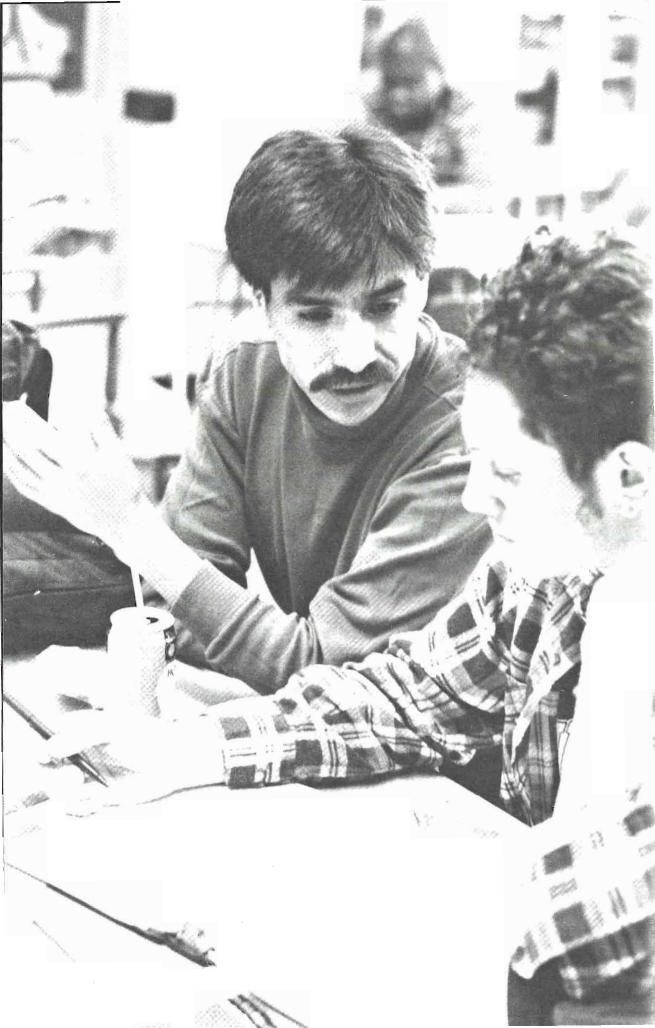
Total Paid in Appropriation Previous Years

Unpaid Balance

Payment in 1992



| | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|--|------------------------|---------------------------|--------------------|-------------------|
| MEMBERSHIPS | | | | | 200 |
| COUNCIL ON FOUNDATIONS, INC. Washington, D.C. | Membership for 1993 | 34,600 | | 34,600 | |
| | Grantmakers for Children, Youth and Families | 1,000 | | 1,000 | |
| | Precollegiate Education Group | 1,000 | | 1,000 | |
| INDEPENDENT SECTOR Washington, D.C. | Membership for 1993 | 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 1993 | 9,000 | | 7,700 | 1,300 |
| SUBTOTAL | | | | 1,261,165 | 812,065 |





In 1992, through grants to the American Association for the Advancement of Science for its Black Churches and Black Colleges Partnership and to Phillips Academy (Andover) for its Institute for the Recruitment of Teachers, the Fund continued support for two highly successful programs that seek to interest minorities in teaching careers. To encourage the development of teacher preparation programs that will strengthen the capacities of new teachers to deal effectively with the growing diversity of the American classroom, the Fund made a grant to the Center for Collaborative Education for a pilot teacher education program which provides candidates for masters degrees in education with an opportunity to gain experience in an innovative urban high school serving mostly poor and minority students.

Grants to the Children's Museum of Indianapolis for a teacher enrichment program that will encourage elementary teachers to explore ways of reaching children beyond traditional classroom methods, to the Foxfire Fund for the Foxfire Teacher Outreach Program, and renewed support to the Brooklyn Institute of Arts and Sciences for its Summer Teacher Institute, furthered the Fund's interests in the continuing professional development of teachers and in programs to educate teachers in non-school settings.

ROCKEFELLER BROTHERS FUND FELLOWSHIPS FOR MINORITY STUDENTS ENTERING THE TEACHING PROFESSION

In April of 1992, following over two years of planning and preparation, the Fund named the first recipients of the Rockefeller Brothers Fund Fellowships for Minority Students Entering the Teaching Profession. These fellowships are awarded annually to outstanding minority undergraduates in the arts and sciences who wish to pursue a graduate degree in education and to teach in American public elementary or secondary schools. The fellows are nominated from among 23 colleges and universities that have been selected to participate in the fellowships program on the basis of the overall quality of each institution's undergraduate program, its record of commitment to the education of minorities, and its stated goals to improve teaching in the public schools. Institutions selected to participate in the first years of the program are Amherst College, Amherst, Massachusetts; Brown University, Providence, Rhode Island; City University of New York, Queens College, Flushing, New

Teaching intern Jorge Mosquera with a student at a Center for Collaborative Education high school in New York.



York; Dartmouth College, Hanover, New Hampshire; Grinnell College, Grinnell, Iowa; Howard University, Washington, D.C.; Montana State University, Bozeman, Montana; Mount St. Mary's College, Los Angeles, California; Oberlin College, Oberlin, Ohio; Pace University, New York, New York; Pomona College, Claremont, California; Princeton University, Princeton, New Jersey; Sinte Gleska College, Rosebud, South Dakota; Spelman College, Atlanta, Georgia; Swarthmore College, Swarthmore, Pennsylvania; Tulane University, New Orleans, Louisiana; University of California, Riverside, California; University of Detroit Mercy, Detroit, Michigan; University of Texas at El Paso, Texas; Wellesley College, Wellesley, Massachusetts; Wesleyan University, Middletown, Connecticut; Williams College, Williamstown, Massachusetts; and Xavier University of Louisiana, New Orleans, Louisiana.

During the summer following their selection, the first class of fellows engaged in projects or sets of activities of their own choosing, lasting about seven weeks, that were related to teaching, and then met for the first time as a group in a workshop with RBF staff and with mentors from their colleges. Following graduation, the fellows enroll full-time in one- or two-year masters degree programs in teacher education, during which time they receive a yearly stipend as part of the fellowship. Upon completion of graduate programs, fellows begin work in public school classrooms as credentialed teachers. For those who have incurred debts in pursuing their undergraduate education, the fellowships assist with loan repayment of up to \$1,200 annually for each of the first three years that the fellow continues in the teaching profession.

The members of the initial class of the Rockefeller Brothers Fund fellows are: Daryl R. Begay, Dartmouth College; Michael Gregory Brox, Tulane University; Jane I. Chu, University of California, Riverside; Yessenia Correa, Princeton University; Jennifer Cortez, Pomona College; Carmen De La Cruz, City University of New York, Queens; Delvin Morris Dinkins, Swarthmore College; Noemi Donoso, Mount St. Mary's College; Coleen Vincenta Frontin, Howard University; Juan Guillermo Garcia, City University of New York, Queens; Patricia Garcia, Pomona College; Gayle Denise Herrington, Spelman College; Denise Maria Juneau, Montana State University; Delia Marie Lovell, Wellesley College; Derek Lynch, Oberlin College; Angel M. Means, Pace University;



José Luis Medina, University of Texas at El Paso; Cathy Nguyen, Mount St. Mary's College; Kimberly Anne Phillips, Spelman College; Rosemary Polanco, Wesleyan University; Guy Rollo Reavis, Williams College; Sarah Joy Simpson, Swarthmore College; Andrés Joseph Versage, Swarthmore College; Timothy Vessel, Wesleyan University; and Daria Lynn Young, Spelman College.

MINORITIES

CENTER FOR
COLLABORATIVE
EDUCATION
New York, New York
\$200,000 over two years

For a pilot teacher education program, in collaboration with Teachers College, in which students studying toward a masters degree in education will work as interns at Center for Collaborative Education (CCE) high schools. CCE is a consortium of innovative public elementary and secondary schools in Manhattan which serves as the New York City branch of the Coalition of Essential Schools. The new teacher education program combines academic learning with the opportunity to gain classroom experience in a successful urban high school serving mostly poor and minority students.

PHILLIPS ACADEMY, TRUSTEES OF Andover, Massachusetts \$75,000 Continued support for its Institute for the Recruitment of Teachers, which identifies talented Hispanic, African-American and Native American students in their junior year of college and seeks to interest them in careers in teaching. Students spend four weeks during the summer at Andover, preparing for graduate coursework and exploring the nature and rewards of teaching.

EARLY CHILDHOOD

NATIONAL ASSOCIATION FOR THE EDUCATION OF YOUNG CHILDREN Washington, D.C. \$25,000 To enable groups of participants to attend a conference, organized by the National Institute for Early Childhood Professional Development and the Center for Career Development in Early Care and Education, which addressed the goal of a coordinated system of training for teachers in day care, Head Start, and elementary schools. The June conference brought together individuals from all levels of training programs, including those from state agencies, community-based child care programs, Head Start, and institutions of higher learning, in an effort to stimulate discussion and to promote activity, especially at the state and local levels.

WHEELOCK COLLEGE Boston, Massachusetts \$200,000 over two years Continued support for the college's Center for Career Development in Early Care and Education. The center was established in 1990 to serve as a focal point for national efforts to strengthen teacher education, training, and career development in the field of early care and education, which includes day care, Head



Start, and the early grades of public school. Based on its own nationwide research, the center has developed a new model for professional development that emphasizes system-wide planning at the state level, coordinated financing, progressive courses of training, effective quality controls for the professional, and consistent recognition and reward systems. The center provides technical assistance to state and local agencies, and encourages policy reform at the state and national levels.

NON-SCHOOL SETTINGS

AMERICAN ASSOCIATION FOR THEADVANCEMENT OF SCIENCE Washington, D.C. \$183,000 over two years Continued support to expand the association's Black Churches and Black Colleges Partnership (BC²) project, a volunteer internship program for minority students to conduct math and science classses in programs operated by local black churches. The main goals of BC² are to help young people master the academic and technological skills they will need in today's job market, to provide minority college students with an opportunity to serve their community and to interest those students in a teaching career, and to provide children with positive African-American teacher role models. Interns are drawn from historically black colleges and universities, which helped develop the project.

BROOKLYN INSTITUTE OF ARTS AND SCIENCES New York, New York \$75,000

Continued support for the museum's Summer Teacher Institute, intensive threeweek programs which familiarize teachers with the museum's resources and show them how to use the collections as part of their curricula. The museum offers teachers from the New York City metropolitan area an opportunity to broaden the knowledge and skills needed to serve a culturally diverse student population. This grant supports the summer 1993 institute on Ancient Egyptian Art and Culture.

CHILDREN'S MUSEUM **OF INDIANAPOLIS** Indianapolis, Indiana \$20,000

For a new teacher enrichment program. During the year-long program, the museum will invite groups of elementary teachers to participate in seminars, each organized around a particular subject—for example, astronomy—with the object of engaging the teachers themselves in a challenging learning experience, which in turn can encourage them to explore new and interesting ways of reaching children beyond traditional classroom methods. The Children's Museum of Indianapolis, the largest children's museum in the world, is a leader in innovative educational programming.



FOXFIRE FUND Rabun Gap, Georgia \$75,000

PROJECTS OF PARTICULAR MERIT

For the Foxfire Teacher Outreach Program which provides graduate level training to teachers at selected institutions in the Foxfire method of classroom instruction—an approach based on educational principles that emphasize learning-by-doing and interacting with the community in ways that are real and meaningful to students and local residents. This grant supports the Outreach Program's services to regional networks of teachers trained in the Foxfire method, and a new initiative to reach more teachers in urban, inner-city schools.



| PAYMENTS MADE IN 1992 AND GRANTS OUTSTANDING | | | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|--|---------|---------------------------|--------------------|-------------------|
| MINORITIES | | | | 3511 | |
| CENTER FOR COLLABORATIVE EDUCATION, THE New York, New York | Pilot teacher education program | 200,000 | | 100,000 | 100,000 |
| CLAREMONT UNIVERSITY CENTER Claremont, California | Hispanic Teacher Mentoring Project | 150,000 | 100,000 | 50,000 | |
| MOUNT HOLYOKE COLLEGE South Hadley, Massachusetts | SummerMath for Teachers | 135,000 | 35,000 | 50,000 | 50,000 |
| PHILLIPS ACADEMY, TRUSTEES OF Andover, Massachusetts | Institute for the Recruitment of Teachers | 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 | 25,000 | 25,000 |

| EARLY CHILDHOO | DD | | | | |
|--|--|---------|--------|---------|---------|
| FAMILY SERVICE ASSOCIATION OF NASSAU COUNTY, INC. Hempstead, New York | Teacher and Parent Education Project | 115,410 | 38,470 | 38,470 | 38,470 |
| NATIONAL ASSOCIATION FOR THE EDUCATION OF YOUNG CHILDREN Washington, D.C. | Conference on professional development for early childhood educators | 25,000 | | 25,000 | |
| WHEELOCK COLLEGE Boston, Massachusetts | Center for Career Development in Early Care and Education | 200,000 | | 100,000 | 100,000 |

| NON-SCHOOL SE | TTINGS | | | ELECTION. | |
|---|--|---------|--------|-----------|---------|
| AMERICAN ASSOCIATION FOR THE ADVANCEMENT OF SCIENCE | To establish a teaching internship program for undergraduate minority students | 195,000 | 92,400 | 102,600 | |
| Washington, D.C. | Black Churches and Black Colleges Partnership | 183,000 | | 48,000 | 135,000 |

^{*}Appropriation made prior to 1992



| | | Total Paid in Appropriation Previous Yo | / | Unpaid Balance |
|--|----------------------------|--|--------|-------------------|
| brooklyn institute of arts and sciences Brooklyn, New York | Summer Teacher Institute | 75,000 | 75,000 | |
| CHILDREN'S MUSEUM OF INDIANAPOLIS, THE Indianapolis, Indiana | Teacher enrichment program | 20,000 | 20,000 | |

| PROJECTS OF PARTICULAR MERIT | | | | | | |
|---|--|---------|--------|---------|---------|--|
| EDUCATIONAL COMMISSION OF THE STATES Denver, Colorado | Preparing Teachers for Restructured Schools project | 100,000 | 30,000 | 70,000 | | |
| FOXFIRE FUND, INC., THE Rabun Gap, Georgia | Foxfire Teacher Outreach Program | 75,000 | | 75,000 | | |
| SUBTOTAL | | | | 854,070 | 448,470 | |





The Fund, under its New York City program, continues to seek special opportunities to address the threats of racial and ethnic polarization in the City. Three grants were made in 1992 for projects concerned with this issue. Support for the Bridging Eastern Parkway Community History Project, which is jointly sponsored by the Brooklyn Historical Society, the Brooklyn Children's Museum, and the Society for the Preservation of Weeksville and Bedford-Stuyvesant History, will assist an 18-month effort to help alleviate the tensions in a neighborhood that has become for many a symbol of the conflicts that can divide New Yorkers. The collaboration of these major cultural institutions, the direct involvement of community residents of all ages, and the goal of developing an ongoing capacity for conflict resolution, all make this a particularly promising and significant effort. Grants to the Fund for New York City Public Education to continue development of a model conflict resolution and peer mediation program in public middle schools, and to the WNYC Foundation to assist WNYC FM in reaching audiences that are not traditionally public radio listeners with New York Kids, its innovative weekly radio program for children between the ages of six and twelve, are both attempts to help the City's young people reach one another across racial and ethnic divisions.

In housing, the Fund provided continued support for the housing disinvestment project of the Community Service Society and for the work of the Community Partners Program of the New York City Housing Partnership's Community Partnership Development Corporation. Both of these programs address, in different ways, the crucial need to increase the supply of low-income and affordable housing in the City and to rebuild strong neighborhoods.

A grant to the New York AIDS Coalition for its housing work links the Fund's interest in housing with its efforts to assist community-based organizations responding to the AIDS crisis in the City. Grants to the Fund for the City of New York for the AIDS and Adolescents Network and to the Lower East Side Family Union for its Living with AIDS Project, which helps women remain outside of hospitals and with their children for as long as possible, continued RBF support for pioneering efforts to address the special AIDS-related needs of specific population groups. A grant to the New York

The Westborne, a Manhattan residence for homeless people, under construction with financing and technical assistance from the Corporation for Supportive Housing.



Community Trust for the Health and HIV/AIDS Education Fund supported student-developed peer education projects in the New York City public high schools, reflecting the concern for education and prevention that has been a part of the Fund's AIDS-related grants since they were initiated in 1986.

BROOKLYN HISTORICAL SOCIETY New York, New York \$25,000 For a community history project of the Crown Heights section of Brooklyn, New York, an effort by local community institutions and residents to help alleviate the racial and ethnic tensions that threaten the neighborhood. The "Bridging Eastern Parkway" community history project will also develop a permanent structure to deal with conflict resolution in the neighborhood. The project is sponsored by the Brooklyn Historical Society in collaboration with the Brooklyn Children's Museum and the Society for the Preservation of Weeksville and Bedford-Stuyvesant History.

FUND FOR THE CITY OF NEW YORK New York, New York \$25,000 For the New York City Youth EmPact Program, in support of its efforts to encourage organizations in the public and private sectors to provide summer jobs for the 18,000 New York City young people for whom the City' Summer Youth Employment and Training Program was unable to provide jobs. Under the program, each \$1,000 contributed by a foundation provides a young person with a summer job with one of the City's nonprofit organizations.

FUND FOR NEW YORK CITY PUBLIC EDUCATION New York, New York \$300,000 Continued support for a model conflict resolution and peer mediation program for public middle schools in New York City. Project STOP—Schools Teaching Options for Peace—seeks to guide young people toward positive alternatives to violence through programs that train students, teachers and parents in conflict resolution and peer mediation techniques. The Fund for New York City Public Education, which serves as a bridge between the City's public schools and the private sector, administers the program in collaboration with the school system.

WNYC FOUNDATION New York, New York \$50,000 For community outreach on behalf of WNYC's *New York Kids*, a weekly children's radio program for elementary school-aged children in the New York City region, first aired in December 1992. The new radio program, featuring music, stories and folktales, is intended to stimulate children's creativity and imagination, to complement their school curricula (links with schools are at the core of the program's design), and to promote cross-cultural understanding.



HOUSING

COMMUNITY SERVICE SOCIETY OF NEW YORK New York, New York \$420,000 over two years Continued support 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, in 1991 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 community-based organizations operating in neighborhoods that face a high risk of property abandonment. Over the next two years, CSS will complete a study of current divestment and abandonment trends, develop strategies for the early detection and preservation of at-risk buildings, and launch and evaluate two demonstration programs based on the study results.

NEW YORK CITY PARTNERSHIP FOUNDATION New York, New York \$265,000 Continued support for the Community Partners Program of the York City Housing Partnership's Community Partnership Development Corporation (CPDC). CPDC, a City-wide local development corporation, promotes minority participation in the development of affordable housing and provides technical assistance, training, and referral services to minority professionals and minority-led, community-based nonprofit groups to enhance their ability to plan, finance, and build affordable housing. This grant also provides support for community development organizations participating in CPDC programs.

AIDS

FUND FOR THE CITY OF NEW YORK New York, New York \$100,000 over two years Continued general support for the AIDS and Adolescents Network of New York, a coalition of professionals and organizations formed in 1987 in response to the growing need among youth programs, AIDS organizations, health care facilities and government agencies to address the emergence of AIDS infection in the adolescent community. The network works to improve adolescent-specific AIDS policies, services, and programs and to raise public awareness about the impact of AIDS on the lives of young people.

LOWER EAST SIDE FAMILY UNION New York, New York \$30,000 Continued support for a model service program for women with AIDS and their children. The aim of the Living with AIDS Project is to help women with AIDS remain with their children, out of the hospital and in control of their lives, for as long as possible; to assist them in assessing and obtaining the services they need; and to help them in creating sound arrangements for the future care of their children.



NEW YORK AIDS COALITION New York, New York \$60,000 over two years To expand the New York AIDS Coalition's capacity to address the need for housing for people infected with the AIDS virus, the fastest growing segment of New York City's homeless population. The coalition will provide technical assistance and support to community-based organizations working in the area of AIDS housing, and assist coalition building among organizations working to improve AIDS housing programs and funding.

NEW YORK COMMUNITY TRUST New York, New York \$30,000 For the Health and HIV/AIDS Education Fund, which supports peer education and student-developed projects in New York City public high schools. Developed by high school students working within the Chancellor's Office of External Programs, the Health and HIV/AIDS Education Fund operates on the premise that peer influence is one of the most critical factors in adolescent decision making and that peer education is a powerful mechanism for student learning and behavior change.



| PAYMENTS MADE IN 1992 AND GRANTS OUTSTANDING | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|--|--|------------------------|---------------------------|--------------------|-------------------|
| brooklyn historical society Brooklyn, New York | Community history project | 25,000 | | 25,000 | |
| fund for the city of new york, inc. New York, New York | Youth EmPACT Program | 25,000 | | 25,000 | |
| fund for New York City public education New York, New York | Conflict resolution and peer mediation program in the public schools | 300,000 | | 175,000 | 125,000 |
| ms.foundation for women, inc. New York, New York | Women's economic development initiative | 150,000 | 100,000 | 50,000 | |
| WNYC FOUNDATION New York, New York | New York Kids radio program | 50,000 | | 50,000 | |

| HOUSING | | | | | |
|--|---|---------|--------|---------|---------|
| COMMUNITY SERVICE SOCIETY OF NEW YORK New York, New York | Project to forestall increased divestment and abandonment of low-income housing | 420,000 | | 160,000 | 260,000 |
| 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 | 265,000 | | 185,000 | 80,000 |

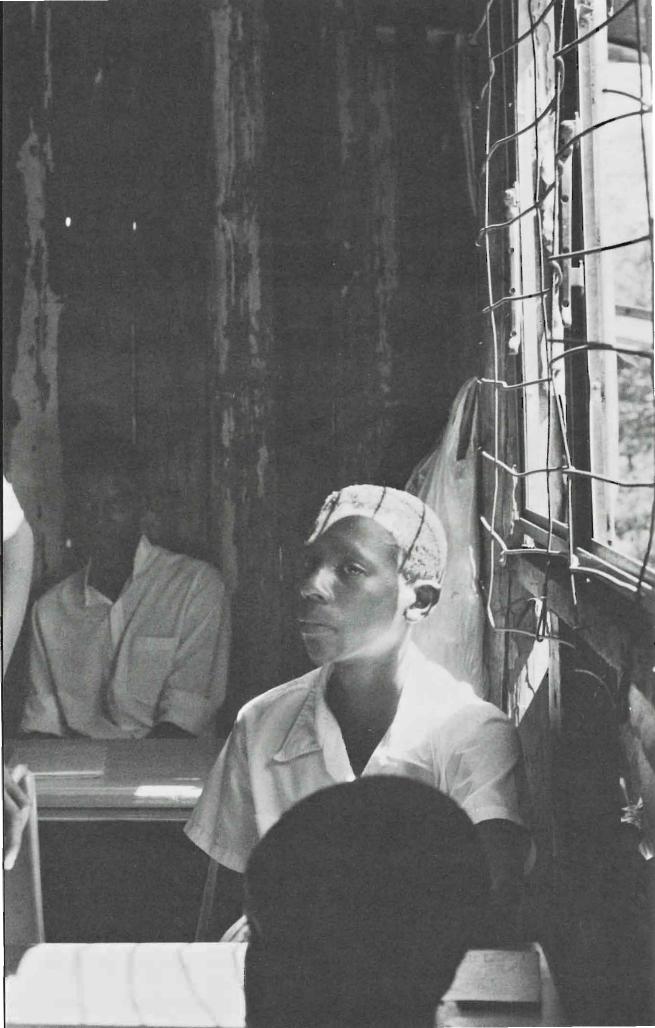
| AIDS | | | | QE.DE | |
|--|------------------------------|---------|--------|--------|--------|
| black leadership commission on aids, inc. New York, New York | General support | 100,000 | 50,000 | 50,000 | |
| correctional association of New York, the New York, New York | AIDS in Prison Project | 50,000 | 25,000 | 25,000 | |
| fund for the city of new york, inc. New York, New York | AIDS and Adolescents Network | 100,000 | | 50,000 | 50,000 |
| LATINO COMMISSION ON AIDS, INC. New York, New York | Initial operating expenses | 100,000 | 85,000 | 15,000 | |

^{*}Appropriation made prior to 1992



| PAYMENTS MADE IN 1992 AND GRANTS OUTSTANDING | | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|---|------------------------------------|------------------------|---------------------------|--------------------|-------------------|
| LOWER EAST SIDE FAMILY UNION, INC. New York, New York | Living with AIDS Project | 30,000 | | 30,000 | |
| NEW YORK AIDS COALITION, INC. New York, New York | Housing program | 60,000 | | 30,000 | 30,000 |
| new York community trust New York, New York | Health and HIV/AIDS Education Fund | 30,000 | | 30,000 | |
| SUBTOTAL | _ | | | 900,000 | 595,000 |







Opposite:
An older student sits with a fourth-grade English class in a parent-constructed classroom in a farm school near Brits, South Africa.
The Eltic Education Trust, a Fund grantee, provides in-service training to teachers on farm schools.

1992 grants under the Fund's Special Concerns—South Africa program included continued support for two programs involved in developing adult education training programs and materials: Catholic Welfare and Development's adult education program and the University of the Witwatersrand's Era Initiative. A grant to the Ntataise Trust for its materials development project will assist in the creation of training and curriculum materials for early childhood educators in farm schools in the Orange Free State and the Northern Transvaal.

In addition, the RBF was able to respond to two special opportunities related to reform of the South African education system. A grant to the University of Fort Hare, one of the oldest of the historically black universities in South Africa, provided support for an institutional evaluation that will assist the university to adapt to a post-apartheid system of higher education. A grant to the Sached Trust for its planning committee for national education reform, which grew out of the national education conference held in March 1992, will assist that committee as it explores ways to build a new nonracial education system in South Africa.

BASIC EDUCATION

CAPETOWN, UNIVERSITY OF Cape Town, South Africa \$84,000 over two years Continued support for its Primary Math Education Project (PMEP), which provides in-service training to primary school mathematics teachers in disadvantaged communities in the Cape Town region. Through workshops and classroom visits, the project exposes teachers to alternative teaching methods while encouraging teachers to reflect on their work, identify problems, and improve their performance. Established in 1989, PMEP has become a leader in the reform of primary mathematics education in South Africa.

CATHOLIC WELFARE AND DEVELOPMENT Cape Town, South Africa \$87,000 over three years Continued support for the Development Education and Leadership Training for Adults (Delta) project to develop adult education training programs and materials. The Delta model of educational training aims to stimulate development by teaching people to define their own needs, evaluate available resources, and take action to improve their situation. Delta coordinators work with community and church leaders to build networks of resource people and foster community initiatives such as literacy projects.



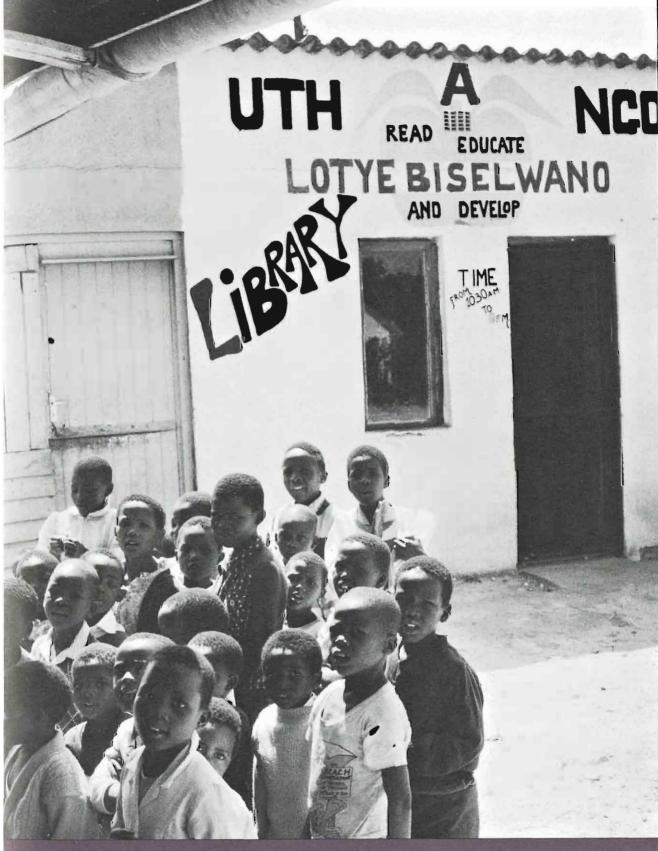
NTATAISETRUST Viljoenskroon, South Africa \$31,000 over two years For a project to develop training and curriculum materials for early childhood educators in farm schools in the Orange Free State and the Northern Transvaal. The new materials will be targeted at a language level appropriate to semiliterate childcare workers. Established in 1980 as a model farm preschool, Ntataise has grown into a nationwide program training childcare workers in rural areas of South Africa.

WITWATERSRAND, UNIVERSITY OF THE Johannesburg, South Africa \$105,000 over three years Continued support for the Era Initiative (Era), a project of the university's Centre of Continuing Education to foster literacy and improved reading skills in South Africa by supporting the production and distribution of a wide range of easy reading materials for adults. Toward this end, Era produces a newsletter on literacy and a catalog of easy readers for adults, and, more broadly, through a wide range of activities works to build an environment in which reading is encouraged.

SPECIAL OPPORTUNITIES

FORT HARE, UNIVERSITY OF Alice, South Africa \$25,000 To undertake an institutional evaluation that will assess all aspects of university life, including governance, administration, academic programs, curricula, student life, and relations with the wider community. The University of Fort Hare, one of the oldest and formerly one of the most distinguished of the historically black universities in South Africa, now seeks to transform itself from an apartheid institution into a high-quality teaching and research university. The findings of the university's evaluation are likely, as well, to benefit other tertiary educational institutions in South Africa that are facing similar challenges.

SACHED TRUST Johannesburg, South Africa \$20,000 To support the work of a new planning committee which grew out of the National Education Conference held in March 1992. At the conference, black and white South African educators, union leaders and student representatives met to discuss ways to build a new nonracial education system in South Africa. The planning committee was formed to work on the implementation of resolutions passed at the conference and to help maintain the momentum generated there.



CHILDREN'S LITERACY PROJECT

Youngsters who are part of the SachedTrust's children's literacy project, which prepares illiterate children to enter the formal education system, wait for their turn to use a classroom in a township near Cape Town.



| PAYMENTS MADE IN 1992 AND | grants outstanding | Total Appropriation | Paid in Previous Years | Payment in 1992 | Unpaid Balance |
|---|--|------------------------|---------------------------|--------------------|-------------------|
| BASIC EDUCATION | | | | | |
| CAPE EDUCATIONAL TRUST Cape Town, South Africa | Second language curriculm development project of its Early Learning Resource Unit | 53,000 | 28,000 | 25,000 | |
| CAPE TOWN, UNIVERSITY OF | Primary Math Education Project | 84,000 | | 42,000 | 42,000 |
| Cape Town, South Africa | Primary Math Education Project | 22,000 | 11,000 | 11,000 | |
| CATHOLIC WELFARE AND DEVELOPMENT Cape Town, South Africa | Development Education and Leadership Training for Adults project | 87,000 | | 25,000 | 62,000 |
| 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 | 28,000 | 14,000 |
| 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 RESOURCEUNIT Durban, South Africa | To develop an adult basic education model for squatter camps | 64,000 | 32,000 | 32,000 | |
| FORT HARE, UNIVERSITY OF Alice, South Africa | Institutional evaluation | 25,000 | | 25,000 | |
| NATAL, UNIVERSITY OF Durban, South Africa | Educare and Training Centre: Materials development project | 69,000 | 46,000 | | 23,000 |
| NTATAISETRUST Viljoenskroon, South Africa | To develop materials for early childhood educators in farm schools | 31,000 | | 10,000 | 21,000 |
| SACHED TRUST Johannesburg, South Africa | Planning committee for national education reform | 20,000 | | 20,000 | |
| WESTERN CAPE, UNIVERSITY OF THE Bellville, South Africa | Centre for Adult and Continuing Education: Training project for adult educators | 150,000 | 100,000 | 50,000 | |
| | Teacher's action research project | 88,000 | 66,000 | 22,000 | |
| WITWATERSRAND, UNIVERSITY OF Johannesburg, South Africa | Era Initiative | 105,000 | | 70,000 | 35,000 |
| SUBTOTAL | | | | 444,000 | 227,000 |

^{*}Appropriation made prior to 1992



RAMON MAGSAYSAY AWARDEES

The 1992 recipients of the Ramon Magsaysay Awards at the awards ceremony in Manila, Philippines: (from left to right) Shoaib Sultan Khan, Chamlong Srimuang, Angel C. Alcala, and Washington SyCip.
Ravi Shankar, the fifth recipient, is not pictured.



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 \$100,000

For the Ramon Magsaysay Awards for 1992. 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. The awards, made in five categories, are often regarded in the region as the Nobel Prizes of Asia. The 1992 award recipients are: Chamlong Srimuang of Thailand, Government Service; Angel C. Alcala of the Philippines, Public Service; Shoaib Sultan Khan of Pakistan, Community Leadership; Ravi Shankar of India, Journalism, Literature, and Creative Communication; and Washington SyCip of the Philippines, International Understanding.

PROGRAM FOR ASIAN PROJECTS

MANIBHAI B. DESAI Pune, India \$6,000

For the Pilot Project on Watershed Development in Drought-Prone Areas, an effort to improve the life of the rural poor in the Pune district in India by teaching them how to conserve land and water resources for improved food production. Following community meetings and data collection, the project will develop suitable soil and water conservation measures for different types of land, and begin planning for the construction of water-harvesting structures.



PRATEEP U. HATA Manila, Philippines \$10,000 For a project to help the inhabitants of the Klong Toey Slum, the oldest slum in Thailand, improve community sanitation. In addition to providing financial aid and technical assistance, the project organizers hope to foster long-term solutions to the slum's sanitation problems—primarily involving garbage and sewage disposal—by helping slum inhabitants to organize and address these problems themselves.

JIRO KAWAKITA Tokyo, Japan \$10,000 For a study of the "rope-line system," a method by which villagers transport firewood and fodder from hill forests to villages. The study is part of a larger initiative, being conducted in hill villages in the Sikha Valley of Nepal, to provide local inhabitants with the knowledge and skills required to pursue economic development without damaging the natural environment.

PHILIPPINE-BASED MAGSAYSAY AWARDEES Manila, Philippines \$20,000 For a pilot project to plant and cultivate "mini-forests" in the Phillipines. The project is intended to help reduce poverty by providing an alternative source of income for rural communities; to help alleviate the nation's current energy-shortage problems; and to begin the process of reforestation.

PRESS FOUNDATION OF ASIA Manila, Philippines \$5,000 To enhance public awareness of the pioneering work of Program for Asian Project awardees by increased media coverage of their work. Over the next two years, DEPTHnews, the news service of the Press Foundation of Asia, will produce monthly articles on Program for Asian Project activities for distribution to more than 300 newspapers and other media outlets throughout Asia.

RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines \$39,000 \$10,000 in continued support for a project, "Asian Issues and Trends for Development," an annual assembly which provides a forum at which Ramon Magsaysay awardees can discuss the common political, economic, social and cultural problems facing the region. Each meeting focuses on the issues and trends affecting one specific country in Asia.

\$4,000 to continue publication of the Program for Asian Projects newsletter, *The Magsaysay Awardee*, so that awardees can keep in touch with one another and abreast of ongoing projects.

\$15,000 to continue a project to train the successors of Ramon Magsaysay awardees. Though fellowships, successors are able to take courses in management, writing and editing so that they are better equipped to carry on the work of Ramon Magsaysay awardees.

\$10,000 to publish the Ramon Magsaysay Award Foundation's book of record, *The Ramon Magsaysay Awards*, and the awardee pamphlet series.



K.V. SUBBANNA Karnataka, India \$10,000

To publish a series of books in Kannada, a major regional language of India, on the development of Indian thought in the 20th Century. The works will be moderately priced, and written and edited so as to be accessible to the common

THONGBAITHONGPAO Bangkok, Thailand \$5,000

For an education campaign to raise awareness among the rural population in Thailand of the legal system and of individual rights under the law. The project eventually hopes to establish a series of legal aid centers in rural areas.

B.G. VERGHESE New Delhi, India \$10,000

To undertake a study of the complex governance, sustainable development, and ethnic issues facing the seven states that make up the Northeast corner of India—a remote, densely forested and mountainous area with tremendous natural resources, an underdeveloped economy, and the largest tribal population in the world.



Total Paid in Appropriation Previous Years Payment in 1992 Unpaid Balance PAYMENTS MADE IN 1992 AND GRANTS OUTSTANDING

RAMON MAGSAYSAY AWARD FOUNDATION

RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines

Ramon Magsaysay Awards for 1992

100,000

100,000

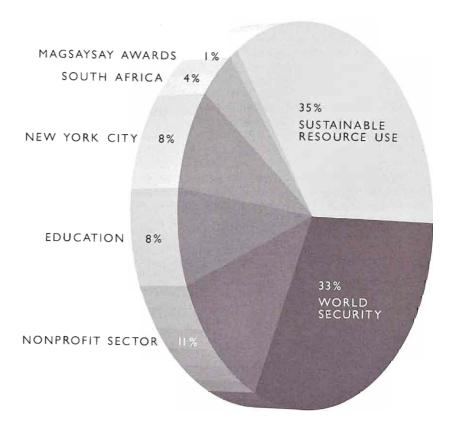
| PROGRAM FOR A | SIAN PROJECTS | | |
|---|---|--------|-----------------|
| DESAI, MANIBHAI B. Pune, India | Project on watershed development in drought-prone areas | 6,000 | 6,000 |
| HATA, PRATEEP U. Manila, Philippines | Klong Toey Clean Project | 10,000 | 10,000 |
| KAWAKITA, JIRO Tokyo, Japan | Study of the Rope-line System in the Himalaya | 10,000 | 10,000 |
| PHILIPPINE-BASED MAGSAYSAY AWARDEES Manila, Philippines | To plant "mini-forests" in the Philippines | 20,000 | 20,000 |
| PRESS FOUNDATION OF ASIA Manila, Philippines | Program to increase media coverage of PAP projects | 5,000 | 5,000 |
| RAMON MAGSAYSAY AWARD FOUNDATION | Asian Issues and Trends for Development project | 10,000 | 10,000 |
| Manila, Philippines | Publication of The Magsaysay Awardee | 4,000 | 4,000 |
| | Project SURMA: Training the Successors of RM Awardees | 15,000 | 15,000 |
| | Publication of <i>The Ramon Magsaysay Awards</i> and the <i>Awardee Pamphlet</i> series | 10,000 | 10,000 |
| SUBBANNA, K.V. Karnataka, India | To publish books on Indian thought | 10,000 | 10,000 |
| THONGPAO,THONGBAI Bangkok, Thailand | Law for the Rural Project | 5,000 | 5,000 |
| VERGHESE, B.G. New Delhi, India | Ethnicity, Development, and Governance in India's Tangled Northeast project | 10,000 | 10,000 |
| SUBTOTAL | | | 100,000 115,000 |



SUMMARY OF PAYMENTS MADE IN 1992 AND GRANTS OUTSTANDING

| | Payments in 1992 | Unpaid Balances |
|--|------------------|-----------------|
| One World: Sustainable Resource Use | \$ 3,870,989 | \$ 2,741,539 |
| One World: World Security | 3,612,380 | 2,045,970 |
| Nonprofit Sector | 1,261,165 | 812,065 |
| Education | 854,070 | 448,470 |
| New York City | 900,000 | 595,000 |
| Special Concerns: South Africa | 444,000 | 227,000 |
| Ramon Magsaysay Awards | 100,000 | 115,000 |
| Payments matching employee contributions | 11,042,604 | \$ 6,985,044 |
| to charitable institutions | 17,252 | |
| Appropriations paid in 1992 | \$ 11,059,856 | |

^{&#}x27;Total does not include lapsed items or reflect grants returned





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

| UNPAID APPROPRIATIONS, DECEMBER 31, 1991 | | |
|--|--------------|------------------|
| Principal Fund | \$ 7,525,202 | |
| RBF Awards in Arts Education | 89,946 | \$ 7,615,148 |
| APPROPRIATIONS AUTHORIZED IN 1992 | · | |
| Principal Fund | 10,449,555 | |
| Ramon Magsaysay Award Foundation | 100,000 | |
| Asian Projects Fund | 115,000 | |
| RBF Awards in Arts Education | -0- | |
| Charitable Matching Gifts | 17,252 | |
| | 10,681,807 | |
| Less: | | |
| Appropriations lapsed: Principal Fund | 162,109 | |
| Grant returned | 10,416 | |
| | 172,525 | 10,509,282 |
| APPROPRIATIONS PAID IN 1992 | | |
| Principal Fund | 10,942,604 | |
| Ramon Magsaysay Award Foundation | 100,000 | |
| Asian Projects Fund | -O- | |
| | 11,042,604 | |
| RBF Awards in Arts Education | -0- | |
| Charitable Matching Gifts | 17,252 | 11,059,856 |
| UNPAID APPROPRIATIONS, DECEMBER 31, 1992 | | |
| Principal Fund | 6,859,628 | |
| Ramon Magsaysay Award Foundation | -0- | |
| Asian Projects Fund | 115,000 | |
| | 6,974,628 | |
| RBF Awards in Arts Education | 89,946 | |
| | | \$ 7,064,574 |



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, 1992, 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, 1992 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 basis as determined by management of each limited partnership or their designee. As of December 31, 1992, \$12,407,000 (4.0% of the 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 April 1, 1993



ROCKEFELLER BROTHERS FUND, INC. BALANCE SHEET

December 31, 1992 with Comparative 1991 Totals

| | Principal Fund | Pocantico Fund | Ramon Magsaysay Award Foundation Fund | Asian Projects Fund | Pocantico Restoration Fund | Total 1992 All Funds | Tota 1991 (Note 9) |
|--|-------------------|-------------------|--|---------------------------|----------------------------------|----------------------------|--------------------------|
| ASSETS | | | | | | | |
| Cash | \$17,375,427 | \$5 | \$ - | \$ - | \$1,406 | \$17,376,838 | \$534,802 |
| Accounts Receivable | 28,642 | - | - | - | - | 28,642 | 12,223 |
| Interest and Dividends Receivable | 1,263,932 | 309,532 | 26,182 | 49,762 | 31,262 | 1,680,670 | 2,301,742 |
| Due from Brokers and Dealers | 3,624,370 | 185,652 | - | - | 356,731 | 4,166,753 | 1,297,691 |
| Investments, at market value (Note 3) | 267,071,148 | 39,959,145 | 1,855,069 | 2,360,660 | 2,965,882 | 314,211,904 | 310,917,401 |
| Program Related Investments: | | | | | | | |
| Program mortgage loans | 554,192 | - | - | - | - | 554,192 | 565,717 |
| Real estate (Note 4) | 510,000 | - | - | - | - | 510,000 | 510,000 |
| Other | 786,224 | - | - | - | - | 786,224 | 728,701 |
| Federal Excise Tax (Due) Prepaid | (42,749) | - | - | - | - | (42,749) | 296,034 |
| Prepaid Expenses (Note 5) | 516,943 | - | - | - | - | 516,943 | 127,599 |
| Fixed Assets (net of accumulated depreciation and amortization of \$451,140) | 632,342 | 7,646 | - | - | 1,997,337 | 2,637,325 | 634,809 |
| Interfund | 482,791 | (241,965) | (31,997) | 30,198 | (239,027) | - | |
| Total Assets | \$292,803,262 | \$40,220,015 | \$1,849,254 | \$2,440,620 | \$5,113,591 | \$342,426,742 | \$317,926,715 |

| NCES . | | | | | | |
|---------------|---|---|--|---|--|--|
| | | | | | | |
| \$13,481,777 | \$ - | \$ - | \$ - | \$ - | \$13,481,777 | \$ - |
| 6,949,574 | - | - | 115,000 | - | 7,064,574 | 7,615,148 |
| 5,113,320 | 277,340 | - | - | - | 5,390,660 | 597,590 |
| 637,776 | 191,951 | - | - | 382,861 | 1,212,588 | 78,800 |
| 26,182,447 | 469,291 | - | 115,000 | 382,861 | 27,149,599 | 8,291,538 |
| | | | | | | |
| 266,620,815 | 39,750,724 | 1,849,254 | 2,325,620 | 4,730,730 | 315,277,143 | 309,635,177 |
| \$292,803,262 | \$40,220,015 | \$1,849,254 | \$2,440,620 | \$5,113,591 | \$342,426,742 | \$317,926,715 |
| | \$13,481,777 6,949,574 5,113,320 637,776 26,182,447 | \$13,481,777 \$ - 6,949,574 - 5,113,320 277,340 637,776 191,951 26,182,447 469,291 266,620,815 39,750,724 | \$13,481,777 \$ - \$ - 6,949,574 5,113,320 277,340 - 637,776 191,951 - 26,182,447 469,291 - 266,620,815 39,750,724 1,849,254 | \$13,481,777 \$ - \$ - \$ - 6,949,574 - 115,000 5,113,320 277,340 637,776 191,951 26,182,447 469,291 - 115,000 266,620,815 39,750,724 1,849,254 2,325,620 | \$13,481,777 \$ - \$ - \$ - \$ - 6,949,574 - 115,000 - 5,113,320 277,340 382,861 26,182,447 469,291 - 115,000 382,861 266,620,815 39,750,724 1,849,254 2,325,620 4,730,730 | \$13,481,777 \$ - \$ - \$ - \$13,481,777 6,949,574 115,000 - 7,064,574 5,113,320 277,340 5,390,660 637,776 191,951 382,861 1,212,588 26,182,447 469,291 - 115,000 382,861 27,149,599 266,620,815 39,750,724 1,849,254 2,325,620 4,730,730 315,277,143 |

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, 1992 with Comparative 1991 Totals

| | Principal Fund | Pocantico Fund | Ramon Magsaysay Award Foundation Fund | Asian Projects Fund | Pocantico Restoration Fund | Total 1992 All Funds | Total 1991 (Note 9) |
|---|-------------------|-------------------|--|---------------------------|----------------------------------|----------------------------|---------------------------|
| revenues | | | | | | | <u></u> |
| Dividend income | \$3,372,177 | \$610,777 | \$ - | \$ - | \$79,897 | \$4,062,851 | \$5,618,508 |
| Interest income | 7,487,457 | 1,143,097 | 171,391 | 179,973 | 137,270 | 9,119,188 | 8,716,894 |
| Other investment income | 746,139 | - | - | - | - | 746,139 | 336,414 |
| Contributions | 45,000 | - | - | - | 1,147,607 | 1,192,607 | 445,000 |
| _ | 11,650,773 | 1,753,874 | 171,391 | 179,973 | 1,364,774 | 15,120,785 | 15,116,816 |
| EXPENSES | | | | | | | |
| Functional expenses (Exhibit I): | | | | | | | |
| Direct charitable activities | 200,956 | 1,523,099 | - | 1,129 | 417,248 | 2,142,432 | 1,339,900 |
| Program and grant managemer | | - | 132,968 | 137,310 | - | 12,587,424 | 12,321,415 |
| Investment management | 1,208,146 | 179,942 | 9,167 | 15,910 | 18,867 | 1,432,032 | 1,464,079 |
| General management | 1,483,505 | 111,845 | 1,440 | 10,965 | 24,550 | 1,632,305 | 1,224,449 |
| _ | 15,209,753 | 1,814,886 | 143,575 | 165,314 | 460,665 | 17,794,193 | 16,349,843 |
| (Deficiency) excess of revenues over expenses | (3,558,980) | (61,012) | 27,816 | 14,659 | 904,109 | (2,673,408) | (1,233,027 |
| GAIN ON INVESTMENTS | | | | | | | |
| Net realized gain from securities sales | 16,040,289 | 6,187,037 | - | 93 | 366,539 | 22,593,958 | 13,663,792 |
| Net change in unrealized (loss) gain on investments | (8,567,566) | (5,375,301) | (26,061) | (14,606) | (295,050) | (14,278,584) | 30,941,159 |
| | 7,472,723 | 811,736 | (26,061) | (14,513) | 71,489 | 8,315,374 | 44,604,951 |
| (Deficiency) excess of revenues and gain on investments over expenses | 3,913,743 | 750,724 | 1,755 | 146 | 975,598 | 5,641,966 | 43,371,924 |
| FUND BALANCES beginning of year | 262,707,072 | 39,000,000 | 1,847,499 | 2,325,474 | 3,755,132 | 309,635,177 | 266,263,253 |
| FUND BALANCES end of year | \$266,620,815 | \$39,750,724 | \$1,849,254 | \$2,325,620 | \$4,730,730 | \$315,277,143 | \$309,635,177 |

The accompanying notes are an integral part of this statement.



ROCKEFELLER BROTHERS FUND, INC. NOTES TO FINANCIAL STATEMENTS

December 31, 1992

(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 Fund also provides fellowships for minority students entering the teaching profession.

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.

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, 1992, \$12,407,000 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, 1992 will be paid as follows:

1994: \$1,803,110 1993: \$5,001,464 1995: \$260,000 Total: \$7,064,574

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.



The Fund is subject to unrelated business income tax related to its investment in Lipco Partners, L.P., and the appropriate provision has been made.

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, 1992 are | as follows: | | |
|--|---------------|---|-------------------------------------|
| | Cost | Unrealized Appreciation/ (Depreciation) | Quoted Market or Equity Value |
| PRINCIPAL FUND | | | |
| Short-term investments | \$56,014,542 | \$ - | \$56,014,542 |
| Stocks | 64,931,593 | 9,381,952 | 74,313,545 |
| Bonds | 92,240,143 | 2,245,562 | 94,485,705 |
| Limited partnerships | 34,367,226 | 7,890,130 | 42,257,356 |
| | 247,553,504 | 19,517,644 | 267,071,148 |
| POCANTICO FUND | | | |
| Short-term investments | 9,141,015 | - | 9,141,015 |
| Stocks | 12,424,777 | 3,114,200 | 15,538,977 |
| Bonds | 14,254,920 | 864,170 | 15,119,090 |
| Real estate | 197,537 | (37,474) | 160,063 |
| | 36,018,249 | 3,940,896 | 39,959,145 |
| ramon magsaysay award foundation fund | | | |
| Short-term investments | 64,649 | - | 64,649 |
| Bonds | 1,440,106 | 350,314 | 1,790,420 |
| | 1,504,755 | 350,314 | 1,855,069 |
| ASIAN PROJECTS FUND | | | |
| Short-term investments | 135,771 | - | 135,771 |
| Bonds | 1,947,976 | 276,913 | 2,224,889 |
| | 2,083,747 | 276,913 | 2,360,660 |
| POCANTICO RESTORATION FUND | | | |
| Short-term investments | 98,271 | - | 98,271 |
| Stocks | 1,033,576 | 370,548 | 1,404,124 |
| Bonds | 1,395,914 | 52,948 | 1,448,862 |
| Real estate | 19,404 | (4,779) | 14,625 |
| | 2,547,165 | 418,717 | 2,965,882 |
| TOTAL INVESTMENTS | \$289,707,420 | \$24,504,484 | \$314,211,904 |
| | | | |

The Fund may be exposed to a risk of loss, not reflected on the accompanying financial statements, for securities sold but not yet purchased, should the value of such securities rise. The value of such securities sold was \$12,683,157.



(4) PROGRAM RELATED INVESTMENTS

The Fund's program related investments have limited or no marketability and are stated at the lower of cost or estmated fair value, with the exception of real estate. The Fund's real estate is carried at the cost of the donor, and has been leased rent-free 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, 1992 and for the year then ended:

| Actuarial | present | value | οf | benefit | obligations: |
|-----------|----------|-------|----|---------|--------------|
| Actualiai | DICSCIIC | value | Oι | DCIICII | odneauons. |

| Accumulated benefit obligation, including vested benefits of \$2,433,107 | \$2,596,621 |
|--|--------------------|
| Projected benefit obligation for services rendered to date | \$3,244,970 |
| Plan assets at fair value | 4,782,858 |
| Plan assets in excess of projected benefit obligation | 1,537,888 |
| Unrecognized prior service cost | 66,753 |
| Unrecognized net gain from past experience different from that | |
| assumed and effects of changes in assumptions | 339,796 |
| Unamortized transitional net asset | 747,902 |
| Prepaid pension cost included in assets | \$516,943 |
| Net pension (benefit) for 1992 included the following components: | |
| Service cost-benefits earned during period | \$146,223 |
| Interest cost on projected benefit obligation | 315,849 |
| Actual return on plan assets | (336,869) |
| Net amortization and deferral | (220,817) |
| Net periodic pension (benefit) | <u>\$(95,614</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 8.5 percent and 6 percent, respectively. The expected long-term rate of return on assets was 9 percent.

The Fund purchased individual insured annuities for new retirees in 1992. A settlement gain was realized due to recognition of unrecognized plan assets and gains in accordance with Statement of Financial Accounting Standards No. 88 "Employers' Accounting for Settlements and Curtailments of a Defined Benefit Pension Plan."



(6) RELATED PARTY TRANSACTIONS

The Fund paid Rockefeller and Co., Inc., fees of \$215,518 as one of its investment advisors and paid Rockefeller Financial Services, Inc., fees of \$28,715 for the management of the Fund's qualified pension plans, and other services for the year ended December 31, 1992. The Fund was reimbursed \$100,425 for the fair value of certain common expenses, including accounting and occupancy discussed in Note 6, of the Rockefeller Family Fund, Inc., annual report.

The Fund invested approximately \$10,000,000 during Fiscal 1992 in Lipco Partners, L.P., which is managed by a Board and Finance Committee member.

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 | |
|-------------|------------|
| 1993 | \$ 582,445 |
| 1994 | 642,469 |
| 1995 | 642,469 |
| 1996 | 642,469 |
| 1997-1998 | 1,284,938 |

The lease expires on December 31, 1998. Rent expense aggregated approximately \$501,000 in 1992.

On January 1, 1992, the Fund entered into a formal arrangement with the National Trust for Historic Preservation in the United States, whereby the Fund assumes the costs associated with maintenance and operations of the Pocantico Historic Area, including all utilities, real estate and other taxes, and impositions assessed against the property. In 1992, these costs aggregated approximately \$1,137,000.

(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

Certain reclassifications of the 1991 financial information have been made to conform to the 1992 presentation. The financial information presented for 1991 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, 1992 with Comparative 1991 Totals

| | Direct Charitable Activities | | Program | | | | Total |
|--|------------------------------|--------------------|-------------------------|--------------------------|-----------------------|---------------|------------------|
| | General Programs | Pocantico Funds | and Grant Management | Investment Management | General Management | Total 1992 | 1991 (Note 9) |
| SALARIESAND EMPLOYEE BENEFITS | | | | | | | |
| Salaries | \$107,248 | \$108,056 | \$973,005 | \$28,201 | \$449,554 | \$1,666,064 | \$1,457,730 |
| Employee benefits | 29,103 | 22,507 | 264,035 | 7,639 | 121,773 | 445,057 | 381,505 |
| Pension settlement (gain) (Note 5) | (13,238) | _ | (261,639) | (5,061) | (109,406) | (389,344) | _ |
| | 123,113 | 130,563 | 975,401 | 30,779 | 461,921 | 1,721,777 | 1,839,235 |
| OTHER EXPENSES | | | | | | | |
| Grants awarded | - | - | 10,509,282 | - | - | 10,509,282 | 10,218,574 |
| Fellowship program expenses | - | - | 195,320 | | - | 195,320 | - |
| Provision for federal excise tax (Note 2) | - | - | - | - | 381,574 | 381,574 | 30,955 |
| Provision for unrelated business income tax | - | - | - | - | 264,426 | 264,426 | |
| Consultants' fees | - | 311,610 | 72,021 | 11,351 | 20,174 | 415,156 | 720,481 |
| Investment services | - | - | - | 1,315,925 | - | 1,315,925 | 1,357,356 |
| Legal and audit fees | 8,434 | 79,794 | 26,174 | 55,460 | 126,012 | 295,874 | 491,784 |
| Travel | 21,748 | 7,384 | 205,551 | 5,311 | 29,864 | 269,858 | 547,880 |
| Rent and electricity | 18,389 | - | 363,447 | 7,031 | 151,977 | 540,844 | 503,969 |
| Facilities maintenance and operations (Note 7) | - | 1,137,045 | _ | - | - | 1,137,045 | _ |
| Telephone | 1,285 | 8,243 | 25,266 | 520 | 10,992 | 46,306 | 41,149 |
| General office expenses | 24,701 | 182,540 | 127,759 | 3,679 | 103,211 | 441,890 | 394,086 |
| Publications | - | - | - | - | 41,910 | 41,910 | 94,267 |
| Depreciation and amortization | 4,412 | 83,171 | 87,203 | 1,976 | 40,244 | 217,006 | 110,107 |
| | \$202,082 | \$1,940,350 | \$12,587,424 | \$1,432,032 | \$1,632,305 | \$17,794,193 | \$16,349,843 |
| Depressation and amortization | | | | | | | |



TRUSTEES

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T George Harris Room 3450, 1290 Avenue of the Americas New York, New York 10104

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William H. Luers Metropolitan Museum of Art 5th Avenue at 82nd Street New York, New York 10028

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Russell E. Train³ Suite 500, 1250 24th Street, N.W. Washington, D.C. 20037

FINANCE COMMITTEE

Kenneth Lipper, Chairman Henry Upham Harris, Jr. Claudine Malone Rodman C. Rockefeller² Robert B. Taylor

¹ Until June 17, 1992

² Effective June 17, 1992

³ Advisory Trustee, effective June 17, 1992



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Abby M. O'Neill² Chairman Room 5600, 30 Rockefeller Plaza New York, New York 10112

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' Until June 17, 1992

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CONSULTANTS

Michael F. Northrop James R. Rush Willem Welling

² Effective June 17, 1992

³ Until May 29, 1992

⁴ Until October 31, 1992

⁵ Effective September 1, 1992

Effective August 1, 1992

⁷ Effective July 1, 1992

⁸ Effective June 15, 1992

⁹ Until May 1, 1992

¹⁰ Effective October 13, 1992

[&]quot; Effective February 10, 1992 until June 12, 1992

¹² Effective October 21, 1992

¹³ Until June 30, 1992



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