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ROCKEFELLER
BROTHERS FUND

ANNUAL REPORT 1993

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CHAIRMAN'S INTRODUCTION

1993 was a busy and productive year at the Rockefeller Brothers Fund. Among its many activities and accomplishments, I would like to focus on a few which have special meaning for the Fund—and for me.

This year marked the thirty-fifth anniversary of the Ramon Magsaysay Award Foundation. In August, Colin Campbell, Russell Phillips, and I traveled to Manila, Philippines, where the foundation is located, to host an anniversary dinner celebration and to attend the foundation's annual awards ceremony. The Ramon Magsaysay Award Foundation, or RMAF, was established by the RBF in 1957. Its seeds were in the wish of my late uncles, John D. Rockefeller 3rd and Nelson A. Rockefeller, and the Fund's other trustees to honor Ramon Magsaysay, president of the Philippines from 1953 to 1957, whose life was tragically ended in an airplane crash. The trustees wanted to draw attention to the ideals for which he stood—the merit, worth, and potential of every individual, and the sanctity of human rights—and their importance to the development of Asia. Acting on suggestions put forward by associates of President Magsaysay and in consultation with his family, the RBF created and financed the Ramon Magsaysay Award Foundation, which each year makes five awards to individuals or institutions in Asia for government and public service. Over these 35 years, the awards have come to be regarded throughout Asia as accolades of high achievement and exceptional distinction.

During our visit, Colin, Russell, and I sought to give public recognition to the long partnership between the Rockefeller Brothers Fund and the Magsaysay Foundation and to reaffirm the importance of that relationship.

Earlier in the year, the Fund's trustees had thought it wise and timely to reassess our association with RMAF. Three rather different factors led us in this direction: first, new leadership at both organizations—leadership largely unacquainted with one another and with the history of our relationship; second, new demands on the relatively modest resources of the Fund; and third, a recognition that the Magsaysay Center, a commercial office building in Manila, which was built in 1968 with RBF support and is the principal source of RMAF's income, would soon be in critical need of capital refurbishing and the realization that the RBF might play a useful role in this. We concluded our review on a happy and positive note: reaffirming the value and significance of the awards and their pertinence to the Fund's current program goals; and reassert-



Abby M. O'Neill and Colin G. Campbell at Ramon Magsaysay's tomb in the North Cemetery, Manila

ing the importance and relevance of a continuing partnership between our two organizations. In practical terms, we reached several conclusions, among them decisions to increase the Fund's contribution to the award stipend, thereby raising each stipend to \$50,000, and to make available up to \$3 million in the form of a program-related investment for the renovation of Magsaysay Center.

In light of this renewed sense of purpose and commitment, our visit was one of celebration—perhaps most memorably for me, as I am the only one now associated with the Fund who has been involved with the RMAF since its inception, which was during my first term as an RBF trustee. At the anniversary dinner hosted by the RBF, we gathered over ninety friends, associates, NGO leaders, public officials, and past and present RMAF trustees. It was a lovely, enthusiastic evening, highlighted by a speech by Colin Campbell expressing our pride in the accomplishments of the RMAF as well as our confidence in the future of the foundation and the continued value of the awards in drawing attention to the extraordinary contribution that an individual can make to his or her society. How well the now 175 awardees have lived up to those ideals and made major contributions to the 25 countries which they represent!

When RMAF was established, the Fund was supporting only one other project in Asia—the Agricultural Development Council, now a part of Winrock International. Over this thirty-five-year period, the Fund's activities in Asia have grown considerably. In 1973, we began developing a grants program in East Asia that today encompasses initiatives ranging from encouraging the sustainable use of natural resources, to promoting peace and security among nations of the Asia-Pacific, to spurring the development of the non-profit sector in the region. As one example, the Fund's Asian resources program began as an effort to promote the study and application of sustainable farming methods in rural Asia; it has since expanded its focus to include coastal management, the monitoring of multilateral development bank lending policies, restoration of ecosystems, and questions of land tenure. The Fund's approach in addressing these program interests is to help build institutions in the public, nongovernmental, and academic spheres capable of addressing the twin goals of development and conservation. This effort to encourage the equitable and sustainable use of resources dovetails with security concerns to promote stable political and economic relations on a regional, bilateral, and multilateral basis.

The Magsaysay Awards gave rise in 1987 to a related endeavor, the Program for Asian Projects, which provides yet further support to Ramon Magsaysay Awardees, helping them to continue their important work and to meet and associate with other awardees in collaborative activities. More recently, the Asian Cultural Council (ACC), a foundation supporting cultural exchange in the visual and performing arts between the United States and Asia, became an affiliate of the RBF. We feel that the council's efforts to

promote understanding between our two cultures, as well as to stimulate regional collaboration and cooperation in the arts, provide an important complement to the Fund's other activities in Asia, a region in which the cultural dimension is an especially important part of any endeavor.

The germ of the ACC, originally a program of the JDR 3rd Fund, was a rapt interest in Asia on the part of John D. Rockefeller 3rd and a desire to increase American appreciation of Asian culture. It is this impetus to encourage the exchange of ideas and to promote an understanding of different points-of-view that has characterized much of our family's philanthropy, and which is a central purpose of the new Pocantico Conference Center of the Rockefeller Brothers Fund. It is delightful to me to see Kykuit, our family home-
stead, restored, and the estate on which we spent so much of our youth turned into a conference facility whose mission is so in keeping with the Rockefeller family tradition. The property, willed to the National Trust for Historic Preservation by Nelson A. Rockefeller, has always been used as a gathering place, but informally so. Now, under an agreement with the National Trust, the RBF will be overseeing Pocantico and using the property in much the same way—convening a wide range of people to tackle important issues of the day—but, in the new structure of the conference center, doing so with greater breadth and scope. The entire family is indeed gratified to see Pocantico put to such important use and looks forward to 1994 when restoration of the

house and the transformation of the Coach Barn into a meeting facility will be completed, and the conference center officially open. In addition, under an agreement with Historic Hudson Valley, public tours of portions of the property—including the house, gardens, and art collections—will begin in the springtime.

For trustees and staff, it was a full and satisfying year: preparing for the opening of the conference center, reviewing the RBF-RMAF relationship and, importantly, reconsidering, for the first time in almost a decade, the Fund's sustainable resource use grant program, which constitutes 34 percent of our annual grants. We welcomed Jessica T. Mathews back as a trustee, after an absence on government service, and said



David Rockefeller, Abby M. O'Neill, Colin G. Campbell, and David Rockefeller, Jr. in the gardens at Kykuit

farewell to Rodman C. Rockefeller, who completed nine years of service on the RBF board and several of its committees. On behalf of the Fund's trustees, I'd like to express our gratitude and thanks to Rod for the conscientiousness, wit, and humor with which he carried out his responsibilities as a trustee. We shall miss him in our deliberations.

In November we saluted Russell Phillips and William Moody, who have been developing innovative and effective programs for the Fund for 25 years. Our Executive Vice President Russell Phillips' broad knowledge and understanding of Asia, matched by his sharp sense of focused program opportunities, are the major reasons we have such a strong Asian program. He is respected and loved throughout that critical part of the world. Bill Moody in his early years at the Fund was the leader of our economic and environmental program in the Caribbean. In the mid-1980s, even before East Central Europe shrugged off Communism, he turned his great energies and people skills to crafting the RBF's highly responsive grants program to this important area's struggle toward a productive civil society. These two highly regarded program leaders are representative of our small but skilled staff of program officers who, along with our deeply involved board of trustees, hammer out the RBF program in which we take great pride.

Colin Campbell, our president, continues to lead the RBF with vigor, imagination, and a firm hand on the wheel. We look forward with excitement to the new dimensions that the Pocantico Conference Center will bring to our programs.

Abby M. O'Neill

PRESIDENT'S REPORT

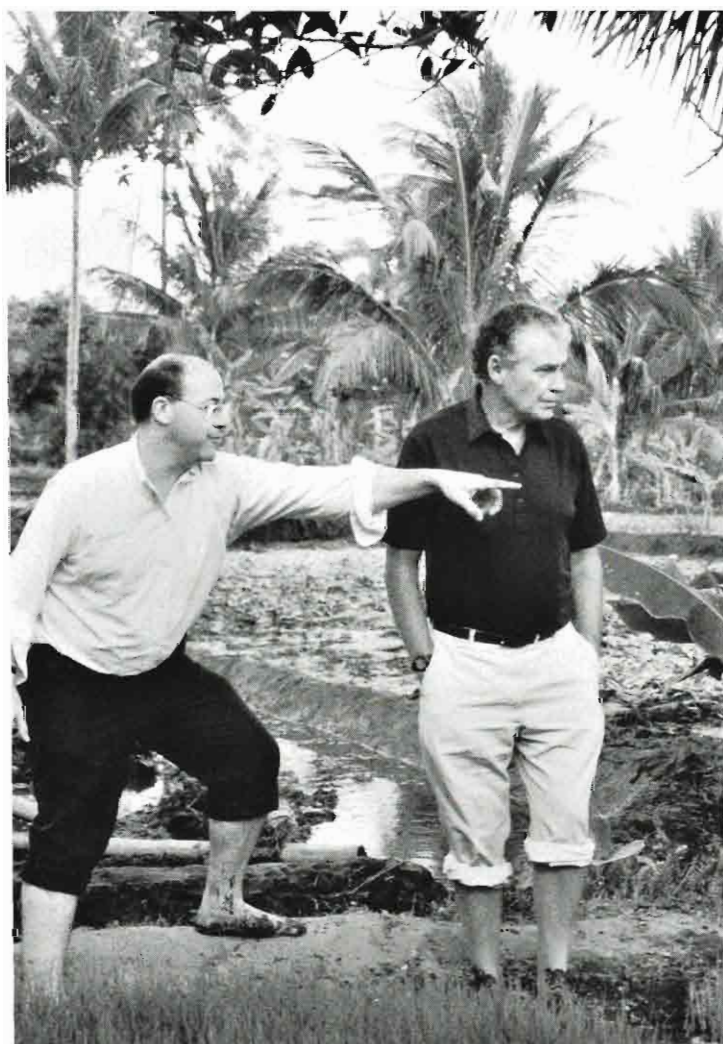
The Rockefeller Brothers Fund has over the last decade allocated \$35 million for a grantmaking program to encourage across the globe the use of scarce natural resources in a fashion that will be sustainable over time. This priority was recommended in a comprehensive trustee planning report issued in 1983. Because the importance of raising the level of environmental literacy worldwide was still not broadly accepted at that time, a major emphasis of the grants made in the 1980s as part of this program was to address the need for environmental education for policy makers and the general public.

The Worldwatch Institute, the World Wildlife Fund/Conservation Foundation, the Center for Resource Economics (Island Press), the National Resources Defense Council, the International Union for the Conservation of Nature, and the World Resources Institute were among a dozen or so organizations that took on this assignment of defining and advocating the philosophy of sustainable resource use on a global basis. They did so with such energy and passion that they became known at the Fund as global preachers. Their reports, public programs, and personal testimony have contributed, we believe in an extraordinary way, to the greatly increased level of environmental awareness among all segments of society in this country and abroad.

In addition to this support for the important work of the preachers, the Fund committed itself to going beyond consciousness-raising by backing demonstration projects aimed at developing practical, workable solutions to environmental problems. Although the initial thrust of this grantmaking was on highlighting models of alternative ways to provide and conserve energy, the expectation, as reflected in the program guidelines, was that similar projects involving other vital and limited resources—forestry, agriculture, fisheries, and water—would be supported over time. Recognizing that there are critical resource issues that are over-arching, linking several resource areas, the Fund also selected one of those issues—global climate change—as a subject deserving special and urgent attention.

With Fund assistance, the Environmental Defense Fund, the Woods Hole Research Center, the Stockholm Environment Institute, and the World Resources Institute, along with several other organizations in the United States and in Europe, played a central role beginning in the early days of the climate change debate. These same grantees were leaders in the development of the international climate convention that was agreed to in June 1992 at the United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro.

The Rio meeting was remarkable for the broad consensus displayed there around the concept of global environmental interdependence. The meeting also confirmed as no other international forum ever has just how critical nongovernmental groups are and must continue to be to the process of addressing global issues. There was little doubt at the end of the meeting that these groups were expected to take the



Colin Campbell with Dr. Peter Kenmore, Director of the Intercoountry Rice Programme of the U.N. Food and Agriculture Organization (FAO). In 1993 the Fund made a grant to the Consumer Policy Institute for its work to encourage the FAO to support innovative programs such as the Intercoountry Rice Programme, which has had remarkable success in strengthening farmer groups and reducing pesticide usage in Java, where this picture was taken.

lead in developing practical strategies for addressing the two critical environmental problems which were the focus of UNCED: preventing further interference with the global climate system and curbing the destruction of biological species, habitats, and ecosystems. That meaningful follow-up to the, of necessity, quite general conventions on climate and biodiversity agreed to in Rio would be very challenging seemed clear enough. In particular, the preparation, negotiation, and eventual ratification of protocols to both conventions that spell out in considerable detail international commitments to action will be a formidable task.

Michael Northrop, the Fund's program officer responsible for global and domestic resources grantmaking, stated the challenge quite succinctly to RBF trustees early in 1993: "In the post-Rio period, the challenge is to begin modeling the practical alternatives that will form the basis of climate and biodiversity protocols," he wrote. He went on to emphasize the need for specific examples of cost-effective solutions for slowing the processes that bring about cli-

mate change and destroy the planet's diversity. In the absence of such examples, he warned that "the debate over development versus the environment will continue as the global environment deteriorates."

The Fund's trustees have agreed that the RBF should refine its environmental grantmaking in ways that respond directly to the challenge emanating from actions taken in Rio. This means supporting programs that are designed to build models and develop appropriate strategies to further the protocol process; it also

means enhancing the role and capacity of nongovernmental organizations to carry out those efforts; it means seeking to increase public understanding of the issues and possible solutions; and it means broadening the constituencies that will support the most promising approaches and ideas.

While remaining committed to the principles first articulated by its Planning Committee a decade ago, the Board has stated the goal for sustainable resource use grantmaking in words more in keeping with current priorities:

“To foster environmental stewardship which is ecologically based, economically sound, culturally appropriate, and sensitive to questions of intergenerational equity.”

The strategies the Board endorsed in 1993 in order to achieve this goal combine policy work in the international arena with support for innovative projects that reflect the particular contexts and respond to the specific needs of the regions in which the Fund is active. As has been the case for the last decade, the Fund's sustainable resource use grantmaking will continue to be divided into four geographic areas: global, the United States, East Central Europe, and East Asia.

Recognizing the benefits of an integrated approach to environmental grantmaking, particularly in order to maximize impact, the trustees also have urged that every effort be made to promote synergy among these discrete programs. When considering how to accomplish this objective, cultural distinctions as well as different levels of political and economic development will have to be taken into account along with, of course, regional environmental conditions and priorities. But furthering the Fund's global resource use strategies whenever feasible through cross-program activities involving the United States, East Central Europe, and East Asia not only reflects the reality of interdependence but can and should also be mutually reinforcing.

The global strategies the Fund is pursuing with respect to climate change call for:

- an expansion to Europe and Asia of promising work done in the United States on utility-based energy efficiency;
- new attention to transportation issues, particularly mass transit alternatives to automobile use in the United States, East Central Europe, and East Asia;
- Encouraging the development and use of renewable energy resources—solar, wind, and biomass;
- and exploring the potential role of carbon and energy taxes as means of reducing greenhouse gas emissions.

The Fund's biodiversity strategies are based on the premise that the destruction of biological species, habitats, and ecosystems is of universal concern. Yet rancorous debates pitting species preservation against economic opportunity suggest that there is far too little public understanding of the benefits society reaps from biodiversity in the form of food, medicine, and industrial products. Nor does there appear to be sufficient grasp of the key roles species play in a wide range of natural processes including those affecting crops, soils, and pests.

Encouraging public education and dialogue concerning the nature of ecosystems, as well as the benefits and costs of biodiversity protection within those ecosystems, including the ethical and aesthetic issues involved, therefore is essential. So are model protection strategies for both terrestrial ecosystems, such as species-rich old growth forests, and marine ecosystems, where the need for innovative approaches to fisheries management is of some urgency. Promising projects in both areas received Fund support in 1993.

Clearly, the economics/environment interface will require special attention as pressures on ecosystems increase and projects are designed to address them. In its grantmaking the Fund is emphasizing three areas where economics and the environment intersect. They include the environmental impact of multilateral loans, grants, and financing mechanisms; the environmental implications of international trade agreements; and the means by which economists take environmental issues into account in their analyses. In addition to actively seeking opportunities for synergy with this global program, the Fund's resource-related grantmaking in the United States, East Central Europe, and East Asia continue to have distinguishing characteristics.

In the United States, the distinctive focus is on broadening and deepening the national environmental community and on reinforcing its capacity to act effectively. Efforts to strengthen the continuum from local to national to regional capacity to analyze and address environmental problems in the challenging context of democratization and economic reform continue to be a linchpin of grantmaking in East Central Europe.

In East Asia, several new directions closely linked with the global program are currently being tried, building on earlier work in the region in sustainable agriculture and complementary initiatives in coastal management and integrated land-use planning. Additionally, in East Asia, the Fund is engaging, through support of selected research and pilot projects, the emerging discipline of political ecology. This effort to focus on the often sharply differing conceptions of government and local peoples as to what a resource is and how to gain access to it has exciting implications for the region and beyond.

It is not surprising that the Fund's sustainable resource use program has evolved in ways that could not have been fully anticipated in the early 1980s. But its grantmaking continues to be guided by the philosophy articulated in the 1983 Planning Report:

"We find ourselves in a time when important decisions affecting our resources — natural, human, and man-made — must be made with global sensitivity.... The RBF should address these issues with a global consciousness and with recognition of the need for balance and foresight in resources management for the benefit of humankind. The choice is not between conserving and developing, nor between reaping and sowing. We must do one to have the other...."

Colin G. Campbell

THE ROCKEFELLER BROTHERS FUND

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.

In 1952, the founders began to include on the board of the Fund some trustees who were not members of the Rockefeller family. In 1958, the first of a number of daughters and sons of the founders joined the board, and in 1992 the first of their children. Since the establishment of the Fund, 24 family members representing three generations have served as trustees, and they have been joined by 24 others, all committed to ensuring that the Fund remains dedicated to the philanthropic ideals of the Rockefeller family.

The assets of the RBF at the end of 1993 were \$374,329,834 and its 428 grant payments and its matching gifts during the year amounted to \$11,795,395. Since 1940, the RBF has disbursed a total of \$417,496,815 in grants.

THE ROCKEFELLER BROTHERS FUND AND ITS PROGRAMS

GRANTS PROGRAM

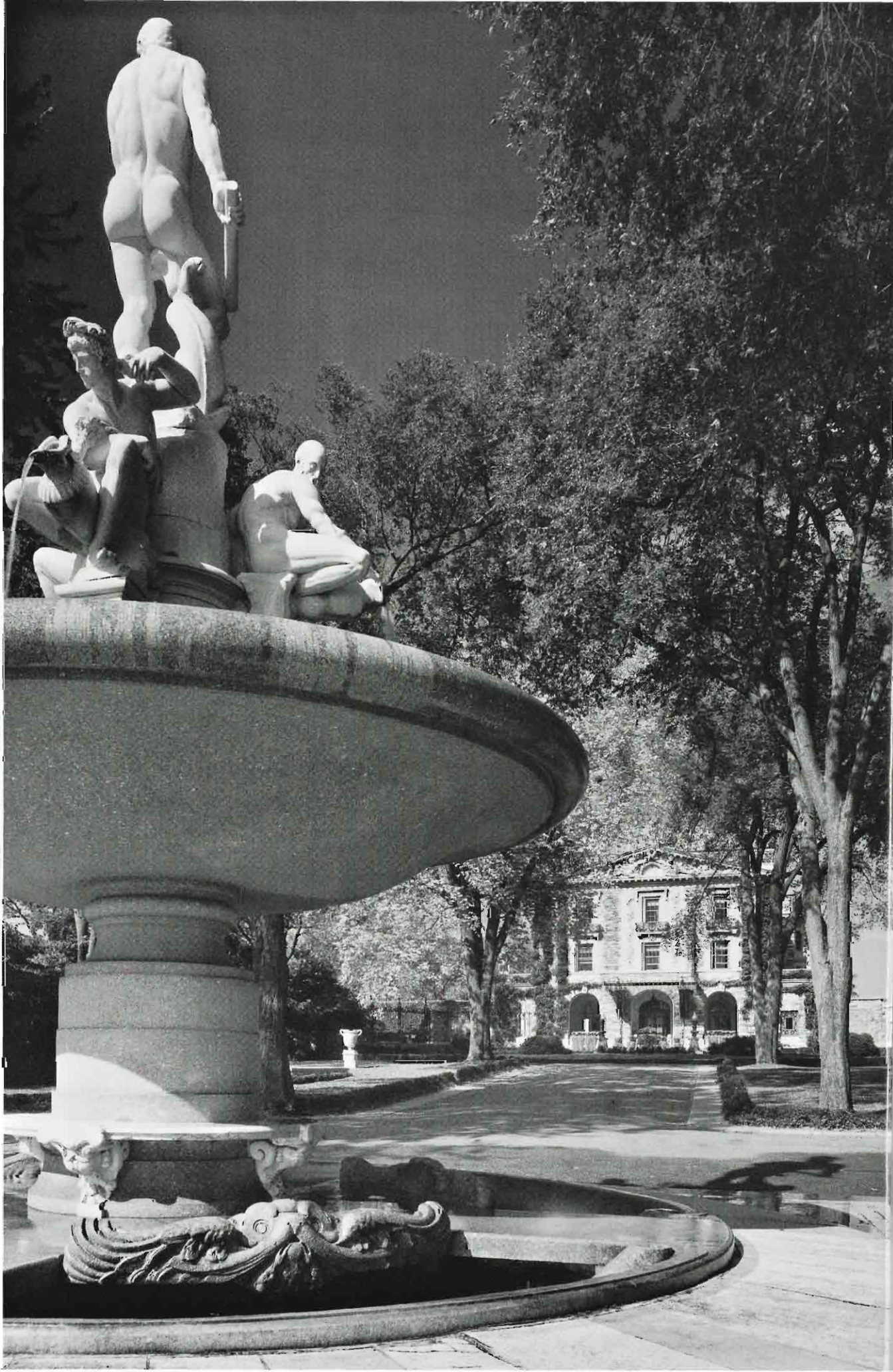
The Fund's major objective is to improve the well-being of all people through support of efforts in the United States and abroad that contribute ideas, develop leaders, and encourage institutions in the transition to global interdependence. Its grantmaking aims to counter world trends of resource depletion, 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.

Since June 1984, the principal part of the Fund's grantmaking program has been organized around the theme of One World, with two major components: sustainable resource use and world security. The emphasis of the resources program is on encouraging sustainable development throughout the world, employing an approach that balances social, economic, and ecological concerns. The security component focuses on improving political, economic, and security relations among nations and strengthening arms control. The major portion of grant funds are applied to the One World program. Projects are located, for the most part, in East Asia, East Central Europe, the former Soviet Union, or the United States. The Fund's other program interests are: promoting and sustaining a vital nonprofit sector, both nationally and internationally; improving the quality of life in New York City; strengthening the numbers and quality of teachers in public education in the United States; and improving the quality and accessibility of basic education for children and adults in South Africa.

Guidelines for each of the Fund's program areas are located in the Grants Section of this report. Instructions on how to apply for a grant begin on page 107.



POCANTICO PROGRAMS

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 has been constructed in a portion of the Coach Barn, and the second, third, and fourth floors of Kykuit have been renovated for use by meeting participants.

In 1993, as construction was under way, the Fund's trustees adopted the following mission statement for the Pocantico Conference Center of the Rockefeller Brothers Fund:

The mission of the Pocantico Conference Center of the Rockefeller Brothers Fund is to provide a setting where nonprofit organizations and public sector institutions can bring together people of diverse backgrounds and perspectives to engage critical issues related to the Rockefeller Brothers Fund (RBF) philanthropic program, leading to new levels of understanding and creative resolution of problems. RBF program interests currently include:

- Encouraging sustainable development throughout the world, employing an approach that balances social, economic and ecological concerns;
- Improving security, political and economic relations among nations and strengthening arms control, recognizing that world peace is threatened not only by national, religious and cultural conflicts but also by frustration and aggression arising from inequities in the sharing of food, energy, goods and services;
- Promoting and sustaining a vital and creative nonprofit sector, both nationally and internationally;
- Improving the quality of public education and increasing the diversity of talented women and men teaching in public schools;
- Improving the quality of life in New York City, with a special awareness of the need to build community in the face of ethnic, racial and economic tensions;
- Improving the quality and accessibility of basic education for children and adults in South Africa, particularly in black townships and rural areas.

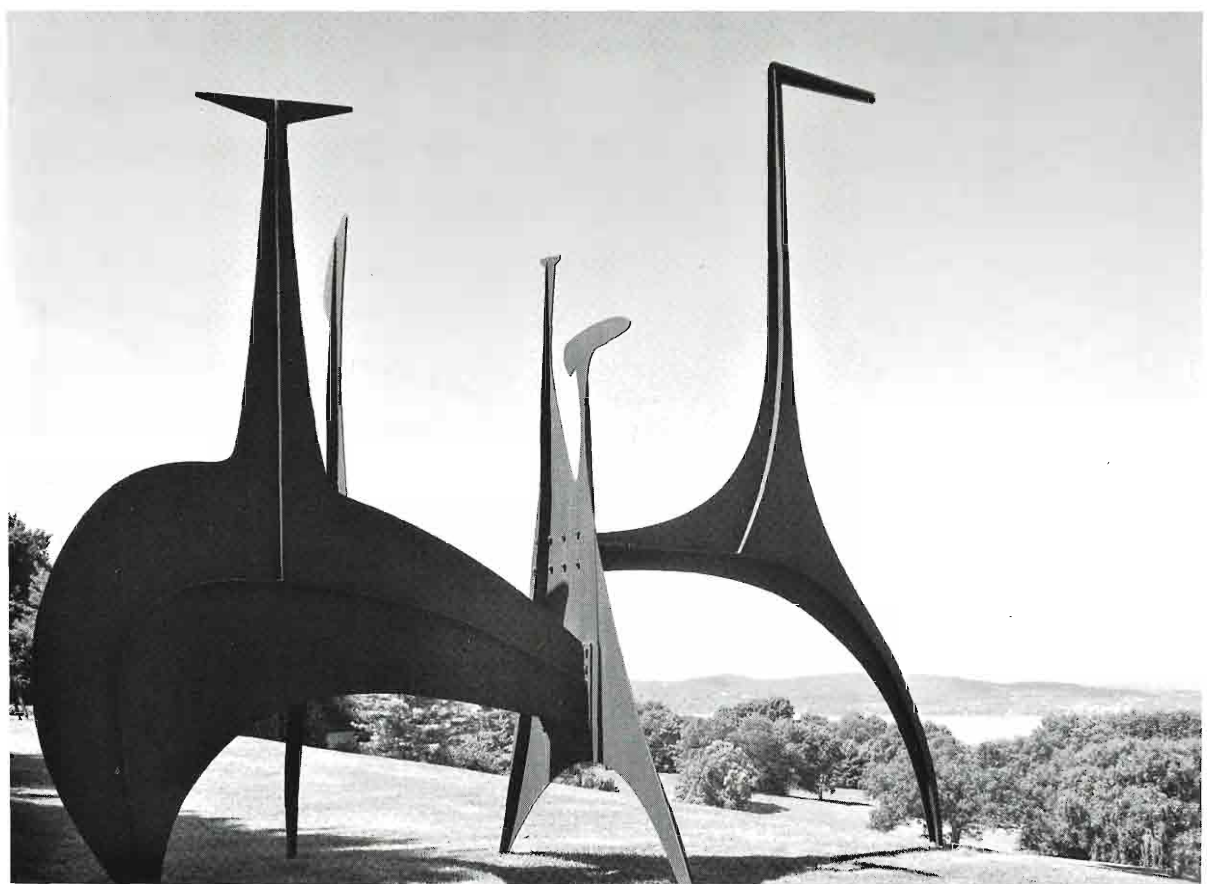
Programs for conferences are designed by RBF staff, grantees and/or outside groups whose objectives are consistent with those of the Fund. Programs are selected based on five criteria:

- The direct and strong relationship of the conference to the RBF's program objectives;

Opposite: Kykuit, with the Oceanus Fountain in the foreground

- The diversity of perspectives, range of opinions and breadth of experience that will be represented;
- The involvement of skilled, experienced conference leaders, organizers or facilitators;
- The clarity of conference objectives, of the agenda that will accomplish those objectives and, as appropriate, of the steps to be taken following the conference;
- The demonstrated added value of having the Pocantico Conference Center as the site of the meeting.

In addition to the philanthropic program, a public visitation program will operate at the Pocantico Historic Area from April to October. 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 the spring of 1994 under the auspices of Historic Hudson Valley.



Large Spiny (1966) by Alexander Calder on the Kykuit grounds

ASIAN CULTURAL COUNCIL

The Asian Cultural Council (ACC), a foundation supporting cultural exchange in the visual and performing arts between the United States and the countries of Asia, has been affiliated with the Rockefeller Brothers Fund since 1991. Fellowships to individuals constitute the central feature of the ACC's grant program, the emphasis being awards to artists, scholars, and specialists from Asia for research, study, and creative work in the United States. Some grants are also made to Americans pursuing similar activities in Asia and to educational and cultural institutions engaged in projects of special significance to Asian-American exchange. In addition, the council awards a small number of grants in support of regional cultural exchange within East and Southeast Asia.

Founded in 1963 as the Asian Cultural Program of the JDR 3rd Fund, the ACC's activities are presently supported by a wide range of donors in Asia and the United States, including foundations, corporations, government agencies, and individuals. A fundamental aspect 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. Thus, a fellowship from the council offers a unique opportunity that combines direct funding for fellowship expenses with personalized program support. During the past thirty years, the ACC has provided grant support to more than 2,300 individuals in arts-related disciplines, and the council remains the only American foundation devoted specifically to Asian-American cultural exchange.

In 1993, the ACC allocated \$1,864,586 for grants and grant-related expenses in support of eighty-seven individual fellowships and thirty-two institutional and collaborative projects. In addition, the council established several new program initiatives that are designed to expand opportunities for Asian-American cultural dialogue and strengthen institutional linkages throughout the Asia-Pacific region. Working in cooperation with the Rockefeller Brothers Fund and other funding agencies, the ACC continues to respond to the dramatic changes in U.S.-Asia relations and to the growing need for research and creative programs that foster Asian-American understanding and that support arts communities in Asia.



Dancer Koes Murtiyah of the Sardono Dance Theater from Indonesia performs in Sardono Kusumo's Passage through the Gong, which was presented at the Brooklyn Academy of Music in New York in October 1993

GRANTS
APPROVED
IN 1993

PROGRAM GUIDELINES

ONE WORLD: SUSTAINABLE RESOURCE USE

GOAL: To foster environmental stewardship which is ecologically based, economically sound, culturally appropriate, and sensitive to questions of intergenerational equity.

STRATEGIES: At the **global** level, by advancing international discussions on climate change and biodiversity preservation, and by supporting and publicizing practical, cost-effective models that can contribute to international agreements on these issues.

In the area of climate change, by focusing on utility-based energy efficiency, renewable energy, transportation, and green taxes. In the area of biodiversity, by utilizing an ecosystem approach with special emphasis in the terrestrial context on temperate rainforests and in the marine context on fishery and coastal zone management. In the area of related economic concerns, by focusing on the impacts of economics, international trade and business, and the role of multilateral financial and grantmaking institutions, especially as they affect climate and biodiversity. The Fund's three geographic areas of grant activity—United States, East Central Europe, and East Asia—inform the Fund's global strategy.

Within the **United States**, by supporting model programs that further the Fund's global strategies, and by broadening and deepening the national environmental constituency and reinforcing its ability to act effectively.

In **East Central Europe**, by strengthening indigenous capacity for addressing environmental problems and managing natural resources on a sustainable basis, through education and training, institution-building, policy formulation, and efforts linking government, nonprofit sector and business concerns. Special attention is also given to cross-border and regional cooperation and to new funding mechanisms and approaches.

In **East Asia**, by helping local leaders to address the twin goals of economic development and conservation, monitoring the social and environmental effects of development programs, supporting citizen-led land restoration efforts and coastal management initiatives, and examining the intersection between applied ecology and political economy so as to promote sustainable resource use policies in agricultural, forestry, and marine sectors.

And, in all these areas, by integrating activities across geographic areas of the RBF's grantmaking in the United States, East Central Europe and Asia to promote maximum synergy.

ONE WORLD: SUSTAINABLE RESOURCE USE

In 1993, following a careful review of the basic goals of the Rockefeller Brothers Fund's sustainable resource use program as set forth in the 1983 Report of the Planning Committee and of the changes that had taken place in the intervening decade, the trustees of the Fund made significant revisions in the specific objectives and strategies of the program. These changes are discussed in some depth in the President's Report.

At the global level, policy-related grants in 1993 included support to the Natural Resources Defense Council and the Foundation for International Environmental Law and Development for a joint project to develop environmental guidelines for international trade, to Harvard University's Center for International Affairs for a project on the transfer of financial and technical resources for environmental protection, and to the Alliance to Save Energy and the World Resources Institute for a joint study of the uses of carbon and energy taxes.

Regionally, the Fund's work in 1993 included efforts to to save ancient, temperate rainforests in Alaska and British Columbia, to support energy efficiency and renewable energy initiatives in Europe, Asia and the U.S., and to find better and more sustainable ways of managing fisheries and of preserving (or restoring) coastal areas, both in Asia and the U.S. Also, in East Asia, grants provided support for rural communities in projects related to food security, credit and marketing, land tenure, and in encouraging integrated pest management practices.

In East Central Europe, where countries are struggling to overcome a legacy of environmental devastation and to balance ecological considerations with the drive for economic growth, the Fund supported projects to reduce air pollution, to promote investments in energy efficiency, and to introduce sustainable waste water management technologies. In the wake of an era of central control, a major thrust of Fund grantmaking in East Central Europe is to provide training to citizens, NGOs, and local governments in environmental management and grassroots activism.

Finally, the Fund made grants in support of a range of activities to develop innovative ecosystem or watershed management strategies in regions especially rich in biodiversity. Fund-assisted projects are currently under way in Clayquot Sound on Vancouver Island; the Flathead Basin in northwestern Montana, which includes Glacier-Waterton National Park; the Long Island Sound watershed; and the Ussuri Watershed, located on the border between China and Russia.

GLOBAL

ALLIANCE TO SAVE ENERGY

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

WORLD RESOURCES INSTITUTE

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

For a collaborative effort to study the different types of “green taxes”—taxes on carbon or energy—to better understand which hold the most promise for combatting environmental degradation while also increasing economic productivity. The Alliance to Save Energy’s efforts focus in part on creating model state-level tax codes that incorporate green taxes, while the World Resources Institute’s work includes exploring the potential use of green taxes with policymakers in Europe and Japan.

CLAYOQUOT BIOSPHERE PROJECT SOCIETY

Tofino, British Columbia \$25,000

To establish a marine research station in Clayoquot Sound on the western coast of Vancouver Island, British Columbia. Currently, virtually all remaining forest in Clayoquot Sound—the southernmost pristine, large-scale watershed remaining in North America—is scheduled to be clear-cut. Under the Clayoquot Biosphere Project, research stations, including one floating marine station, will be established to study the sound’s indigenous species, and, if necessary, to quantify the impact of logging activities on the marine environment.

CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY

New York, New York \$40,000 over two years

Continued general budgetary support. The Consultative Group is a network of thirty-five grantmaking organizations that support a wide range of initiatives related to the conservation of biological diversity. The organization’s mission is to promote improved practices of natural resources management, to enhance the quality of grantmaking by member foundations, and to assist grantseekers by providing information on foundation programs and funding sources.

EARTHACTION ALERTS NETWORK

Amherst, Massachusetts \$50,000

Support for its efforts to inform individuals and the media about global environmental governance issues. Each month, EarthAction sends an “alert” on an important environmental concern soon to be considered at the international level to journalists and participating nongovernmental organizations in more than 100 countries. Its goals are to build citizen interest in global environmental management and to make international governing bodies and institutions more accountable to the public.

EARTHLIFE CANADA FOUNDATION

Queen Charlotte City, British Columbia \$100,000

To assist a collaborative effort by a group of environmental organizations in British Columbia to develop a coordinated strategy for old-growth, temperate rainforest preservation. The coalition will put forward that strategy at hearings being held by the Commission on Resources and Environment (CORE), established by the provincial government in 1992 to consider and make binding decisions regarding long-term land-use planning for the region’s remaining temperate rainforests.

HARVARD UNIVERSITY

Cambridge, Massachusetts \$150,000 over two years

For a project of Harvard’s Center for International Affairs in collaboration with its Center for Science and International Affairs to improve the effectiveness of international environmental agreements and institutions by examining how most effectively to transfer financial and technical resources for environmental protection. The two-year project will study the specific design features of past arrangements and in 1994 issue a detailed set of recommendations for use by international policymakers.

NATIONAL WILDLIFE FEDERATION

Washington, D.C. \$60,000 over two years

For a collaborative project of the National Wildlife Federation, Friends of the Earth, and the Sierra Club to support international forestry protection efforts. The group will help coordinate the activities of U.S. and international nongovernmental organizations and monitor those organizations and current initiatives that will

significantly affect global forest policy. These include the newly created Commission on Sustainable Development, the World Commission on Forests, the Global Environmental Facility, and the International Tropical Timber Organization.

NATURAL RESOURCES DEFENSE COUNCIL
Washington, D.C. \$37,500

FOUNDATION FOR INTERNATIONAL
ENVIRONMENTAL LAW AND DEVELOPMENT
London, England \$37,500

For a joint effort to develop, publish, and disseminate a detailed report on environmental guidelines for international trade. The principal objective of the project is to analyze how international trade and environmental agreements—notably those on climate and biodiversity—conflict and how they can be constructed to accomplish the dual goals of expanded free trade and environmental protection.

PACIFIC INSTITUTE FOR STUDIES IN
DEVELOPMENT, ENVIRONMENT, AND
SECURITY
Oakland, California \$75,000 over two years

Continued support for its work to strengthen research and analysis of the environmental dimension of international security. In recent years, the scope of the institute's work has enlarged to include the development of practical strategies for addressing international environmental conflicts—for example, reducing the risks of water-related tensions in the Middle East, resolving water management disputes along the U.S.-Mexican border, and analyzing strategies for bilateral management of cross-border forest resources.

THE SYNERGOS INSTITUTE
New York, New York \$375,000 over three years

Continued general budgetary support. Established in 1986, the institute is a nonprofit organization that promotes the use of collaborative partnerships, across sectors of a particular society as well as across national boundaries, to address problems of poverty worldwide. Synergos has helped groups establish and manage collaborative partnerships on issues ranging from youth poverty in Brazil to rainforest preservation in Mexico.

WINROCK INTERNATIONAL INSTITUTE
FOR AGRICULTURAL DEVELOPMENT
Morrilton, Arkansas \$15,000

For a May symposium, "An Assessment of the Production Base for Agriculture: Environmental Quality, Natural Resources, and Technologies for the 21st Century," which brought together representatives from the multi-lateral development, policy, and business communities.

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

To support efforts to establish a World Commission on Forests and Sustainable Development. The organization's mission will be to try to answer basic questions about the role of forests in determining the composition of the earth's atmosphere, the impact of deforestation on the rate of climate change, and how to manage forests to preserve biodiversity.

UNITED STATES

ALASKA CONSERVATION FOUNDATION
Anchorage, Alaska \$135,000

\$100,000 over two years for a collaborative effort by eight Alaskan environmental organizations to establish a coastal rainforest protection campaign. The coalition has recommended that a portion of the \$1 billion settlement paid to the state of Alaska following the Exxon Valdez oil spill be spent to purchase tracts of remaining temperate rainforest lands in Prince William Sound. The campaign also has undertaken a statewide educational effort and will seek to halt logging on immediately threatened tracts of land.

\$35,000 toward the efforts of the Alaska Marine Conservation Council to create a model fishery management plan for Alaska. Formed by local fishermen and women in response to declines in fish stocks, the council has proposed a new kind of regulatory system that would reduce the tremendous amount of waste in commercial fishing by rewarding those who practice "clean fishing." It is hoped that this approach may provide a model for other commercial fisheries in the U.S.

CENTER FOR MARINE CONSERVATION

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

To assist the Marine Fish Conservation Network's Campaign for Restoration of Marine Fish and Fisheries. The Marine Fish Conservation Network is a coalition of national, regional, and local organizations that is working to improve the management of American fisheries, more than three-quarters of which are seriously depleted as a result of overfishing, degradation of fish habitat, and poor monitoring of fishing activities and enforcement of fishing regulations. This grant provides support for the network's media efforts.

CENTER FOR POLICY ALTERNATIVES

Washington, D.C. \$20,000

For a project to catalogue, evaluate, and disseminate model state-level sustainable agriculture programs. The results of the center's work are expected to be useful for state policy-makers interested in learning from programs in other states and for groups concerned with reshaping national agricultural policy to incorporate sustainable methods.

CENTER FOR RESOURCE ECONOMICS

Washington, D.C. \$90,000 over two years

As a contribution to the center's Island Press to publish three books: *A Global Marine Biodiversity Strategy*; *The Oceans and Environmental Security: Shared U.S. and Russian Perspectives*; and *Ocean Governance and Environmental Harmony*. These publications are meant to increase public understanding of several important marine environmental issues: preserving marine biological diversity, managing shared U.S.-Russian marine resources in the Bering Sea, and improving international governance of marine biodiversity.

FLATHEAD LAKERS

Polson, Montana \$15,000

To develop an ecosystem management strategy for the Flathead Basin, located in the northwest corner of Montana. Since 1958 the organization has sought to preserve the natural beauty of Flathead Basin through focused efforts to reclaim particular streams, block undesirable projects, and protect individual species. This grant supports a project to develop a more integrated, basinwide, land-use and water-quality plan and to launch a public information campaign.

LAND AND WATER FUND OF THE ROCKIES

Boulder, Colorado \$75,000 over two years

Toward its efforts to build model renewable energy strategies in the southwestern United States. The Land and Water Fund of the Rockies, a regional organization working principally on energy issues, argues that abundant renewable energy resources—especially sun and wind—exist in the southwest and should be used to help meet the region's future energy needs. This grant supports its efforts to develop the legal and technical arguments for renewable energy and to present those arguments in regional utility planning proceedings, to prepare a document that lays out the region's renewable potential and the policies to achieve it, and to begin a regional public education effort concerning renewable energy.

LONG ISLAND PINE BARRENS SOCIETY

Manorville, New York \$35,000

To assist in the creation of a comprehensive management plan for Long Island's pine barrens forest, a 100,000-acre area supporting the greatest concentration of endangered and threatened species in New York State. Formed by local residents in 1989, the society received authorization under the 1992 Pine Barrens Protection Act to develop a land management plan in collaboration with the Long Island Builders Institute. When complete, this plan is expected to be a model for protecting other environmentally sensitive areas bordering highly populated regions.

LONG ISLAND SOUNDKEEPER FUND

Norwalk, Connecticut \$70,000 over two years

Support for its efforts to improve the water quality of Long Island Sound. The Soundkeeper Fund, an alliance of local fishermen, boat owners, and residents, works to protect and renew the sound watershed by persuading municipalities to update their sewage systems, encouraging companies to improve their waste disposal practices, educating the public—approximately 20 million people—living around the sound, and coordinating a large volunteer flotilla of boat owners who monitor sound water quality. This grant contributes to start-up costs for a Long Island project office.

ONE WORLD:
SUSTAINABLE RESOURCE USE

MANAGEMENT INSTITUTE FOR
ENVIRONMENT AND BUSINESS

Washington, D.C.

\$50,000 over two years

Continued support to expand the institute's Pilot Program in Environmental Management Education, which provides technical assistance to business school faculty and administrators developing environmental business curricula. In 1992 five universities participated in the first phase of the pilot program—Virginia, Texas at Austin, Michigan, Stanford, and Northwestern—and new sites are being added. Course materials developed by the institute are now utilized by over 100 universities.

MARYLAND, THE UNIVERSITY OF,
FOUNDATION

Adelphi, Maryland

\$50,000

General support for the International Institute of Environmental Policy and Management of the university's School of Public Affairs. The institute has been created to provide an opportunity to incorporate environmental and other multidisciplinary considerations into the discipline of economics.

THE MINNESOTA PROJECT

Saint Paul, Minnesota

\$20,000

To design a national media and public education plan on sustainable farming issues on behalf of the National Sustainable Agriculture Coordinating Council. Through its public education efforts, the council hopes to help awaken more Americans to the importance of sustainable farming issues—which impact on such matters as nutrition, food safety, and land stewardship—and to build public support for national farm policy reform.

NATIONAL AUDUBON SOCIETY

New York, New York

\$50,000 over two years

Toward a two-year public education and media campaign by the Endangered Species Coalition on the importance of endangered species protection. A primary goal of the project is to highlight the continued central importance



In Norwalk, Connecticut, Thomas Yanicky of the Soundkeeper Fund tests for possible contaminants draining into the Long Island Sound

of the 1973 Endangered Species Act in protecting biodiversity and preventing further extinctions of plant and animal life in this country. The coalition is made up of conservation, scientific, and wildlife preservation groups.

NATIONAL FISH AND WILDLIFE
FOUNDATION

Washington, D.C.

\$25,000

To provide policy expertise on behalf of the Alaska Marine Conservation Council's efforts to create a model fishery management plan for Alaska. Established in 1984 by the federal government to contribute to natural resources conservation, the National Fish and Wildlife Foundation has been involved in the debate over the reform of American fishery management for nearly a decade and is positioned not only to provide valuable counsel on policy matters, but also to consider the applicability of new management models to other U.S. fisheries.

THE NATURE CONSERVANCY

Honolulu, Hawaii \$35,000

For a project to disseminate model strategies for ecosystem management. Spurred by Hawaii's rich biological diversity and an alarming rate of species extinction, the Nature Conservancy of Hawaii has pioneered one of the world's most advanced ecosystem protection programs, in part by creating partnerships that involve local communities, government agencies, and private landowners in long-term land stewardship. The conservancy will share this knowledge with other environmentalists, policymakers, journalists and funders through a series of workshops and educational materials supported by this grant.

ROCKEFELLER FAMILY FUND

New York, New York \$13,000

To support activities of the Fund's Environmental Grantmakers Association. These activities include: a series of regional meetings on the economy and the environment for grantmakers, activists, labor representatives, and academics; a handbook on issues surrounding international trade and the environment; and a briefing book on sustainable agriculture issues in the U.S.

RURAL ADVANCEMENT FOUNDATION INTERNATIONAL USA

Pittsboro, North Carolina \$20,000

To coordinate the work of the Southern Sustainable Agriculture Working Group, formed in 1991 to build consensus on farm policy at the regional level. The group is composed of forty-six members in thirteen southern states. Its mission is to coordinate the participation of farmer, food, environmental, religious, rural, and policy organizations in the process of formulating a consensus around sustainable agriculture policy options. These will be shared at the November 1994 National Sustainable Agriculture Coordinating Council convention in Washington, D.C.

RURAL EDUCATION ACTION PROJECT

Montpelier, Vermont \$20,000

To coordinate the work of the Northeast Sustainable Agriculture Working Group, an effort to build consensus on farm policy reform at the regional level. Founded in

1992 and made up of twenty-three organizations in eight states, the group is working to stimulate the identification of policies for sustainable agriculture acceptable to farm interest groups, environmentalists, and community-based organizations in the northeast. The results of this consensus-building effort will be taken to the National Sustainable Agriculture Coordinating Council convention in 1994.

WORLD RESOURCES INSTITUTE

Washington, D.C. \$75,000

To establish the North American Biodiversity Forum, a clearinghouse for the exchange of information on ecosystem management efforts being undertaken across the continent. The forum is one component of an overall strategy proposed by the institute to encourage implementation of the Convention on Biological Diversity adopted at the 1992 United Nations Conference on Environment and Development as well as the institute's own Global Biodiversity Strategy, which suggests specific actions to slow species' loss.

EAST CENTRAL EUROPE & THE FORMER SOVIET UNION

CENTER FOR CLEAN AIR POLICY

Washington, D.C. \$115,000 over two years

For its program to reduce air pollution in Northern Bohemia, Czech Republic, an industrial area heavily damaged by decades of unchecked toxic emissions and coal burning. Under this program, the Washington-based Center for Clean Air Policy (CCAP), in collaboration with the Northern Bohemia Social and Economic Council, will evaluate proposals for small- and medium-scale local projects to reduce dependence on coal fuel and increase energy efficiency. These projects will then be packaged together and presented to large international funding institutions, which normally do not consider projects with budgets of under \$2 million.

**CENTER FOR ENVIRONMENTAL
PUBLIC ADVOCACY**

Banska Bystrica, Slovakia \$10,000

For training activities for new environmental organizations in East Central Europe. Training sessions at the center, which was established to improve citizen action for sustainable development in Slovakia, address topics such as organizational development, management, governance, fundraising, accountability, and outreach. The center also conducts seminars for school teachers and helps steer foreign trainers to groups that can best use their assistance.

**CENTER FOR INTERNATIONAL
ENVIRONMENTAL LAW**

Washington, D.C. \$25,000

For training activities for environmental organizations in East Central Europe. These activities include both training sessions and extensive follow-up activities conducted by the center's Organizing Project, headquartered in Prague, as well as efforts to prepare East Central Europeans to become trainers themselves. The Center for International Environmental Law, a U.S. nonprofit organization, provides legal and technical assistance to nongovernmental organizations throughout East Central Europe.

**GERMAN MARSHALL FUND
OF THE UNITED STATES**

Washington, D.C. \$650,000 over four years

Continued support for the Environmental Partnership for Central Europe, a collaborative effort by American, European, and Japanese funders to provide small grants and technical assistance to nongovernmental organizations and municipal governments in East Central Europe engaged in environmental activities. With the help of in-country representatives and advisory groups in Poland, Hungary, the Czech Republic, and Slovakia, the partnership has made over 400 grants since 1991 and has become a model for nurturing small-scale, community-based efforts.

GONCOL FOUNDATION

Vac, Hungary \$40,000

To launch a River Watch Network in East Central Europe to restore ecologically damaged rivers and waterways. The group will focus first on restoration of the Danube Basin. The East Central European organization is modeled on the U.S. River Watch Network, a service organization for thirty-seven local action groups that are restoring more than sixty rivers to acceptable water-quality levels through a process that includes data-gathering, monitoring, public education, discussions with polluters, and initiatives to encourage regulatory enforcement where needed.

**INTERNATIONAL INSTITUTE FOR ENERGY
CONSERVATION**

Washington, D.C. \$300,000 over three years

For a program of activities to improve energy efficiency in the countries of East Central Europe, which currently produce nearly 25 percent of worldwide emissions of carbon dioxide from fossil fuel combustion. From its new office in London, the institute has launched a program with two broad objectives: first, to work with individual countries to develop model energy efficiency practices and policies; and, second, to work with multilateral development banks to help reform energy investment strategies for these countries.

KENTUCKY COALITION

Banner, Kentucky \$17,500

For training activities for environmental organizations in East Central Europe. In July, with the opening of an office in Budapest, the Kentucky Coalition launched the Community Organizing Project, a year-long effort to assist nonprofit groups in East Central Europe with start-up and institution building. The Kentucky Coalition is a U.S. nonprofit organization that works to promote citizen participation in the democratic process in the U.S. and in East Central Europe.

Project for Public Spaces

Children of Blatná, Czech Republic, with directional signs they have made for the town center. Project for Public Spaces (PPS) tries to involve an entire community in efforts to restore and preserve its historic town center. PPS, whose initiatives the Fund has periodically supported over a span of almost twenty

MINISTRY FOR ENVIRONMENTAL PROTECTION OF UKRAINE

Kiev, Ukraine

\$25,000

Toward a workshop, Sustainable Development for Economies in Transition, held March 29-31 in Kiev. Participants were drawn from Ukraine and other former Soviet states, as well as from Europe and North America. The principal aims of the workshop were to introduce concepts of sustainable development to scientists and policymakers in Ukraine, and to open communications between them and their Western colleagues.

PALACKY UNIVERSITY

Olomoc, Czech Republic \$9,000

To enable the university to obtain, translate, and publish a Czech language version of *ECOLOGY: Individuals, Populations, and Communities*—a new textbook that reflects the most recent advances in environmental science—for use in its graduate and undergraduate courses, and, more widely, in the Czech Republic.

PROJECT FOR PUBLIC SPACES

New York, New York

\$125,000 over two years

To help municipalities in the Czech Republic undertake urban planning and renewal of historic town centers. Project for Public Spaces (PPS) helps local communities design citizen-

based urban revitalization plans that preserve architecturally significant structures and public spaces. Over eighteen years, the New York-based PPS has completed nearly 400 projects in more than 200 cities and towns throughout North America, Europe, and Australia.

RESOURCES DEVELOPMENT FOUNDATION

New York, New York

\$50,000

For a series of workshops in Poland to introduce sustainable waste water management technologies, and feasible approaches for financing them, to public sector leaders. Public officials are faced with the task of building or repairing thousands of treatment facilities in Poland,



years, is currently working with three demonstration communities in the Czech Republic as the first phase of setting up an ongoing, national program for community renewal.

where 70 percent of waste water receives inadequate or no treatment. Resources Development Foundation, a U.S. nonprofit organization, encourages sustainable development by facilitating the transfer of innovative technologies worldwide.

TIDES FOUNDATION

San Francisco, California \$22,500

For training activities for environmental organizations in East Central Europe. These activities are carried out by the U.S.-Central Europe Environmental Organizer Project of the Tides Foundation's Environment and Democracy Campaign, which has also trained environmental organizers in Latin America and the U.S. In addition to its formal training sessions, the project spends considerable amounts of time working one-on-one with local organizers and undertaking follow-up activities.

EAST ASIA

CONSUMERS UNION OF UNITED STATES

Yonkers, New York \$74,000

For a project of its Consumer Policy Institute to bolster support for integrated pest management (IPM) programs of the U.N. Food and Agriculture Organization (FAO), using the Asian Inter-Country Rice Program as a model. The FAO is largely responsible for the design of agriculture projects of the World and Asian Development banks, and thus exerts a great deal of influence on the spread of sustainable agriculture techniques in Asia.

INSTITUTE FOR DEVELOPMENT RESEARCH

Boston, Massachusetts \$120,000 over two years

Support for the Green China project, an effort by a group of Chinese scientists and economists to create an environmental nongovernmental organization in China to conduct research and contribute to national policy-making regarding environmental planning and resource use. Initially, the organization plans to carry out research programs in alternative energy and rural industries, and coordinate a variety of activities aimed at increasing the level of environmental literacy in China. During its start-up phase, Green China will operate under the auspices of the Institute for Development Research.

NANJING INSTITUTE OF
ENVIRONMENTAL SCIENCE

Nanjing, China \$90,000 over three years

Continued support for the research and collaborative international programs of the Rural Ecosystem Division of the Nanjing Institute, the foremost organic agriculture research center in China. Over the next three years the institute will continue to work on sustainable production and cooperative marketing strategies for farmers and to strengthen its ties to the organic agriculture movement in Asia. In addition, it will become a key institution within China responsible for advising on food safety standards and in certifying organic produce for the country as a whole.

NATIONAL COMMITTEE ON
U.S.-CHINA RELATIONS

New York, New York \$225,000 over three years

For an international project to develop a sustainable resource management plan for the Ussuri Watershed, located on the border of southeastern Russia and northeastern China. The watershed is a region of high biodiversity and includes one of Russia's least disturbed areas of boreal forest and China's largest remaining contiguous wetlands. A team of Russian, Chinese, and American scientists will collaborate in integrated land-use planning in consultation with local resource users, regional leaders, and national environmental policy makers.

NEW YORK RAINFOREST ALLIANCE

New York, New York \$35,000

YALE UNIVERSITY

New Haven, Connecticut \$55,000

For a joint project to develop a network of researchers in the field of political ecology in Southeast Asia. The relatively new discipline of political ecology draws on diverse fields of study—including political economy, anthropology, history, and ethnobotany—in an attempt to achieve a greater understanding of the concerns and customs of local resource users. These concerns can then be taken into consideration not only in resource policy studies, but in the design of international development projects and the formulation of national environmental policies as well.

Nanjing Institute of Environmental Science



A researcher at the Nanjing Institute of Environmental Science surveys an experiment in “stereoagriculture”—the Chinese term for organic multispecies farming systems. With rapid marketization and a growing awareness of food safety concerns in China, the institute is working to strengthen links between organic farms and urban consumers as well as to develop green labelling programs for organic produce.

SOLAR ELECTRIC LIGHT FUND

Washington, D.C. \$150,000 over three years

For a project to promote the use of small scale solar power systems in rural areas of China, Vietnam, and India. Working at the village level, the Solar Electric Light Fund (SELF) creates revolving loan funds to finance the purchase of solar units by individual households and establishes local organizations to manage the technical (installation and service) and financial aspects of the program. One of SELF's goals is to demonstrate the viability of using renewable energy sources to meet the growing demand for energy in the developing world.

GLOBAL CLIMATE CHANGE

CONSERVATION LAW FOUNDATION

Boston, Massachusetts \$75,000

FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW AND DEVELOPMENT

London, England \$75,000

To assist a joint effort to promote energy efficiency in the United Kingdom, the European Community, and the United States. The Conservation Law Foundation (CLF) is a leader in the U.S. in developing successful programs to promote energy efficiency by the gas and electric utilities; the London-based Foundation for International Law and Development (FIELD) engages in a wide array of international environmental activities, with special focus on climate change. Working together, they hope to encourage utility industries in the U.S. and U.K. to learn from one another in developing innovative energy conservation policies. On a broader scale, their aim is to help connect policy development in the U.S. and Europe at a key moment in the formulation of appropriate models for future energy policy.

ENVIRONMENTAL DEFENSE FUND

New York, New York \$150,000 over two years

Continued support for its global atmosphere program, the current focus of which is to advance international efforts to develop protocols for implementing the climate convention to stabilize greenhouse gas emissions adopted at the 1992 United Nations Conference on Environment and Development (UNCED). The Environmental Defense Fund (EDF) is monitoring and participating in international climate negotiations while continuing to provide leadership to the Climate Action Network, which coordinates the activities of nongovernmental organizations worldwide on climate change issues.

MEDIA NATURA TRUST LIMITED

London, England \$5,000

To produce the Climate Action Network's newsletter, *ECO*, at the Eighth Session of the U.N. Intergovernmental Negotiating Committee for a Framework on Climate Change, held in August in Geneva. The newsletter is an important tool in providing news, views, and analysis to negotiators, academics, and nongovernmental organizations.

STOCKHOLM ENVIRONMENT INSTITUTE

Stockholm, Sweden \$120,000 over two years

Continued support for the Climate Network Europe (CNE). Operated as a program of the Stockholm Environment Institute, the Brussels-based CNE coordinates the activities of more than 100 European member organizations working on climate change issues. It serves as a clearinghouse for scientific and policy developments, formulates policy options and position papers, and, since the Earth Summit, has been coordinating NGO support for the development of an international climate protocol for greenhouse gas emissions reductions.

PROGRAM GUIDELINES

ONE WORLD: WORLD SECURITY

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

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

In **East-Central Europe and the 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.

ONE WORLD: WORLD SECURITY

Under the global component of the security program, the Fund continued to support initiatives aimed at restraining nuclear weapons proliferation. In 1993, several grants were made to respond to the enormous nonproliferation challenges posed by the dissolution of the Soviet Union, including support for projects to increase expertise on nonproliferation matters among journalists, academics, and policymakers in the newly independent states and to put together teams to work on nonproliferation topics of particular concern to them. More generally, many of the projects funded in 1993 look toward 1995, when the Non-Proliferation Treaty, the 25-year-old centerpiece of international efforts to restrain nuclear proliferation, comes up for extension. At that time, the parties to the treaty will meet to review and assess the operation of the treaty and to decide upon a term for its extension.

The main focus of the Fund's program in East Asia is on building mechanisms and institutions that will encourage regional dialogue and the peaceful resolution of regional conflicts. Particular attention was paid in 1993 to the U.S.-Japan relationship, of vital importance to both nations, yet hampered by inadequate communication and uncertain and inconsistent policy formulation and application. The Fund also sought to promote increased cooperation among the countries of Northeast Asia, with special emphasis on reducing the considerable tensions on the Korean peninsula and drawing China into the regional policy community. In addition, the Fund provided support for several initiatives to examine the implications for trade and security relations, regionally and globally, of Asia's dramatic economic growth over the past decade.

In East Central Europe, the Fund continued its efforts, begun in 1989, to help nations make the difficult transition to market-based economies and democratic systems of government. Concentrating on the "Northern Tier" countries of Poland, Hungary, the Czech Republic, and Slovakia, the Fund provided renewed assistance to recently established policy institutes working to devise sustainable development plans for the region. Continued support was also provided for institutions and initiatives that offer training in business management and administration and in the mechanics of participatory democracy.

GLOBAL

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE

Washington, D.C. \$255,000 over three years

Continued support for its Non-Proliferation Project. Since 1984, the project has produced reports and convened international conferences on the state of nuclear weapons proliferation worldwide, with the intention of building a broad international constituency concerned about proliferation and of encouraging policymakers to work toward strengthening nonproliferation measures. Over the next three years, working out of the endowment's recently opened Moscow Center for Russian and Eurasian Programs, the Non-Proliferation Project will develop new programs aimed at reducing the proliferation dangers posed by the dissolution of the Soviet Union and at building support for stronger nonproliferation policies within the newly independent states.

INSTITUTE FOR SCIENCE AND INTERNATIONAL SECURITY

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

Continued support toward its Nuclear Non-Proliferation Project, created in 1987 to supply reliable scientific information in support of a broad spectrum of current efforts to stop the spread of nuclear weapons. The project's independent assessments of emerging nuclear weapons programs—and nuclear explosive materials—in countries throughout the world are widely used by nonproliferation analysts and policymakers, and by the project itself, to craft strategies for halting the spread of nuclear weapons. The project formerly operated under the auspices of the Federation of American Scientists Fund and Friends of the Earth.

MASSACHUSETTS INSTITUTE OF TECHNOLOGY

Cambridge, Massachusetts \$50,000

Continued support for the Nuclear Arms Control in the Middle East project of its Center for International Studies, launched in 1990 as an effort to help devise a realistic nuclear arms control agenda for consideration by U.S., Israeli, and Arab policymakers. Project leaders are currently writing a book on the project's findings and conclusions.

MONTEREY INSTITUTE OF INTERNATIONAL STUDIES

Monterey, California \$150,000 over three years

Toward a project in the republics of the former Soviet Union to build communities of people knowledgeable about nonproliferation issues. The project assembles teams of researchers to focus on issues of concern, establishes arms control courses at institutions of higher education, provides resource materials, and offers training to journalists, academics, and legislators.

NEW YORK UNIVERSITY

New York, New York \$90,000 over two years

For a project of the university's Center for War, Peace and the News Media to help develop and sustain coverage of nuclear proliferation issues by journalists in the republics of the former Soviet Union. Under this grant, sixty to seventy journalists from Belarus, Kazakhstan, Russia, and Ukraine will be provided with information on a range of technical, scientific, and political matters related to proliferation and regularly briefed on pertinent issues and events by the center's new Russian-American Press and Information Center in Moscow.

PRINCETON UNIVERSITY, TRUSTEES OF

Princeton, New Jersey \$120,000 over two years

Continued support for the Program on Nuclear Policy Alternatives of the Center for Energy and Environmental Studies, an initiative aimed at strengthening international nuclear nonproliferation efforts by making them more universally applicable and thus more acceptable to all nations. The project is working to clarify critical technical issues that currently stand in the way of establishing global bans on the production of highly enriched uranium and plutonium for use in nuclear weapons and in civilian nuclear power reactors. By involving visiting fellows in its work, the project is also helping to build and expand the international circle of nonproliferation expertise.

SOUTHAMPTON, UNIVERSITY OF

Southampton, England \$300,000 over two years

Toward the Programme for Promoting Nuclear Non-Proliferation (PPNN), launched in 1987 as a means of collecting, exchanging, and analyzing nonproliferation



Siberian journalists attending a June 1993 seminar organized by the Russian-American Press and Information Center of NYU's Center for War, Peace and the News Media

information on a multinational basis, with the goal of strengthening international nonproliferation efforts. Directed by a core group of diplomats and scholars from both developed and developing nations, PPNN serves as an international forum for discussion of nuclear proliferation issues, conducts briefing programs on issues related to the Non-Proliferation Treaty for government officials, and publishes *Issue Reviews*, studies, and a newsletter.

HENRY L. STIMSON CENTER

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

Continued support for a project to explore the feasibility of applying confidence-building and other types of arms control measures developed to help reduce tensions between the U.S. and the Soviet Union to other regions of the world. Such measures include exchanges on military forces, notice of military exercises, military observers, hot-lines, and on-site and aerial inspections. This grant supports the second phase of the project, which, building on earlier research and discussion, will focus on efforts to reach out to institutions and officials in the Middle East, South America, and South Asia.

UNITED NATIONS ASSOCIATION OF THE UNITED STATES OF AMERICA

New York, New York

\$90,000 over two years

Toward a project to explore the potential role of the U.N. Security Council in halting nuclear proliferation. The project will examine such issues as expanding the International Atomic Energy Agency's mandate, using economic and political measures to deter further development of nuclear weapons, as well as the question of how and under what circumstances force might be used under collective auspices. The United Nations Association is an independent national membership organization dedicated to strengthening the U.N. system.

VERIFICATION TECHNOLOGY INFORMATION CENTRE

London, England \$75,000 over three years

Support for the nonproliferation-related sections of its annual report, *Verification: Peacekeeping, Arms Control, and the Environment*, which will have as a particular focus the 1995 Non-Proliferation Treaty conference. The purpose of the report is to help policymakers, negotiators, and the media better understand the complex technical, political, and diplomatic aspects of verification, on which international agreements often hinge. The report covers the year's important developments, new technologies and their possible applications, and emerging issues. It also examines possible new roles for verification created by shifts in international relations, such as those that have occurred in Eastern Europe and the former Soviet Union.

EAST CENTRAL EUROPE & THE FORMER SOVIET UNION

FOUNDATION FOR A CIVIL SOCIETY

New York, New York

\$125,000

\$75,000 for general budgetary support. Established in 1984, the Foundation for a Civil Society (formerly the Charter Seventy-Seven Foundation) serves as a catalyst and facilitator for projects that encourage democratiza-

tion and economic conversion in the Czech Republic and Slovakia. The foundation has raised more than \$3.5 million for initiatives in the fields of governance, law, justice, media, education, economic development, entrepreneurship, culture, environment, and the nonprofit sector.

\$50,000 in continued general support for the foundation and as a contribution toward a survey of assistance programs in the Czech and Slovak Republics. Using the information it collects, the foundation will create a computerized database that will be useful to decision-makers in the two republics as well as funders in Western Europe and North America.

HUNGARIAN-AMERICAN ENTERPRISE FUND
Washington, D.C. \$75,000

Continued support for the International Management Center (IMC), established in 1988 in Budapest, Hungary, as the first Western-style business management training center in the region. Today IMC offers a program leading to MBA degrees at U.S., U.K., and Australian universities as well as short courses for mid-career managers and consulting services for entrepreneurs.

INSTITUTE FOR HUMAN SCIENCES
Vienna, Austria \$300,000 over three years

General budgetary support for the institute, an independent research and policy organization established in 1984. Through its research, conference, and fellows programs, the institute provides important multidisciplinary analyses of societal transformation in East Central Europe. Two current examples are expert working groups on the transformation of higher education and research in Central Europe and on the social costs of economic transformation.

**INSTITUTE OF PUBLIC ADMINISTRATION
AND LOCAL GOVERNMENT**
Kiev, Ukraine \$25,000

As a contribution toward the Director's General Fund, to provide financial flexibility that will enable students and guests of the institute to travel between Ukraine and East Central and West European countries for study and training purposes. Though recently established, the institute is now the premier training institution of professional civil servants in the Ukraine.

INTERNATIONAL HOUSE
New York, New York \$60,000 over three years

Toward the Alan and Tudy McLaine East Central European Program, which provides scholarships enabling students and scholars from East Central Europe to live and study at International House. The program was established in 1988 as the East/West Leadership Program and subsequently renamed in honor of the late Canadian ambassador to Czechoslovakia, Alan McLaine, and his wife, Tudy.

**INTERNATIONAL INSTITUTE FOR APPLIED
SYSTEMS ANALYSIS**
Laxenburg, Austria \$24,550

For the completion and dissemination of a study, conducted by Dr. Leslie E. Grayson of the Darden School of Business Administration, of business management education in East Central Europe. The study will examine the types of management education institutions which have emerged in Poland, Hungary, the Czech Republic, and Slovakia; assess the role each type is playing both pedagogically and in the context of national human resource needs for economic transformation; and offer recommendations for ways to strengthen such education in the region.

EAST ASIA
THE AMERICAN ASSEMBLY
New York, New York \$100,000

For a conference on the challenges to American policy posed by U.S. and Japanese interactions in East Asia, sponsored by the American Assembly and the Japan Center for International Exchange. Participants, including representatives from the United States, Japan, and East Asia, examined a number of issues from the perspectives of: U.S. interests and policy options in East Asia; how U.S.-Japan relations affect U.S. interests in East Asia; and how U.S. strategies in pursuing its national interests in East Asia impact on the U.S.-Japan bilateral relationship. A report, including policy recommendations, will be published early in 1994.

THE ASIA SOCIETY

New York, New York

\$100,000 over two years

Toward a multilateral forum on the prospects for international cooperation in Northeast Asia, co-sponsored by the society's Contemporary Affairs Program and the Japan Institute of International Affairs. Policy analysts from Japan, China, North and South Korea, Russia, Canada, Mongolia, Taiwan, and the U.S. will review current political, economic, and security issues in need of international consideration and examine specific ways to build mechanisms and institutions that will encourage regional dialogue and the peaceful resolution of regional conflicts. A report will be released following each of the project's three sessions.

ASIAN CULTURAL COUNCIL

New York, New York

\$335,000

For general operating expenses. The council supports cultural exchange between Asia and the U.S. in the performing and visual arts, primarily by providing individual fellowship grants to Asian artists, scholars, students, and specialists for study and travel in the United States. The organization was founded in 1980 and has been formally affiliated with the Rockefeller Brothers Fund since 1991.

CENTER FOR STRATEGIC AND
INTERNATIONAL STUDIES

Honolulu, Hawaii

\$35,000

Toward a project to identify and assess specific measures that China's Northeast Asian neighbors, together with the U.S., can take to encourage China's full integration and participation in the multilateral affairs of the Asia-Pacific region. Participants in the project, including representatives from China, will be drawn from a network of policy research institutes in the Asia-Pacific organized by the center's Pacific Forum/CSIS.

Participants at one session of the Asia Society's conference series "Prospects for Multilateral Cooperation in Northeast Asia,"



co-sponsored by the society's Contemporary Affairs Program and the Japan Institute of International Affairs. The multilateral forum offers a mechanism through which regional problems can be addressed and cooperation facilitated. The Asia Society project furthers what has long been a principal objective of the Fund's East Asia security program: the promotion of regional contact and association.

COUNCIL ON FOREIGN RELATIONS

New York, New York \$25,000

Toward the planning costs of a project to examine the implications of the shift in economic power from the United States to Asia in terms of its impact on business, political leadership, security concerns, macro-economic coordination, culture and communication, and management of transnational problems. The three-year project will seek a better understanding of this process, starting with the already well-documented decline in American economic influence, and try to suggest what it means for the U.S.

GEORGETOWN UNIVERSITY

Washington, D.C. \$150,000 over three years

Toward a project of the Asian Law and Policy Studies program at Georgetown University Law Center to study the premise that integration and harmonization of law and law-related policies among nations of the Asia-Pacific would be the best means of promoting and maintaining regional prosperity, peace, and stability. Teams of international visiting fellows will undertake research on such matters as foreign investment, competition, duties, capital flows, workers' rights, and environmental standards, which will then serve as the basis for a wider forum involving legal scholars, businessmen, and policy-makers from the region.

INSTITUTE FOR INTERNATIONAL ECONOMICS

Washington, D.C. \$250,000

\$50,000 for a comprehensive assessment of China's growing and productive role in the world economy. The study will focus on the basis for China's recent spectacular economic performance and the prospects for continued rapid growth; China's burgeoning presence in international trade and capital markets and the implications for the world economy; and ways in which the United States, Japan, and China's Pacific neighbors can accommodate China's growing participation in the global economy and channel its economic dynamism into a force for prosperity and stability. The findings of the project will be published in mid-1994, and disseminated among business, policy, and scholarly communities.

\$200,000 over two years for its Toward a Pacific Economic Community project, which will examine how the rapidly expanding economic relations among the Pacific nations can be broadened, deepened, and institutionalized. Four general policy questions will be addressed: the economic and political costs and benefits of preferential trading arrangements; relationships between subregional economic groupings and the whole of the Asia-Pacific; the interaction between regional and global institutions and policies; and, finally, the institutional implications of Pacific regional economic integration.

INSTITUTE OF SOUTHEAST ASIAN STUDIES

Republic of Singapore \$125,000 over two years

\$100,000 toward a project to identify and explore the most effective ways of taking advantage of the opportunities provided by the Asia Pacific Economic Cooperation conference (APEC), particularly as relates to the Association of Southeast Asian Nations (ASEAN). Recently created, APEC represents the first formal, ongoing consultative mechanism in East Asia for the consideration of economic issues on a regional basis. This project will examine the impact of APEC on the activities and influence of the older Association of Southeast Asian Nations and seek to define an ASEAN role within APEC.

\$25,000 toward a conference, "Southeast Asia: The Challenges of the 21st Century." Attended by more than 350 leading regional and international scholars, senior government officials, business executives, and media representatives, the August conference provided an opportunity to take stock of recent regional developments and to assess what they imply for Southeast Asia as the century turns.

INTERNATIONAL HOUSE OF JAPAN

Tokyo, Japan \$80,000 over two years

Toward two conferences on the prerequisites of American and Japanese leadership for cooperatively addressing global concerns, sponsored by the International House of Japan and Dartmouth College's Nelson A. Rockefeller Center for the Social Sciences. Japanese and American conference participants will address in particular the characteristics of each country, such as the political, social, and economic systems, that affect its ability to take

a joint international leadership role. Papers presented at the conferences will be published in both languages as will a separate pamphlet summarizing the discussions.

JAPAN SOCIETY

New York, New York
\$100,000 over two years

Toward the McEachron Policy Forum, an annual bilateral meeting focusing on U.S.-Japan concerns. Established in 1990, the forum provides an opportunity for the exchange of ideas and debate of key questions among decision makers, opinion leaders, print and television journalists, business leaders, and scholars from Japan, the United States, and other countries. This grant supports the fourth and fifth forums which, respectively, will be concerned with the re-definition of security and economic regionalization following the conclusion of the GATT talks.

JOHNS HOPKINS UNIVERSITY

Baltimore, Maryland \$40,000 over two years

For a project of the university's Paul H. Nitze School of Advanced International Studies to produce a book on the history and politics of the conflict on the Korean Peninsula for a general audience. Don Oberdorfer, a retired diplomatic correspondent for *The Washington Post* and author of *Tet!*, will lead the project.

YONSEI UNIVERSITY

Seoul, Korea \$117,500 over three years

For a project of the university's Institute of East and West Studies to examine the structural transitions taking place in the economies of Northeast Asia and the prospects for regional economic cooperation. Through a program of research, international conferences, and publications, scholars from Japan, Taiwan, South Korea, China, and



Participants in the Japan Society's McEachron Policy Forum

the U.S. will explore the implications for the region of its vast economic growth over the last decade and the possibilities for increased communication given increasingly complex and intertwined economic relations.

YORK UNIVERSITY

Toronto, Canada \$25,000

For an assessment of Asia-Pacific security studies and related exchange activities, organized by the Joint Centre for Asia-Pacific Studies of the University of Toronto-York University and the Center for Strategic and International Studies in Jakarta. The project, which concluded in December with an international meeting of funders, researchers, and others involved in public policy development, was an effort to survey the current state of privately funded efforts in this field, to provide a forum in which project participants could discuss current activities and future plans, and to identify redundancies, gaps, and emerging priorities.

PROGRAM GUIDELINES NONPROFIT SECTOR

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

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

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

NONPROFIT SECTOR

With the fall of communism several years ago, the Fund stepped up its grantmaking in East Central Europe as opportunities to be useful in the transition to democratic societies and market economies multiplied. Over the past four years, the Fund's interests in encouraging sustainable development under the resources program and in strengthening training in democratic institutions and business management under the security program have expanded to include a third component: assisting in the development of a vibrant nonprofit sector. In 1992, the Fund commissioned a study to investigate the state of the nonprofit sector in the region and to identify the most pressing needs for its continued growth. The result, *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.

The report included several recommendations—most prominently, strengthening the capacity of indigenous NGO development and training mechanisms; and expanding information-sharing and networking activities—and in 1993 the Fund acted on several opportunities to implement these recommendations. They included grants to the newly established Information Center for Foundations in Prague and the Slovak Academic Information Agency in Bratislava, support organizations which will foster networking among nonprofits and the training of nonprofit leaders. Other examples were grants to the International Youth Foundation, which will provide training for nonprofit groups serving young people in Poland, and InterAction, an international umbrella organization for private voluntary organizations, for a project to share its experience in formulating ethical standards with interested nonprofit groups in East Central Europe.

Under the international area, grants were also made to help strengthen the development of the nonprofit sector in Asia, while domestically the Fund continued to support initiatives to promote civic responsibility and community service among young people and to improve the management of nonprofit organizations.

UNITED STATES

AMERICAN ALLIANCE FOR RIGHTS AND RESPONSIBILITIES

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

Toward its Citizenship and Community Program, which promotes civic responsibility through national and community service. This grant supports two components of the program: first, improving the educational dimension of youth service programs by encouraging journal-keeping among participants; and, second, increasing public understanding of what participation in community service can achieve through publication of a book of collected writings of youth service participants.

ASPEN INSTITUTE FOR HUMANISTIC STUDIES

Queenstown, Maryland \$300,000 over three years

Continued support for the institute's Nonprofit Sector Research Fund, established in 1991 to foster both theoretical and applied research on the nonprofit sector and to provide an independent, cost-effective vehicle through which foundations, corporations, nonprofit organizations, and individual donors could support such research.

THOMAS JEFFERSON MEMORIAL FOUNDATION

Charlottesville, Virginia \$125,000 over three years

Toward the costs of its capital campaign. The mission of the Thomas Jefferson Memorial Foundation is to preserve the home, effects, and written works of Thomas Jefferson, while making them accessible to an international constituency of scholars and the general public. In this 250th anniversary year of Jefferson's birth, the foundation has embarked on a \$25 million capital campaign, called the Jefferson Moment, in an effort to strengthen the institution and help it realize its potential as an educational resource.

NEW YORK COMMUNITY TRUST

New York, New York \$20,000

For activities related to the Council on Foundation's 1994 annual conference, which will be held in New York City. These will include a series of programs and events designed to introduce conference attendees to the city's cultural attractions and landmarks and to show them

the ways in which New York's nonprofit community addresses the challenges and problems of the city.

NEWS AND OBSERVER FOUNDATION

Raleigh, North Carolina \$1,000

Toward its new, state-level newspaper for nonprofits, the *Philanthropy Journal of North Carolina*. The monthly journal will be a single, comprehensive resource and reference for North Carolina's corporate executives, volunteers, and civic leaders.

PUBLIC ALLIES: THE NATIONAL CENTER FOR CAREERS IN PUBLIC LIFE

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

General operating support for the national office of Public Allies, founded in 1991 to serve as a catalyst to inspire and train the next generation of civic leaders. Public Allies recruits high school and college graduates from diverse backgrounds, unites them as a team, places them individually in paid, year-long apprenticeships at nonprofit organizations and government agencies, and provides them with continuing leadership development and skills training.

UNION INSTITUTE

Cincinnati, Ohio \$124,000 over three years

Toward the work of the Center for Public Policy of the Union Institute, in cooperation with the National Council of Nonprofit Associations, to improve the capacity of state associations of nonprofit organizations to work together to develop and advance policy agendas at both state and national levels. The center also is working to develop better links and foster collaboration between the nonprofit sector and the federal government.

VOLUNTEER CONSULTING GROUP

New York, New York \$50,000

Continued support for a pilot project to develop a systematic process to identify and recruit strong candidates for nonprofit boards. Launched in 1990, the Tri-State Board Marketplace Program contributes toward the improved management of nonprofit organizations, encourages public service, and helps identify a new generation of leaders for nonprofit organizations.

**WASHINGTON CENTER FOR
INTERNSHIPS AND ACADEMIC
SEMINARS**

Washington, D.C.

\$75,000

For a program to place minority college students as congressional interns. The center's Minority Leaders Fellowship Program was launched in 1989 out of concern at the small numbers of minority participants in its own and other internship programs. It recruits outstanding minority college students with demonstrated leadership potential for full-time, for-credit internship placements and provides them with additional leadership training.

YALE UNIVERSITY

New Haven, Connecticut

\$150,000 over three years

Continued general operating support for the Program on Non-Profit Organizations (PONPO) of the university's Institution for Social and Policy Studies. PONPO was established in 1977 as the first academic center devoted to the study of philanthropy and the nonprofit sector. The program is distinguished both by its focus on research and by its capacity to identify and address important new subjects.

INTERNATIONAL

CATHOLIC UNIVERSITY OF AMERICA

Washington, D.C.

\$15,000

For a project to study Poland's law on foundations. Enacted in 1984, this statute is a prime reason for Poland's relatively vigorous nonprofit sector; its loopholes, however, have allowed for abuses. Catholic University's study will provide an important impartial assessment of the law's strengths and weaknesses at a time when it is under government review.



1993 Fellows of the Washington Center's Minority Leaders Fellowship Program

**VACLAV HAVEL FOUNDATION FOR THE
REVIVAL OF PRAGUE CASTLE**

Prague, Czech Republic

\$15,000

To oversee the restoration of Prague Castle. Chaired by Vaclav Havel, president of the Czech Republic, and governed by a council of leading experts in architecture, art history, and finance, the foundation will be responsible for the reconstruction, maintenance, and administration of the Prague Castle, which suffers from forty years of neglect and is in danger of further deterioration as a result of the increase in tourism since 1989. In addition to reflecting over 1100 years of Czech history, the castle now serves as the focal point for the nation's new democratic institutions.

**THE INFORMATION CENTER FOR
FOUNDATIONS**

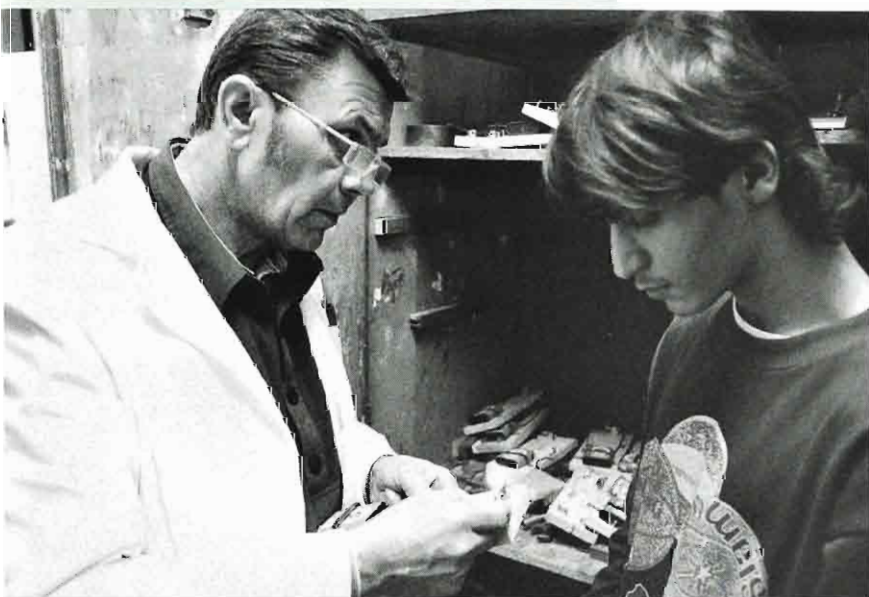
Prague, Czech Republic

Up to \$30,000

General budgetary support. The center was recently founded to support the development of a nascent nonprofit sector in the Czech Republic. Its principal objectives are public education, training and technical assistance, information dissemination, and networking. The center has also begun to develop a database of voluntary organizations in the Czech Republic.

Hungarian Foundation for Self-Reliance

Student and teacher in a training program to help young gypsies learn a trade, run by the BIOBCO Foundation in Hatvan, a small town northeast of Budapest. BIOBCO received a grant from the Hungarian Foundation for Self-Reliance, which was established in 1990



with Fund support to provide grants, loans, and technical assistance to projects and organizations that encourage self-help in solving social problems in the small towns and rural areas of Hungary. The foundation concentrates on encouraging environmentally sustainable economic development, addressing the problems of poor and marginal populations, and strengthening civil society. The Fund made a three-year grant to the foundation in 1992.

INTERACTION: THE AMERICAN COUNCIL
FOR VOLUNTARY INTERNATIONAL ACTION
Washington, D.C.

\$20,000

To complete a project on standards of conducts for the council's members. Adopted in 1992, the new code covers issues of governance, finances, fundraising, public relations, management practices, human resources and program services for InterAction's more than 150 members—U.S.

private voluntary organizations working on a broad range of international concerns. This grant supports the second phase of the project to review member compliance and to collaborate with other coalitions in the U.S. and abroad interested in standards of conduct.

INTERNATIONAL
YOUTH FOUNDATION
Battle Creek, Michigan
\$150,000 over three years

For the Polish Children and Youth Foundation (PCYF), created in 1992 by the International Youth Foundation to strengthen the capacity of non-profit organizations serving children and youth in Poland.

In addition to awarding grants, PCYF provides training to leaders of local nonprofit groups to improve their management and leadership skills and encourages networking, information sharing, and capacity building among Polish youth service organizations.

JAPAN CENTER FOR INTERNATIONAL
EXCHANGE

New York, New York

\$20,000

For a survey of the nonprofit sector in East Asia. Three areas of activity—private and corporate philanthropy, nongovernmental organizations, and policy-related undertakings including cooperative research, conferences and exchanges—will be catalogued and analyzed in an attempt to demonstrate the ways in which the nonprofit sector helps to foster the economic and security impetus toward an Asia-Pacific community. Data gathered may

also reveal constraints against—and suggest ways of creating—opportunities for regional cooperation.

JAPANESE NGO CENTER FOR
INTERNATIONAL COOPERATION

Tokyo, Japan	\$120,000 over three years
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Continued general budgetary support for the center, an umbrella organization founded in 1989 to assist nongovernmental organizations (NGOs) in Japan. The center helps Japanese NGOs improve the quality of their management skills; provides information about development issues (with a strong emphasis on sustainable resource use) and the role of NGOs to its members; and acts as spokesperson for its membership to the international NGO community.

RESEARCH PROJECT ON NONPROFIT ORGANIZATIONS

Budapest, Hungary	\$25,000
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For a project to examine attitudes toward individual philanthropy in Hungary. The Research Project on Non-profit Organizations is gathering information about the size and nature of private donations and voluntary work, characteristics of donors and volunteers, motivations behind charitable behavior, and the most effective methods of solicitation. The study will also provide preliminary information about corporate and other institutional funding in Hungary.

SLOVAK ACADEMIC INFORMATION AGENCY

Bratislava, Slovakia	Up to \$20,000
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General budgetary support. The agency was recently founded to support the development of a nonprofit sector in Slovakia. Like the Information Center for Foundations in Prague, its principal objectives are public education, training and technical assistance, information dissemination, and networking. Through its branch offices, the agency is able to provide services in every region of the country.

YONSEI UNIVERSITY

Seoul, Korea \$47,150

Toward a symposium on the role and growth of private philanthropy in East Asia, sponsored by the university's Institute of East and West Studies. Participants at the August symposium in Seoul sought to assess the devel-

opment of private philanthropy and the nonprofit sector in the countries of East Asia, where both concepts are relatively new; to analyze in particular the role of corporate philanthropy; and to consider whether an ongoing regional mechanism could be useful in promoting the growth of private philanthropy.

PHILANTHROPIC SUPPORT ORGANIZATIONS

COUNCIL ON FOUNDATIONS

Washington, D.C.	\$36,600
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\$34,600 for general operating support. 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
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General operating support. 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
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For the work of its Funders Concerned about AIDS affinity group.

NEW YORK REGIONAL ASSOCIATION OF
GRANTMAKERS

New York, New York	\$9,000
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General operating support. 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.

PROGRAM GUIDELINES 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.

EDUCATION

ROCKEFELLER BROTHERS FUND FELLOWSHIPS FOR MINORITY STUDENTS ENTERING THE TEACHING PROFESSION

In 1993, the Fund selected its second round of recipients of the Rockefeller Brothers Fund Fellowships for Minority Students Entering the Teaching Profession. These fellowships are awarded annually to 25 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 25 colleges and universities that have been selected to participate in the fellowship 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 now participating in the program are Amherst College, *Amherst, Massachusetts*; Brown University, *Providence, Rhode Island*; City University of New York, Queens College, *Flushing, New York*; Dartmouth College, *Hanover, New Hampshire*; Duke University, *Durham, North Carolina*; Emory University, *Atlanta, Georgia*; Howard University, *Washington, D.C.*; Macalester College, *Saint Paul, Minnesota*; 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*; Spelman College, *Atlanta, Georgia*; Swarthmore College, *Swarthmore, Pennsylvania*; Tulane University, *New Orleans, Louisiana*; University of California, *Riverside, California*; University of Michigan, *Ann Arbor, Michigan*; University of Pennsylvania, *Philadelphia, Pennsylvania*; University of Texas at El Paso, *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, fellows engage in projects or sets of activities of their own choosing, lasting about seven weeks, that are related to teaching, and then meet 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 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



1993 recipients of the Rockefeller Brothers Fund Fellowships for Minority Students Entering the Teaching Profession: (front row, left to right) Kathy Suyeyasu, Elena Enriquez, Blanca Muñoz, Ruanda Garth, Elizabeth Carril, Adriana Chavez; (middle row) Erika Lozano, Chi-Wai Au, Nicole Alston, Nadirab Moreland, Katrina Green, Rochelle Fleming, Juan Morales, Crystal Cooper, Amelia Perez; (back row) Ana Rowland, Mireya Jimenez, Jacqueline Pacheco, Lance Lee, Christie Cooley, George Parks, Catina Bacote, Damon Smith, Lilia Aguila

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.

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 have also been part of this effort. In 1993, grants to the Community Preparatory School and Claremont University Center funded innovative programs to draw minority students into the teaching profession, while a multiyear contribution to the Arizona Board of Regents established a new Rockefeller Brothers Fund graduate education initiative as a part of its Project 1000—a nationwide effort to help Hispanic students be admitted into and succeed in graduate school programs. Through grants to the College Venture Consortium and Teach for America, the Fund supported complementary projects aimed at attracting undergraduate students of the highest calibre to careers in teaching.

ROCKEFELLER BROTHERS FUND FELLOWS

1992 FELLOWS

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, *Queens College, CUNY*
 Delvin M. Dinkins, *Swarthmore College*
 Noemi Donoso, *Mount St. Mary's College*
 Coleen V. Frontin, *Howard University*
 Juan G. Garcia, *Queens College, CUNY*
 Patricia Garcia, *Pomona College*
 Gayle D. Herrington, *Spelman College*
 Denise M. Juneau, *Montana State University*
 Delia M. Lovell, *Wellesley College*
 Derek Lynch, *Oberlin College*
 Angel M. Means, *Pace University*
 José L. Medina, *University of Texas at El Paso*
 Nhung T. Nguyen, *Mount St. Mary's College*
 Kimberly A. Phillips, *Spelman College*
 Rosemary Polanco, *Wesleyan University*
 Guy R. Reavis, *Williams College*
 Sarah J. Simpson, *Swarthmore College*
 Andrés J. Versage, *Swarthmore College*
 Timothy L. Vessel, *Wesleyan University*
 Daria Lynn Young, *Spelman College*

1992 MENTORS

Carla Bartlett, *Mount St. Mary's College*
 Barbara Beatty, *Wellesley College*
 Sharon Beehler, *Montana State University*
 Erness Brody, *Wesleyan University*
 Raymond Buriel, *Pomona College*
 William Darrow, *Williams College*
 James Davis, *Howard University*
 Dalila de Sousa Sheppard, *Spelman College*
 Ruth Ferguson, *Pace University*
 Gladys Glass, *Spelman College*
 Gregory H. Goodwin, *Tulane University*
 Robert J. Gross, *Swarthmore College*
 Dorothy E. Hartley, *University of California, Riverside*
 Colleen K. Larimore, *Dartmouth College*
 Charles Lemert, *Wesleyan University*
 Sandra S. Patterson, *Spelman College*

*deceased

Maureen Pierce-Anyan, *Queens College, CUNY*
 Michael Rodriguez, *Princeton University*
 Lisa Smulyan, *Swarthmore College*
 Mary Trejo, *University of Texas at El Paso*
 David S. Walker, *Queens College, CUNY*
 Clovis L. White, *Oberlin College*
 Anne G. Wilcoxon, *Mount St. Mary's College*

1993 FELLOWS

Lilia J. Aguila, *Mount St. Mary's College*
 Nicole L. Alston, *Spelman College*
 Chi-Wai Au, *Pomona College*
 Catina J. Bacote, *Wesleyan University*
 Elizabeth Carril, *Pace University*
 Adriana Chavez, *Mount St. Mary's College*
 Christie M. Cooley, *Spelman College*
 Crystal A. Cooper, *Spelman College*
 Elena M. Enriquez, *Mount St. Mary's College*
 Rochelle H. Fleming, *Montana State University*
 Ruanda Garth, *Wesleyan University*
 Katrina A. Green, *Howard University*
 Mireya P. Jimenez, *Pomona College*
 Lloyd L. Lee, *Dartmouth College*
 Erika Lozano, *University of California, Riverside*
 Zola B. Mashariki, *Dartmouth College*
 Juan A. Morales, *Oberlin College*
 Nadirah I. Moreland, *Brown University*
 Blanca E. Muñoz, *Pomona College*
 Jacqueline Pacheco, *Pace University*
 George L. E. Parks, *Tulane University*
 Amelia R. Perez, *University of California, Riverside*
 Ana Rowland, *Montana State University*
 Damon L. Smith, *Wesleyan University*
 Katherine S. Suyeyasu, *Swarthmore College*

1993 MENTORS

Carol Alpern, *Pace University*
 Carla Bartlett, *Mount St. Mary's College*
 Jane Bugnand, *Pace University*
 Raymond Buriel, *Pomona College*
 Suzanne Chavez-Silverman, *Pomona College*
 Evelyn W. Chisolm, *Spelman College*
 Jan Cooper, *Oberlin College*
 Ann duCille, *Wesleyan University*
 James Marien Dyer, *Mount St. Mary's College*
 Gregory H. Goodwin, *Tulane University*

Sylvia T. Langford, *Dartmouth College*
 Fayneese Miller, *Brown University*
 Mary Murphy, *Montana State University*
 Sandra S. Patterson, *Spelman College*
 Frank Ramos, *University of California, Riverside*
 Hedwig Rose, *Wesleyan University*
 Carolyn Shuttlesworth, *Howard University*
 Lisa Smulyan, *Swarthmore College*
 Robert Steele, *Wesleyan University*
 Russell Thornton, *Dartmouth College*
 Yolanda Venegas, *University of California, Riverside*
 Nancy Wadel, *Spelman College*
 John G. Watts, *Montana State University*

University. With this grant, Project 1000 will establish a new Rockefeller Brothers Fund graduate education initiative to increase the number of minority college graduates admitted into graduate teacher education programs.

CLAREMONT UNIVERSITY CENTER

Claremont, California \$150,000 over three years
 Continued support for Claremont's Multi-Ethnic Teacher Advancement Project, an initiative to increase the number of minority students within its graduate teacher education program as a way to both emphasize issues of diversity and recruit more minority teachers into local public schools. The program offers students the combined support of tuition fellowships, social and professional networks, and teacher-mentors.

PRESCOTT COLLEGE

Prescott, Arizona
 \$50,000 over two years
 For a program to combine the college's work in environmental education with its innovative minority teacher education program. Under the pilot project, bilingual American Indian and Hispanic teacher education students will serve as interns in local environmental organizations in order to better understand the environmental issues in their communities and how these issues can be

incorporated into their classroom practices when they become teachers. Following the two-year development phase of the program it will become a regular part of the college's teacher education curricula.

SINTE GLESKA UNIVERSITY

Rosebud, South Dakota \$9,600 over two years
 As a contribution to the university's education program, to help support two Native American teacher education students each year during their teaching practicum.



RBF Fellow Lilia Aguila working with a 2nd grader at Aldama Elementary School in Highland Park, California

MINORITIES

ARIZONA BOARD OF REGENTS

Tempe, Arizona \$150,000 over three years
 Support for the work of Project 1000, a national effort involving hundreds of undergraduate institutions, universities, and Hispanic community organizations to help Hispanic students apply to graduate school, gain admission, and succeed there. Project 1000 was started in 1988 by the Hispanic Research Center at Arizona State

EARLY CHILDHOOD

HIGH SCOPE EDUCATION RESEARCH
FOUNDATION

Ypsilanti, Michigan \$32,000

For a project to train field consultants to show elementary school teachers how to use the High Scope approach to education. Under the High Scope method, children are encouraged to actively initiate their own learning experiences, while the teacher's job is to create conditions that make this possible by supporting, guiding, and challenging children who are engaged in problem-focused learning activities.

NEW YORK STATE CHILD CARE
COORDINATING COUNCIL

Albany, New York \$60,000

To develop a comprehensive career development plan for staff of early childhood programs in New York State. The plan will establish a uniform system of guidelines for the training and advancement of teachers working with children from birth through eight years of age. The project will be carried out by three working groups under the auspices of the Permanent Interagency Committee on Early Childhood Programs and its recommendations released in August 1994.

UNDERGRADUATE,
LIBERAL ARTS PROGRAMS

COLLEGE VENTURE CONSORTIUM

Providence, Rhode Island \$25,000

Toward its new Teachers for Tomorrow project to place recent graduates from consortium colleges in one-year apprenticeships with mentor teachers in East Harlem alternative public schools. The aim of this program is to provide an opportunity for outstanding students to "try out" the teaching profession in successful urban schools, in much the same way enterprises such as banks, law firms, and advertising agencies use training programs to bring bright recent graduates into their fields. The consortium (Bates College, Brown University, College of the Holy Cross, Connecticut College, Hobart and William Smith Colleges, Vassar College, and Wesleyan University) was

founded in 1976 to develop innovative programs that foster a sense of social responsibility in its students and alumni.

COMMUNITY PREPARATORY

Providence, Rhode Island \$60,000 over three years

To institute its Teach for the Future program, a one-month internship program for outstanding minority undergraduate students in their freshmen and sophomore years. Interns will receive stipends, housing and be assigned to mentor teachers. In addition to contributing to the education of students at the Community Preparatory School, an independent middle school for inner-city children in Providence, Rhode Island, it is hoped that interns will be inspired by this experience to consider careers in teaching.

PRINCETON UNIVERSITY, TRUSTEES OF

Princeton, New Jersey \$224,984 over three years

To launch the Summer Institute in History, a two-week workshop for social studies teachers in New Jersey schools, to be led by the university's history department faculty with the assistance of undergraduates in the teacher preparation program. The aim of the new program is to engage classroom teachers in current scholarly work and reignite their intellectual interests, while at the same time providing soon-to-be teachers with an important learning experience.

PROJECTS OF
PARTICULAR MERIT

CARNEGIE FOUNDATION FOR THE
ADVANCEMENT OF TEACHING

Princeton, New Jersey \$15,000

Toward the costs of preparing *School Choice*, a report aimed at stimulating debate on this subject in the context of the national discussion of school reform. The project sought information from a broad cross section of American parents on the options they had in choosing the school their child attends, the variables that influenced this choice, and their opinions more generally concerning educational policy in the U.S.

Hunter College: Project MERIT



Dr. George P. Gonzalez, director of Hunter College's Project MERIT, with students in the program. Begun in 1990 with Fund support, Project MERIT is a recruitment and mentoring program that encourages students from diverse backgrounds to enter the teaching profession. Each year, the program selects approximately twenty students interested in teaching and supports them until they enter either Hunter College's elementary teacher education program, the secondary education program, or a graduate program in teacher education. Project MERIT's success lies in the individual help and attention offered each student, including academic and personal counseling, individual tutoring, and workshops to improve communications skills, as well as the sense of community it fosters among participants.

FOXFIRE FUND

Rabun Gap, Georgia \$75,000

Continued support for its 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 an initiative to reach more teachers in urban, inner-city schools.

TEACH FOR AMERICA

New York, New York \$75,000

General support for Teach for America, which recruits outstanding college seniors to teach for two years in public schools. In addition to adding talented young people—a high proportion of whom are minority and/or male—to public school systems nationwide, Teach for America seeks to elevate the image of teaching as a profession on college campuses and to build a corps of future leaders who will work throughout their lives as advocates for equity and excellence in education.

PROGRAM GUIDELINES 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.

NEW YORK CITY

The grants made pursuant to the Fund's New York City program interest in low-cost and affordable housing have concentrated on two dimensions of the City's housing crisis: the need for the development of new low-income and affordable housing; and the need to preserve and rehabilitate existing low-income housing. Most grants have been aimed at building the capacity of community-based housing groups, and because the program also seeks to support efforts to define new housing policy options, some grants have encouraged the development of links between those working to devise more effective housing policies and community-based housing organizations. Over the past three and one-half years, grants to the New York City Partnership Foundation, the Corporation for Supportive Housing, and Pratt Institute have dealt with the development of new housing, while grants to the Community Service Society of New York have focused on preservation. In 1993, support was provided to the Pratt Institute for its Community Economic Development Internship to improve the technical skills of community-based groups involved in the construction and rehabilitation of low-cost housing, and to BEC New Communities to provide leadership training for residents of New Communities housing.

In 1993, under the AIDS program, the Fund provided renewed support for the work of the Black Leadership Commission on AIDS and the Latino Commission on AIDS, both formed by prominent minority leaders to combat the spread of the disease in their respective communities through education and advocacy. Continued support was also provided for projects to help two especially needy groups: one to formulate policy options for the care of AIDS orphans, whose numbers are increasing, and a second to provide counseling and other services to prison inmates with AIDS at the critical moment of their release.



Participants of the BEC Leadership Institute touring housing developed by BEC

NEW YORK COMMUNITY TRUST

New York, New York

\$25,000

Toward the costs of a collaborative foundation project on education reform in New York City, focused in particular on exploring possible ways of improving the governance of the public school system. As initial steps in this effort, two studies were commissioned: a review of attempts at governance reform by other large urban school systems, and a survey of public perceptions of the New York City school system.

HOUSING

BARNARD COLLEGE

New York, New York

\$25,000

For a study of New York City public housing policies that tend to separate extended families. Current policies, which do not give preference to new applicants that would enable them to live near family members, are intended to discourage racial and ethnic segregation in public housing. Investigators will examine whether a different policy, which encourages family proximity, might improve the lives of public housing residents by bolstering family and other support networks, and potentially decrease reliance on welfare and other public subsidies.

**BEC NEW COMMUNITIES HOUSING
DEVELOPMENT FUND COMPANY**

Brooklyn, New York \$150,000 over two years

Support for the leadership institutes of the BEC New Communities Housing Development Fund Company, founded in 1987 as the development arm of Brooklyn Ecumenical Cooperatives, an organization of forty-three schools, hospitals, houses of worship, and residents' associations in Brooklyn with a combined membership of over 45,000 families, about 80 percent of whom are Latino, African-American, or Caribbean-American. Residents of New Communities housing are eligible to take part in its bi-yearly leadership institutes, whose aim is to provide participants with motivation and skills for assuming public responsibility and joining more fully in community life.

PRATT INSTITUTE

New York, New York \$300,000 over three years

For the Pratt Community Economic Development Internship of its Center for Community and Environmental Development. The nine-month internship program provides intensive training in financial and real estate skills for staff of New York community-based groups involved in the construction and rehabilitation of low-cost housing.

**RESEARCH FOUNDATION OF THE STATE
UNIVERSITY OF NEW YORK**

Albany, New York \$25,000

Toward a study of the New York City Housing Partnership, conducted by the Nelson A. Rockefeller Institute of Government. Created in the early 1980s, the Housing Partnership has built more than 7,000 owner-occupied, affordable homes, and in the process has pioneered a new model of nonprofit housing development that bridges the private sector, all levels of government, and community-based constituencies. The Rockefeller Institute project will produce two books: the first telling the story of the institution and describing the elements of a successful housing partnership; the second providing a step-by-step guide to creating one.

*Pratt Institute:
Center for Community and
Environmental Development*



Training staff members Rudy Bryant and Leslie Hewlett (back row) of Pratt Institute's Center for Community and Environmental Development with Myrta Cuadra, program director, and Dick Lash, executive director, of Synergia, a community-based organization on Manhattan's Upper West Side that provides social services and housing for developmentally disabled people and their families. Cuadra and Lash are graduates of the Fund-supported Pratt Community Economic Development Internship, a one-year certificate program that enables staff of nonprofit organizations and related public agencies to apply the skills acquired in workshop sessions to actual housing and economic development projects they are currently planning or implementing.

AIDS

BLACK LEADERSHIP COMMISSION ON AIDS

New York, New York \$80,000 over two years

Continued general budgetary support. The Black Leadership Commission on AIDS (BLCA) was formed in 1987 to involve black leaders in developing and implementing strategies to combat the spread of AIDS in New York City minority communities. Now a central source of information for the black community, the media, and government agencies, BCLA advocates for effective AIDS policies and carries out a wide range of technical assistance efforts, public education activities, and special initiatives.

THE CORRECTIONAL ASSOCIATION OF NEW YORK

New York, New York \$50,000 over two years

Continued support for its AIDS in Prison Project's work with AIDS-infected inmates being discharged from New York State and City correctional institutions. The project works to provide inmates at the time of their release with AIDS education and with assistance in gaining access to health care, housing, support groups, substance abuse treatment, and personal counseling in the communities to which they are returning. It also provides technical assistance to community-based organizations to help them to serve former inmates, and at the policy level works to improve discharge planning systemwide.

FUND FOR THE CITY OF NEW YORK

New York, New York \$80,000 over two years

Continued support for a project to define policy options for the care of AIDS orphans, who are expected to number between 82,000 and 125,000 in the U.S. by the end of the decade. About a third will be in New York City. The Orphan Project is working to identify the key policy issues and service needs relating to these children; to develop specific policy recommendations about how to address them; and to build a network of professionals, advocates, and family members to serve as a source of information and a sounding board for ideas.

LATINO COMMISSION ON AIDS

New York, New York \$80,000 over two years

Continued general budgetary support. Established in 1990, the commission provides community education, technical assistance, and information services on behalf of the Latino community in New York City. The organization works to ensure that AIDS services, treatments, and clinical trials are made accessible to Latinos; to strengthen the ability of community-based organizations to provide AIDS education and services; and to develop effective prevention and education programs.

PROGRAM GUIDELINES

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.

SPECIAL CONCERNS: SOUTH AFRICA

This year's grants under the Fund's Special Concerns: South Africa program area were made against a dramatic backdrop: the dismantling of that country's system of apartheid and preparations for the first non-racial national elections in the spring of 1994. The Fund continued to pursue its program goal of improving the quality and accessibility of basic education for all South Africans—an objective which becomes ever more relevant as the need for a literate and informed citizenry grows.

In 1993, the Fund supported several projects to address the lack of current curricula and educational materials for both children and adults. Grants were also made to help teachers in South Africa improve their instructional skills and general knowledge through programs to provide in-service teacher training and develop creative teacher-training materials. In addition, the Fund assisted several innovative projects to educate sections of the population marginalized under apartheid. Sached Trust's Children's Literacy Project, for example, is an effort to reclaim out-of-school children in impoverished rural areas and squatter camps by providing them with remedial instruction that will enable them to re-enter the formal education system. Another grantee, the Pretoria-based Project Literacy Trust Fund, is trying to reach disaffected teenagers through a pilot literacy project now being tested on young first offenders in Leeuwkop Prison. As with most Fund-supported projects in South Africa, this program, once refined and proven successful, is intended to be disseminated nationwide.

Finally, many of the projects developed and led by Fund grantees are offering visions of a new education system in South Africa.

BASIC EDUCATION

ABE DEVELOPMENT SERVICES TRUST

Cape Town, South Africa \$100,000 over two years

To develop curricula and materials for an adult basic education course and a corresponding teacher-training course in Xhosa, the first language of many black South Africans. The current lack of sound and comprehensive core curricula and materials is a major stumbling block in providing formal literacy instruction in South Africa.

COOPERATIVE ORGANIZATION FOR THE UPGRADING OF NUMERACY TRAINING

Johannesburg, South Africa \$79,000 over two years

Continued support for the Cooperative Organization for the Upgrading of Numeracy Training (COUNT), founded in 1991 to develop in-service training programs for primary mathematics teachers in farm schools. Over the next two years, COUNT will develop a core group of teacher trainers working in rural regions, expand its in-service work with primary school teachers, and increase its materials development efforts.

MATHEMATICS CENTRE FOR PRIMARY TEACHERS

Johannesburg, South Africa \$41,000

For its project to develop innovative textbooks for primary mathematics education in South Africa, where currently there is an absence of interesting and relevant educational texts for children. The center's textbooks will emphasize the development of basic mathematic skills and practice applications of this knowledge for problem solving.

PROJECT LITERACY TRUST FUND

Pretoria, South Africa \$28,000

Toward its project to create an accelerated adult basic education program for marginalized youth. The model program is an attempt to develop relevant alternative educational opportunities for the so-called "lost generation" of young people who were denied education under apartheid. The model is currently being tested with young first offenders incarcerated at the Leeuwkop Prison located between Johannesburg and Pretoria.

SACHED TRUST

Johannesburg, South Africa \$50,000

Continued support for the Children's Literacy Project, a pilot program aimed at easing the entry of illiterate children into the formal education system. Concentrating its efforts in rural areas and squatter camps, the project trains community-based literacy teachers to work with out-of-school children. The Literacy Project also is developing a two-year accelerated syllabus, producing learning materials, and piloting a children's literacy course in both Xhosa and English.



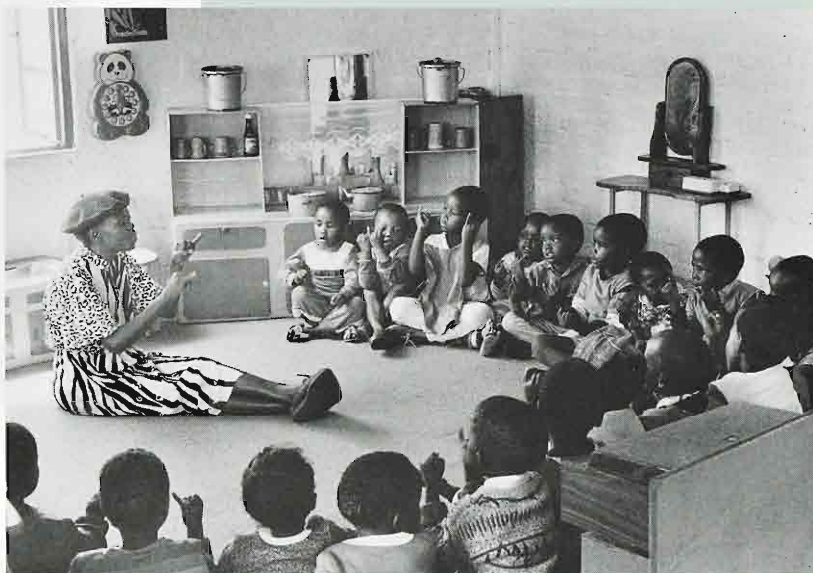
A participant in the University of Cape Town's Primary Math Education Project, an in-service training program for primary school mathematics teachers in disadvantaged communities in the Cape Town region. The project received Fund support from 1991 through 1993.

USWE TRUST

Cape Town, South Africa

\$100,000 over two years

To develop a curriculum for an English adult basic education course. The curriculum will cover three years, which, once completed, will be equivalent to seven years of schooling in the formal system. USWE has been active in the adult education field since 1981, running informal literacy classes, working with teachers, and, more recently, developing standardizing teacher training courses and materials that can be used across the country.



SPECIAL
OPPORTUNITIES

FUND FOR EDUCATION IN SOUTH AFRICA

New York, New York

\$15,000

Toward a strategic planning exercise. The Fund for Education in South Africa (FESA) was formed in 1989 as a U.S.-based mechanism to support alternative education projects for marginalized youth in South Africa. The strategic planning process will clarify FESA's alternatives with respect to both future program activities as well as potential funding sources.

A teacher being trained at the Ntataise Trust model preschool in Viljoenskroon. Established in 1980, the Ntataise Trust has grown into a nationwide program to train teachers working in farm schools in the rural areas of South Africa, and to develop curricula targeted at a language level that is useful to semiliterate early childhood educators. The organization received a two-year grant from the Fund in 1992.

RAMON MAGSAYSAY AWARD FOUNDATION

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. The Awards were created by the Fund's trustees to honor Mr. Magsaysay, whose life was tragically ended in an airplane crash, and to draw attention to the principles for which he stood—the merit, worth, and potential of every individual, and the sanctity of human rights.

Up to five awards of \$50,000 each are presented annually in five categories: government service, public service, community leadership, international understanding, and journalism, literature, and creative communication arts. These awards are often regarded in the region as the Nobel Prizes of Asia. 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

RAMON MAGSAYSAY AWARD FOUNDATION
Manila, Philippines \$150,000

For the Ramon Magsaysay Awards for 1993. 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 1993 award recipients are: Vo-Tong Xuan of Vietnam, Government Service; Banoo Jehangir Coyaji of India, Public Service; Abdurrahman Wahid of Indonesia, Community Leadership; Bienvenido Lumbera of the Philippines, Journalism, Literature, and Creative Communication; and Noboru Iwamura of Japan, International Understanding.

PROGRAM FOR ASIAN PROJECTS

ANGEL C. ALCALA
Quezon City, Philippines \$10,000

For a project to restore the coral reefs and mangrove forests—and, by extension, the fisheries on which local communities depend—along the southwestern coast of Negros Island in the Philippines. In addition to the actual labor of coral transplantation, mangrove reforestation, and beach restoration, project members are working with coastal communities to establish protected marine reserves and to encourage the sustainable harvesting of marine species.

ASIAN INSTITUTE OF TECHNOLOGY
Bangkok, Thailand \$10,000

For a project of its Human Settlements Division's Habitech Park to research and develop methods for poor communities in the third world to build low-cost housing in a way that does not damage the environment. Under the Self-Contained Housing Delivery System developed by Habitech Park, builders use local materials that are more plentiful and less expensive than timber and construction techniques that require neither large numbers of people nor heavy equipment. Habitech Park provides training at its prototypical production site, and is devel-

oping manuals and contacts with Asian NGOs and institutions that will allow further dissemination of the Housing Delivery System.

ALFREDO R.A. BENGZON
Manila, Philippines \$10,000

For a project to encourage the proper use of medications among the general populace in the Philippines. Starting at a pilot site, project leaders will train local residents to carry out educational activities regarding appropriate drug use in their communities. The project is an attempt to address the widespread misuse of pharmaceutical products, resulting from a shortage of essential medicines, an absence of reliable information, and restricted access to sound medical advice.

MANIBHAI B. DESAI
India \$4,000

Continued support 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 construction of water-harvesting structures.

TAN SRI BIN HAJI AHMAD HANAFIAH
Kuala Lumpur, Malaysia \$9,360

For a project to increase the number of indigenous (Malay and Bumputra) men and women who hold administrative positions in the corporate sector in Malaysia. Currently, they number less than 3 percent. Participants in the project will attend courses at the Institute Professional Baitulmal in Kuala Lumpur in preparation for the biannual examination to be certified as Chartered Secretaries, a widely recognized qualification for managerial positions. The project is an effort to help redress the social inequities that exist in terms of education and job opportunities, and to help eliminate the identification of ethnicity with occupation.



The 1993 recipients of the Ramon Magsaysay Awards at the awards ceremony in Manila, Philippines: (from left to right) Dr. Noboru Iwamura, Dr. Bienvenido Lumbera, Dr. Banoo Coyaji, Dr. Vo-Tong Xuan, and Mr. Abdurrahman Wabid

FRANCISCO SIONIL JOSÉ

Manila, Philippines

\$10,000

For a series of seminars on pressing issues in the Philippines. Political scientists, sociologists, historians, and government officials will discuss a range of topics, including the use of presidential power, agrarian reform, the social, cultural, and economic implications of overseas employment, poverty and environmental degradation in the upland provinces, the aftermath of the closing of U.S. military bases, and issues affecting women in Philippine society. Their conclusions and policy recommendations will be published in the journal, *Solidarity*.

AKHTER HAMEED KHAN

SHOAIB SULTAN KHAN

Islamabad, Pakistan

\$10,000

For two video documentaries. The first will focus on a highly successful literacy program at Allama Iqbal Open University in Islamabad, which has developed teaching materials relevant to its young, rural student population. The second will chronicle the Oranji project, a community-based sanitation program in Karachi that has grown to include primary health care and education, and cooperative marketing. A major goal of the project is to enhance public awareness of the potential of small-scale, local initiatives in tackling social problems.

TAI-YOUNG LEE

IM-SOON KIM

Seoul, South Korea

\$15,000

For a pilot project to provide specialized training in family legal aid counseling. Thirty recent law school graduates will be selected to participate in a two-month, intensive study program and, upon its completion, offered positions in offices of the Korea Legal Aid Center, which has branches throughout the country. The project is part of an ongoing effort to make effective legal aid available to all Koreans.

KWOH TING LI

Taiwan, Republic of China

\$10,000

For a project to examine the social changes taking place in the countries of Asia as a result of rapid economic development, focusing in particular on the relationship between the individual and the community. The project will be organized around three meetings, held in the autumns of 1994, 1995, and 1996, which will be attended by Asian Magsaysay Awardees and other social leaders.

PHILIPPINES, UNIVERSITY OF THE
Los Banos, Philippines \$9,800
For a project of the university's College of Agriculture to promote integrated pest management and organic farming in selected rural communities in the Philippines using the Farmer's Field School approach, in which farmers are encouraged to learn from one another and to carry out their own team-based research.

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. 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 \$29,500
\$10,000 for a project, "Heroes of Asian Journalism," to document the lives of Magsaysay Awardees in journalism, literature, and creative communication arts. It is hoped that their stories and accomplishments will provide inspiration to young Asian journalists and students.
\$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.
\$4,500 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 on-going projects.
\$5,000 to publish the Ramon Magsaysay Award Foundation's book of record, *The Ramon Magsaysay Awards*, and the awardee pamphlet series.

ZACARIAS B. SARIAN
Quezon City, Philippines \$5,000
To produce a book on the "Agri-Kapihan": an informal lecture series on a wide variety of subjects related to agriculture, which is held every Saturday at the Manila Seedling Bank in Quezon City, just outside Manila. The 1994 Yearbook, containing highlights of the 1993 and 1994 proceedings, is intended to serve as useful reference source on the latest developments in agricultural research and production.

GRANTS PAID
IN 1993

ONE WORLD: SUSTAINABLE RESOURCE USE

PAYMENTS MADE IN 1993 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
GLOBAL					
ALLIANCE TO SAVE ENERGY, THE Washington, D.C.	Green taxes project	75,000		37,500	37,500
CLAYOQUOT BIOSPHERE PROJECT SOCIETY Tofino, British Columbia	Marine research station	25,000		25,000	
CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY New York, New York	General support	40,000		20,000	20,000
EARTHACTION ALERTS NETWORK Amherst, Massachusetts	Environmental bulletins	50,000		50,000	
EARTHLIFE CANADA FOUNDATION Queen Charlotte City, British Columbia	Forest protection campaign	100,000		100,000	
FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW & DEVELOPMENT London, England	Report on environmental guidelines for international trade	37,500		37,500	
HARVARD UNIVERSITY Cambridge, Massachusetts	Center for International Affairs: International environmental institutions project	150,000		75,000	75,000
INFORUM, INC. Kutztown, Pennsylvania	Start-up support	100,000*	50,000	50,000	
NATIONAL WILDLIFE FEDERATION Washington, D.C.	International Forestry Advocacy Project	60,000		25,000	35,000
NATURAL RESOURCES DEFENSE COUNCIL Washington, D.C.	Report on environmental guidelines for international trade	37,500		37,500	
PACIFIC INSTITUTE FOR STUDIES IN DEVELOPMENT, ENVIRONMENT, AND SECURITY Oakland, California	Global environment program	75,000		37,500	37,500
SYNERGOS INSTITUTE, INC., THE New York, New York	General support	375,000		125,000	250,000
WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC. Morrilton, Arkansas	Symposium on Production Base for Agriculture	15,000		15,000	

*Appropriation made prior to 1993

ONE WORLD:
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
WOODS HOLE RESEARCH CENTER Woods Hole, Massachusetts	World Commission on Forests and Sustainable Development	150,000		75,000	75,000
WORLD RESOURCES INSTITUTE Washington, D.C.	Green taxes project	75,000		37,500	37,500
WORLDWATCH INSTITUTE Washington, D.C.	General support	525,000*	200,000	175,000	150,000

UNITED STATES

ALASKA CONSERVATION FOUNDATION Anchorage, Alaska	Alaska Coastal Rainforest Campaign	100,000		50,000	50,000
	To develop a model fishery management plan for Alaska	35,000			35,000
AMERICAN FARMLAND TRUST Washington, D.C.	Membership development project	1,000,000*	250,000	250,000	500,000
CENTER FOR MARINE CONSERVATION Washington, D.C.	Campaign for Restoration of Marine Fish and Fisheries	75,000		37,500	37,500
CENTER FOR POLICY ALTERNATIVES Washington, D.C.	Sustainable development program	225,000*	75,000	75,000	75,000
	To study and disseminate model sustainable agriculture programs	20,000		20,000	
CENTER FOR RESOURCE ECONOMICS Washington, D.C.	Island Press publications	90,000		60,000	30,000
FLATHEAD LAKERS, INC., THE Polson, Montana	Ecosystem protection plan	15,000		5,000	10,000
INSTITUTE FOR ALTERNATIVE AGRICULTURE, INC. Greenbelt, Maryland	General support	100,000*	61,500	38,500	
LAND AND WATER FUND OF THE ROCKIES Boulder, Colorado	To create model utility-based renewable energy strategies in the Southwest	75,000		37,500	37,500
LONG ISLAND PINE BARRENS SOCIETY Manorville, New York	Ecosystem management planning	35,000		35,000	
LONG ISLAND SOUNDKEEPER FUND Norwalk, Connecticut	Watershed protection efforts	70,000			70,000

*Appropriation made prior to 1993

ONE WORLD:
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
MANAGEMENT INSTITUTE FOR ENVIRONMENT AND BUSINESS Washington, D.C.	Pilot Program in Environmental Management Education	50,000		25,000	25,000
MARYLAND, THE UNIVERSITY OF, FOUNDATION, INC. Adelphi, Maryland	School of Public Affairs: International Institute of Environmental Policy and Management	50,000		15,000	35,000
MINNESOTA PROJECT, THE Saint Paul, Minnesota	Media campaign on sustainable farming issues	20,000		20,000	
NATIONAL AUDUBON SOCIETY New York, New York	Endangered Species Coalition project	50,000		25,000	25,000
NATIONAL FISH AND WILDLIFE FOUNDATION Washington, D.C.	To develop a model fishery management plan for Alaska	25,000		25,000	
NATURE CONSERVANCY, INC. Honolulu, Hawaii	Ecosystem management project	35,000		35,000	
ROCKEFELLER FAMILY FUND New York, New York	Environmental Grantmakers Association	13,000		13,000	
RODALE INSTITUTE Emmaus, Pennsylvania	Program to recycle urban yard wastes for use in agriculture	225,000*	150,000	75,000	
RURAL ADVANCEMENT FOUNDATION INTERNATIONAL USA Pittsboro, North Carolina	Southern Sustainable Agriculture Working Group	20,000		20,000	
RURAL EDUCATION ACTION PROJECT Montpelier, Vermont	Northeast Sustainable Agriculture Working Group	20,000			20,000
SOUTHERN ENVIRONMENTAL LAW CENTER Charlottesville, Virginia	Energy conservation project	225,000*	150,000	75,000	
WORLD RESOURCES INSTITUTE Washington, D.C.	North American Biodiversity Forum	75,000		37,500	37,500

EAST CENTRAL EUROPE & THE FORMER SOVIET UNION

BIOCULTURAL ASSOCIATION Budapest, Hungary	Technical equipment	20,000*	18,090		1,910
CENTER FOR CLEAN AIR POLICY Washington, D.C.	Program to reduce air pollution in Northern Bohemia	115,000		65,000	50,000
CENTER FOR ENVIRONMENTAL PUBLIC ADVOCACY Banska Bystrica, Slovakia	Training activities	10,000		10,000	

*Appropriation made prior to 1993

ONE WORLD:
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW Washington, D.C.	Training activities	25,000		25,000	
EASTERN EUROPEAN INDEPENDENT ENVIRONMENTAL 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	40,000	40,000
GERMAN MARSHALL FUND OF THE UNITED STATES Washington, D.C.	Environmental Partnership for Central Europe	450,000*	300,000	150,000	
	Environmental Partnership for Central Europe	650,000		210,000	440,000
GONCOL FOUNDATION Vac, Hungary	River Watch Network in East Central Europe	40,000			40,000
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	65,000	60,000
INSTITUTE FOR ENVIRONMENTAL POLICY Prague, Czech Republic	Start-up and initial operating costs	150,000*	50,000	50,000	50,000
INSTITUTE FOR SUSTAINABLE DEVELOPMENT Warsaw, Poland	Start-up support	225,000*	150,000	75,000	
INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC. Washington, D.C.	Energy efficiency program	300,000		100,000	200,000
KENTUCKY COALITION Banner, Kentucky	Training activities	17,500		17,500	
MICHAEL FIELDS AGRICULTURAL INSTITUTE, INC. East Troy, Wisconsin	For a program to advance ecological agriculture in East Central Europe and the former Soviet Union	150,000*	145,000	5,000	
MINISTRY FOR ENVIRONMENTAL PROTECTION OF UKRAINE Kiev, Ukraine	Sustainable development workshop	25,000		19,639	5,361 ¹
PALACKY UNIVERSITY Olomoc, Czech Republic	To publish <i>ECOLOGY: Individuals, Population, and Communities</i>	9,000		9,000	

¹Lapsed

*Appropriation made prior to 1993

ONE WORLD:
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
PROJECT FOR PUBLIC SPACES, INC. New York, New York	Historic preservation and urban renewal activities in the Czech Republic	125,000		75,000	50,000
RESOURCES DEVELOPMENT FOUNDATION New York, New York	Sustainable waste water management workshops	50,000		50,000	
TIDES FOUNDATION San Francisco, California	Training activities	22,500		22,500	
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	
CONSUMERS UNION OF UNITED STATES, INC. Yonkers, New York	Integrated Pest Management project	74,000		74,000	
INSTITUTE FOR DEVELOPMENT RESEARCH Boston, Massachusetts	Green China project	120,000		60,000	60,000
INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC. Washington, D.C.	Energy efficiency activities in East Asia	300,000*	100,000	100,000	100,000
INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION New York, New York	Sustainable agriculture program	210,000*	70,000	110,000	30,000
NANJING INSTITUTE OF ENVIRONMENTAL SCIENCE Nanjing, China	Agroecosystem project	90,000		20,000	70,000
NATIONAL COMMITTEE ON U.S.-CHINA RELATIONS, INC. New York, New York	Sustainable land use plan for the Ussuri Watershed	225,000		75,000	150,000
NEW YORK RAINFOREST ALLIANCE, INC. New York, New York	Political ecology network in Southeast Asia	35,000		35,000	
NITROGEN FIXING TREE ASSOCIATION Waimanalo, Hawaii	To expand its programs in Southeast Asia	135,000*	90,000	45,000	
SAVE THE CHILDREN FEDERATION, INC. Westport, Connecticut	Regional Initiative in Sustainable Agriculture	150,000*	60,000	50,000	40,000

*Appropriation made prior to 1993

ONE WORLD:
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
SOLAR ELECTRIC LIGHT FUND Washington, D.C.	Program to promote the use of solar power systems in rural areas	150,000		50,000	100,000
WILDLIFE FUND THAILAND Bangkok, Thailand	Institution building	100,000*	70,000		30,000
WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC. Morrilton, Arkansas	Scholarly exchanges with China	195,000*	62,000	76,000	57,000
YALE UNIVERSITY New Haven, Connecticut	School of Forestry: Political ecology network in Southeast Asia	55,000		55,000	

GLOBAL CLIMATE CHANGE

CONSERVATION LAW FOUNDATION Boston, Massachusetts	Energy efficiency programs	75,000		75,000	
ENVIRONMENTAL DEFENSE FUND New York, New York	International component of its global atmosphere program	150,000		75,000	75,000
FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW AND DEVELOPMENT London, England	Energy efficiency programs	75,000		75,000	
MEDIA NATURA TRUST LIMITED London, England	To produce an environmental newsletter during climate change negotiations	5,000		5,000	
STOCKHOLM ENVIRONMENT INSTITUTE Stockholm, Sweden	Climate Network Europe	120,000		60,000	60,000
SUBTOTAL				4,000,139	3,437,039

*Appropriation made prior to 1993

ONE WORLD: WORLD SECURITY

PAYMENTS MADE IN 1993 AND GRANTS OUTSTANDING

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
GLOBAL					
ARMS CONTROL ASSOCIATION Washington, D.C.	Nuclear nonproliferation media project	120,000*	40,000	40,000	40,000
BROOKINGS INSTITUTION, THE Washington, D.C.	Africa Program	375,000*	250,000	125,000	
CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE Washington, D.C.	Non-Proliferation Project	255,000		85,000	170,000
INSTITUTE FOR SCIENCE AND INTERNATIONAL SECURITY Washington, D.C.	Nuclear Non-Proliferation Project	100,000		50,000	50,000
MASSACHUSETTS INSTITUTE OF TECHNOLOGY Cambridge, Massachusetts	Nuclear Arms Control in the Middle East project	50,000		50,000	
MONTEREY INSTITUTE OF INTERNATIONAL STUDIES Monterey, California	Project on the new role of international organizations in nonproliferation	150,000*	50,000	50,000	50,000
	NIS Nonproliferation Project	150,000		50,000	100,000
NEW YORK UNIVERSITY New York, New York	NIS Non-Proliferation Media Project	90,000		45,000	45,000
NUCLEAR CONTROL INSTITUTE Washington, D.C.	Nuclear Oversight Project	130,000*	65,000	65,000	
PEACE RESEARCH INSTITUTE FRANKFURT Frankfurt, Germany	Nonproliferation Program	210,000*	140,000	70,000	
	To assist East European nonproliferation efforts	60,000*	30,000	30,000	
PRINCETON UNIVERSITY, TRUSTEES OF Princeton, New Jersey	Program on Nuclear Policy Alternatives	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	300,000		205,000	95,000
STIMSON CENTER, HENRY L., THE Washington, D.C.	Confidence-Building Measures Project	100,000		50,000	50,000
UNITED NATIONS ASSOCIATION OF THE UNITED STATES OF AMERICA, INC. New York, New York	Nuclear nonproliferation project	90,000		45,000	45,000
VERIFICATION TECHNOLOGY INFORMATION CENTRE London, England	Publication on verification issues	75,000		25,000	50,000

*Appropriation made prior to 1993

ONE WORLD:
WORLD SECURITY

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
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 EUROPE & THE FORMER SOVIET UNION

CZECHOSLOVAK MANAGEMENT CENTER FOUNDATION Prague, Czech Republic	To establish the Czechoslovak Management Center	300,000*	275,000	25,000	
FOUNDATION FOR A CIVIL SOCIETY, LTD. New York, New York	General support and survey of assistance programs	50,000		50,000	
	General support	75,000		75,000	
FRIENDS OF WWB/USA. INC. New York, New York	To establish affiliates in Central and Eastern Europe	225,000*	75,000	75,000	75,000
HARVARD UNIVERSITY Cambridge, Massachusetts	Graduate School of Business Program 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	
HUNGARIAN-AMERICAN ENTERPRISE FUND Washington, D.C.	Support for the International Management Center	75,000		75,000	
INSTITUTE FOR EASTWEST STUDIES New York, New York	General support	600,000*	250,000	245,000	105,000
INSTITUTE FOR HUMAN SCIENCES Vienna, Austria	Conference and fellowship programs	150,000*	100,000	50,000	
	General support	300,000		100,000	200,000
INSTITUTE OF PUBLIC ADMINISTRATION AND LOCAL GOVERNMENT Kiev, Ukraine	Director's General Fund	25,000		25,000	
INTERNATIONAL HOUSE New York, New York	Alan & Tudy McLaine East Central European Program	60,000		20,000	40,000
INTERNATIONAL INSTITUTE FOR APPLIED SYSTEMS ANALYSIS Laxenburg, Austria	Study of business management education in East Central Europe	24,550		24,550	

*Appropriation made prior to 1993

ONE WORLD:
WORLD SECURITY

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
EAST ASIA					
AMERICAN ASSEMBLY, THE New York, New York	"The United States, Japan and Asia: Challenges to U.S. Policy" conference	100,000		100,000	
ASIA FOUNDATION, THE San Francisco, California	Democratization in Asia project	150,000*	135,000	15,000	
ASIA SOCIETY, THE, INC. New York, New York	Prospects for International Cooperation in Northeast Asia conference	100,000		50,000	50,000
ASIAN CULTURAL COUNCIL, INC. New York, New York	General support	335,000		335,000	
AUSTRALIAN NATIONAL UNIVERSITY, THE Canberra, Australia	Pacific Trade and Development Conferences	30,000*	10,000	10,000	10,000
BROOKINGS INSTITUTION, THE Washington, D.C.	East Asia Studies Program	180,000*	120,000	60,000	
CALIFORNIA, UNIVERSITY OF, THE REGENTS OF THE Berkeley, California	Institute of East Asian Studies (Berkeley): U.S.-North Korea bilateral conferences	147,000*	57,130		89,870
	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	China & the 21st Century project	35,000		35,000	
CHICAGO COUNCIL ON FOREIGN RELATIONS, THE Chicago, Illinois	Asia and the Middle West project	150,000*	50,000	50,000	50,000
COUNCIL ON FOREIGN RELATIONS, INC. New York, New York	"The Shifting Balance of Global Economic Power and the Implications for U.S.-Asian Relations" project	25,000			25,000
GEORGETOWN UNIVERSITY Washington, D.C.	"Harmonization of Law and Policy in the Asia-Pacific Region" project	150,000			150,000
INSTITUTE FOR INTERNATIONAL ECONOMICS Washington, D.C.	China in the World Economy project	50,000		50,000	
	Toward a Pacific Economic Community project	200,000		200,000	
INSTITUTE OF SOUTHEAST ASIAN STUDIES Republic of Singapore	ASEAN-APEC project	100,000		50,000	50,000
	For a conference, "Southeast Asia: The Challenges of the 21st Century"	25,000		25,000	
INTERNATIONAL HOUSE OF JAPAN Tokyo, Japan	Dartmouth-International House conference series	80,000			80,000

*Appropriation made prior to 1993

ONE WORLD:
WORLD SECURITY

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
JAPAN CENTER FOR INTERNATIONAL EXCHANGE, INC. New York, New York	General support	120,000*	80,000	40,000	
JAPAN SOCIETY, INC. New York, New York	McEachron Policy Forum	100,000		50,000	50,000
JOHNS HOPKINS UNIVERSITY Baltimore, Maryland	Paul H. Nitze School of Advanced International Studies: Book on Korean Peninsula	40,000		20,000	20,000
MARYLAND, UNIVERSITY OF, FOUNDATION Adelphi, Maryland	Center for International Security Studies: Project on U.S.-Japan relations	44,000*		22,000	22,000
NATIONAL ACADEMY OF SCIENCES Washington, D.C.	Managing the U.S.-Japan relationship in science and technology project	175,000*	75,000	50,000	50,000
NATIONAL BUREAU OF ASIAN RESEARCH Seattle, Washington	The New Russia in Asia project	150,000*	50,000	50,000	50,000
UNITED NATIONS ASSOCIATION 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	
UNITED STATES NATIONAL COMMITTEE FOR PACIFIC ECONOMIC COOPERATION Washington, D.C.	Institutional development	42,000*	30,000	12,000	
YONSEI UNIVERSITY Seoul, Korea	Institute of East and West Studies: Structural Transition and Industrial Cooperation in Northeast Asia project	117,500		33,500	84,000
YORK UNIVERSITY Toronto, Canada	Joint Centre for Asia-Pacific Studies: For an assessment of Asia-Pacific security studies	25,000		25,000	
SUBTOTAL				3,512,150	1,955,870

*Appropriation made prior to 1993

NONPROFIT SECTOR

PAYMENTS MADE IN 1993 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
UNITED STATES					
AMERICAN ALLIANCE FOR RIGHTS AND RESPONSIBILITIES Washington, D.C.	Citizenship and Community Program	100,000			100,000
ASPEN INSTITUTE FOR HUMANISTIC STUDIES Queenstown, Maryland	Nonprofit Sector Research Fund	250,000*	190,000	60,000	
	Nonprofit Sector Research Fund	300,000			300,000
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*	150,000	100,000	
INVESTMENT FUND FOR FOUNDATIONS, THE Washington, D.C.	To launch a commingled investment fund for foundations	225,000*	100,000	75,000	50,000
THOMAS JEFFERSON MEMORIAL FOUNDATION Charlottesville, Virginia	Capital campaign	125,000		125,000	
NATIONAL COMMITTEE FOR RESPONSIVE PHILANTHROPY Washington, D.C.	Workplace fundraising project	120,000*	80,000	40,000	
NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS Washington, D.C.	Assistance to State Associations of Nonprofit Organizations Project	150,000*	50,000	50,000	50,000
NEW PRESS, THE New York, New York	General support	150,000*	100,000	50,000	
NEW YORK COMMUNITY TRUST New York, New York	Council on Foundation Annual Conference Fund	20,000		20,000	
NEWS AND OBSERVER FOUNDATION, THE Raleigh, North Carolina	<i>Philanthropy Journal of North Carolina</i>	1,000		1,000	
PUBLIC ALLIES: THE NATIONAL CENTER FOR CAREERS IN PUBLIC LIFE Washington, D.C.	General support	60,000*	36,150	23,850	
	General support for its national office	150,000		65,000	85,000
UNION INSTITUTE Cincinnati, Ohio	Center for Public Policy: Programs on the nonprofit sector and public policy	124,000		54,000	70,000
VOLUNTEER CONSULTING GROUP, INC. New York, New York	Tri-State Board Marketplace Program	50,000		50,000	

*Appropriation made prior to 1993

NONPROFIT SECTOR

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
WASHINGTON CENTER FOR INTERNSHIPS AND ACADEMIC SEMINARS Washington, D.C.	Minority Leaders Fellowship Program	75,000		25,000	50,000
YALE UNIVERSITY New Haven, Connecticut	School of Organization and Management: Student internship fund	52,000*	39,500	12,500	
	Institution for Social and Policy Studies: Program on Non-Profit Organizations	150,000		50,000	100,000

INTERNATIONAL

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	
CATHOLIC UNIVERSITY OF AMERICA Washington, D.C.	Project to study Poland's law on foundations	15,000		15,000	
COMMITTEE OF GOOD WILL, THE Prague, Czech Republic	General support	30,000*		10,000	20,000
COUNCIL ON FOUNDATIONS, INC. Washington, D.C.	Program for Leadership in International Philanthropy	75,000*	40,000		35,000
VACLAV HAVEL FOUNDATION FOR THE REVIVAL OF PRAGUE CASTLE Prague, Czech Republic	Prague Castle restoration	15,000		15,000	
INFORMATION CENTER FOR FOUNDATIONS Prague, Czech Republic	General support	30,000		30,000	
INTERACTION: THE AMERICAN COUNCIL FOR VOLUNTARY INTERNATIONAL ACTION, INC. Washington, D.C.	Project on standards of conduct	20,000		20,000	
INTERNATIONAL YOUTH FOUNDATION Battle Creek, Michigan	Polish Children and Youth Foundation	150,000		85,000	65,000
JAPAN CENTER FOR INTERNATIONAL EXCHANGE, INC. New York, New York	Survey of nonprofit sector in East Asia	20,000		20,000	

* Appropriation made prior to 1993

NONPROFIT SECTOR

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
JAPANESE NGO CENTER FOR INTERNATIONAL COOPERATION Tokyo, Japan	General support	120,000		40,000	80,000
JOHNS HOPKINS UNIVERSITY, THE Baltimore, Maryland	Institute for Policy Studies: International Fellows in Philanthropy program	150,000*	100,000	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*	89,285	35,715	
RESEARCH PROJECT ON NONPROFIT ORGANIZATIONS Budapest, Hungary	Charitable behavior study	25,000		25,000	
SLOVAK ACADEMIC INFORMATION AGENCY Bratislava, Slovakia	General support	20,000		20,000	
YONSEI UNIVERSITY Seoul, Korea	Institute of East and West Studies: Private philanthropy conference	47,150		47,150	

PHILANTHROPIC SUPPORT ORGANIZATIONS

COUNCIL ON FOUNDATIONS. INC. Washington, D.C.	General support	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.	General support	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	General support	9,000		9,000	
SUBTOTAL				1,418,215	1,005,000

*Appropriation made prior to 1993

EDUCATION

PAYMENTS MADE IN 1993 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
RBF FELLOWS					
STIPENDS FOR FELLOWS AND MENTORS				164,500	124,500

MINORITIES					
ARIZONA BOARD OF REGENTS Tempe, Arizona	Project 1000 teacher education initiative	150,000		50,000	100,000
CENTER FOR COLLABORATIVE EDUCATION, THE New York, New York	Pilot teacher education program	200,000*	100,000	100,000	
CLAREMONT UNIVERSITY CENTER Claremont, California	Multi-Ethnic Teacher Advancement Project	150,000		50,000	100,000
MOUNT HOLYOKE COLLEGE South Hadley, Massachusetts	SummerMath for Teachers	135,000*	85,000	50,000	
PRESCOTT COLLEGE Prescott, Arizona	Pre-service environmental teacher education program	50,000		25,000	25,000
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*	50,000	25,000	
SINTE GLESKA UNIVERSITY Rosebud, South Dakota	Student fellowship	9,600		9,600	

EARLY CHILDHOOD					
FAMILY SERVICE ASSOCIATION OF NASSAU COUNTY, INC. Hempstead, New York	Teacher and Parent Education Project	115,410*	76,940	38,470	
HIGH SCOPE EDUCATION RESEARCH FOUNDATION Ypsilanti, Michigan	Teacher training initiative	32,000		32,000	
NEW YORK STATE CHILD CARE COORDINATING COUNCIL Albany, New York	To develop a career development plan for early childhood professionals in New York state	60,000		60,000	
WHEELOCK COLLEGE Boston, Massachusetts	Center for Career Development in Early Care and Education	200,000*	100,000	100,000	

*Appropriation made prior to 1993

EDUCATION

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
NON-SCHOOL SETTINGS					
AMERICAN ASSOCIATION FOR THE ADVANCEMENT OF SCIENCE Washington, D.C.	Black Churches and Black Colleges Partnership	183,000*	48,000	135,000	

UNDERGRADUATE, LIBERAL ARTS PROGRAMS					
COLLEGE VENTURE CONSORTIUM Providence, Rhode Island	Teachers for Tomorrow program	25,000		25,000	
COMMUNITY PREPARATORY, INC. Providence, Rhode Island	Teach for the Future program	60,000		20,000	40,000
PRINCETON UNIVERSITY, TRUSTEES OF Princeton, New Jersey	Summer Institute in History	224,984		76,166	148,818

PROJECTS OF PARTICULAR MERIT					
CARNEGIE FOUNDATION FOR THE ADVANCEMENT OF TEACHING Princeton, New Jersey	<i>School Choice</i> report	15,000		15,000	
FOXFIRE FUND, INC., THE Rabun Gap, Georgia	Teacher Outreach Program	75,000		75,000	
TEACH FOR AMERICA, INC. New York, New York	General support	75,000		75,000	
SUBTOTAL				1,125,736	538,318

*Appropriation made prior to 1993

NEW YORK CITY

PAYMENTS MADE IN 1993 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
FUND FOR NEW YORK CITY PUBLIC EDUCATION New York, New York	Conflict resolution and peer mediation program in the public schools	300,000*	175,000	125,000	
NEW YORK COMMUNITY TRUST New York, New York	Education Reform Project	25,000		25,000	

HOUSING

BARNARD COLLEGE New York, New York	Public housing policies study	25,000		25,000	
BEC NEW COMMUNITIES HOUSING DEVELOPMENT FUND COMPANY New York, New York	Leadership institutes	150,000		75,000	75,000
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	
PRATT INSTITUTE New York, New York	Pratt Community Economic Development Internship	300,000		140,000	160,000
RESEARCH FOUNDATION OF THE STATE UNIVERSITY OF NEW YORK Albany, New York	Nelson A. Rockefeller Institute of Government: New York City Housing Partnership study	25,000		25,000	

AIDS

BLACK LEADERSHIP COMMISSION ON AIDS, INC. New York, New York	General support	80,000		40,000	40,000
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	
	The Orphan Project	80,000		50,000	30,000

*Appropriation made prior to 1993

NEW YORK CITY

		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
LATINO COMMISSION ON AIDS, INC. New York, New York	General support	80,000		40,000	40,000
NEW YORK AIDS COALITION, INC. New York, New York	Housing program	60,000 ^a	30,000	30,000	
SUBTOTAL				1,040,000	370,000

^aAppropriation made prior to 1993

SPECIAL CONCERNS: SOUTH AFRICA

PAYMENTS MADE IN 1993 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
BASIC EDUCATION					
ABE DEVELOPMENT SERVICES TRUST Cape Town, South Africa	Curriculum development	100,000		50,000	50,000
CAPE TOWN, UNIVERSITY OF Cape Town, South Africa	Primary Math Education Project	84,000*	42,000	42,000	
CATHOLIC WELFARE AND DEVELOPMENT Cape Town, South Africa	Development Education and Leadership Training for Adults project	87,000*	25,000	29,000	33,000
COOPERATIVE ORGANIZATION FOR THE UPGRADING OF NUMERACY TRAINING Johannesburg, South Africa	Teacher training program	79,000		36,000	43,000
DIOCESE OF GRAHAMSTOWN Grahamstown, South Africa	Rural Development Program	77,000*	63,000		14,000 ¹
ELTIC EDUCATION TRUST, THE Johannesburg, South Africa	To provide in-service courses for farm school teachers	90,000*	60,000	30,000	
MATHEMATICS CENTRE FOR PRIMARY TEACHERS Johannesburg, South Africa	Textbook development	41,000		41,000	
NATAL, UNIVERSITY OF Durban, South Africa	Educare and Training Centre: Materials development project	69,000*	46,000	23,000	
NTATAISE TRUST Viljoenskroon, South Africa	To develop materials for early childhood educators in farm schools	31,000*	10,000	21,000	
PROJECT LITERACY TRUST FUND Pretoria, South Africa	Leeuwkop Prison Project	28,000		28,000	
SACHED TRUST Johannesburg, South Africa	Children's Literacy Project	50,000		50,000	
USWE TRUST Cape Town, South Africa	Curriculum development	100,000		50,000	50,000
WITWATERSRAND, UNIVERSITY OF Johannesburg, South Africa	Era Initiative	105,000*	70,000		35,000

SPECIAL OPPORTUNITIES

FUND FOR EDUCATION IN SOUTH AFRICA New York, New York	Strategic planning	15,000		15,000	
SUBTOTAL				415,000	211,000

¹Lapsed

*Appropriation made prior to 1993

RAMON MAGSAYSAY AWARD FOUNDATION

PAYMENTS MADE IN 1993 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
RAMON MAGSAYSAY AWARD FOUNDATION					
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Ramon Magsaysay Awards for 1993	150,000		150,000	

PROGRAM FOR ASIAN PROJECTS					
ALCALA, ANGEL C. Quezon City, Philippines	Coastal restoration project	10,000			10,000
ASIAN INSTITUTE OF TECHNOLOGY Bangkok, Thailand	Self-Contained Housing Delivery System manuals	10,000			10,000
BENGZON, ALFREDO R.A. Manila, Philippines	Community education effort regarding the use of medications	10,000			10,000
DESAI, MANIBHAI B. Pune, India	Project on watershed development in drought-prone areas	6,000 *		6,000	
	Project on watershed development in drought-prone areas	4,000			4,000
HANAFIAH, TAN SRI BIN HAJI AHMAD Kuala Lumpur, Malaysia	For a project to increase indigenous peoples' representation in corporate administration	9,360			9,360
HATA, PRATEEP U. Manila, Philippines	Klong Toey Clean Project	10,000 *		10,000	
JOSE, FRANCISCO SIONIL Manila, Philippines	Seminars on contemporary issues	10,000			10,000
KAWAKITA, JIRO Tokyo, Japan	Study of the Rope-line System in the Himalaya	10,000 *		10,000	
KHAN, SHOAIB SULTAN KHAN, AKHTER HAMEED Islamabad, Pakistan	Video documentaries	10,000			10,000
LEE, TAI-YOUNG KIM, IM-SOON Seoul, Korea	Training for family legal aid counselors	15,000			15,000
LI, KWOH TING Taiwan, China	Economic Development and Ethical Standards in Asia project	10,000			10,000
PHILIPPINE-BASED MAGSAYSAY AWARDEES Manila, Philippines	To plant "mini-forests" in the Philippines	20,000 *		20,000	
PHILIPPINES, UNIVERSITY OF THE Laguna, Philippines	College of Agriculture: Technology Application for Sustainable Agriculture project	9,800			9,800

*Appropriation made prior to 1993

RAMON MAGSAYSAY AWARDS

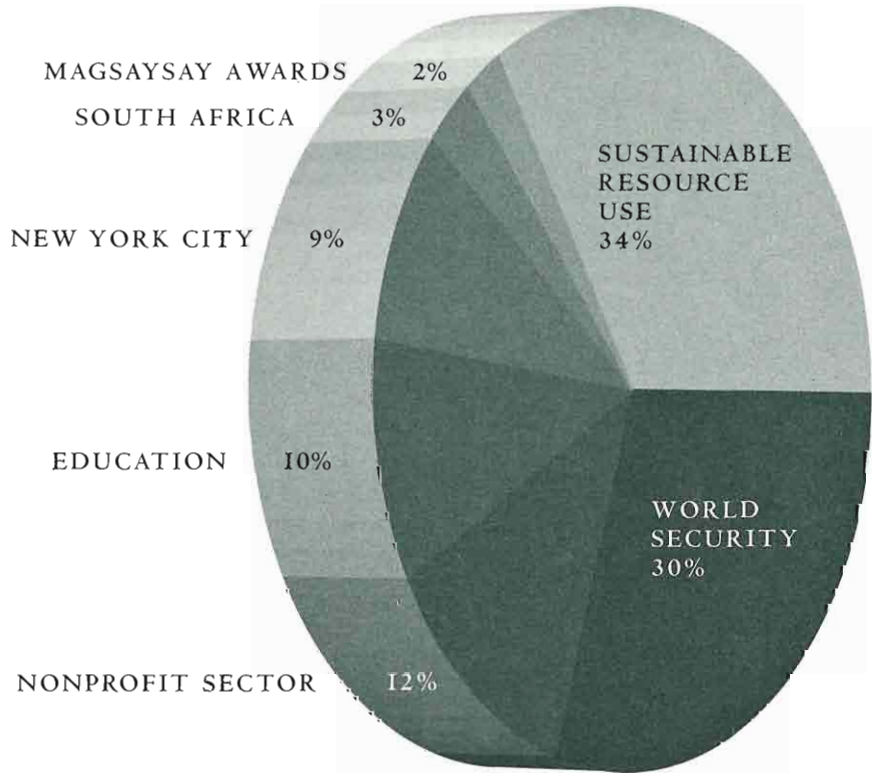
		Total Appropriation	Paid in Previous Years	Payment in 1993	Unpaid Balance
PRESS FOUNDATION OF ASIA Manila, Philippines	Program to increase media coverage of PAP projects	5,000 *		5,000	
	Program to increase media coverage of PAP projects	5,000			5,000
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Asian Issues and Trends for Development project	10,000 *		10,000	
	Asian Issues and Trends for Development project	10,000			10,000
	Publication of <i>The Magsaysay Awardee</i>	4,000 *		4,000	
	Publication of <i>The Magsaysay Awardee</i>	4,500			4,500
	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	
	Publication of <i>The Ramon Magsaysay Awards</i> and the <i>Awardee Pamphlet</i> series	5,000			5,000
	Heroes of Asian Journalism	10,000			10,000
SARIAN, ZACARIAS B. Manila, Philippines	Agri-Kapihan Yearbook	5,000			5,000
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				265,000	137,660

*Appropriation made prior to 1993

GRANTS SUMMARY

SUMMARY OF PAYMENTS MADE IN 1993

	Payments in 1993
One World: Sustainable Resource Use	\$ 4,000,139
One World: World Security	3,512,150
Nonprofit Sector	1,418,215
Education	1,125,736
New York City	1,040,000
Special Concerns: South Africa	415,000
Ramon Magsaysay Awards	265,000
	<hr/> 11,776,240
Payments matching employee contributions to charitable institutions	<hr/> 19,155
Appropriations paid in 1993	<hr/> \$ 11,795,395



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

UNPAID APPROPRIATIONS, DECEMBER 31, 1992

Principal Fund	\$6,870,044	
Asian Projects Fund	115,000	
RBF Awards in Arts Education	<u>89,946</u>	
		\$7,074,990

APPROPRIATIONS AUTHORIZED IN 1993

Principal Fund	12,177,784
Ramon Magsaysay Award Foundation	150,000
Asian Projects Fund	137,660
RBF Awards in Arts Education	-0-
Charitable Matching Gifts	<u>19,155</u>
	12,484,599

Less:

Appropriations Lapsed: Principal Fund	<u>22,991</u>	
		12,461,608

APPROPRIATIONS PAID IN 1993

Principal Fund	11,511,241
Ramon Magsaysay Award Foundation	150,000
Asian Projects Fund	<u>115,000</u>
	11,776,241
RBF Awards in Arts Education	-0-
Charitable Matching Gifts	19,155

Less:

Grant Returned: Principal Fund	<u>3,629</u>	
		<u>11,791,767</u>

UNPAID APPROPRIATIONS, DECEMBER 31, 1993

Principal Fund	7,517,225	
Ramon Magsaysay Award Foundation	-	
Asian Projects Fund	<u>137,660</u>	
	7,654,885	
RBF Awards in Arts Education	<u>89,946</u>	
		<u>\$ 7,744,831</u>

FINANCIAL
REPORT

FINANCIAL REPORT

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, 1993, 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, 1993 and the results of its operations for the year then ended in conformity with generally accepted accounting principles.

As explained in Note 2, the financial statements include investments in limited partnerships which, in certain instances, have valued portions of their underlying portfolios on fair value bases as determined by management of each limited partnership or their designee. As of December 31, 1993, \$11,981,000 (3.5% 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 15, 1994

ROCKEFELLER BROTHERS FUND, INC. BALANCE SHEET

December 31, 1993 with Comparative 1992 Totals

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Restoration Fund	Total 1993 All Funds	Total 1992 (Note 10)
ASSETS							
Cash	\$12,028,777	\$1,863,111	\$108,475	\$100,634	\$ -	\$14,100,997	\$17,376,838
Accounts Receivable	37,969	-	-	-	-	37,969	28,642
Interest and Dividends Receivable	1,738,275	258,296	16,841	15,624	10,274	2,039,310	1,680,670
Due from Brokers and Dealers	2,314,451	317,663	22,423	20,802	-	2,675,339	4,166,753
Investments, at market value (Note 3)	295,214,612	43,893,889	2,135,106	2,531,669	1,950,429	345,725,705	314,211,904
Program Related Investments:							
Program mortgage loan	540,000	-	-	-	-	540,000	554,192
Real estate (Note 4)	510,000	-	-	-	-	510,000	510,000
Other	764,959	-	-	-	-	764,959	786,224
Prepaid Taxes	181,181	-	-	-	-	181,181	(42,749)
Prepaid Expenses (Note 5)	546,570	-	-	-	-	546,570	516,943
Fixed Assets (net of accumulated depreciation and amortization of \$967,571)	565,800	6,603	-	-	6,635,401	7,207,804	2,637,325
Interfund	1,276,700	(1,023,307)	(234,000)	(22,924)	3,531	-	-
Total Assets	\$315,719,294	\$45,316,255	\$2,048,845	\$2,645,805	\$8,599,635	\$374,329,834	\$342,426,742

LIABILITIES AND FUND BALANCES

Liabilities:

Securities sold short, not yet purchased (Note 3)	\$13,780,441	\$212,856	\$13,878	\$12,876	\$ -	\$14,020,051	\$13,481,777
Grants payable (Note 2)	7,607,171	-	-	137,660	-	7,744,831	7,074,990
Due to brokers and dealers	6,986,318	1,038,121	67,685	62,793	-	8,154,917	5,390,660
Accounts payable and accrued liabilities	230,166	117,369	-	-	470,684	818,219	1,202,172
Total liabilities	28,604,096	1,368,346	81,563	213,329	470,684	30,738,018	27,149,599
Commitments (Note 7)							
Fund Balances	287,115,198	43,947,909	1,967,282	2,432,476	8,128,951	343,591,816	315,277,143
Total Liabilities and Fund Balances	\$315,719,294	\$45,316,255	\$2,048,845	\$2,645,805	\$8,599,635	\$374,329,834	\$342,426,742

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, 1993 with Comparative 1992 Totals

	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Restoration Fund	Total 1993 All Funds	Total 1992 (Note 10)
REVENUES							
Dividend income	\$2,039,947	\$325,999	\$15,393	\$14,279	\$14,943	\$2,410,561	\$4,062,851
Interest income	8,036,734	1,153,169	111,253	89,467	87,334	9,477,957	9,119,188
Other investment income	392,064	(50,871)	(3,317)	(3,078)	-	334,798	746,139
Contributions	10,000	-	-	-	3,525,474	3,535,474	1,192,607
	10,478,745	1,428,297	123,329	100,668	3,627,751	15,758,790	15,120,785
EXPENSES							
Functional expenses (Exhibit I):							
Direct charitable activities	716,317	1,789,385	-	-	811,496	3,317,198	2,248,338
Program and grant management	14,088,494	-	203,304	173,420	-	14,465,218	12,487,009
Investment management	1,647,742	191,803	11,053	14,750	9,001	1,874,349	1,696,066
General management	1,537,533	57,182	-	-	10,797	1,605,512	1,362,780
	17,990,086	2,038,370	214,357	188,170	831,294	21,262,277	17,794,193
(Deficiency) excess of revenues over expenses	(7,511,341)	(610,073)	(91,028)	(87,502)	2,796,457	(5,503,487)	(2,673,408)
GAIN ON INVESTMENTS							
Net realized gain from securities sales	18,908,897	3,901,529	120,923	112,596	565,510	23,609,455	22,593,958
Net change in unrealized gain on investments	9,096,827	1,351,729	88,133	81,762	(409,746)	10,208,705	(14,278,584)
	28,005,724	5,253,258	209,056	194,358	155,764	33,818,160	8,315,374
Excess of revenues and gain on investments over expenses	20,494,383	4,643,185	118,028	106,856	2,952,221	28,314,673	5,641,966
FUND BALANCES							
beginning of year	266,620,815	39,750,724	1,849,254	2,325,620	4,730,730	315,277,143	309,635,177
Interfund transfer	-	(446,000)	-	-	446,000	-	-
FUND BALANCES end of year	\$287,115,198	\$43,947,909	\$1,967,282	\$2,432,476	\$8,128,951	\$343,591,816	\$315,277,143

The accompanying notes are an integral part of this statement.

ROCKEFELLER BROTHERS FUND, INC.
NOTES TO FINANCIAL STATEMENTS

December 31, 1993

(1) ORGANIZATION AND PURPOSE

The Rockefeller Brothers Fund, Inc. (the "Fund") is a nonprofit, charitable corporation existing under the New York not-for-profit corporation law and is classified as a private foundation as defined in the Internal Revenue Code. The Fund's principal purpose is to make grants to local, national and international philanthropic organizations. The 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, pursuant to an agreement with the National Trust for Historic Preservation in the United States.

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, 1993, \$11,981,000 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, and the differences could be material.

Effective July 1, 1993, the Fund pooled the investments of the Principal Fund, Pocantico Fund, Ramon Magsaysay Award Foundation Fund, and Asian Projects Fund. As a result, interest and dividend income and realized and unrealized gains or losses are allocated to each fund using the unitized investment method.

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, 1993 will be paid as follows:

1994: \$5,296,093	1995: \$2,098,738	1996: \$350,000	Total: \$7,744,831
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Fellowships for minority students are awarded in three stages, for summer projects, graduate study and student loan repayments. Included in Grants Awarded as of December 31, 1993 is \$289,000 awarded to Fellows. As of December 31, 1993, the Fund has commitments of approximately \$514,800, if each of the Fellows completes all stages of the Fellowship Program, based on two years of graduate study.

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.

FINANCIAL REPORT

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 at December 31, 1993 are as follows:

	Cost	Unrealized Appreciation	Market
Short-term investments	\$20,615,540	\$209,343	\$20,824,883
Stocks	116,109,925	20,531,316	136,641,241
Bonds	113,340,275	1,771,730	115,112,005
Limited partnerships	61,990,383	11,157,193	73,147,576
	<u>\$312,056,123</u>	<u>\$33,669,582</u>	<u>\$345,725,705</u>

The cost of investments in each fund at December 31, 1993 is as follows:

Principal Fund	\$267,615,866
Pocantico Fund	38,626,031
Ramon Magsaysay Award Foundation Fund	1,698,274
Asian Projects Fund	2,174,492
Pocantico Restoration Fund	1,941,460
	<u>\$312,056,123</u>

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 at trade date of such securities sold was \$12,974,814.

(4) PROGRAM RELATED INVESTMENTS

The Fund's program related investments have limited or no marketability and are stated at the lower of cost or estimated fair value. 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, 1993 and for the year then ended:

FINANCIAL REPORT

Actuarial present value of benefit obligations:

Accumulated benefit obligation, including vested benefits of \$2,695,099	\$ 2,960,753
Projected benefit obligation for services rendered to date	\$ 3,616,469
Plan assets at fair value	4,995,999
Plan assets in excess of projected benefit obligation	1,379,530
Unrecognized prior service cost	1,267
Unrecognized net gain from past experience different from that assumed and effects of changes in assumptions	139,068
Unamortized transitional net asset	695,159
Prepaid pension cost included in assets	\$ 546,570
Net pension (benefit) for 1993 included the following components:	
Service cost—benefits earned during period	\$ 167,061
Interest cost on projected benefit obligation	273,585
Actual return on plan assets	(421,615)
Net amortization and deferral	(48,658)
Net periodic pension (benefit)	\$ (29,627)

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 percent and 5.5 percent, respectively. The expected long-term rate of return on assets was 9 percent.

(6) RELATED PARTY TRANSACTIONS

The Fund paid Rockefeller and Co., Inc., fees of \$158,800 as one of its investment advisors and paid Rockefeller Financial Services, Inc., fees of \$40,901 for the management of the Fund's qualified pension plans, and other services for the year ended December 31, 1993. The Fund was reimbursed \$85,385 for the fair value of certain common expenses, including accounting and occupancy by the Rockefeller Family Fund, Inc.

The Fund invested an additional \$13,000,000 during 1993 for a total commitment of \$23,000,000 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 excluding escalation as follows:

Fiscal Year	
1994	642,469
1995	642,469
1996	642,469
1997	642,469
1998	642,469

The lease expires on December 31, 1998. Net rent expense aggregated approximately \$533,000 in 1993.

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 1993, these costs aggregated approximately \$1,376,000. In addition, \$446,000 was expended for capital improvements in 1993.

Under the same agreement, the Fund agreed to conduct a program of public visitation of the Pocantico Historic Area. Historic Hudson Valley was engaged by the Fund to operate this program on its behalf. The Fund expects to pay Historic Hudson Valley approximately \$781,000 in start-up costs for the visitation program. In 1993, these costs aggregated approximately \$355,000.

(8) POSTRETIREMENT HEALTHCARE BENEFITS

In December 1990, the Financial Accounting Standards Board issued Statement 106, "Employers Accounting for Postretirement Benefits other than Pensions" ("SFAS 106"). 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.

Effective January 1, 1995, the Fund will adopt SFAS 106. The Fund estimates under its current plan that the adoption of SFAS 106 would result in an unfavorable effect on Fund Activity of approximately \$1,902,000.

(9) NEW ACCOUNTING PRONOUNCEMENTS

In 1993, the Financial Accounting Standards Board issued Statement 116, "Accounting for Contributions Received and Contributions Made" and Statement 117, "Financial Statements of Not-for-Profit Organizations." These statements are required to be adopted in 1995. The Fund expects the only significant impact of the adoption of these statements will be the addition of a statement of cash flows.

(10) PRIOR YEAR'S FINANCIAL STATEMENTS

Certain reclassifications of the 1992 financial information have been made to conform to the 1993 presentation. The financial information presented for 1992 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, 1993 with Comparative 1992 Totals

	Direct Charitable Activities							
	General Programs	Pocantico Fund	Pocantico Restoration Fund	Program and Grant Management	Investment Management	General Management	Total 1993	Total 1992 (Note 10)
SALARIES AND EMPLOYEE BENEFITS								
Salaries	\$274,858	\$144,331	-	\$953,304	\$51,191	\$464,411	\$1,888,095	\$1,666,064
Employee benefits	63,441	33,770	-	220,036	11,818	107,204	436,269	445,057
Pension settlement (gain)	-	-	-	-	-	-	-	(389,344)
	338,299	178,101	-	1,173,340	63,009	571,615	2,324,364	1,721,777
OTHER EXPENSES								
Grants awarded	-	-	-	12,442,453	-	-	12,442,453	10,604,187
Fellowship program expenses	98,503	-	-	-	-	-	98,503	100,415
Visitation program expenses (Note 7)	-	-	355,228	-	-	-	355,228	117,662
Federal excise and other taxes (Note 2)	-	-	-	-	-	423,246	423,246	381,574
Unrelated business income tax (Note 2)	-	-	-	-	195,177	-	195,177	264,426
Consultants' fees	36,034	87,192	96,365	68,069	11,945	41,112	340,717	297,494
Investment services	-	-	-	-	1,523,491	-	1,523,491	1,315,925
Legal and audit fees	1,025	52,594	-	-	46,324	160,188	260,131	295,874
Travel	76,920	13,835	-	196,057	6,913	20,167	313,892	269,858
Rent and electricity	60,343	-	-	307,751	14,812	165,671	548,577	540,844
Facilities maintenance and operations (Note 7)	-	1,375,852	-	-	-	-	1,375,852	1,137,045
Telephone	4,436	11,087	-	22,626	1,146	12,443	51,738	46,306
General office expenses	41,137	68,220	1,592	173,433	5,755	102,902	393,039	441,890
Publications	43,646	-	-	22	-	55,774	99,442	41,910
Depreciation and amortization	15,974	2,504	358,311	81,467	5,777	52,394	516,427	217,006
	716,317	1,789,385	811,496	14,465,218	1,874,349	1,605,512	21,262,277	17,794,193

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²Until June 1, 1993 and from December 4, 1993

³Until June 17, 1993

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⁵Effective September 20, 1993

⁶Effective June 17, 1993

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¹ Effective January 31, 1993

² Until January 31, 1993

³ Effective April 12, 1993

⁴ Until June 30, 1993

⁵ Effective August 30, 1993

⁶ Effective April 1, 1993

⁷ Effective May 3, 1993 until June 18, 1993

⁸ Effective November 1, 1993

⁹ Effective August 16, 1993

¹⁰ Until June 21, 1993

¹¹ Effective April 19, 1993

¹² Effective September 20, 1993

¹³ Until August 13, 1993

HOW TO APPLY FOR A GRANT

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

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

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

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

GRANT PROCEDURE

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

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

project's or organization's principal staff members, a detailed, carefully prepared, and realistic budget, and a list of those who serve as board members or advisers to the project. Attached to each proposal must be a copy of the organization's tax exemption notice and classification from the Internal Revenue Service, dated after 1969, and a copy of its most recent financial statements, preferably audited. Proposals from former grantees of the Fund will be considered only after earlier grants have been evaluated and grantees have submitted necessary reports of expenditures of those grants.

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

Fund grantees are required to submit financial and narrative reports at specified intervals and at the end of each grant period. In addition, RBF staff members follow projects along throughout the life of the grant and evaluate the project at the end of the period. The evaluations become part of the Fund's permanent records.

GRANT INFORMATION

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

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