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ROCKEFELLER  
BROTHERS FUND

ANNUAL REPORT 1995



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## CHAIRMAN'S INTRODUCTION

In his President's Report for 1995, Colin G. Campbell writes about the Fund's new Project on World Security, a comprehensive and integrated review of international security relations that will reconsider the concept of security in the post-Cold War world. As chairman of the Rockefeller Brothers Fund, I find this project enormously exciting. It is an important opportunity not only to restate a long-standing interest of the Rockefeller family, but also to contribute to evolution in the field of international relations. This last is of far more than academic interest, since the theory and practice of international relations will inevitably have a lasting and wide-ranging impact on our lives.

For me personally, this project has prompted reflection on the philanthropic style and history of the Rockefeller Brothers Fund. The project has deliberately been conceived as a "comprehensive and integrated" effort, because it is expected to embrace such diverse threats to security as famine, terrorism, immigration, the spread of disease, and the deterioration of civil society into ethnic or religious conflict. In so doing, the world security project will also inevitably overlap with and draw upon other aspects of RBF grantmaking, such as our efforts on behalf of sustainable resource use and our experiences with enhancing civil society in the transforming nations of East Central Europe. These potential interactions highlight the unusually high degree of interdependence that already exists among the Fund's programmatic and geographic concerns. I am keenly aware of the overarching themes that link our programs and of the parallels that can be drawn between the RBF's activities in the United States and its activities abroad.

Such links and parallels are apparent in several of the Fund's programs. A focus on improving education is reflected, for example, in our support of basic education for children and adults in South Africa as well as in our efforts to increase the number and quality of minority teachers in America's public schools. Education is also a centerpiece of our newly revised New York City program. The strong Rockefeller family interest in Asia (evident now for four generations) is reflected not only in the Fund's sustainable resource use, world security, and



*Abby M. O'Neill speaking at the Blanchette H. Rockefeller Fellowship Exhibition and Auction Opening at the Mitsukoshi Museum of Art in Japan. In October, trustees of the Rockefeller Brothers Fund and the Asian Cultural Council traveled to Japan and the Philippines to meet with policymakers and grantees and to attend an art auction, held in honor of Blanchette H. Rockefeller, benefiting the council.*

nonprofit sector programs, but also in our creation and support of the Ramon Magsaysay Award Foundation in the Philippines and our organizational affiliation with the Asian Cultural Council, which promotes cultural exchange in the visual and performing arts between the U.S. and Asia. The “One World” theme that embraces our sustainable resource use and world security programs clearly shows the RBF’s interest in this kind of interaction, and the guidelines for our sustainable resource use program make our interest quite explicit: We are committed to “integrating activities across geographic areas of the RBF’s grantmaking in the United States, East Central Europe, and Asia to promote maximum synergy.” Not surprisingly, the Fund’s grantmaking within each of these geographic areas is also distinctively regional in nature, involving a consistent emphasis on cross-border cooperation and communication.

There are also, however, less obvious instances of interdependence — unexpected demonstrations of how activities the RBF has undertaken in one program area or part of the world can illuminate conditions in another program or region, and how the lessons we are learning in one context might fruitfully be applied elsewhere. Such is the case in the Fund’s nonprofit sector program, where we are acknowledging surprising parallels between the issues confronting U.S. nonprofits and those confronting nonprofits in East Asia and East Central Europe. New pressures on and public skepticism about the well-established nonprofit sector here have raised questions of purpose and sustainability that are all too similar to those raised in connection with the far more fragile nonprofit sectors in those other regions of the world. The RBF now finds itself just as interested in promoting better public understanding of the philanthropic sector in the United States as it has been in Poland or Japan.

In fact, the need within any democracy to continuously nurture a strong civil society (which includes a healthy nonprofit sector) is a theme that has come powerfully to the fore in more than one arena of Fund activity. This theme, for example, runs strongly through our New York City program as well as through our efforts to help revitalize communities in East Central Europe. In these two very different settings — urban America and formerly communist Europe — we are learning similar lessons about the challenge of restoring civil society once it has been allowed to deteriorate. Also in these two settings, we are exploring related strategies to enhance the capacity of communities and of community-based organizations, and reaffirming how important it is to give people the skills they need to make an impact on the economic, social, political, and cultural circumstances that surround them.

Another theme that has emerged in several program and geographic areas is the importance of effective public outreach when it comes to making progress on the social and environmental issues the RBF has identified as central to its mission. In East Central Europe, the public’s lack of understanding of the role of nonprofit organizations and the value of volunteerism has proven to be an unexpectedly large and stubborn obstacle to the



*Abby M. O'Neill and  
Colin G. Campbell visiting  
the Tokyo Museum of  
Contemporary Art in  
October 1995.*



growth of civil society. In some areas of this region, where sustainable development was initially thought to be a high public priority, the pressures of consumerism and frustration over slow or uneven economic expansion have eroded public awareness of the long-range connection between economic development and environmental protection. In the United States, public confusion about the dimensions and causes of global climate change have threatened to undermine the domestic environmental constituency that is needed to support a strong U.S. position in international climate negotiations. So in both its nonprofit sector and sustainable resource use programs, here and abroad, the RBF has decided to devote additional attention to the fundamental business of helping each grantee reach out to effectively inform and educate its constituencies and audiences.

The value of broad, integrated approaches to change is yet another theme that is emerging across program and geographic areas on the RBF's agenda. Under the sustainable resource use program heading, we are exploring various approaches to conservation in East Asia that take account of the human, economic, and cultural dimensions of resource use, rather than focusing entirely on the preservation of nature in its purest state. In the United States, new efforts are being made to involve resource users and scientists, as well as environmentalists, in conservation efforts. This breadth of engagement is echoed in the RBF's support of community revitalization and land stewardship initiatives in East Central Europe. Such initiatives cut across disciplines and sectors to bring together diverse stakeholders and interest groups — environmentalists, historic preservationists, community developers, entrepreneurs, activists, municipal officials, and business leaders — in a bottom-up, collaborative

process of self-determination that produces long-term change. We expect that many of the community-enhancing efforts funded under the RBF's new New York City program guidelines will also bring together people with different perspectives, different areas of expertise, and different needs, but with common interests in enhancing their man-made and natural environments.

The prevalence of such linkages in the RBF grants program reflects the broad outlook and comprehensive vision of many past and present Rockefeller family board members, as well as the Fund's other dedicated trustees and its outstanding staff. I look forward to seeing where the latest focus of this shared vision — our Project on World Security — will lead us in the coming years.

*Abby M. O'Neill*

## PRESIDENT'S REPORT

With the end of the Cold War, and especially in the euphoric days that followed the collapse of the Berlin Wall, some students of international relations dared to hope for a natural evolution toward global harmony — the “end of history,” or at least the end of the terrible global insecurity that had fueled the arms race and overshadowed world affairs for more than forty years.

Soon enough it became apparent that no such spontaneous evolution was likely to take place. Despite enormous changes, peace and stability would still have to be crafted, deliberately and with patience and imagination. But on what basis, and according to what shared assumptions and understandings? Would the security framework that shaped international relations during a tense, prolonged face-off between two super-powers prove to be appropriate and adequate to

deal with the very different insecurities of a post-Cold War world? It was this concern that led the board of the Rockefeller Brothers Fund to temporarily suspend grantmaking in the RBF global security program and to launch during 1996 a two-year Project on World Security: a comprehensive, integrative effort to review and consider new approaches to international security relations at the end of the twentieth century.

Security has traditionally dealt with military threats to nation-states. Yet many of today's most salient threats to human life and world order (resource scarcity, endemic poverty, infectious disease, uncontrolled population growth) are nonmilitary in nature. By the same token, many of today's threats are not directed at national borders; instead they are local (ethnic and religious strife, organized crime) and/or transnational (terrorism, the spread of disease, environmental degradation). Such threats are not really new — in fact, they are probably products of the same social and economic trends that eventually brought about the end of the Cold War. But they are certainly newly apparent now that the Cold War no longer obscures most other issues. A fresh look at the concept of security, and an effort to construct some different tools and methods for ensuring it, would seem to be particularly timely.



*Colin G. Campbell addressing the board of trustees of Winrock International Institute of Agricultural Development, on which he serves.*

Indeed, many experts have called for an expanded concept of world security that would take into account emerging challenges to peace and stability. Many in the general public, too, have an intuitive sense that traditional security somehow fails to address their feelings of vulnerability in a world which is surely no less dangerous and perhaps more dangerous than it was during the Cold War. Although a good deal of provocative thinking and research has been done in the area of security, no comprehensive new security framework has been crafted, much less widely debated or accepted. Obviously the development of such a framework is an immensely complex and difficult task, given the multiplicity of threats that clamor for incorporation within it. Yet the very absence of any single, overriding source of danger—like the Cold War — also represents a unique opportunity to pay attention to a wide range of important issues, to create a new and broader foundation for global dialogue before there is another crisis of overwhelming proportions and no way to deal with it.

Where most security analysts and policymakers have attempted to approach this task from the top down, by offering new definitions and abstractions (such as human security, environmental security, cooperative security, group and individual security), the RBF's Project on World Security will take a different approach. It will start, not with abstractions, but with the themes and concerns that have been identified by RBF staff and others (including the authors of those proposed new definitions of security) as likely to be relevant to any comprehensive reconsideration of security. First it will identify the underlying trends that have combined to produce today's dramatic changes in the requirements of and opportunities for world security: the information revolution and the spread of technology, for example; the restructuring of the global economy and the growing income disparities within and among nations; explosive population growth, especially among the poor. Understanding and wisely managing such trends and their interactions, the RBF believes, will be at the heart of any new framework of world security.

Next the project will select key issue areas in which the stresses produced by these trends are evident: the state of the environment and nature's capacity to provide the necessities of life; demographic changes, including migration and refugee flows; conflicts among different ethnic, racial, and religious groups; social policy and human rights; health and disease; the condition of civil society; and, of course, military security. Experts on these topics will be convened to discuss the status of each issue area, its relationship to the underlying trends affecting world equilibrium, and its implications for peace and stability over the next quarter century. Regional perspectives, rendered largely irrelevant by the Cold War, will also be considered. Without preconceptions about the extent to which the concept of security ought ultimately to be expanded, or which of the many issues in question must find a home in the new security

framework, the project will seek cross-cutting themes, structural parallels, and interactions among these issues in an effort to help craft a common language and some generally applicable strategies for talking about nonmilitary issues as aspects of security, while still addressing its military aspects.

The goal is to develop at least the beginnings of a new, shared vocabulary by means of which specialists from different areas—economists, environmentalists, demographers, social policy analysts, anthropologists, students of religion, health experts, military analysts—could contribute their insights and expertise to an expanded dialogue about the nature of security, how to foster it, and humanity's responsibility for doing so. Ultimately this new vocabulary and the themes it illuminates must also be accessible to the larger public, whose engagement in a new conversation about security we believe to be essential.

The RBF Project on World Security is fundamentally an effort of synthesis, integration, and comparative analysis—highly ambitious in its way, but intended to complement and draw upon other ongoing efforts to “redefine” security. It is the Fund's belief that such a bottom-up effort as ours must take place in tandem with more theoretical explorations if a valid, comprehensive, broad-based, and realistic new framework for security is eventually to emerge. By looking for common themes and interactions among diverse issues, the Fund hopes to suggest ways of enlarging the concept of security without making it a meaningless catch-all for everything that affects human welfare.

In addition to its primary goal of contributing to and fostering a larger expert and public debate on the subject of security, the project is charged with producing a publication or series of publications that describe the state of the field and spell out the project's findings, including the possible policy implications of any new security framework. Finally, the project is intended to produce a revised World Security grantmaking program for the RBF designed to extend and apply the ideas that emerge from the project. Directing the Project on World Security will be Jane Wales, former Associate Director of the White House Office of Science and Technology Policy, Special Assistant to the President for Science and Technology, and Senior Director of the National Security Council. Serving as Research Director will be Ann Florini, formerly of the Brookings Institution, the UCLA Center for International and Strategic Affairs, and the United Nations Association of the United States of America.

The RBF Project on World Security is exciting on its own merits, but it gives me special satisfaction to introduce it here, in our annual report. This context gives me an opportunity not only to describe the project but also to reflect on its relationship to the RBF's history, purpose, and grantmaking style. In fact, the Project on World Security is not the RBF's first major review of international relations. Most recently, in 1983, the Fund published the results of an eighteen-month, across-the-board examination of its



*Colin G. Campbell meeting with participants at a Pocantico Conference hosted by the Conservation Fund on the development of new leadership for the environmental movement.*

programs and strategies in light of changing global conditions. This review, undertaken by a Planning Committee that consisted of selected trustees (including several Rockefeller family members), led to the Fund's adoption of a new "One World" strategy with two components: Sustainable Resource Use and Global Security. (It also led to the affirmation and reformulation of other long-standing Fund interests in New York City and the Nonprofit Sector.) While the current security project is designed to review only one

of the Fund's program areas, the similarities between its language and motivating concerns and those of the earlier review are striking.

In 1983, noting an acceleration in the nuclear arms race and an alarming diffusion of nuclear capability among semi-industrialized countries, the Planning Committee expressed its belief that "the system of international relations and arrangements which has dominated world affairs since 1945 is in grave jeopardy." Asserting that difficult decisions about resource use—including natural, human, and man-made resources—could no longer be made by any nation without sensitivity to their global implications, the committee described the state of the world as both "increasingly interdependent and inflammable." By proposing "One World" as a program theme, the Planning Committee intended to focus the Fund's grantmaking attention on the *convergence* of national and international frames of reference and the consequent need for a global perspective, especially within the traditional RBF program areas of military security and what was then called "eco-development," or the sustainable use of resources for human benefit. Security was defined to include not only arms control but also the prevention of aggressive acts that stem from unequal access to resources, goods, and services.

In launching its new Project on World Security, the Fund has again been motivated by a sense of the inadequacy of the dominant system of international relations, and by a strong conviction about the world's interdependence. For the Fund, these similarities reflect two powerful philanthropic traditions: the Rockefeller family tradition of selecting broad issues of enduring concern for its

philanthropic attention, and the Fund's own tradition of long-term adherence to core program ideas. Program redirection at the RBF has therefore always been evolutionary, not a matter of change for change's sake. But of course, some change is essential and inevitable, and it is instructive to look not only for similarities between the underlying assumptions of these two program reviews, but also for differences.

When the earlier review spoke of a system of international arrangements that was in grave jeopardy, the emphasis was on the number, scale, and severity of strains being put on that system—in other words, the “inflammable” state of the world. The international system was in jeopardy not primarily because it was inadequate as a conceptual framework within which to address world affairs but because there were powerful, destabilizing trends of militarization, resource depletion, protectionism, and isolation that threatened to undermine it. Today it seems to the Fund that such a critique, while still valid, is no longer sufficient. Furthermore, where the earlier review emphasized the convergence of national and international concerns, the present review questions the fundamental adequacy of those two categories to describe the critical issues humanity now faces. While the notion of “One World” still seems to us both right and compelling, it now refers not only to the network of connections that links every nation with other nations and with the rest of the world, but also to multiple and simultaneous networks of connection among communities, ethnic groups, regions, and economic interest groups; among issues, problems, academic disciplines, and sectors; among human rights, the institutions of civil society, and technological change; and among man-made, natural, and even spiritual realms. The central notion of global interdependence that underlay the 1982-83 review (and much of the RBF's work throughout its history) has evolved into a richer, more integrative, and more comprehensive assumption and organizing principle.

Yet even as the Fund (and a small group of other foundations) have become more convinced than ever of the reality and importance of global interdependence, we note a widespread and worrisome tendency on the part of governments, the general public, and private funders to withdraw their support from international development, exchange, and capacity-building initiatives. While perhaps understandable in light of the pressing domestic concerns facing many developed countries and the notable failure of some recent development assistance efforts, this trend ignores what we believe to be the facts: that global interdependence is an inescapable condition, and potentially an invigorating one. Although acknowledging our membership in a global community entails moral and sometimes financial responsibilities, it is ultimately the key to improved world security, sustainable economic growth, and greater social equity—in short, to human survival.

Vaclav Havel, accepting the Philadelphia Liberty Medal at Independence Hall on July 4, 1994, put it this way:

“The artificial world order of the past decades has collapsed and a new, more just order has not yet emerged. The central political task of the final years of this century, then, is the creation of a new model of coexistence among the various cultures, peoples, races, and religious spheres within a single interconnected civilization.”

Many observers, of course, have called our attention to the global nature of the challenges that face us. Like President Havel, however, I am inclined to suspect that the much-touted internationalization of business and the long-heralded information revolution have so far “globalized only the surface of our lives.” Still missing is a widespread, deep-seated, sustained public and political commitment to and understanding of global interdependence. Building such commitment and understanding—creating a *constituency for global interdependence*—is as important as finding new constructs and mechanisms for ensuring peace and stability in an interdependent world.

Effective public education about global interdependence will require the collaborative efforts, over time, of many different kinds of organizations. The Fund is now exploring the possibility of launching such an education initiative with several other international grantmakers, selected NGOs, and the World Bank. The stated interest of new World Bank president James Wolfensohn in reforming the Bank’s development assistance policies and lending practices, making them more responsive to environmental and equity concerns and more supportive of human rights and civil society, represents an unprecedented opportunity to involve the Bank in this public education effort. Like security, development assistance has been caught up in the confusion following the end of the Cold War; its theoretical and political underpinnings have been considerably weakened, and a new and persuasive case—based on global interdependence—must be made for investing in community-building, nation-building, and region-building around the world.

In effect, then, the Fund will be pursuing its long-standing interest in global interdependence through two special initiatives over the next few years. One is a formal, program-related Project on World Security, which is clearly in line with previous RBF program reviews and strategic planning processes. The other is an overarching, collaborative effort at constituency building on behalf of the concept of global interdependence, which reflects deeply held convictions and takes advantage of organizational synergies to promote a notion that is at the core of the Fund’s—and the Rockefeller family’s—philanthropic mission. We expect these two initiatives to complement and inform each



other, as Abby O'Neill in her Chairman's Report reminds us that RBF programs so often do. Since a global perspective by definition includes domestic concerns, we also hope these two initiatives will help stimulate, broaden, and deepen the necessary public and political debate about this country's obligations and opportunities in an interdependent world.

*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, 26 family members representing three generations have served as trustees, and they have been joined by 24 other trustees, 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 1995 were \$399,842,007 and its 403 grant payments and its matching gifts during the year amounted to \$11,644,634. Since 1940, the RBF has disbursed a total of \$440,882,822 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, conflict, protectionism, and isolation which now threaten to move humankind everywhere further away from cooperation, equitable trade and economic development, stability, 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. The major portion of grant funds is applied to the One World program. Projects are located, for the most part, in East Asia, East Central Europe, 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 122.

## MISSION STATEMENT

### THE POCANTICO CONFERENCE CENTER

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, 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;
- 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.

## POCANTICO PROGRAMS

The Pocantico Conference Center of the Rockefeller Brothers Fund is located in the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York. The Center consists of a fully equipped meeting facility in the estate's original Coach Barn; John D. Rockefeller's home, called Kykuit; and the surrounding gardens and sculpture collection. The conference program is a key component of the Fund's Pocantico Programs, which also include a public visitation program and stewardship of the site. These programs were established in 1991 when the Rockefeller Brothers Fund leased the Pocantico Historic Area from the National Trust for Historic Preservation.

Opened in April 1994 after extensive renovations, the Conference Center had accommodated nearly 50 meetings by the end of 1995. Of the 32 meetings held last year, just over one-third were "Pocantico Conferences"—multiday events in which the RBF has a specific program-related interest and which are typically designed and sponsored by the RBF or one of its grantees. The remaining meetings were hosted at Pocantico for other non-profit organizations. Because all meetings



*Farhana Yamin of the Foundation for International Environmental Law and Development at a Pocantico Conference on global climate change.*

held at Pocantico are consistent with the Fund's philanthropic programs and grantmaking activities, events at the Conference Center significantly extend and enlarge the RBF's capacity to make an impact on the social and environmental issues it has identified as central concerns.

In conjunction with its conference program, the Rockefeller Brothers Fund publishes a series of occasional papers, designed to bring meeting proceedings and results to the broader attention of policymakers, specialists, and the general public. The first Pocantico Paper, *Turning Up The Heat: Next Steps on Climate Change*, was released in early 1995, and a second paper is scheduled for release in the late spring of 1996.\* This paper will describe and report the outcomes of a Pocantico Conference held last October on "Financing Solar Energy," a meeting that proved to be one of the highlights of the 1995 conference year. For this meeting, RBF staff working in the sustainable resource use program area were able to assemble a broad array of representatives from the nonprofit and for-profit sectors — including investors, bankers,

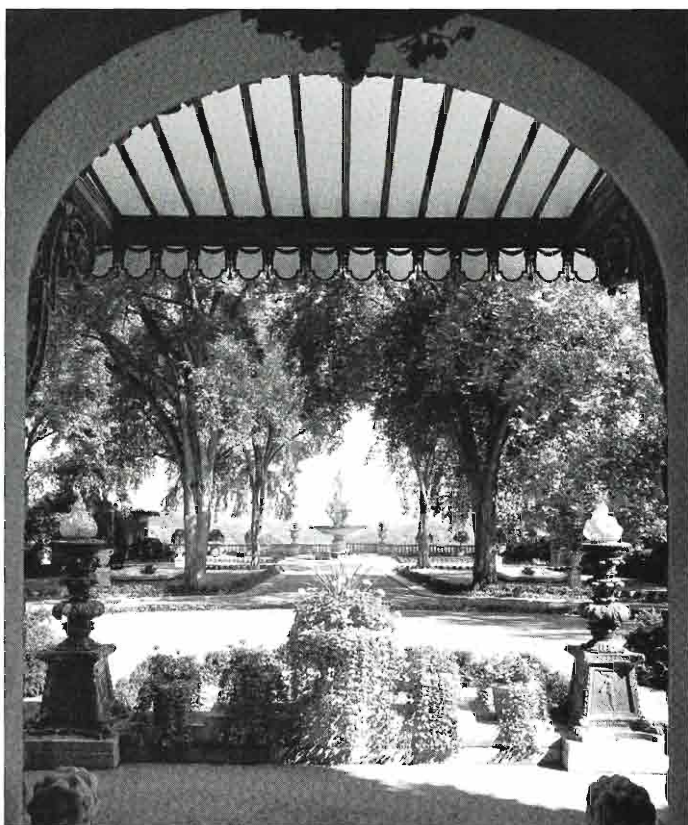
\*Copies of Pocantico Papers can be obtained from the Fund.

and industrialists as well as development experts, NGO heads, and foundation officers — who were interested in going beyond research and public education to forge actual “market chains” for the delivery of solar-generated electricity to large populations of rural users in developing countries. The results of the meeting have been remarkably concrete, including the launch of several collaborative efforts to pilot innovative financing and delivery strategies outlined at Pocantico.

Another highlight of 1995 was the April meeting of recipients of the new USAID Democracy Network Initiative (DNI) awards, established in 1994 to support the development of nongovernmental organizations — especially nonprofit groups involved in public policy and advocacy — in East Central Europe. To date, awards have been assigned to nine American nonprofits with offices in East Central Europe; through those local agencies, DNI funds will be re-granted to organizations in ECE. Participating in the Pocantico meeting, which was sponsored and hosted by the Rockefeller Brothers Fund, were DNI awardees, officials from USAID and other government agencies, and representatives of several American and European foundations active in East Central Europe. At this gathering, notable progress was made in fostering greater cooperation among funders, both public and private, and assistance organizations

supporting the NGO sector in East Central Europe.

In addition to these and other 1995 meetings that pertained to the Fund’s sustainable resource use and nonprofit sector programs, Pocantico hosted an important conference related to the RBF’s New York City program — an assembly of parent-education activists from the City’s five boroughs — and several meetings consistent with the Fund’s long-standing interest in world security issues. A number of foundation retreats and one-day meetings of nonprofit organizations whose work is compatible with that of the Fund

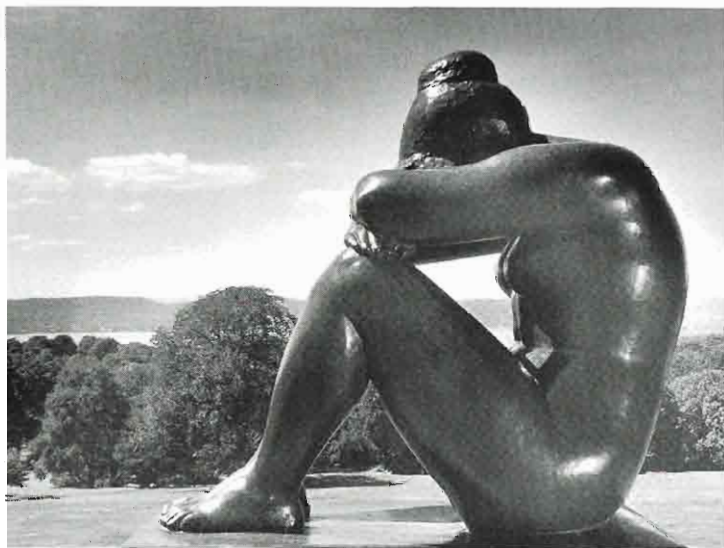


*Kykuit's forecourt.*



were also conducted at Pocantico. By the end of 1995, with their first full year of operational experience behind them, Pocantico staff were able to draft a complete information and application brochure, which is now available from the Conference Center.

As mentioned above, the Pocantico Programs of the Rockefeller Brothers Fund include a public visitation program at the Pocantico Historic Area. Organized by Historic Hudson Valley, the visitation program runs from April through October. Last year over 52,000 visitors toured Kykuit, strolled the sculpture gardens, and viewed the antique carriage and automobile collections still housed in the Coach Barn. As steward of the Pocantico Historic Area, the RBF also sees to routine maintenance of the site and undertakes special restoration and curatorial projects aimed at conserving and documenting the buildings,



*Night (1905) by Aristide Maillol, on the Kykuit grounds.*

landscape, and collections. In 1995 these projects included preparation for repairs to the Grotto in the basement of Kykuit; completion of a catalogue of the historic photographs at Kykuit; research on the tiles in the garden paths, which come from Henry Mercer's Moravian tileworks in Doylestown, Pennsylvania; and discovery of a 1906 plan for a greenhouse garden at Kykuit by Beatrix Jones (Farrand).

## POCANTICO CONFERENCES

UNITED NATIONS WORKING GROUP III & IV  
January 22–24 and April 30–May 2

The last two of four meetings to review the current challenges faced by the United Nations and the problems the organization will confront in the coming century. The working group, a distinguished panel co-chaired by former German President Richard von Weizsäcker and former Pakistan Prime Minister Moeen Qureshi, aided by a secretariat led by Professors Paul Kennedy and Bruce Russett of Yale University, released a report in June, *The United Nations and Its Second Half-Century*, with detailed recommendations for strengthening the institution. The project was funded by the Ford Foundation.

PUBLIC CONVERSATIONS PROJECT

January 29–31

A workshop convening leaders of population policy, family planning services, and women's reproductive health organizations to discuss the results of the 1994 United Nations Conference on Population and Development in Cairo, and to develop strategies for future collaborative action. The meeting was organized by the Family Institute of Cambridge, a nonprofit group which established the Public Conversations Project in 1989 as a way of fostering dialogue among disparate groups with respect to controversial public policy issues.

EARTH COUNCIL

February 3–5

The first meeting of the Earth Charter Steering Committee, a joint project of the Earth Council and Green Cross International. The committee's mission is to prepare a document articulating a new global code based on the principles of sustainable develop-

ment to govern the conduct of peoples and nations in the 21st century. The Earth Council, an international body of 21 eminent persons led by Maurice Strong, former secretary general of the Earth Summit, was founded in 1993 to support and lend impetus to the program of action agreed to at the 1992 United Nations Conference on Environment and Development.

UNITED STATES AGENCY FOR  
INTERNATIONAL DEVELOPMENT (USAID)

April 5–7

A conference of recipients of the new USAID Democracy Network Initiative (DNI) awards, established in 1994 to support the development of nongovernmental organizations in the region. Sponsored by RBF, the gathering brought together a rare combination of interested parties—DNI awardees, officials from USAID and other government agencies, and representatives of several American and European foundations active in the region—with the aim of fostering greater cooperation among funders, both public and private, and assistance organizations supporting the nongovernmental sector in East Central Europe.



*Roger Dower of World Resources Institute at the Pocantico Conference Center.*



## THE ROCKEFELLER BROTHERS FUND AND ITS PROGRAMS

### PUBLIC EDUCATION ASSOCIATION

April 13–14

An RBF-sponsored meeting of parent-education activists from New York City's five boroughs. The purpose of the workshop was to illuminate obstacles to and opportunities for citywide parent organizing, and to discuss a unifying school reform agenda. The gathering was a significant step toward coalescing the Parent Organizing Consortium, a grassroots education reform effort.

### UNION INSTITUTE

May 16–18

A gathering of approximately two dozen foundation representatives as part of the Nonprofit Sector Infrastructure Project of the Union Institute's Center for Public Policy. The aim of the conference was to engage a variety of nonprofit leaders in an exploration of the critical infrastructure needs that will confront the nonprofit sector over the coming decade.

### REGULATORY MECHANISMS

June 15–18

A conference of national representatives to the secretariats involved in the implementation of various international environmental agreements and conventions, including those currently in effect concerning biodiversity, climate change, endangered species, and hazardous wastes. The purpose of the conference was to examine the successes and failures of the secretariats to date and to discuss how they might be made more effective.

### U.S. RESPONSE TO CLIMATE CHANGE

June 26–27

A meeting of scientists, NGO representatives, and media professionals to design a public education campaign aimed at revitalizing American public interest in and understanding of the global climate change issue. Participants at the strategy session included many long-time RBF grantees working in the area of global climate change who, following the Conference of Parties to the Climate Change Convention in May, had identified public opinion in the United States as a critical factor in ensuring continued U.S. leadership and, hence, ongoing international progress on the warming problem.



*Entrance to the Pocantico Conference Center.*

### SYNERGOS INSTITUTE

September 26–28

A conference, "Strengthening Financing for the Voluntary Sector in Development: The Role of Official Development Assistance," organized by Synergos Institute and the Overseas Development Council. Attended by senior representatives from major multilateral and bilateral donor agencies, the conference focused on how official aid agencies can support the private voluntary sector's role in international development efforts.

### FINANCING SOLAR ENERGY

October 11–13

An RBF-sponsored conference, "Financing Household Solar Energy in the Developing World." The goal of the meeting, whose international participants included science, business, and NGO representatives, was to develop financing and delivery mechanisms to distribute household solar power systems widely and cheaply throughout the developing world.

## 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. The ACC's grant program was established by John D. Rockefeller 3rd in 1963 and emphasizes fellowships to individual artists, scholars, and specialists from Asia undertaking research, study, and creative work in the United States. Grants are also made to American artists and scholars pursuing similar activities in Asia and to cultural institutions engaged in U.S.-Asia exchange projects or in regional exchanges within Asia. Support for the ACC's grant programs comes from a wide variety of foundation, individual, corporate, and government donors in the United States and in Asia.

1995 was a particularly exciting year for the Asian Cultural Council, during which two important new fellowship programs were established with the support of local donors in Asia. In Japan, the Blanchette H. Rockefeller Fellowship Fund was created following a three-year fundraising effort undertaken by former ACC grantees in tribute to Mrs. Rockefeller's long commitment to Japan-U.S. cultural

exchange. The fund will provide up to three new annual fellowships in the ACC's Japan-United States Arts Program. In Taiwan, the ACC's Taiwan Fellowship Program was founded in collaboration with the Sino-American Asian Cultural Foundation, a new foundation created specifically to serve as the ACC's partner in raising funds and making grants on behalf of Taiwan-U.S. cultural exchange. These special projects in Japan and Taiwan represent creative approaches to fundraising and program development which may well serve as models for other foundations working in Asia. Additional new programs established at the Asian Cultural Council in 1995 include the Residency Program in Asia supported by the Freeman Foundation, the China On-Site Seminar Program supported by the Henry Luce Foundation, and collaborative fellowship programs with the Chiang Ching-kuo Foundation of Taiwan



*Asian Cultural Council. Baotian Zhu (left), senior researcher from the Yunnan Provincial Museum in Kunming, China, and American designer and scholar Cindy Ho examine Nazi artifacts from southwest China in the collection of Mrs. Quentin Roosevelt as part of a project to study and catalogue Nazi objects in American collections.*

and the Ock Rang Cultural Foundation of Korea. During 1995 the ACC also laid the groundwork for an expansion of the Indonesian Museum Development Program that is supported by the Ford Foundation, and for the establishment of a new Japan-U.S. Museum Professionals Exchange Program in cooperation with the Japan Foundation.

In 1995 the Asian Cultural Council awarded a total of 125 grants, 88 to individuals and 37 to cultural institutions. These grants supported 63 individuals from Asia traveling to the U.S. for research, study, and participation in special projects; 45 Americans traveling to Asia for similar purposes; and 7 Asian individuals engaged in exchange activities within Asia.

Through an increasing focus on collaboration with other organizations involved in supporting Asian-American exchange and the growth of vibrant arts and academic communities in Asia, the ACC is better able to respond to evolving cultural issues in the Pacific region. The council's affiliation with the Rockefeller Brothers Fund plays a central role in this process and at the same time strengthens and broadens the RBF's program commitment in East Asia.



GRANTS  
APPROVED  
IN 1995

## 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 1995, in nearly every geographic and substantive domain of the Fund's sustainable resource use program, two important realities became increasingly evident. First is the growing complexity of the challenges facing those concerned with fostering sustainable development — whether globally or domestically, in East Central Europe or East Asia (the four arenas where the Fund is active) — and second is the need for continuing redefinition and refocusing within what may loosely be called the “environmental movement.” While the following summary is hardly exhaustive, it will serve to suggest some of the themes the RBF sees emerging in this large program area.

### BROADER CONCEPTS AND STRATEGIES

During recent years, in both the domestic and global arenas, the RBF has focused strongly on the need to link conservation concerns with human and economic concerns, to address the complex relationship between the twin goals of economic development and environmental quality. The RBF and several other funders are helping grantees reach out more effectively to a broader set of audiences, including industry groups, provincial and district governments, multilateral lenders and investors, and local communities in developing and transforming regions of the world. At the same time, and with the same funders' encouragement, environmental groups are beginning to promote a broader concept of environmental stewardship, moving from species-specific and site-specific protection to a focus on ecosystems, which are recognized to have biological, cultural, and economic dimensions.

Several aspects of the Fund's grantmaking activity during 1995 reflected this broader ecosystem approach. For example, RBF support helped build the coalition of business, civic, and environmental constituencies that formulated a landmark plan — provisionally adopted in November 1995 — to protect New York City's watershed. A cluster of RBF grants in support of sustainable forestry management in the U.S., Europe, and Canada helped forge new environmental partnerships between producers and consumers, the forest products industry and the nonprofit sector, with the goal of promoting environmentally sound forestry practices and achieving long-term conservation of biological diversity. By the same token, grants in support of improved fisheries management in North America, the protection of salmon habitats in British Columbia, and shrimp aquaculture management in Southeast Asia also sought to involve resource users, regional agencies, and local populations — as well as environmental activists and scientific organizations — in the sound management of economically vital, environmentally endangered ecosystems. While such strategic alliances are not always feasible, it is the Fund's belief that this approach, by creating broader coalitions and by linking the benefits of conservation with economic activities, can be a powerful tool of resource stewardship. The success of earlier RBF-supported endeavors of a similar nature (in the rainforests of Alaska and British Columbia and the pine barrens of Long Island), where strategic coalitions were able to ensure the protection of large tracts of land, is an extremely encouraging sign.

In East Central Europe, the RBF has been one of the first U.S. funders to bring an “ecosystem” approach to cities, towns, and villages. Because of economic development policies and practices that are often inappropriate (among them the proliferation of strip malls, gas stations, and highway systems), these more populated settings are at risk of a kind of degradation that parallels and overlaps with the environmental degradation seen in natural settings worldwide. New constituencies need to come together under the banners of community revitalization (in cities and towns) and land stewardship (in rural areas) to address a set of linked environmental and cultural issues—the potential loss of unique historic sites and civic traditions, the deterioration of local transportation systems, the pollution of nearby rivers—that are the consequence of short-range development thinking. The Fund’s efforts to support community revitalization and land stewardship in this region represent another aspect of the new breadth of vision embodied in the current approach to sustainable development.

## A CONTINUED NEED FOR PUBLIC ENGAGEMENT

In the arena of climate change, where the Fund’s primary goal has been to advance international negotiations on global warming, a different kind of challenge emerged in 1995. Even as distinguished scientists expressed greater certainty about the role of human activities in worldwide climate change, the American public seemed to demonstrate confusion and skepticism about the reality of global warming and the value of reducing greenhouse gas emissions. The contemporary political trend away from government regulation, combined with a well-financed campaign by opponents of emission reduction, had the potential to undermine the domestic constituency on which a strong U.S. position in international climate discussions depends.

At an RBF-hosted meeting of groups concerned with climate change, held in April 1995 at the Pocantico Conference Center of the Rockefeller Brothers Fund, it was determined that strengthening American public understanding of and support for climate-related negotiations must remain a top priority. The RBF, therefore, made several grants in 1995 to support a major public education campaign on climate change. In large measure, this campaign involved disseminating to general audiences the scientific consensus that already exists about global warming and its causes (as expressed, for example, in the December 1995 report of the Intergovernmental Panel on Climate Change). By the end of the year, this campaign seemed to be taking effect; news coverage and public debate about the climate change issue began to focus less on questions of whether global warming was really occurring and why, and more on how to address the problem.

## NEW PRESSURES WITHIN TRANSFORMING SOCIETIES

By 1995, it became clear that pressures on the environment—stemming from rising consumerism, rapid privatization, and short-term planning—in the newly emerging democracies of East Central Europe are even more intense than previously imagined. During the early 1990s, environmentalists in the region (many of them



supported by the Rockefeller Brothers Fund) believed that sustainable development policies were widely viewed as a high priority and had good prospects of being implemented. But by mid-decade, the complex process of economic transformation had produced a more ambiguous picture across the region.

In some areas, public and private sector interest in linking economic development with environmental protection has dwindled, leading the RBF to provide support for efforts to communicate the case for sustainable development more effectively. In marginalized rural areas, it has become evident that special assistance will be required to build the kind of organizational infrastructure that can support strong environmental and community revitalization movements. While helping regional groups meet these urgent demands, the RBF also worked to help East Central European NGOs prepare for the transition to organizational self-sufficiency and reliance on local sources of support. This is a necessary step if a primary objective of the Fund's involvement in the region — achieving greater indigenous capacity for addressing sustainable development issues — is to be realized.

## LINKING GRASSROOTS ACTION TO FORMAL POLICY

In the United States, environmental policymakers generally cannot ignore public opinion and grassroots activism, and community-based environmental groups tend to be relatively savvy about how to communicate with policymakers. But in the international context, the links between grassroots action and formal policy are neither well-established nor widely accepted. The Rockefeller Brothers Fund has addressed this challenge in several recent projects. The RBF-supported Policy Dialogue on Trade and the Environment, for example, involving international environment and trade experts, has played a significant role in improving NGO access to and influence on the deliberations of the GATT/World Trade Organization. In both East Asia and East Central Europe during 1995, the Fund supported efforts to help indigenous environmental groups monitor and attempt to influence the actions of multinational development banks, as well as bilateral and commercial lenders and investors. In these regions, too, the Fund promoted the forging of new coalitions among community leaders, academics from various disciplines, policy experts, and, where possible, local government officials and business leaders. Through such capacity-building efforts, the RBF sought to strengthen the communication networks on which progress in sustainable development will ultimately hinge.

## THE CHALLENGE OF CULTURAL APPROPRIATENESS

In East Asia, the RBF continued to explore new approaches to sustainable resource use that seem to be especially suitable for this region. Having made several grants in 1994 in the emerging discipline of political ecology — which looks at the social and political causes of environmental degradation and conflict over resources, including differences between the perceptions of governments and those of local peoples about resource access and use — the Fund began in 1995 to explore the potential value of the discipline called restoration ecology.

Restoration ecology focuses on biodiversity conservation in degraded landscapes, areas where human intervention has already gone wrong. While many environmental funders in the United States show a bias toward protected area management and the preservation of pristine landscapes, the Fund believes this approach may be out of line with the needs of countries such as China (where few pristine landscapes remain and where “wilderness” is not valued as it is in the U.S.) or Vietnam (where the effects of prolonged warfare have degraded landscapes and disrupted communities). Restoration ecology, which suggests a definite place for human life within the landscape, may be more salient to certain East Asian countries than conservation per se, with its focus on “setting aside” areas for nature. By attending to restoration ecology in coming years, as well as to political ecology, the Fund intends to situate its program goal of biodiversity conservation squarely within the cultural framework of East Asia.

## A ROLE IN CREATING MARKET MECHANISMS

When dealing with such well-established industries as forestry, fishing, and aquaculture, the challenge for concerned funders and grantees alike is to work within the market infrastructure to promote ecologically sound practices. But what if no market infrastructure existed? What might the role of foundations be under such circumstances?

As the 21st century nears, some two billion people — 70 percent of the population in the developing world — still rely on kerosene, fuel wood, and batteries for light and power. Even if it were affordable, extending traditional fossil fuel-based electrification to all those households would eventually exacerbate global climate change and produce dangerous levels of acid rain and pollution. A more appropriate response would be the widespread use of home solar power systems, which are now both affordable and effective for rural households. Yet private markets are not rushing to take advantage of the huge opportunity represented by the millions of households in the developing world that need and could buy these systems. There are many reasons, but perhaps most important is the fact that no market infrastructure yet exists to handle the required billions of dollars in capital. Financing is not available for manufacturers or purchasers, nor are financing opportunities available to investors.

At a Pocantico Conference in October 1995, the RBF assembled experts from financial institutions and the solar industry, as well as individuals who had successfully piloted small-scale solar projects in rural areas. The participants outlined creative new financing and delivery strategies for mass distribution of solar home electrification systems to rural populations in developing nations, and many left the meeting with concrete plans to implement those strategies. In choosing to address this aspect of the global environmental challenge, the RBF added to its long-standing support for research and public education, the possibility of support for the development of market mechanisms that work toward environmentally sound ends.

## GLOBAL

## CONSENSUS BUILDING INSTITUTE

Cambridge, Massachusetts \$45,000

Continued support for its efforts to reconcile international environment and trade policies. The Consensus Building Institute serves as a facilitator for the Policy Dialogue on Trade and the Environment, an international forum of trade and environment experts established in 1994 to promote dialogue between the traditionally adversarial trade and environment communities. The Policy Dialogue has proved effective in providing "second track" diplomacy to the official efforts of the Committee on Trade and the Environment of the World Trade Organization.

## CONSERVATION LAW FOUNDATION

Boston, Massachusetts \$100,000

Continued support for its international energy efficiency project. Following its pioneering efforts to establish model energy efficiency programs at New England utilities, the Conservation Law Foundation has now taken the lead in helping to develop utility-based energy efficiency programs in several European nations, designing regulatory structures that balance industry demands for more competition with incentives for conservation.

## 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 forty 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 grant seekers by providing information on foundation programs and funding sources.

## EARTHLIFE CANADA FOUNDATION

Vancouver, British Columbia \$70,000

\$20,000 for two public symposia hosted by the University of Victoria and Simon Fraser University in Vancouver to encourage the spread of sustainable forestry management practices in British Columbia. The

October workshops introduced sustainable forestry management—which aims to provide a continuous yield of high-quality forest products while preserving the ecological integrity of a healthy self-perpetuating forest—to a wide audience of government officials, university faculty, representatives of private timber companies and other business groups, the media, labor conservation organizations, and the public.

\$50,000 for its Wild Salmon Coalition's efforts to protect salmon stocks in British Columbia. In particular, the coalition is pressing for stronger regulatory oversight of the province's salmon fisheries, which is essential if they are to survive. Along with urban sprawl and forest clear-cutting, lax fisheries management on the part of the provincial office of the federal Department of Fisheries and Oceans is a leading factor in the steep declines in local salmon stocks.

## ECOTRUST

Portland, Oregon \$50,000

For an environmental assessment of a portion of the one-million-acre Greater Kitlope ecosystem in British Columbia—the largest known, pristine, temperate coastal rainforest on earth. Ecotrust is undertaking an assessment of the Kowesas section of the watershed in order to collect data on the native plant, animal, and marine species and to assess the potential impact of clear-cutting on the integrity and health of the ecosystem.

## ENVIRONMENTAL ADVANTAGE

New York, New York \$100,000

\$50,000 toward a research project to support the development of sustainable forestry management practices in British Columbia. The project will produce an analysis of opportunities for, and impediments to, the widespread marketing of sustainable forest products; organize a series of meetings with major corporate suppliers and distributors to strengthen market linkages; and study the feasibility of establishing a capital fund to support sustainable forest product ventures. Environmental Advantage will also counsel nonprofit groups as they work to encourage consumers to seek out sustainable wood products.

## *Solar Electric Light Fund*

A Tibetan herdsman family whose home is equipped with solar panels. In rural areas of the developing world, which typically are unconnected to conventional power grids, household solar systems are a feasible and affordable source of electricity. (One solar panel, which costs about \$400, can power

\$50,000 in continued support for its efforts to form a consortium of large institutional consumers in the U.S. and Canada committed to buying sustainably harvested wood products. As with similar initiatives in several European countries and Australia, the proposed North American buyers group is intended to raise the level of demand for certified, sustainable forestry products.

### ENVIRONMENTAL DEFENSE FUND

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

Continued support for the international component of its global atmosphere program. Over the next two years, Environmental Defense Fund (EDF) staff will continue to participate in international efforts to develop protocols for implementing the climate convention on stabilizing greenhouse gas emissions that was adopted at the United Nations Conference on Environment and Development. EDF will also continue to provide leadership to the Climate Action Network, which coordinates the activities of non-governmental organizations worldwide on climate change issues.

### FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW & DEVELOPMENT

London, England      \$100,000

\$50,000 in continued support for its climate and energy project. In concert with the Conservation Law Foundation, the Foundation for International Environmental Law & Development (FIELD) has worked to promote model utility-based energy efficiency programs in several European nations. FIELD also serves as chief adviser to the Association of Small Island States in international negotiations on global climate change.

\$50,000 in continued support for its trade and environment program. The main objective of the project is to analyze how international environmental and trade 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.



two light bulbs, a television, and a radio.) Through support of grantees like the Solar Electric Light Fund and other activities, the Fund is playing an important role in efforts to develop market links that would make solar energy more readily available to consumers in developing countries.

INTERNATIONAL INSTITUTE FOR  
ENVIRONMENT AND DEVELOPMENT  
London, England \$75,000

Toward the planning of Blue Planet, an international foundation that will employ an innovative scheme intended to raise funds for use in ameliorating and solving global environmental problems.

INTERNATIONAL POLICY COUNCIL ON  
AGRICULTURE AND TRADE  
Washington, D.C. \$10,000

Toward the travel costs of international participants at the council's 15th plenary meeting in May to discuss prospects for world food production. Topics addressed by conferees included global food supply-and-demand balance projections, the effects of economic growth in developing countries on agricultural output, and recent advances in agricultural research.

NATIONAL WILDLIFE FEDERATION  
Washington, D.C. \$70,000 over two years

Continued support for its Global Forest Policy Project (GFPP) to monitor international efforts to develop comprehensive standards for sustainable forestry practices. A project of the National Wildlife Federation, the Sierra Club, and Friends of the Earth—U.S., the GFPP coordinates NGO activity worldwide on forestry management issues. An important aspect of its work is assuring NGO participation in the activities of the International Tropical Timber Organization, the International Standards Organization, the “Montreal” and “Helsinki” processes for development of criteria and indicators, and the Intergovernmental Panel on Forests, which has grown out of the UN Commission on Sustainable Development.

NATURAL RESOURCES DEFENSE COUNCIL  
New York, New York \$100,000

\$10,000 for a project to prepare a German-language summary of a study by the International Project for Sustainable Energy Paths describing technologies and policies for cutting carbon emissions in Western Europe. The summary was distributed to journalists covering the United Nations Conference of Parties to the Climate Change Convention, held in Berlin in May 1995,

in an effort to expand media coverage of cost-effective strategies for reducing greenhouse gas emissions in the developed world.

\$15,000 to defray its costs in hosting a series of site visits by tribal leaders from Clayoquot Sound, British Columbia, to sustainable forestry operations in the U.S. This grant also provided support for a follow-up Symposium on Sustainable Forest Management in Clayoquot Sound for members of tribal groups living in the region. The goal of these activities was to provide native groups with information regarding sustainable alternatives to clearcut logging of tribal lands.

\$75,000 to launch a public education initiative on the environmental benefits of sustainable forestry management (SFM), which aims to provide a continuous yield of high-quality forest products while preserving the ecological integrity of a healthy self-perpetuating forest. Sustainable forestry management, which currently represents less than one percent of the wood products market, is a viable alternative to traditional industrial logging and has the potential to slow rampant deforestation worldwide.

NEW ENGLAND NATURAL  
RESOURCES CENTER  
Wayland, Massachusetts \$150,000 over two years

Toward its efforts to develop and accredit certification standards for sustainably harvested timber in North America. Working closely with the Forest Stewardship Council, the New England Natural Resources Center will establish six regional working groups to facilitate the creation of regional certification standards—a prerequisite to ensuring an increased supply of certified wood in the U.S. and Canada.

SOLAR ELECTRIC LIGHT FUND  
Washington, D.C. \$38,000

Toward a research effort and meeting in October at the Pocantico Conference Center on increasing the use of solar power in rural areas of the developing world. Conference participants focused in particular on designing model financing and delivery mechanisms that would make household solar power units available to the estimated two billion people living without electricity. A paper on the results of this conference will be available from the Fund in late spring.



*Alaska Conservation Society: A view of Seal Bay, on the Alaska coast, one of the temperate rainforest lands purchased with funds from the Exxon Valdez settlement. The Alaska Conservation Society, through its Alaska Rainforest Campaign, is a key player in efforts to preserve the region's remaining old-growth rainforests.*

## UNITED STATES

### ALASKA CONSERVATION FOUNDATION

Anchorage, Alaska                      \$200,000 over two years

Renewed support for two projects: the Alaska Rainforest Campaign and the Alaska Marine Conservation Council. Focusing on Prince William Sound, the Lost Coast, and Tongass National Forest, the Rainforest Campaign advocates for the protection of coastal temperate rainforests, negotiating land purchases and timber-harvest moratoriums and pressing for the sustainable management of public lands. The second project for which the Fund provided support, the Alaska Marine Conservation Council, was initiated by local commercial fisherman to reform regional fishery management, develop practical measures to discourage wasteful fishing practices, and halt the destruction of marine habitat.

### CENTER FOR MARINE CONSERVATION

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

Toward a project to apply the new discipline of conservation biology—a multidisciplinary, ecosystem-based approach to species conservation—to the marine envi-

ronment. The several prongs of this project include encouraging the organization of a cadre of marine conservation biologists; expanding the funding base for research; disseminating research findings to scientists, decision-makers, and the public; and increasing the number of marine conservation biologists taking on decision-making roles.

### CLEAN WATER FUND

Washington, D.C.                      \$15,000

For a public education campaign to develop and disseminate information on the implications of “takings” proposals being considered across the nation. These proposals would dramatically expand the obligation of government agencies to compensate individuals and businesses for regulatory activities that diminish property values. Such expanded takings provisions potentially threaten a host of health, safety, and environmental rules and regulations by, in effect, forcing governments to stop enforcing current regulations and to stop issuing new ones.

# ENVIRONMENTAL ADVOCATES

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

For its efforts to mobilize public support for protection of Adirondack Park. Located in northern New York, the two-million-acre park is one of the last great temperate forests remaining in the United States, as well as one of the country's largest reservoirs of biological diversity. With development pressures increasing, Environmental Advantage has launched a statewide education effort advocating the creation of a long-term management plan for the park.

# ENVIRONMENTAL INFORMATION CENTER

Washington, D.C. \$200,000

\$150,000 toward its efforts to broaden public support for global climate protection. Through briefing sessions conducted by leading scientists, health professionals, and religious leaders, the Environmental Information Center is targeting media outlets at the national and local levels. This concerted public education effort will focus on the strong scientific consensus that climate change is real and must be addressed, and will seek to build a public constituency for the adoption of measures that reduce greenhouse gas emissions.

\$50,000 for its Endangered Species Protection Public Education Campaign to draw public attention to proposals now being debated in Congress to cripple endangered species protection policies, and to increase media coverage of this debate. Among these proposals are the elimination of species recovery as a national policy objective; the virtual elimination of protection for critical habitats; the elimination of protections of species on private land; and the severe weakening of protections against traffic in foreign endangered species.

# FISHERIES MANAGEMENT FOUNDATION

Seattle, Washington \$5,000

Toward its costs in organizing the "Solving Bycatch Workshop: Considerations for Today and Tomorrow," held in Seattle in September. "Bycatch"—fish harvested and thrown back—is one of the main reasons for the serious decline in fisheries worldwide. Cosponsored by the foundation and commercial fishing associations, whose members are faced with ever-decreasing catches and uncertain livelihoods, the workshop provided in-

formation about the most up-to-date bycatch reduction methods, fishing techniques, and gear devices that can be used to decrease waste.

# HARVARD UNIVERSITY

Cambridge, Massachusetts \$17,500

For a project of its John F. Kennedy School of Government to study the relationship between transportation policy and environmental regulation at the federal and state levels. The project was led by Emil Frankel, former commissioner of transportation for the state of Connecticut and a current fellow of the Kennedy Center and the Taubman Center for State and Local Government, who pioneered an innovative public consultative process in planning major transportation capital projects and in bringing broad environmental and social goals to bear on the delivery of transportation services.

# INSTITUTE OF ECOSYSTEM STUDIES

Millbrook, New York \$20,000

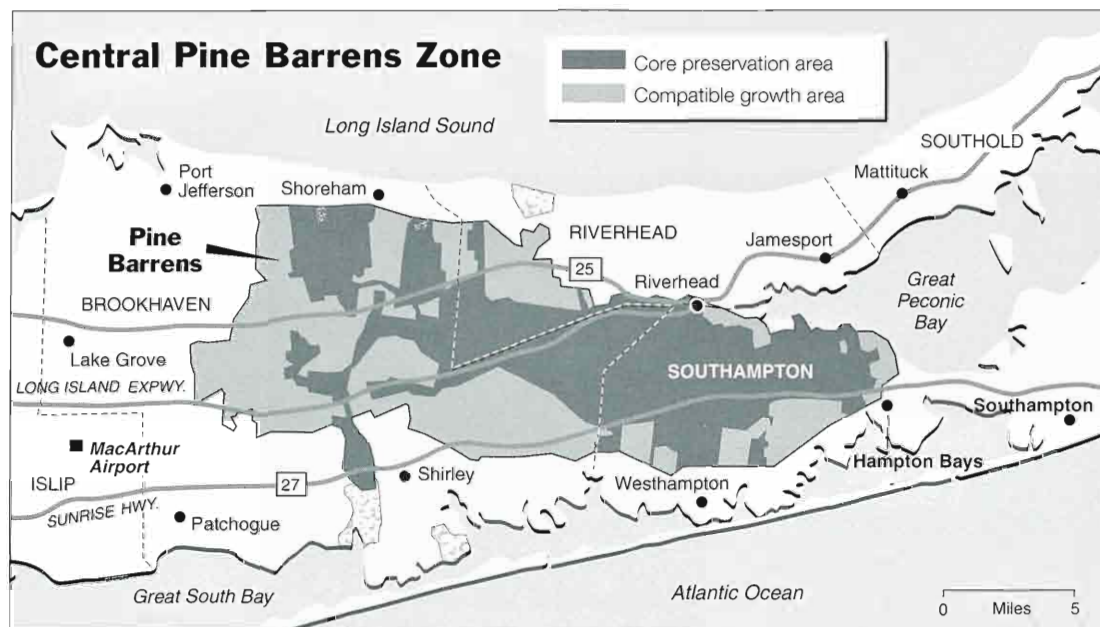
For its conference, "Enhancing the Ecological Basis of Conservation," held in May 1995. The goal of the conference was to develop a theoretical framework to guide environmental stewardship, which increasingly focuses on the conservation of large-scale ecosystems as opposed to single species. With the inclusion of conservation advocates, policymakers, and journalists, in addition to scientists and public land managers, conference organizers also aimed to help bridge the gap between science and sound public policy.

# KEYSTONE CENTER

Keystone, Colorado \$105,000 over two years

Toward its National Policy Dialogue on Ecosystem Management, an effort to develop and disseminate information on the emerging practice of ecosystem conservation. Drawing on the expertise of scientists and practitioners from around the country, the Keystone Center will produce a series of case studies describing current best practices in the field of ecosystem management. These studies will be distributed to government land management agencies, conservation groups, communities, and policymakers who are wrestling with ecosystem management issues, often in isolation.





*In 1995, following years of negotiations among developers, environmentalists, and politicians, a law was passed designating the 100,000-acre Long Island Pine Barrens as New York State's third forest preserve. The Long Island Pine Barrens Society was instrumental in negotiating the land management plan mandated by this law, which will halt development in 52,500 acres in the core of the preserve and regulate development in the surrounding 47,500 acres. The plan, shown above, represents an unusual compromise among competing interests and, once completed, is expected to serve as a model for protecting other environmentally sensitive areas bordering densely populated regions.*

## LONG ISLAND PINE BARRENS SOCIETY

Manorville, New York	\$35,000
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Continued support to complete a comprehensive land management plan for the Long Island pine barrens forest, a 100,000-acre area supporting the greatest concentration of endangered and threatened species in New York State. The pine barrens also sit atop the Mahogany Aquifer—the largest remaining source of pure drinking water for Long Island residents.

## NON-PROFIT RESOURCE CENTER

Albany, New York	\$200,000 over two years
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To assist its efforts to develop a long-term management plan for the protection of New York City's drinking water. The Non-Profit Resource Center, in collaboration with six other nonprofit groups, is undertaking a public information campaign on the need to take immediate steps to safeguard the City's drinking water supply, which

is threatened by inadequate protection of upstate watersheds. The collaborative is planning a statewide coalition-building effort to ensure broad public participation in the development of a land management plan.

## REDEFINING PROGRESS

San Francisco, California      \$80,000 over two years

To promote an alternative measure of economic progress, known as the GPI (Genuine Progress Indicator). In contrast to the GDP (Gross Domestic Product), which measures sheer economic activity, the GPI includes other factors central to the well-being of individuals and the nation, such as resource depletion, changes in income distribution, and loss of leisure time, to name a few. The GPI was developed by Redefining Progress to provide a more accurate picture of economic realities as well as a more useful basis on which to shape the nation's economic agenda.



SIERRA CLUB LEGAL DEFENSE FUND

San Francisco, California      \$100,000 over two years

To expand the range of services it provides for ecosystem conservation and management. This grant is aimed at helping the Legal Defense Fund, an environmental law firm, transform its mission from one focused on individual species protection to one emphasizing the viability of entire ecosystems. The nonprofit law firm also plans to expand the services it offers to include media, public education, and coalition building expertise.

TIDES FOUNDATION

San Francisco, California      \$170,000

\$120,000 over two years for its Environmental Media Services project. Established in 1994, the project carries out a range of activities, including press briefings and regular seminars, to educate print and broadcast journalists about environmental issues on a timely basis, with the goal of expanding and strengthening public support for environmental stewardship.

\$50,000 to its U.S. Climate Action Network to broaden public support for global climate protection. Through briefing sessions conducted by leading scientists, health professionals, and religious leaders, the Climate Action Network, in collaboration with the Environmental Information Center, plans to target media outlets at the national and local levels with the message that a consensus has emerged among the world's scientists that global warming is indeed occurring and that urgent steps are required.

UNION OF CONCERNED SCIENTISTS

Cambridge, Massachusetts      \$80,000 over two years

Toward its project to mobilize increased numbers of scientists to enter into, and lend credible scientific knowledge to, public discussions of complex, science-based environmental issues, such as climate change, biodiversity loss, and ozone depletion. Project leaders also hope to increase the accuracy of media coverage and enhance the understanding of public officials and policymakers with regard to these issues.

WORLD RESOURCES INSTITUTE

Washington, D.C.      \$50,000

Toward its efforts to broaden public support for global climate protection. In particular, the institute is work-

Redefining Progress

GROSS PRODUCTION VS. GENUINE PROGRESS, 1950-PRESENT



This graph shows economic progress (per capita) from 1950 to the present as measured by the Gross Domestic Product (GDP) and the Genuine Progress Indicator (GPI). Developed by Redefining Progress, an RBF grantee, the GPI includes a wide range of social and environmental factors that the GDP (the standard economic indicator) ignores. While the GDP measures all economic activity—an oil spill, for example, or a costly divorce—as a gain, the GPI reflects such activity as a drop in well-being. The result is a picture of the U.S. economy that is fundamentally different. When social and ecological costs are taken into account, the overall health of the economy shows a steady decline since the 1970s.

ing to educate public officials, business leaders, and other key decision-makers about the consensus that exists in the international scientific community concerning the reality and seriousness of global warming. By countering through hard data an impression of scientific uncertainty on the issue, the institute hopes to revive public concern and encourage meaningful action at the policy level.

## EAST CENTRAL EUROPE

### BENEFICIAL TO THE PUBLIC FUND

Liptovsky Hradok, Slovakia \$120,000 over three years

Toward efforts to implement an alternative development plan that includes historic preservation, environmental protection, and small-scale tourism in the High Tatras Mountain region in north-central Slovakia. The initiative enlists government officials, business leaders, farmers, foresters, and local citizens in an effort to stimulate economic opportunity while preserving the region's natural environment and cultural heritage.

### FOUNDATION FOR A CIVIL SOCIETY

New York, New York \$9,000

Toward a project to encourage sustainable development practices in the Czech Republic. Poised for an era of unprecedented growth, the country is at a crossroads in terms of the form that growth will take. Led by journalist Roberta Gratz, the year-long project is designed to investigate ways to educate Czech journalists, citizens, and policymakers regarding the benefits of sustainable community-based economic development, which takes into account environmental and preservation concerns.

### FOUNDATION FOR THE DEVELOPMENT OF POLISH AGRICULTURE

Warsaw, Poland \$100,000 over two years

For a pilot project to promote environmentally sound economic development in Gorzow Wielkopolski, a province in scenic western Poland, through the revival of local tourism. With the closing and downsizing of state farms and enterprises, small-scale tourism offers a way to enhance economic development, provide employment that is not related to agriculture, and preserve communities in rural areas while safeguarding the landscape and cultural heritage.

### INSTITUTE FOR ENVIRONMENTAL POLICY

Prague, Czech Republic \$170,000 over three years

Continued general support for the institute, established in 1992 to focus on sustainable development issues in Czechoslovakia and the Central European region more generally. Through its analyses, publications, training, and public education activities, the institute provides an alternative voice, stressing the need for environmental protection amidst a regionwide rush to promote economic growth.

### INSTITUTE FOR SUSTAINABLE DEVELOPMENT

Warsaw, Poland \$275,000 over three years

Continued general support for the institute, established in 1991 as the first independent policy center in East Central Europe devoted to linking environmental concerns with economic development. The institute prepares policy analyses and will begin to publish an annual report, *Progress in Sustainable Development in Poland*. Working with citizens' groups, business people, and government agencies, the institute undertakes a wide range of public education activities that emphasize the importance of sustainable economic development.

### POLISH ECOLOGICAL CLUB

Cracow, Poland \$180,000 over three years

To establish an NGO network to monitor multilateral development bank lending and investment practices in East Central Europe. Spanning eight countries, the network seeks to raise public awareness of, and enter into discussions with national governments about, specific bank projects which have serious negative effects on the environment, especially those in the energy, transportation, and forestry sectors.

### RESOURCES DEVELOPMENT FOUNDATION

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

For its International Fellowship Program in Energy Efficiency, which provides six- to nine-month internships for talented, younger managers in the electric power industry in East Central Europe (and other less developed countries) at selected utility companies in the U.S., Canada, and Western Europe. The individualized study and hands-on training exposes fellows to demand-side man-



*The 1995 Central and Eastern European Fellows of the Quebec-Labrador Foundation's Atlantic Center for the Environment, photographed at an organic farm in New Hampshire. The fellows were on a one-month study tour to learn about land stewardship options and to see how U.S. nonprofit organizations work. The Fund made a three-year grant to the Atlantic Center in 1994 for its programs in East Central Europe, which provide technical assistance and training to environmental NGOs.*

agement activities and related energy efficiency practices that can significantly reduce greenhouse gas emissions and promote energy savings in the electric utility sector.

EAST ASIA

EARTH ISLAND INSTITUTE

San Francisco, California      \$60,000 over two years  
Support for its Mangrove Action Project. Poor understanding of the many direct economic benefits and environmental services provided by mangrove forests has led to the massive destruction of these important coastal ecosystems. Urbanization and port development have taken a toll, but the major threat to mangroves in tropical Asia today is from shrimp aquaculture. The Mangrove Action Project works to disseminate information regarding the importance of mangrove ecosystems; to serve as a conduit for grassroots NGOs in the developing world working on coastal issues; to monitor the lending activities of the multilateral development banks for aquaculture; and

to raise consumer awareness in the North about the economic and ecological consequences of an increased appetite for farmed shrimp.

HANOI, UNIVERSITY OF

Hanoi, Vietnam      \$10,000

To the university's Center for Environment and Natural Resource Management (CRES) for a study of the application of geographical information systems and remote sensing techniques to land tenure and sustainable development concerns in Hoa Binh Province, Vietnam. Located in central Vietnam, Hoa Binh Province was the site a decade ago of a dam construction that displaced thousands of people from fertile lowlands to steep upland areas, which are now severely degraded. The goal of the study is to understand the customary land use patterns of the inhabitants and to combine this knowledge with earlier CRES bio-physical research to develop ecological restoration options for the area.

INDONESIAN FOUNDATION FOR  
ADVANCEMENT OF BIOLOGICAL SCIENCES

Depok, Indonesia \$10,500

For a study of community-based natural resource management and coastal tenure in the Togian Islands of Central Sulawesi, Indonesia. Researchers will document local customs governing fishing practices in the Togian coastal reef and attempt to situate these local tenure practices within coastal zone management frameworks in Indonesia. The study may highlight opportunities for community-led conservation to provincial and national authorities.

INTERNATIONAL CRANE FOUNDATION

Baraboo, Wisconsin \$10,000

As a contribution to the conference, "The Mekong: Sustainable Development through Cooperation." Organized in response to an April 1995 agreement signed by Thailand, Vietnam, Cambodia, and Laos establishing a new commission on matters related to Mekong River management, the conference promoted discussion of broad concerns related to development in the region with a wider Asian audience, including media, NGOs, and governmental bodies. Issues considered included ecosystem management strategies, energy options, and the potential consequences of large-scale dam construction on the Mekong River.

INTERNATIONAL LAW INSTITUTE

Washington, D.C. \$25,000

For a workshop on the current state of shrimp aquaculture legislation, regulation, and enforcement in Southeast Asia. Though often touted as the answer to sharp declines in fish stocks worldwide, aquaculture (fish farming) has its own problems. These include the destruction of coastal ecosystems, adverse impacts on water quality, salinization of arable lands, and, frequently, the impoverishment of local communities. Most national regulatory systems are poorly equipped to deal with this new industry; oftentimes, agriculture, fisheries, and forestry ministries have conflicting mandates with respect to aquaculture. Scheduled for early 1996, the workshop will bring together in Bangkok representatives from government, industry, and the nonprofit sector to discuss the legal aspects of aquaculture management and regulation in Southeast Asia.

LEGAL RIGHTS AND NATURAL  
RESOURCES CENTER

Quezon City, Philippines \$10,000

To study traditional land-use management systems among the indigenous people of northeastern Mindanao Island. With the island's old growth rainforests now under threat from timber interests, researchers intend to document the Manobo people's ways of "owning" and valuing the land. They also hope to elucidate the economic value of local uses of biodiversity, the environmental benefits provided by intact watersheds, and the potential economic losses should primary forest cover be replaced by monoculture pine plantations. The study also comments on current Philippine government programs for giving ancestral domain rights to indigenous communities.

NATIONAL COMMITTEE ON  
UNITED STATES-CHINA RELATIONS

New York, New York \$75,000

Continued support of a project to develop a sustainable resource management plan for the Ussuri/Wusili Watershed, located on the border of southeastern Russia and northeastern China. A region of high biodiversity, the watershed includes one of Russia's least disturbed areas of boreal forest and China's largest remaining contiguous wetlands. In addition to encouraging an ecosystem approach to the conservation and management of natural resources and introducing sustainable development concepts to provincial authorities in both countries, the project is promoting cross-border cooperation in a region formerly marked by hostility and mistrust.

PACIFIC ENVIRONMENT AND RESOURCES  
CENTER

Sausalito, California \$80,000

Toward its forest conservation programs in the Russian Far East. These include efforts to protect the region's vast *taiga* region, home to almost half the world's salmon; to strengthen local nongovernmental organizations; to monitor patterns of regional trade in forest and marine products; and to work with local and provincial officials in developing culturally appropriate mechanisms for co-management of natural resources.

PESTICIDE ACTION NETWORK –  
NORTH AMERICA

San Francisco, California \$40,000

To design collaborative activities with the newly created Global Integrated Pest Management Facility. Integrated Pest Management (IPM) is a grassroots approach to agricultural production that seeks to reduce pesticide use while strengthening farmer groups. Pesticide Action Network, which runs IPM field programs and policy workshops at its regional centers, will explore further collaboration with the new global facility and work for increased World Bank support of IPM projects.

PRINCE OF SONGKLA UNIVERSITY

Hat Yai, Thailand \$15,000

For a project by the university's Agricultural, Resource and Environment Systems Research Center to inventory community agroforestry systems in the uplands of southern Thailand and the resource tenure patterns governing their use. In addition, researchers hope to study local perceptions of changes in land management imposed by government agencies over the past twenty years as compared to community-developed resource-use plans. From this, the center hopes to engage local officials in discussions of appropriate community-led natural resource management strategies.

RAINFOREST ALLIANCE

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

For its Natural Resources and Rights Program (NRRP) to study coastal tenure and marine biodiversity issues in Indonesia. The NRRP is working with Indonesian research institutes, universities, and NGOs to suggest resource management policies and local government codes protective of coral reef ecosystems. Traditionally safeguarded through a system of social sanctions, coral reefs throughout Asia are increasingly threatened as a result of surging global demand for reef fish, destructive fishing practices, and the imposition of an "open-access" fisheries system by national governments.

UNIVERSITY OF MALAYSIA, SARAWAK

Kota Samarahan, Malaysia \$30,000

For a conference, "Community Rights and Resource Tenure in Southeast Asia," scheduled for January 1996. At the meeting, Southeast Asian scholars will present their research studies in the emerging field of political ecology, which examines issues of property rights and the balance between state and local control of resources.

YALE UNIVERSITY

New Haven, Connecticut \$95,000 over three years

To support activities of the International Association for Studies in Common Property, including publication of its newsletter, *Common Property Resource Digest*. Composed of 4,500 member institutions, the association is an important international forum for the discussion of common property systems, which encompass the issues of community ownership and management of natural resources. The association's secretariat is located at Yale University's School of Forestry and Environmental Studies.

## PROGRAM GUIDELINES

### ONE WORLD: WORLD SECURITY

*In late 1994, the Fund began a process of reviewing the world security program guidelines. New guidelines are expected to be adopted by early 1998. In the meantime, the guidelines that were in effect through 1994 are provided below so that readers might better understand the context in which the following grants were made.*

#### 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**, 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

In 1994, the Rockefeller Brothers Fund announced its intention to reconsider the goals and strategies of its world security program. New program guidelines, scheduled for publication in early 1998, are to be based on the results of the Fund's two-year Project on World Security — a comprehensive, integrated review of international security relations that will reconsider the concept of security in light of post-Cold War needs, concerns, and opportunities. No grants will be approved in the security area for the duration of this review (1996-1997).

For the past two years, then, the Fund has concentrated on phasing out its “old” security program. Having made final renewal grants in 1994 to projects funded under the global (nuclear nonproliferation) component of that program, the RBF focused in 1995 on the East Central Europe and East Asia components. Since the Fund has a continuing commitment to the issue of world security and intends ultimately to mount a revised security program, these phase-out activities were guided by two often-overlapping considerations: to appropriately round off support of projects funded under the previous program guidelines, and to help launch or sustain certain new initiatives of long-time RBF grantees that might complement the Project on World Security. In a sense, then, the Fund's security grantmaking looked both forward and back in 1995.

In East Central Europe (ECE), where enormous and potentially destabilizing social and political transformations are taking place, grants were made in 1995 to help the Carpathian Euroregion (an association of local and regional governments in Hungary, Poland, Slovakia, Ukraine, and Romania which attempts to foster constructive cross-border relationships) face upcoming challenges with maximum effectiveness. Established in 1993 and first supported by the RBF in 1994, the Carpathian Euroregion project has advanced the Fund's interest in building local and regional capacity to handle the volatile economic, legal, and environmental issues associated with the restructuring of Europe. In 1995 the Fund made a grant to help the association remedy structural and organizational deficiencies that limit its impact, and supported a project to link community and regional development more closely to national and multilateral decision-making and to address obstacles to the smooth integration of member countries into the European Union. Also in 1995, the Fund continued its support of the Institute for Human Sciences in Vienna, a highly regarded institute for policy research on the economic, political, and social issues facing ECE. With the help of this grant, the institute intends to add a new long-term project, “Re-Thinking Post-War Europe,” to its existing projects on the social costs of economic transformation and on the reform of higher education and research in ECE.

In addition to these grants designed to strengthen security-oriented initiatives in ECE as the Fund's programmatic priorities undergo a shift, the RBF also lent support to a major assessment of the overall impact of foreign funders' efforts to promote democracy in East Central Europe. The results of this evaluation will undoubtedly cast new light on the RBF's past activities in ECE and inform its future security funding in that region.



In Asia, another region that has changed dramatically and fundamentally in recent years, the RBF made its final grants under the former security guidelines. Certain grants brought a kind of closure to the Fund's efforts. Such was the case for the RBF's contribution toward the 25th anniversary program of The Williamsburg Conference, a prestigious series of annual forums initiated in 1971 under the leadership of John D. Rockefeller 3rd and designed to provide unofficial opportunities for influential Asians and Americans to discuss policy issues affecting international relations. Several other grants were intended to help construct a new framework for security policymaking in this much-changed region. The Fund lent its support, for example, to a comparative study of contemporary Asian definitions and concepts of national security. During the Cold War, when U.S.-Soviet relations were of paramount importance, Asian perceptions, assumptions, and expectations about security were considered to be largely irrelevant. Today, however, with the emergence of China into the international community and the centrality of Asia to the global economy, traditional security issues are more often defined in local or regional terms, and Asian states are asserting greater influence in their own and regional affairs. The Fund believes that a systematic study of ideas and perceptions about security in several Asian countries will help the region move on to the next phase of its search for continued peace and stability.

Another set of grants supported the exploration of fresh ways of thinking about American relations in Asia, focusing variously on new policymaking processes that would take account of the inner dynamics of Asian countries (religion, ethnicity, tradition) as well as trade and military dynamics; on post-Cold War challenges for democracy in Japan (as well as in the United States and Western Europe); and on the need for greater domestic public awareness about U.S. interests in Northeast Asia. Finally, a grant to the Asia Foundation was intended to help this mainstay of American philanthropy in Asia reorganize and reposition itself in light of changing regional circumstances and waning U.S. government support for its activities abroad. In contributing to such forward-looking projects of existing RBF grantees, the Fund simultaneously helped equip organizations of proven merit to continue their security-related work in a changing environment, and promoted the kinds of activities that will inform its own reconsideration of world security issues.

The Project on World Security is expected to produce both an edited volume incorporating the project's findings and a grantmaking program designed to further develop and apply new security concepts generated by the project. A third goal is to promote expert and public debate on the nature of security, how to assure it, and our shared human responsibility for doing so. While the specific findings of the project cannot be predicted with any degree of certainty, it is clear from the RBF's experiences in ECE and East Asia that such an exploration is timely and that its necessity has been recognized by many funders and nonprofits active in the traditional security arena.





*Richard H. Solomon, president, and Chester A. Crocker, chairman, of the United States Institute of Peace at its conference, "Managing Chaos: Coping with International Conflict into the 21st Century." Support for the conference was in keeping with the Fund's interest in exploring new definitions of security in the post-Cold War era.*

GLOBAL

CARNEGIE ENDOWMENT FOR  
INTERNATIONAL PEACE

Washington, D.C. \$25,000

Toward costs of establishing the International Crisis Group (ICG). The ICG has been created as a mechanism that will help the world community respond more effectively to the increasingly complicated humanitarian crises emerging around the globe. The ICG will begin by developing comprehensive strategies for international involvement. Once involved in actual emergency situations, the International Crisis Group will integrate three important elements of crisis management: early and accurate assessment; strategic and expert advice; and sustained high-level advocacy on an international scale.

TRILATERAL COMMISSION  
(NORTH AMERICA)

New York, New York \$75,000

Toward its project, "Revitalizing Trilateral Democracies," a study of the problems of governance in liberal democracies in the post-Cold War era. The report ex-

plored, and recommended possible solutions to, three general problems: how such developments as globalization, transnational capital flows, and the end of the Cold War are undermining the effectiveness of national leaders and institutions; how the increasing isolation of the individual and new technologies are eroding the electorate's ability to join together as a community to pursue common goals; and how social fragmentation and increasingly shrill political discourse are disrupting the marketplace of ideas.

UNITED STATES INSTITUTE OF PEACE  
Washington, D.C. \$12,500

To enable international NGO representatives to participate in the institute's conference, "Managing Chaos: Coping with International Conflict into the 21st Century." The purpose of the gathering was to examine the changing character of international friction and confrontation in the post-Cold War period, as well as the changing roles of nongovernmental organizations, governments, and international groups in addressing conflict.

## EAST CENTRAL EUROPE

### CHARITABLE FUND "CARPATHIAN EUROREGION"

Usghorod, Ukraine \$140,000 over two years

To help the Carpathian Euroregion, a voluntary association of local governments from five nations bordering the Carpathian Mountains, with the restructuring of its secretariat and working groups. In an historically volatile region, the initiative is designed to encourage transborder cooperation in economic, social, cultural, and environmental matters.

### INSTITUTE FOR EASTWEST STUDIES

New York, New York \$375,000 over three years

Toward a program on community and regional development in the Carpathian Euroregion. Coordinated by the institute, which was a driving force in the establishment of the Euroregion, the program's goal is to offer analyses and recommendations for promoting regional cooperation and environmentally sound economic advancement. As part of this complex policy and demonstration program, local citizens will be meeting with national policymakers in order to strengthen their role in formulating their own vision for the future and strategies for attaining it.

### INSTITUTE FOR HUMAN SCIENCES

Vienna, Austria \$200,000 over two years

Continued general support for the institute, founded in 1984, which carries out advanced policy analyses and discussions on the economic, political, and social issues facing East Central Europe. Current initiatives include distinguished international working groups on the Transformation of Higher Education and Research in Central Europe, Social Costs of Economic Transformation in Central Europe, and Re-Thinking Post-War Europe.

### WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS

Washington, D.C. \$25,000

For a project to assess U.S. and European efforts to promote democracy in Eastern Europe. Since 1990, private, government, and multilateral funders have provided many millions of dollars to increase prospects for creat-

ing viable open societies: supporting the establishment of new parliaments, independent judiciaries, fair elections, civic education, a free press, and a voluntary sector. At this five-year juncture, the Woodrow Wilson Center project will evaluate the effectiveness of these efforts, assess what has been learned, and assist funders and groups in the region in planning for the future.

## EAST ASIA

### ASIA FOUNDATION

San Francisco, California \$75,000

Toward a review of the foundation's mission, program, operations, and funding. Through its grantmaking programs, the foundation has promoted representative government and the rule of law, assisted in the emergence of market economies, and sought more harmonious relations among the nations of Asia and between Asian countries and the United States for forty years. Changes in the Asia-Pacific region and in patterns of U.S. funding for activities abroad require the foundation to reorganize and reposition itself in order to operate effectively in the future.

### ASIA SOCIETY

New York, New York \$175,000 over two years

\$100,000 over two years toward its public education initiative on Northeast Asia. The two-year outreach effort, organized around public symposia conducted across the nation, is designed to increase American public concern about evolving international relations in Northeast Asia and to highlight the critical role the U.S. plays in the resolution of regional issues and the advancement of multilateral cooperation.

\$75,000 toward the twenty-fifth anniversary program of the Williamsburg Conference. Initiated in 1971 under the leadership of John D. Rockefeller 3rd, the annual forum provides an opportunity to promote informal contact between U.S. and Asian leaders, with the aim of reducing tensions and increasing mutual understanding. The central theme of the twenty-fifth conference (scheduled for April 1996) will be an examination of the changes in intra-Asian and Asian-U.S. relations that must occur if prosperity, peace, and stability are to be ensured through the early part of the next century.

ASIAN CULTURAL COUNCIL

New York, New York \$300,000

Continued general support. 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 CULTURAL AND TECHNICAL INTERCHANGE BETWEEN EAST AND WEST

Honolulu, Hawaii \$75,000 over two years

Toward a comparative study of national security conceptions in Asian countries. Security analysts will examine security policy and relations from the perspective of each of the eighteen countries represented and, in the second phase of the project, begin to map out a new framework for the consideration of regional security. In the post-Cold War period, when Asia-Pacific security arrangements are no longer defined in terms of U.S.-Soviet relations, participants intend to go beyond the traditional concept of security to one that includes military, political, economic, and environmental concerns.

COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF

New York, New York \$130,000 over two years

Continued support for "Culture and Diplomacy in Post-Cold War Asia," a project intended to develop a new way of thinking about American relations in Asia. The goal of the project, led by senior policy analysts and scholars at Columbia's East Asian Institute, is to design a process to facilitate U.S. policymaking with respect to East Asia that gives an emphasis to political and social ties, one that stresses the importance of acknowledging Asian views and values and of taking into account the shifts and changes that are occurring in Asia.

NAUTILUS OF AMERICA

Berkeley, California \$38,000

To establish an Internet link in the Democratic People's Republic of Korea (DPRK) and to train North Koreans in the use of Internet technologies. The proposed connection represents a helpful step, now possible under the Agreed Framework, in encouraging Korean engagement with the outside world. The project also would establish the important precedent of allowing American NGOs to provide technical assistance to the DPRK and of allowing North Koreans to come to the U.S. for NGO training programs.

# PROGRAM GUIDELINES

## NONPROFIT SECTOR

### GOAL

To promote the health and vitality of the nonprofit sector, both nationally and internationally, particularly in those regions of the world where the Fund is engaged in other aspects of its program.

### STRATEGIES

- Assisting in the development of the financial, human, and structural resources necessary to the nonprofit sector, with special attention to promoting the growth of philanthropy.
- Encouraging greater accountability within the nonprofit sector, with special attention to the role of trustees or directors of nonprofit organizations in ensuring ethical practices.
- Promoting increased understanding of the nonprofit sector and of nonprofit organizations and the diverse roles they play in society, with special attention to reaching both the general public and individuals actually engaged in nonprofit endeavors, and to fostering communication and networking among nonprofit organizations, internationally as well as domestically.

## NONPROFIT SECTOR

What stands out about the Fund's nonprofit sector program during 1995 is the emergence, more clearly than ever, of themes that cut across the geographic regions in which the RBF is active. In part this is a function of the nonprofit sector's expansion internationally, a process toward which the Rockefeller Brothers Fund itself has contributed significantly. But the emergence of these cross-cutting themes also reflects changes in the U.S. context that have raised questions about the sector here which are increasingly similar (in nature if not in severity) to those raised in connection with the more tenuous nonprofit sectors of East Asia and East Central Europe.

In the United States, 1995 was a year of extraordinary challenge for the nonprofit sector, a year that confirmed many of the concerns expressed by RBF president Colin G. Campbell in the Fund's 1994 Annual Report. Several important factors — the ripple effect of a few widely reported scandals in the sector, the increased public tendency toward mistrust of all institutions, a shift in political philosophy in Washington, and changes in the roles of government, the private sector, and the nonprofit sector with respect to the provision of desperately needed social services — combined to place unprecedented demands on the nonprofit sector and at the same time to threaten the respect with which it has traditionally been regarded and some of the freedoms it has traditionally enjoyed. In this changed context, American nonprofits necessarily began to confront some of the fundamental questions about legitimacy, function, capacity, and sustainability that confront the sector in regions of the world where the very notion of a nonprofit, nongovernmental sector is still new and unfamiliar. In some of those regions, too, where the RBF and other funders have been working to foster the creation of strong civil societies, recent developments have made it clear that certain fundamental questions about the capacity and sustainability of the nonprofit sector remain quite pressing.

This convergence of concerns across geographic areas, while it does not negate the very real regional differences among nonprofit sectors and the challenges they face, was strongly reflected in the Fund's grantmaking during 1995. The most striking instance was the RBF's increased attention, both nationally and internationally, to enhancing public understanding of nonprofit organizations and the contribution they make to society. Without such understanding, the sector is unlikely to thrive in any region of the world.

One 1995 grant, for example, will bring researchers together at the Pocantico Conference Center to discuss how best to document the outcomes and consequences of foundation efforts in the United States and worldwide. The Fund also lent its support to the second phase of a major comparative study of the international nonprofit sector, conducted by the Institute for Policy Studies at the Johns Hopkins University. This second phase builds on an exploratory first effort (which the RBF also helped fund) and seeks not only to accurately describe but also to evaluate the effectiveness and contributions of the nonprofit sector in over 25 countries. In the transforming societies of East Central Europe, where the public's lack of understanding of the role of nonprofit organizations has proven to be a real obstacle to sectoral growth, the RBF supported grantees whose work promises to increase public awareness and appreciation of the value of an open, accountable, and responsive

nonprofit sector. Contributions were made in 1995 to the Support Office for the Movement of Self-Help Initiatives in Poland (which promotes the concept of volunteerism) and to several model grantmaking organizations in Poland, Hungary, and the Czech Republic.

Another concern that cuts across geographic regions is the need for continued institutional capacity building. The urgency of this need is obvious in areas of the world where the nonprofit sector is new or not fully established, but recent developments have brought this necessity to the foreground in the United States as well. Among those developments are the devolution of social service provision and management from the federal government to the states; the increasing reluctance of the public sector generally to take responsibility for meeting critical and expanding social needs; and a recognition that nonprofits must learn to cooperate with government agencies and for-profit institutions if they are to satisfy even a share of the demands being placed on them. Along with increased pressures for service and for collaborative capacity have come increased demands for accountability.

Taken together, these trends pose substantial new management and fundraising challenges for almost all American nonprofits, including foundations. In 1995 the Fund responded to these capacity-related challenges—domestically, where they have acquired new urgency, and internationally, where they have always been apparent—through a number of grants. For example, because more is now being expected from local and community-based nonprofits in the United States, the RBF supported an effort by the National Council of Nonprofit Associations to enhance the capacity of statewide and regional associations of grantmakers, which provide clearinghouse services, technical and development assistance, and information sharing for many small nonprofits. Other grants gave support to proven training programs for nonprofit leaders, national as well as international, in order to enhance the human resources available to philanthropic institutions. The RBF sought to enlarge the financial resources of U.S. nonprofits by providing ongoing support to a commingled investment fund and investment information source for small and medium-sized foundations. In East Central Europe, where the need for capacity building is especially great in poor rural regions, the Fund directed support to the Lublin Self-Help Center for a project to improve communication and information exchange among nonprofits in southeastern Poland and to facilitate crossborder cooperation with nonprofits in Ukraine and Belarus.

Toward the end of 1995, recognizing that such cross-cutting themes were becoming increasingly prominent on the grantmaking agenda of the nonprofit sector program, the Fund and its trustees undertook a review of the program guidelines. The resulting new guidelines, presented here, reflect the RBF's commitment to promoting the health of the nonprofit sector by supporting efforts—which will take different forms in different geographic and cultural settings—to build capacity and sustainability in the sector (by increasing its financial, human, and structural resources); to improve accountability of nonprofit institutions (which will be necessary not only to ensure that nonprofits act effectively and efficiently to meet the new demands placed on them, but also to ensure continued public trust in the sector); and to increase understanding of nonprofit organizations and the roles that they, and the sector as a whole, play in society.

## DEVELOPMENT OF RESOURCES

### ALLIANCE FOR JUSTICE

Washington, D.C.

\$20,000

To its Minority Fellowship Program. The program offers two full-time internship positions at the alliance to recent minority college graduates, law students, and young lawyers, providing these young people with an opportunity to experience public service within a career setting and to become familiar with the public interest community. The Alliance for Justice is a national association of environmental, civil rights, women's, and consumer legal groups founded in 1980.

### FOUNDATION CENTRAL EUROPEAN CENTRE FOR BEHAVIORAL ECONOMICS

Lublin, Poland

\$42,500

Support for its Lublin Self-Help Center, a resource center for NGOs in the rural southeastern region of Poland. The center provides technical assistance and organizes training workshops for fledgling nonprofit groups. With this grant, the center will develop a monthly journal and computer center to improve communication among and provide support mechanisms for NGOs in southeastern Poland, Ukraine, and Belarus.

### HARVARD UNIVERSITY

Cambridge, Massachusetts

\$225,000 over three years

Toward curriculum development and the preparation of case studies for the Nonprofit Policy and Leadership Program of the university's John F. Kennedy School of Government, a graduate program of research and education on the nonprofit sector. The core mission of the program is to prepare leaders for the nonprofit and the public sectors.

### HUNGARIAN FOUNDATION FOR SELF-RELIANCE

Budapest, Hungary

\$200,000 over two years

General operating support. The Hungarian Foundation for Self-Reliance (HFSR) was established in 1990 with RBF support to provide grants, loans, and technical assistance to nonprofit organizations in rural areas and small towns working on issues of poverty, ethnicity, and

the environment. HFSR has evolved into a successful indigenous development agency and a model of open, accountable, and responsive philanthropy in East Central Europe.

### INVESTMENT FUND FOR FOUNDATIONS

Charlottesville, Virginia

\$50,000

Toward the further development and expansion of its educational programs. The Investment Fund for Foundations (TIFF) was founded in 1991 to help foundations earn higher returns on their invested assets by making available to them information and educational programs on investing as well as a number of multi-manager investment vehicles. Such commingled funds especially benefit small and medium-sized grantmakers whose endowment performance tends to lag behind that of larger foundations.

### JOHNS HOPKINS UNIVERSITY

Baltimore, Maryland

\$150,000 over three years

Continued support for the Institute for Policy Studies' International Fellows in Philanthropy program, which provides advanced training and in-depth exposure to the institutions and literature of the nonprofit sector, thereby contributing to the development of a worldwide network of leaders in the field. Each year, the program hosts six to eight fellows active in the nonprofit sector abroad at the Johns Hopkins campus for a semester or academic year of intensive, individualized study and research.

### NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS

Washington, D.C.

\$150,000 over three years

Continued support for its activities to encourage the development and capacity building of statewide associations of nonprofit organizations. Such associations provide small and medium-sized nonprofits with information resources, technical assistance, cost-saving programs, access to health and liability insurance, and organizational and professional development opportunities. They also provide a vehicle through which all nonprofits in a state or region can collaborate for public policy education and advocacy at the state level.



*George Neubauer, executive director of the Boys and Girls Club of Providence, Rhode Island—a participant at the National Council of Nonprofit Associations' annual meeting.*

#### NATIONAL ENDOWMENT FOR THE ARTS

Washington, D.C. \$25,000

For the President's Committee on the Arts and the Humanities as it explores alternative revenue sources for nonprofit arts funding. In particular, the committee is investigating the idea of using copyright revenues to subsidize activities in the arts and humanities. Created in 1982, the President's Committee tracks trends in private support from foundations, corporations, and individuals; investigates creative new ways to finance the arts and humanities; and acts as a broker between private interests and nonprofit arts organizations.

#### ROCKEFELLER FAMILY FUND

New York, New York \$25,000

Support for its efforts to enhance the institutional capacity and long-range sustainability of nonprofit organizations. In addition, the Family Fund tracks emerging issues pertaining to the role and responsibilities of nonprofits in a changing U.S. society—for example, alternative workplace fundraising mechanisms.

#### SUPPORT OFFICE FOR THE MOVEMENT FOR SELF-HELP INITIATIVES

Warsaw, Poland \$120,000 over two years

Continued support to expand the activities of its Volunteer Center in Warsaw, established in 1994 with RBF support to encourage volunteerism and to help nonprofit groups learn to better train and utilize volunteers. The Support Office for the Movement of Self-Help Initiatives, a nonprofit organization founded in 1992, will

also help establish new volunteer centers in Poznan, Torun, and Gdansk with the assistance of the Points of Light Foundation.

## INCREASED UNDERSTANDING

#### ASPEN INSTITUTE

Washington, D.C. \$28,500

For a conference on the impact of foundation philanthropy, to be held in 1996 at the Pocantico Conference Center. Conference participants will evaluate current knowledge about the impact of philanthropy and identify topics for future study. The conference is organized by the institute's Nonprofit Sector Research Fund, which seeks to expand understanding of nonprofit activities, including philanthropy and its underlying values, by supporting high-quality basic and applied research.

#### INSTITUTE FOR THE ARTS OF DEMOCRACY

Brattleboro, Vermont \$25,000

Continued support to establish the American News Service (ANS) program to provide the media with stories about civic innovation in solving community problems, focusing on some of society's toughest issues, including jobs, schools, the environment, health care, youth violence, and AIDS. The goal of the news service is to increase media coverage of contributions by individuals and community groups to public problem solving, and thereby to encourage more people to take part in civic life.



JOHNS HOPKINS UNIVERSITY

Baltimore, Maryland                      \$180,000 over three years

Toward the second phase of a comparative study of the international private nonprofit sector, conducted by the university's Institute for Policy Studies. The study is the first attempt to develop a systematic body of knowledge about the nonprofit sector at the international level. It is also intended to give policymakers, the press, and the general public a better understanding of the importance of nonprofit organizations, how they operate, and the conditions likely to encourage or hinder their development.

THE NEW PRESS

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

Continued support for The New Press, a nonprofit, public interest publishing house. Founded in 1990, The New Press publishes works of educational, cultural, and community value on a "need-blind" basis—that is, on the basis of merit and importance, without regard to commercial prospects. The New Press also engages in community outreach activities and, selectively, subsidizes the distribution of its books in order to get them into the hands of appropriate readers.

PHILANTHROPIC SUPPORT ORGANIZATIONS

COUNCIL ON FOUNDATIONS

Washington, D.C.    \$35,600

\$34,600 in general support for 1996. 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 for the Grantmakers in Education affinity group.

INDEPENDENT SECTOR

Washington, D.C.    \$7,400

General support for 1996. Independent Sector operates to bring about a better understanding and appreciation by policymakers and the general public of the private nonprofit sector and the role it plays in American life.

NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS

New York, New York    \$9,000

General support in 1996. The association offers its more than 150 member organizations 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 aspects of grantmaking to existing and emerging areas of grantmaker interest.

ROCKEFELLER FAMILY FUND

New York, New York    \$1,800

General support in 1996 for the Environmental Grantmakers Association, a membership organization of 207 foundations and giving programs concerned with the protection of the natural environment.

TIDES FOUNDATION

San Francisco, California    \$2,000

\$1,000 for the Funders Concerned About AIDS affinity group.

\$1,000 for the Grantmakers for Children, Youth and Families affinity group.

# 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.
- Supporting teacher education programs of compelling merit, particularly as concerned with increasing the numbers and excellence of minority teachers.

## EDUCATION

In 1994, when the Fund narrowed its grantmaking guidelines for education to focus on increasing the number and quality of minority teachers and on the early childhood field, the intention was to maximize the impact of the program's relatively modest resources at a time when it would be all too easy to scatter them with potentially less impact among the many and enormous education needs facing the nation. Judging by program activities during 1995, this strategy is proving to be an appropriate one for the Rockefeller Brothers Fund. RBF funding helped sustain and expand proven programs that support outstanding minority candidates for careers in teaching and for school leadership positions. Measurable progress was also made on RBF-supported projects in the area of early childhood teacher training and professional development.

With respect to its goal of increasing the number and quality of minority teachers, the RBF supported a project of the Southern Education Foundation that enables outstanding undergraduates from historically black colleges and universities (HBCUs) to participate in an intensive summer academic program at one of the top graduate schools of education. This program has achieved high visibility and has added prestige to the education major at HBCUs, attracting more students and encouraging them to consider going on to graduate school. At the participating graduate schools of education, the program has produced an increase in minority applications overall. RBF support, which is designed to help enlarge this successful program in order to include more undergraduates and more HBCUs, will be applied toward preparations for the summer 1996 session.

In 1995 the Rockefeller Brothers Fund also contributed to the expansion of the Principals Institute of the Bank Street College of Education, an exemplary program to recruit and train outstanding minority and women teachers for school leadership roles. With RBF support, the institute will strengthen its core program and, in 1996, inaugurate a pilot program based in a single New York City school district. The pilot project, which was developed in response to inquiries from several of the city's school superintendents, will be located in a district with a high percentage of minority teachers and will prepare a cohort of 15 to 20 candidates for SAS (School Administrator and Supervisor) certification. These new administrators, all of whom will be dedicated to school improvement, can then continue to work as colleagues within a discrete cluster of schools.

In the area of early childhood care and education, the RBF joined with several other grantmakers to fund a national symposium on professional development of early childhood educators. The symposium was organized as a working session to explore new strategies to facilitate the formation of partnerships among national, state, and local public and private institutions to create or strengthen integrated systems of professional development. Topics of discussion included the role of community colleges in the preparation of early childhood educators, the development of individual credentials, statewide plans for career advancement in the field, the use of technology, and the possibilities for training child caregivers who operate informally or "outside" the regulated system.



*Lloyd Lee, a first-year teacher at Wingate High School, a Bureau of Indian Affairs boarding school in New Mexico, with his students. Mr. Lee, a graduate of Dartmouth College and Stanford University, teaches United States history, government, and economics. He was selected in 1993 as a Rockefeller Brothers Fund fellow.*

Over the past few years, the RBF's interest in early childhood education has also led the Fund to play a prominent role in the creation of an improved system of professional development for early childhood educators in New York State. With RBF support, the New York State Comprehensive Early Childhood Career Development Initiative has brought New York to the forefront among states by designing a comprehensive statewide training and professional development plan. Now the RBF is helping to fund the critical implementation phase of this initiative, which

involves coordinating two- and four-year college programs in the state system; identifying a core body of knowledge to be used in all training settings; establishing an on-line database of training programs and job opportunities; and exploring the feasibility of establishing an early childhood teaching credential.

## ROCKEFELLER BROTHERS FUND FELLOWSHIPS FOR MINORITY STUDENTS ENTERING THE TEACHING PROFESSION

In 1995 the Fund selected its fourth 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 or a related field and to teach in American public elementary and secondary schools. The fellows are nominated from among 25 colleges and universities that have been chosen on the basis of the overall quality of their undergraduate programs, their commitment to the education of minorities, and their interest in improving teaching in the public schools. During the summer following their selection, fellows undertake projects of their own choosing that are related to teaching; these activities are carried out under the supervision of mentors who are members of the faculty or staff of each fellow's college. The fellows meet for the first time as a group in an August workshop with their mentors, returning fellows from earlier classes, and RBF staff. Following graduation, fellows enroll full-time in an approved one- or two-year masters degree program, during which time they receive a twice-yearly stipend. Upon completion of graduate study, fellows begin to work in public school classrooms as credentialed teachers. Fellowships also cover education loan repayments up to \$1,200 annually for each of the first three years the fellow continues teaching in a public school.

By 1995, twenty-two members of the second class of fellows (1993) had been admitted into graduate education programs. Among the graduate programs were some of the nation's best, including those at New York University, Columbia University, Harvard University, Cornell University, the University of Chicago, the University of Michigan, Stanford University, the University of California at Berkeley and at Los Angeles, and Claremont Graduate School (where the Multi-Ethnic Teacher Advancement Project is an RBF grantee). Members of the first class of fellows accepted public-school teaching assignments in diverse settings, including inner cities, an American Indian reservation, and a small Southern town.

The minority fellowship program is the cornerstone of the Fund's education program. It is intended to be a visible, nationwide effort to help address the under-representation of minorities in the teaching profession at a time when minority student enrollments are increasing dramatically. The fellowships are also intended to raise the level of awareness on liberal arts campuses of the importance and potential rewards of teaching in public schools; to encourage fellows to serve in schools that are most in need of excellent minority teachers; to retain minority teachers in the profession while helping them develop into a leadership corps that will serve as a catalyst for change in the schools; and finally, to increase the prestige of teaching as a career.



1995 Fellows: (Top row, left to right) Manyveth Khieu, Edward Pérez, Gregory White, Jeffrey Toromoreno, Jennifer Randall, Kia Berry, Raul Garcia II, Julian O'Connor, Michelle Brantley (Center row) Teresa Lester, Tanya Wiggins, Erika Wilder, Gloria Ramos, Michael Dunson, Cynthia Villegas, Alison McKenzie, Sandra Velasco, Joy Andreson, Debby Saintil (Bottom row) Crissy Cáceres, Xuan-Vu Nguyen, Amy Lee, Guadalupe Garibay, RoseMarie Figueroa

The members of the fourth class of Rockefeller Brothers Fund fellows, and their mentors, are:

## FELLOWS

Joy Naomi Anderson *University of Pennsylvania*  
 Kia Dionne Berry *University of Michigan*  
 Michelle R. Brantley *Emory University*  
 Crissy Alizaris Cáceres *Wellesley College*  
 Michael Leon Dunson *Queens College*  
 RosaMarie Figueroa *University of California, Riverside*  
 Raul Garcia II *University of Michigan*  
 Guadalupe Garibay *Mount St. Mary's College*  
 Manyeth Khieu *Macalester College*  
 Jim Wayne Ko *Duke University*  
 Amy I. Lee *Amherst College*  
 Teresa D. Lester *Pace University*  
 Alison Louise McKenzie *Swarthmore College*  
 Xuan-Vu Tran Nguyen *Amherst College*  
 Julian Bond O'Connor *Dartmouth College*  
 Edward William Ortiz Pérez *Pomona College*  
 Gloria Ramos *Mount St. Mary's College*  
 Jennifer Denise Randall *Duke University*  
 Debby Eddy Saintil *Wellesley College*  
 Jeffrey W. Toromoreno *Pace University*  
 Sandra Velasco *Pomona College*  
 Cynthia Villegas *Pomona College*  
 Gregory James White *University of Michigan*  
 Tanya Gale Wiggins *Swarthmore College*  
 Erika Shannon Wilder *Howard University*

## MENTORS

Barbara Beatty *Wellesley College*  
 Eduardo Bonilla-Silva *University of Michigan*  
 Raymond Buriel *Pomona College*  
 Dolores Dickerson *Howard University*  
 Andrew Garrod *Dartmouth College*  
 Farah Griffin *University of Pennsylvania*  
 Gloria Harris *Queens College*  
 Dorothy E. Hartley *University of California, Riverside*  
 Ruthanne Kurth-Schai *Macalester College*  
 Caroline Lattimore *Duke University*  
 David M. Malone *Duke University*  
 Sr. Maria Angela Mesa *Mount St. Mary's College*  
 Andrew Parker *Amherst College*  
 Silvia Pedraza *University of Michigan*  
 Bryan Penprase *Pomona College*  
 Karen Sanchez-Eppler *Amherst College*  
 Shari Saunders *University of Michigan*  
 Lisa Smulyan *Swarthmore College*  
 James E. Terrell *Pace University*  
 Eva Travers *Swarthmore College*  
 Maria Eva Valle *Pomona College*  
 Sr. Kieran Vaughan *Mount St. Mary's College*  
 Emilie Vanessa Siddle Walker *Emory University*

MINORITIES

BANK STREET COLLEGE OF EDUCATION

New York, New York                      \$200,000 over two years

Toward support of its Principals Institute, which recruits and prepares teachers for leadership positions in the public schools. By aggressively recruiting minority and women teachers, the institute has been instrumental in addressing the current under-representation of these groups in high-level positions. The institute's current objectives include strengthening its follow-up services to graduates and launching a pilot district-based program.

SOUTHERN EDUCATION FOUNDATION

Atlanta, Georgia                      \$200,000 over two years

For its Summer Scholars Program, an initiative offering undergraduate students at historically black colleges and universities intensive summer study programs at Harvard and Columbia's graduate schools of education. Participants, who receive a scholarship and stipend, engage in academic course work, visit local schools, and attend presentations by leading educators and public officials as well as cultural and social events. The goal of the program is to interest outstanding minority undergraduates in the teaching profession.

EARLY CHILDHOOD

NATIONAL ASSOCIATION FOR THE  
EDUCATION OF YOUNG CHILDREN

Washington, D.C.                      \$30,000

For a national symposium on professional development of early childhood educators, convened by an informal consortium of national foundations funding early childhood care and education. The meeting was organized as a working session to explore new strategies to facilitate partnerships among national, state, and local public and private institutions to create or strengthen sustainable, integrated systems of professional development.

NEW YORK STATE CHILD CARE  
COORDINATING COUNCIL

New York, New York                      \$75,000

Continued support toward the implementation of a comprehensive career development plan for staff of early childhood education programs in New York state. The

new plan will establish a uniform system of guidelines for the training and advancement of teachers working with young children. Crafted by a coalition of representatives from schools, unions, government agencies, and foundations, with support from the outset by the RBF, the plan is designed to improve the current state of the child care profession, in which workers are often underpaid and underqualified, to the severe detriment of the children being cared for.

PROJECTS OF  
PARTICULAR MERIT

AMERICAN ACADEMY OF  
ARTS AND SCIENCES

Cambridge, Massachusetts                      \$20,000

To publish the transcript of a conference entitled "Convocation on Major Problems in Education" in the fall 1995 issue of *Daedalus*, the academy's journal. The AAAS convened the conference in March 1995 to map out specific practices and policies that must be considered in a serious discussion of contemporary American education, with the goal of stimulating a healthy debate on the problems facing the public schools. Conference participants included the president of the National Academy of Science, public school teachers, school principals, educational experts, foundation personnel, and major figures in the federal government.

TEACHERS COLLEGE,  
COLUMBIA UNIVERSITY

New York, New York                      \$60,000

Toward a forum on teacher education. The one-day event will bring together the leading proponents of different approaches to teacher education reform along with key educational leaders from foundations, government, policy groups, educational organizations, and the press with the goal of promoting constructive debate on the topic. In addition, a portion of this grant was made as a contribution to begin a process of critical review of Teacher College's own academic program.



# PROGRAM GUIDELINES NEW YORK CITY

## GOAL

To strengthen and enhance civil society in New York City by supporting efforts to build civic engagement and capacity in communities.

## STRATEGIES

- Encouraging the development of constituencies for public education, promoting civic responsibility for educational improvement, and fostering creative, responsible citizenship among youth.
- Assisting neighborhood-based projects that encourage respect and care for the physical and natural environment and that develop or reclaim public space in order to enhance the security and the civic, spiritual, and community life and history of neighborhoods.
- Supporting civic participation and inclusive public discourse, promoting accountability of institutions vested with the public trust, and forging a common sense of purpose within and among communities.



## NEW YORK CITY

For the Fund's New York City program, 1995 was a year of transition. A comprehensive program review, undertaken in late 1994, generated many thoughtful conversations among staff and trustees during the spring of 1995, and resulted in a discussion paper that was considered at the RBF board meeting last June. A new set of program guidelines was later adopted (see facing page), reflecting a shift in program orientation that had already become evident in the grants approved during the year.

The new focus of the Fund's work in New York City is on strengthening and enhancing civil society by supporting efforts to build civic engagement and capacity in communities — a crucial goal at this time of increasing withdrawal from public life and mounting disenchantment with public process. This focus represents a sharpening of the Fund's earlier concentration on improving the quality of life in New York City and finding strength in the city's diversity. The strategies through which the RBF will pursue its newly defined program goal include supporting efforts to improve public education, to enhance civic spaces, and to ensure the inclusiveness and accountability of public institutions and processes.

Several 1995 grants dealt with civic engagement in the reform of public education, which is a pressing issue in New York City as in other major urban areas. The primary thrust of these efforts was to give parents and community-based organizations more meaningful opportunities to participate in public debate and policymaking. With the assistance of the RBF, grantees launched initiatives to explore the question of what parents want from New York City's public schools and to equip parents and parent groups to engage more effectively in the school reform process. This capacity-building effort took many forms during 1995 — creating linkages and networks among parent groups throughout the five boroughs; educating parent organizers with respect to policy issues and the selection process for local school boards; and preparing a core group of parents to take an active part in policy debates. In encouraging the formation of effective citizen constituencies for school reform, the RBF is also helping to recast and broaden the discourse on school reform, positioning education as part of a comprehensive approach to community capacity building and community needs.

The enhancement of urban public spaces, another arena in which the Fund's interest in fostering greater civic engagement will be expressed, also received attention in 1995. When public spaces deteriorate, neighborhood residents lose a shared sense of place and identity, as well as a physical and social "space" within which to come together for common purposes. Last year the Fund supported an initiative to bring together, in a single entity, all aspects of the planning and renovation of New York City's parks and public spaces. For the first time, architects, engineers, and community leaders will work together on highly visible demonstration projects that treat each public space as a unified "cityscape," a coherent and visually

satisfying whole. Another 1995 grant focused on a single block in Harlem, helping to integrate community development efforts, parent education, advocacy, and direct services in support of residents trying to restore a sense of community and reclaim the block as a civic space.

In 1995, the Fund also supported an effort by the National Council of Churches of Christ to create new “civic conversations” among grassroots clergy, ethicists, analysts, advocates, and academicians seeking common ground on complex urban issues. The paucity of sites, occasions, and opportunities for such public discourse, the Fund believes, has contributed to the decline of civic life in New York City and most other American communities.

Efforts to hold the line against civic decay can be effective. Evidence suggests that with a little help, civic life can be regenerated and communities can be revitalized. It is the Fund’s hope to contribute to that process in New York City.



## SCHOOLS AND YOUNG PEOPLE

### MOTHERS ON THE MOVE

Bronx, New York

\$265,000 over two years

To launch the Parents Organizing Consortium, a community-based, parent-led school reform coalition. The consortium's mission is to forge a unified, citywide core of parent activists and to organize for greater parent involvement in public school reform efforts. Mothers on the Move (MOM), based in the South Bronx, is collaborating in this initiative with seven other community-based groups from minority and poor neighborhoods in the City.

### PEOPLE ABOUT CHANGING EDUCATION

New York, New York

\$25,000

Toward a study of parental concerns regarding New York City public education. People About Changing Education, a network of educators and parents, hopes to make parents' voices heard in the current debate about public school reform. In addition, the study is intended to draw parents into the public discourse and to serve as an instrument to pursue shared priorities for the New York City public school system.

Norma Castro, Helen Linton, Roberta Coleman, Lucretia Jones, Edith Colon, Claire Pinto, and Tuneesha Drayton (left to right) of Mothers on the Move (MOM), posing in front of their storefront office in the South Bronx. The Fund made a two-year grant to Mothers on the Move for their efforts to increase the participation of parents in local school board elections. MOM has joined with other community groups in New York City to form the Parents Organizing Consortium, which seeks to make the public schools more responsive to parents' concerns.

**PUBLIC EDUCATION ASSOCIATION**

New York, New York \$60,000

Continued support for a community-based program for school improvement and reform. In collaboration with South Bronx Churches and East Brooklyn Congregations, the Public Education Association is providing parents with training, information, and support to organize for school change in two troubled local school districts in the Bronx and Brooklyn. The aim of the project is to increase parent and community involvement in schools, and promote greater cooperation among school professionals, parents, and community leaders.

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

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

For a research project of its Howard Samuels State Management and Policy Center on building civic capacity to support education reform. The project has two parts: first, a dialogue conducted between university scholars and community-based school reform activists exploring opportunities to help redesign the larger community's role in and increase its contribution to public education; second, a series of workshops, seminars, and other activities for a core group of parent activists designed to help them participate meaningfully in public policy debate.

**COMMUNITY LIFE**

**FUND FOR THE CITY OF NEW YORK**

New York, New York \$100,000

To plan and develop the Center for Parks and Public Spaces, a public-private organization for planning and renovation of urban public spaces. With no single agency in New York City currently in charge of public spaces, the new center is proposed as a means to more coherently and effectively carry out the planning, creation, and revitalization of the City's parks and public spaces while maximizing the use of public and private resources.

**NEW YORK URBAN LEAGUE**

New York, New York \$100,000

Toward its Building Block project, concentrating a broad array of programs and social services on one block of West 140th Street, considered the worst block in Harlem. The Building Block project seeks to integrate community development, parent education, advocacy, and direct services in support of residents working to restore a sense of community.

**WORLD MONUMENTS FUND**

New York, New York \$25,000

To prepare an economic impact assessment exploring the potential benefits of historic preservation initiatives, including apprenticeship programs in the preservation trades, in local communities in New York City. Efforts in other cities have shown that historic preservation programs can help revitalize urban life, encouraging appropriate maintenance of city infrastructure, preserving neighborhoods, providing jobs, and stimulating local economies.

**CIVIC PARTICIPATION**

**CENTER FOR VOTING AND DEMOCRACY**

Washington, D.C. \$20,000

Toward the Community Board Election Education Project. The center will develop and disseminate to voters simple, accessible information about the mechanics of the preference voting system used in New York City school board elections. It is hoped that better information about the opportunities presented by preference voting will help to overcome some of the deep frustration that potential voters feel around school board elections.



*Public Education Association: Ray Domanico, president of the Public Education Association (PEA), at an assembly of the East Brooklyn Congregations in the Brooklyn borough of New York. The Fund has made several grants to PEA for its work with both East Brooklyn Congregations and South Bronx Churches, helping to engage parents and community members in school reform at the local level.*

NATIONAL COUNCIL OF THE CHURCHES OF  
CHRIST IN THE UNITED STATES OF  
AMERICA

New York, New York \$210,000

For its Civic Conversation Program, a partnership of grassroots clergy serving congregations of many faiths throughout the city, policy analysts and academic researchers, and seminarians of diverse faiths. In its first stage, the project is designed to encourage discussion in different communities on questions of civic importance. Building on these discussions, community leaders hope to create a much-needed civic forum in which to mediate conflicts among groups, explore notions of the common good, and, in time, develop partnerships.

URBAN ASSEMBLY

New York, New York \$20,000

For a symposium on the role of local religious institutions in the transformation of urban areas. Leaders from metropolitan-area churches, synagogues, and other religious institutions will review specific examples of religious institutions' community-based economic development activities in the New York region and identify the most successful programs currently under way. Panel members will then recommend steps that local institutions can take to increase the scale and enhance the results of these activities.

## 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

- Encouraging the development of appropriate literacy, reading, and learning materials as well as curricula for early childhood and adult basic education.
- Assisting innovative efforts to improve the teaching methodology and practice of lower primary school teachers.
- Supporting the improved capacity and effectiveness of nonprofit organizations focused on early childhood, lower primary, and adult basic education.

## SPECIAL CONCERNS: SOUTH AFRICA

In 1995 the Fund's activities in South Africa reflected a general theme — the confluence of challenge and opportunity — that has been noted by many observers of that rapidly changing country. For nonprofit institutions and organizations engaged in the change process, as for most sectors of South African society, the inauguration of President Nelson Mandela in 1994 heralded not only exciting new possibilities but also severe new pressures and daunting demands. The Rockefeller Brothers Fund, having decided in 1994 to maintain its program focus on improving basic education in South Africa for both children and adults, continued during 1995 to help universities and education-related nonprofits respond to the special circumstances of transition from apartheid.

Under apartheid, language education policies were designed to discourage multilingualism by forcing an early, abrupt transition from the child's first language to either English or Afrikaans. Using language this way, as an instrument of political control, was detrimental to children's educational development; the post-apartheid constitution of South Africa thus encourages multilingual education. This represents an important opportunity, to be sure, but it also highlights some of the major challenges facing proponents of education reform. Among those challenges is the fact that teachers must be trained for the first time to function in multilingual classrooms, to use the languages of all students creatively and in such a way as to facilitate learning. Several RBF grantees that provide in-service training to teachers working in the early grades of school have played a substantial role in addressing this problem.

A related challenge exists in the area of adult basic education, where the dearth of easy reading materials in South Africa's ten indigenous languages limits the ability of adults to consolidate and advance newly acquired literacy skills. Here, too, the Fund has been active, supporting a cluster of grantee organizations working to develop, publish, and disseminate a continuum of literacy courses and easy reading texts, with associated training programs for instructors, that will be educationally sound and cost-effective. Some of these same grantees have also made significant contributions to national policy debates on curriculum development in the adult basic education field.

In addition to literacy and language arts projects, the RBF has also funded model efforts to reform primary mathematics education in South Africa. During the early 1990s, in an effort to improve math instruction for black primary school children, the RBF helped launch university- and field-based teacher training courses and workshops. Now the Fund seeks to help increase the impact of the most successful of these projects by supporting its incorporation into the University of Cape Town's formal degree-granting and certification program in education.

In the area of preschool and early childhood education, the transition from apartheid also poses unique challenges for nongovernmental organizations. On the one hand, during the last years of apartheid, a network of sophisticated early childhood education centers had been established in South Africa, reflecting educators' belief that preschool would help prepare and encourage more children to stay in primary school

(currently, 25 percent of children in South Africa leave school during the first year of study). On the other hand, at the start of a new democratic era, these groups still benefit only 7 percent of black children in the country. How can they expand their impact, especially in isolated rural areas? One possibility being explored with RBF support is the use of radio as a training and outreach medium, for parents as well as child care workers, since even communities with no electricity typically have access to radios. Another approach being pursued with the Fund's assistance is providing management and administrative training to the staffs of early childhood development organizations. This kind of capacity building, the Fund recognizes, will be essential if such organizations are to enlarge their reach and contribute to the development of a cadre of black professionals in the early childhood field.

Capacity building more generally is the goal of other RBF efforts to help train a "second tier" of nonprofit leaders to take the place of those who have been recruited into government service since the end of apartheid. For example, the Fund has been involved in helping one of the historically disadvantaged rural universities, which are attended by the majority of black college students and were deliberately marginalized under apartheid, to develop training programs on nonprofit leadership.

Helping nonprofit organizations and universities seize the opportunities and face the challenges for reform of basic education in post-apartheid South Africa will remain at the heart of this grantmaking program in the coming year.





## BASIC EDUCATION

### ABE DEVELOPMENT SERVICES TRUST

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

Continued support to develop first language adult basic education materials and curricula. At the end of 1995, the group's literacy course, called "Fundani," was available in Xhosa, Zulu, Afrikaans, and North and South Sotho. Over the next two years, ABE Development Services Trust intends to develop materials at the next curriculum level, increase teacher training to ensure the effective use of its materials, and begin production of supplementary course materials such as teacher manuals and activity books.

### CAPE TOWN, UNIVERSITY OF

Cape Town, South Africa      \$84,000 over two years

Continued support for its Primary Mathematics Education Project, which works to improve the teaching methodology and practices of primary school mathematics teachers. In addition to offering courses at the university, the project provides in-service training; organizes workshops for lecturers at teacher-training colleges; develops resource materials for teachers; and engages in policy debate regarding mathematics education.

Participants in the Teacher In-Service Project, an initiative of the University of the Western Cape's Faculty of Education to which the Fund made a three-year grant in 1994. The project's activities include in-service teacher training, work with entire staffs of individual schools, materials and curricula development, and policy development. In a nation where classroom instruction still shows the negative effects of educational policy under apartheid, upgrading teaching skills is an important component in efforts to improve the quality of education in South Africa.

## *South African Institute for Distance Education*



Andrew Ntsele, a senior producer at the Ulwazi Educational Radio Project, which produces adult basic education programs on public service radio and community radio stations. The RBF made a two-year grant of \$100,000 in 1994 to the South African Institute for Distance Education (SAIDE), to explore ways in which educational radio programs might help reach the country's more than 15 million illiterate adults, many of whom live in remote rural areas. The Ulwazi Educational Radio Project is a project of SAIDE.

### **CENTRE FOR EARLY CHILDHOOD DEVELOPMENT**

Cape Town, South Africa

\$20,000

For an initiative to improve the capacity of early childhood education organizations in South Africa by providing training and follow-up support to executive staff. Lasting eight months, these training sessions cover topics such as organizational and financial management, strategic planning, human resource development, and project evaluation.

### **ELTIC EDUCATION TRUST**

Johannesburg, South Africa

\$39,000

For a joint project with the Gauteng provincial department of education aimed at improving the ability of lower primary school teachers to teach in multilingual classrooms. Using materials it has developed with earlier RBF support, ELTIC will conduct training sessions for instructors and advisers from the department of education demonstrating new approaches to language acquisition that do not force young children to abandon their first language and that help teachers facilitate learning in multilingual classrooms.

### **ERA INITIATIVE TRUST**

Johannesburg, South Africa

\$35,000

Continued general support. The ERA Initiative was established by a group of literacy professionals, publishers, librarians, and others interested in adult basic education to support the development and distribution of a wide range of easy reading materials for adults. Such materials are needed to encourage the large numbers of illiterate and semi-literate adults in the country to learn to read. ERA's most recent project is the publication of books in South Africa's eleven indigenous languages, each at five levels of difficulty.

NEW SCHOOL FOR SOCIAL RESEARCH

New York, New York \$46,000

For its South Africa Partnership Project, established in 1994 to strengthen the educational and training capacity of traditionally disadvantaged universities in South Africa. With this grant, the project will assist the University of the North, an historically black university in the rural Northern Province, in establishing professional development programs for emerging leaders from the non-profit sector in the region.

SMALL BEGINNINGS

Pretoria, South Africa \$20,000

To develop radio programs for early childhood education. Small Beginnings was founded in 1991 to help disadvantaged communities in rural areas of the Northern and Eastern Transvaal establish a network of early childhood education centers. Through the radio programs, Small Beginnings hopes to reinforce training given to child care workers and to reach out to parents and other caregivers to broaden their understanding of early childhood development.

USWE TRUST

Cape Town, South Africa \$70,000 over two years

To train teachers to use its English adult basic education materials and curricula. Over the past two years, with RBF support, USWE Trust has developed three English and social studies courses to help prepare students for different levels of the national Independent Examinations Board's adult basic education exams. This grant will enable project staff to provide on-site training in the use of its materials — for example, at places of business, which at present are the largest buyers of adult basic education materials.

## 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 “exemplify the greatness of spirit, integrity, and devotion to freedom 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 Rockefeller Brothers 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

The trustees of the Rockefeller Brothers Fund established the Ramon Magsaysay Awards in the late 1950s to honor individuals and organizations in Asia whose civic contributions and leadership “exemplify the greatness of spirit, integrity, and devotion to freedom of Ramon Magsaysay,” former president of the Philippines who died tragically in an airplane crash. Often regarded as the Nobel Prizes of Asia, these awards are presented in five categories: government service, public service, community leadership, international understanding, and journalism, literature, and creative communication arts. Up to five awards of \$50,000 each are given annually by the board of trustees of the Ramon Magsaysay Award Foundation, which is headquartered in Manila and receives its principal support from the Rockefeller Brothers Fund.

In 1987 the Fund created a Program for Asian Projects (PAP) to support initiatives in Asia that embody the spirit of the Ramon Magsaysay Awards and reflect the program concerns of the RBF. Designed to help Magsaysay Awardees extend their work and to help the Magsaysay Award Foundation draw attention to the ideals it seeks to advance through the awards program, the Program for Asian Projects is administered, in conjunction with the Ramon Magsaysay Award Foundation, by an Asian board of advisers. Approval of PAP grants rests with the Fund’s board of trustees.

Several RBF trustees were on site to observe the 1995 annual meeting of the Program for Asian Projects, held in late October at the Magsaysay Award-winning International Rice Research Institute in Los Banos, near Manila. The meeting, which was attended by Awardees from throughout the region, included a provocative discussion of Asian communities and values in an age of globalization. Awardees explored the notion of “Asian values” not only within the context of the communities in which they work but also within the larger civic culture, both national and international, in which they participate.

At the same time, the board of advisers of the Program for Asian Projects met in Los Banos to review grant proposals; eleven projects were recommended for consideration and were later approved for funding by the trustees of the RBF (see page 76). These actions took place against the backdrop of a change of leadership in the Program for Asian Projects, where a new program officer has recently been installed and where discussions among RBF staff and PAP officers about future directions for the Program for Asian Projects are currently under way.

## RAMON MAGSAYSAY AWARD FOUNDATION

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

For the Ramon Magsaysay Awards for 1995. Up to five awards of \$50,000 each are presented annually to individuals (or organizations) in Asia whose civic contributions and leadership reflect the ideals of Ramon Magsaysay, former president of the Philippines. The five award categories are: government service, public service, community leadership, international understanding, and journalism, literature, and creative communication arts.

## PROGRAM FOR ASIAN PROJECTS

ARIYARATNE, A.T.  
Moratuwa, Sri Lanka \$10,000

To establish a museum, library, archives, and exhibition gallery at the Vishva Niketan Peace Center at the Sarvodaya Shramadana Movement headquarters in Moratuwa, Sri Lanka. The facility will serve as a comprehensive resource and education center devoted to the principles of nonviolent action for the improvement of society. The new center will hold retreats, workshops, and other meetings for scholars while offering classes to children, youths, and the general public.

CHANG, KEE-RYO  
Pusan, Korea \$10,000

Toward a program for improving the welfare of handicapped children with autism and for enlarging social understanding about autism in Korea. The first phase of the project will concentrate on developing information materials for parents and appropriate playthings for children.

CHOWDHURY, AMITABHA  
Hong Kong

PRESS FOUNDATION OF ASIA  
Manila, Philippines \$20,000

For a joint project to strengthen links among different professional development programs for journalists, editors, and newspaper executives. In particular, the project aims to encourage cooperation among the national press institutes of Bangladesh, India, Indonesia, Japan, Korea, Malaysia, Nepal, Pakistan, the Philippines, and Thailand.

COYAJI, BANO O  
Pune, India \$10,000

For a project to promote goat husbandry as a means of raising the level of income and improving the lives of rural women in the Maharashtra state of India. Approximately fifty women will be trained annually at a model goat dairy at the KEM Hospital Research Centre in Pune, which provides health and development training programs for women.

FEI, HSIAO TUNG  
Beijing, People's Republic of China \$9,500

Toward a project to improve peasant standards of living in the Guangzong County of Hebei province by integrating a variety of activities, including improvements in education, changes in resource management, and opening new channels of capital and technology to spur community development. With this grant, Dr. Fei will both expand and undertake an evaluation of the five-year project, with the aim of replicating it in other communities.

KAWAKITA, JIRO  
Tokyo, Japan \$10,000

As a contribution to the translation into English, publication, and distribution of the book, *Revitalization of Rural Areas Based on Ecology and Community*. The book is based on the experiences of the Institute for Himalayan Conservation, headed by Dr. Kawakito, which for many years has worked with inhabitants of hill villages in the Sikha Valley of Nepal to help provide them with the knowledge and skills required to pursue economic development without damaging the natural environment.

RAMON MAGSAYSAY AWARD FOUNDATION  
Manila, Philippines \$28,500

\$20,000 to publish the Ramon Magsaysay Award Foundation's book of record, *The Ramon Magsaysay Awards*, and the awardee pamphlet series.

\$5,000 for the Magsaysay Award Fellowships.

\$3,500 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 ongoing projects.

SIMAR, SIMA  
Quetta, Pakistan \$10,000

To support three schools for girls in Hazarajat, Ghazni. Dr. Simar is the founder of the Shuhada Organization, which works to relieve suffering among the Afghan refugee population in Pakistan.

YOON, SUK-JOONG  
MCGLINCHEY, J. PATRICK  
RAMON MAGSAYSAY AWARD FOUNDATION  
Seoul, Korea and Manila, Philippines \$30,000

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. The 1996 assembly in Seoul, Korea, will have as its theme the moral price of economic development.





GRANTS PAID  
IN 1995



# ONE WORLD: SUSTAINABLE RESOURCE USE

PAYMENTS MADE IN 1995 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
GLOBAL					
CONSENSUS BUILDING INSTITUTE Cambridge, Massachusetts	To assist the Policy Dialogue on Trade and the Environment	45,000			45,000
CONSERVATION LAW FOUNDATION Boston, Massachusetts	International energy efficiency project	100,000		100,000	
CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY New York, New York	General support	40,000		20,000	20,000
EARTHLIFE CANADA FOUNDATION Queen Charlotte City, British Columbia	Forest protection campaign	100,000*	50,000	50,000	
	Wild Salmon Coalition	50,000			50,000
	Symposia on sustainable forestry management	20,000		20,000	
ECOTRUST Portland, Oregon	For an environmental assessment of a portion of the Greater Kitlope ecosystem	50,000		50,000	
ENVIRONMENTAL ADVANTAGE New York, New York	For a research project on sustainable forestry management in British Columbia	50,000		50,000	
	To support the development of a North American buyers group	50,000			50,000
ENVIRONMENTAL DEFENSE FUND New York, New York	International component of its global atmosphere program	150,000			150,000
FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW & DEVELOPMENT London, England	For its trade and environment program	50,000*		50,000	
	For its trade and environment program	50,000			50,000
	International energy efficiency project	50,000			50,000
INTERNATIONAL INSTITUTE FOR ENVIRONMENT AND DEVELOPMENT London, England	Blue Planet project	75,000		75,000	
INTERNATIONAL POLICY COUNCIL ON AGRICULTURE AND TRADE Washington, D.C.	Fifteenth plenary meeting	10,000		10,000	
NATIONAL WILDLIFE FEDERATION Washington, D.C.	Global Forest Policy Project	70,000		65,500	4,500

\*Appropriation made prior to 1995

ONE WORLD:  
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
NATURAL RESOURCES DEFENSE COUNCIL, INC. New York, New York	To prepare a German-language summary of a study on carbon emission reduction in Western Europe	10,000		10,000	
	Symposium on sustainable forestry management in Clayoquot Sound	15,000		15,000	
	Public education campaign on sustainable forestry management	75,000		75,000	
NEW ENGLAND NATURAL RESOURCES CENTER Wayland, Massachusetts	To develop North American certification standards for sustainably harvested timber	150,000		75,000	75,000
SOLAR ELECTRIC LIGHT FUND Washington, D.C.	For a conference on establishing financing and delivery mechanisms to expand solar power use in the developing world	38,000		38,000	
STOCKHOLM ENVIRONMENT INSTITUTE Stockholm, Sweden	Climate Network Europe	150,000*	50,000	100,000	
SYNERGOS INSTITUTE, INC., THE New York, New York	General support	375,000*	250,000	125,000	
TIDES FOUNDATION San Francisco, California	Biodiversity Action Network	60,000*		30,000	30,000

UNITED STATES

ALASKA CONSERVATION FOUNDATION Anchorage, Alaska	Alaska Rainforest Campaign and Alaska Marine Conservation Council	200,000		100,000	100,000
AMERICAN FARMLAND TRUST Washington, D.C.	Membership development project	1,000,000*	750,000	250,000	
CENTER FOR MARINE CONSERVATION Washington, D.C.	Marine Conservation Biology Project	100,000		50,000	50,000
CENTER FOR RESOURCE ECONOMICS Washington, D.C.	Island Press publications	90,000*	60,000	30,000	
CLEAN WATER FUND Washington, D.C.	Public education campaign on "takings" proposals	15,000		15,000	
ENVIRONMENTAL ADVOCATES Albany, New York	Statewide public education campaign for the protection of Adirondack Park	60,000		30,000	30,000

\*Appropriation made prior to 1995

ONE WORLD:  
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
ENVIRONMENTAL INFORMATION CENTER Washington, D.C.	Public education initiative on global climate protection	150,000		150,000	
	Endangered Species Protection Public Education Campaign	50,000			50,000
FISHERIES MANAGEMENT FOUNDATION Seattle, Washington	Solving Bycatch Workshop	5,000		5,000	
HARVARD UNIVERSITY Cambridge, Massachusetts	John F. Kennedy School of Government: Transportation policy project	17,500		17,500	
INSTITUTE OF ECOSYSTEM STUDIES Millbrook, New York	Enhancing the Ecological Basis of Conservation workshop	20,000		20,000	
KEYSTONE CENTER Keystone, Colorado	National Policy Dialogue on Ecosystem Management	105,000		50,000	55,000
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	To complete a land management plan for the Long Island pine barrens forest	35,000		35,000	
LONG ISLAND SOUNDKEEPER FUND, INC., THE Norwalk, Connecticut	Watershed protection efforts	70,000*	40,000	30,000	
MARYLAND, THE UNIVERSITY OF, FOUNDATION, INC. Adelphi, Maryland	School of Public Affairs: International Institute of Environmental Policy and Management	50,000*	30,000	20,000	
NON-PROFIT RESOURCE CENTER, INC. Albany, New York	Clean drinking water campaign	200,000		100,000	100,000
PACIFIC RIVERS COUNCIL, INC. Eugene, Oregon	To develop a sustainable resource management plan for the Flathead Basin and Northern Rockies	60,000*	30,000	30,000	
REDEFINING PROGRESS San Francisco, California	Genuine Progress Indicator project	80,000		40,000	40,000
SIERRA CLUB LEGAL DEFENSE FUND San Francisco, California	Ecosystem conservation and management activities	100,000		50,000	50,000
SOUTHERN ENVIRONMENTAL LAW CENTER Charlottesville, Virginia	To promote utility-based energy efficiency programs in the Southeast	225,000*	75,000	75,000	75,000
SURFACE TRANSPORTATION POLICY PROJECT Washington, D.C.	Toward its work on national transportation policy reform	100,000*	50,000	50,000	

\*Appropriation made prior to 1995

ONE WORLD:  
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
TIDES FOUNDATION San Francisco, California	Environmental Media Services Project	120,000		60,000	60,000
	U.S. Climate Action Network	50,000			50,000
TRI-STATE TRANSPORTATION CAMPAIGN, INC. New York, New York	For a project to promote improved mass transit in the New York metropolitan area	200,000*	100,000	100,000	
UNION OF CONCERNED SCIENTISTS Cambridge, Massachusetts	Public education efforts	80,000		40,000	40,000
HENRY A. WALLACE INSTITUTE FOR ALTERNATIVE AGRICULTURE, INC. Greenbelt, Maryland	Toward its work on national agricultural policy reform	150,000*	50,000	25,000	75,000
WORLD RESOURCES INSTITUTE Washington, D.C.	Global climate protection project	50,000			50,000

EAST CENTRAL EUROPE

BENEFICIAL TO THE PUBLIC FUND Liptovsky Hradok, Slovakia	Alternative development plan	120,000		40,000	80,000
BIOCULTURAL ASSOCIATION Budapest, Hungary	Technical equipment	20,000*	18,090		1,910 <sup>1</sup>
CENTRE FOR ENVIRONMENTAL STUDIES FOUNDATION Budapest, Hungary	General support	150,000*	50,000	50,000	50,000
EASTERN EUROPEAN INDEPENDENT ENVIRONMENTAL FOUNDATION Budapest, Hungary	Projects of its Independent Ecological Center	25,000*	6,871		18,129 <sup>1</sup>
	For a project of its Independent Ecological Center to improve local environmental management	50,000*	30,000	20,000	
ENVIRONMENTAL MANAGEMENT AND LAW ASSOCIATION Budapest, Hungary	General support	150,000*	50,000	50,000	50,000
EUROPEAN NATURAL HERITAGE FUND Rheinbach/Bonn, Germany	Multilateral development bank monitoring project	225,000*	75,000	75,000	75,000

<sup>1</sup>Lapsed

\*Appropriation made prior to 1995

ONE WORLD:  
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
FOUNDATION FOR A CIVIL SOCIETY, LTD. New York, New York	For a project to publicize sustainable development practices in the Czech Republic	9,000		9,000	
FOUNDATION FOR THE DEVELOPMENT OF POLISH AGRICULTURE Warsaw, Poland	For a pilot project to promote environmentally sound economic development	100,000		85,000	15,000
FRIENDS OF THE EARTH Washington, D.C.	Multilateral development bank monitoring project	120,000*	60,000	60,000	
GERMAN MARSHALL FUND OF THE UNITED STATES Washington, D.C.	Environmental Partnership for Central Europe	650,000*	250,000	200,000	200,000
GREENWAYS-ZELENE STEZKY Valtice, Czech Republic	To develop greenways in the Czech Republic	90,000*	30,000	50,000	10,000
HUNGARIAN ACADEMY OF SCIENCE Budapest, Hungary	Handbook on environmental protection	20,000*	10,000		10,000 <sup>1</sup>
INSTITUTE FOR ENVIRONMENTAL POLICY Prague, Czech Republic	General support	170,000			170,000
INSTITUTE FOR SUSTAINABLE COMMUNITIES South Royalton, Vermont	Madeleine M. Kunin Special Opportunities Fund	100,000*	50,000	50,000	
INSTITUTE FOR SUSTAINABLE DEVELOPMENT Warsaw, Poland	General support	275,000		75,000	200,000
INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY New York, New York	To encourage multilateral development bank funding of mass transit in East Central Europe	50,000*	35,000	15,000	
INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC. Washington, D.C.	Energy efficiency program	300,000*	200,000	100,000	
POLISH ECOLOGICAL CLUB Cracow, Poland	Multilateral development bank monitoring project	180,000		60,000	120,000
QUEBEC-LABRADOR FOUNDATION, INC. Ipswich, Massachusetts	Atlantic Center for the Environment programs	150,000*	50,000	50,000	50,000
RESOURCES DEVELOPMENT FOUNDATION New York, New York	International Fellowship Program in Energy Efficiency	100,000		50,000	50,000
VERONICA Brno, Czech Republic	To establish an eco-counseling network in the Czech Republic	165,000*	55,000	55,000	55,000

<sup>1</sup>Lapsed

\*Appropriation made prior to 1995



ONE WORLD:  
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
<b>EAST ASIA</b>					
ASHOKA Arlington, Virginia	Biodiversity fellowship program	150,000*	50,000	50,000	50,000
ASIAN NGO COALITION RESEARCH FOUNDATION, INC. Manila, Philippines	Multilateral development bank monitoring project	120,000*	60,000	60,000	
CANTHO, UNIVERSITY OF Cantho, Vietnam	Acid Sulphate Soils Project	40,000*	15,000	15,000	10,000
CENTER FOR MARINE FISHERIES RESEARCH Ambon, Indonesia	Political ecology project	8,000*		8,000	
CHIANG MAI UNIVERSITY Chiang Mai, Thailand	Social Research Institute: Political ecology project	7,500*		7,500	
CLIMATE ACTION NETWORK-SOUTHEAST ASIA Quezon City, Philippines	General support	115,000*	65,000	50,000	
CLIMATE INSTITUTE Washington, D.C.	Toward planning for the Asia-Pacific Climate Change Conference	25,000*		25,000	
EARTH ISLAND INSTITUTE San Francisco, California	Mangrove Action Project	60,000		30,000	30,000
EAST-WEST CENTER FOUNDATION Honolulu, Hawaii	To the Program on Environment's spatial information systems research network	119,000*	40,000	40,000	39,000
	To the Program on Environment's restoration ecology project in Vietnam	80,000*	40,000	40,000	
HANOI, UNIVERSITY OF Hanoi, Vietnam	Center for Natural Resources Management and Environmental Studies: Project on integrated coastal management in the Red River Delta	35,000*	15,000	10,000	10,000
	Center for Natural Resources Management and Environmental Studies: Land tenure project in Hoa Binh Province	10,000		10,000	
HARIBON FOUNDATION FOR THE CONSERVATION OF NATURAL RESOURCES Metro Manila, Philippines	National initiative in coastal management training	200,000*	75,000	75,000	50,000
INDONESIAN FOUNDATION FOR ADVANCEMENT OF BIOLOGICAL SCIENCES Depok, Indonesia	Political ecology project	10,500		10,500	
INDONESIAN INSTITUTE OF SCIENCES Jakarta, Indonesia	Center for Social and Cultural Studies: Political ecology project	7,000*		7,000	

\*Appropriation made prior to 1995



ONE WORLD:  
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
INSTITUTE FOR RESEARCH AND DEVELOPMENT OF KALIMANTAN'S CULTURE Singkawang, Indonesia	Political ecology project	6,000 *		6,000	
INTERNATIONAL CRANE FOUNDATION Baraboo, Wisconsin	Conference on sustainable development in the Mekong Basin	10,000		10,000	
INTERNATIONAL LAW INSTITUTE Washington, D.C.	For a workshop on the regulation of shrimp aquaculture in Southeast Asia	37,500		37,500	
LEGAL RIGHTS AND NATURAL RESOURCES CENTER, INC. Quezon City, Philippines	Political ecology project	10,000		10,000	
MALAYA, UNIVERSITY OF Kuala Lumpur, Malaysia	Institute for Advanced Studies: Political ecology project	15,000 *			15,000
MALAYSIA, UNIVERSITY OF, SARAWAK Kota Samarahan, Malaysia	Community Rights and Resource Tenure in Southeast Asia conference	30,000		30,000	
NANJING INSTITUTE OF ENVIRONMENTAL SCIENCE Nanjing, China	Agroecosystem project	90,000 *	50,000	30,000	10,000
NATIONAL COMMITTEE ON U.S.-CHINA RELATIONS, INC. New York, New York	Sustainable land use plan for the Ussuri Watershed	225,000 *	150,000	75,000	
	Sustainable land use plan for the Ussuri Watershed	75,000		25,000	50,000
OBOR, INC. Guilford, Connecticut	To publish books on the environment in Vietnam and Indonesia	30,000 *	18,000	12,000	
PACIFIC ENVIRONMENT AND RESOURCES CENTER Sausalito, California	Forest conservation programs in the Russian Far East	80,000		80,000	
PESTICIDE ACTION NETWORK-NORTH AMERICA San Francisco, California	To design collaborative programs with the Global Integrated Pest Management Facility	40,000		40,000	
PRINCE OF SONGKLA UNIVERSITY Hat Yai, Thailand	Agricultural, Resource and Environment Systems Research Center: Political ecology project	15,000		15,000	
RAINFOREST ALLIANCE, INC. New York, New York	Natural Resources and Rights Program	100,000		50,000	50,000
RURAL DEVELOPMENT RESEARCH CENTRE Kunming, People's Republic of China	Natural resource management study	19,000 *		19,000	

\*Appropriation made prior to 1995

ONE WORLD:  
SUSTAINABLE RESOURCE USE

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
SOLAR ELECTRIC LIGHT FUND Washington, D.C.	Program to promote the use of solar power systems in rural areas	150,000 *	100,000	50,000	
UNIVERSITAS TANJUNGPURA Pontianak, Indonesia	Political ecology project	10,000 *		10,000	
WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC. Morrilton, Arkansas	Farm and Community Forestry Program	120,000 *	40,000	35,000	45,000
WORLD WIDE FUND FOR NATURE-HONG KONG Hong Kong	For a "sister" reserve program	2,000		2,000	
YALE UNIVERSITY New Haven, Connecticut	To support activities of the International Association for Studies in Common Property	95,000		15,000	80,000
Subtotal				4,452,000	2,913,500

\*Appropriation made prior to 1994

# ONE WORLD: WORLD SECURITY

PAYMENTS MADE IN 1995 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
GLOBAL					
ATLANTIC COUNCIL OF THE UNITED STATES, INC. Washington, D.C.	International Atomic Energy Agency project	120,000*	60,000	60,000	
CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE Washington, D.C.	Non-Proliferation Project	255,000*	170,000	85,000	
	International Crisis Group	25,000		25,000	
MONTEREY INSTITUTE OF INTERNATIONAL STUDIES Monterey, California	NIS Nonproliferation Project	150,000*	100,000	50,000	
NATURAL RESOURCES DEFENSE COUNCIL, INC. New York, New York	Project to monitor and reduce global inventory of nuclear explosive materials	110,000*	55,000	55,000	
NUCLEAR CONTROL INSTITUTE Washington, D.C.	Nuclear Oversight Project	130,000*	65,000	65,000	
PEACE RESEARCH INSTITUTE FRANKFURT Frankfurt, Germany	European nonproliferation program	140,000*	70,000	70,000	
SOUTHAMPTON, UNIVERSITY OF Southampton, England	Programme for Promoting Nuclear Non-Proliferation's newsletter, <i>Newsbrief</i>	105,000*	55,000	50,000	
SUSSEX, UNIVERSITY OF East Sussex, England	Science Policy Research Unit: European and Japanese Plutonium Policies project	80,000*	40,000	40,000	
SYNERGOS INSTITUTE, INC., THE New York, New York	Preparatory meeting for UN Summit on Social Development	25,000*	20,000	5,000	
TRILATERAL COMMISSION (NORTH AMERICA), THE New York, New York	Revitalizing Trilateral Democracies project	75,000		75,000	
UNITED STATES INSTITUTE OF PEACE Washington, D.C.	For its conference, <i>Managing Chaos: Coping with International Conflict into the 21st Century</i>	12,500		12,500	
VERIFICATION TECHNOLOGY INFORMATION CENTRE London, England	Publication on verification issues	75,000*	50,000	25,000	

\*Appropriation made prior to 1995

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
EAST CENTRAL EUROPE					
CHARITABLE FUND "CARPATHIAN EUROREGION" Usghorod, Ukraine	General support	140,000		75,000	65,000
CZECHOSLOVAK MANAGEMENT CENTER FOUNDATION Celakovice, Czech Republic	General support	150,000 *	125,000	25,000	
INSTITUTE FOR EASTWEST STUDIES New York, New York	Carpathian Euroregion initiative	375,000		125,000	250,000
INSTITUTE FOR HUMAN SCIENCES Vienna, Austria	General support	300,000 *	232,000	68,000	
	General support	200,000		200,000	
INTERNATIONAL HOUSE New York, New York	Alan & Tudy McLaine East Central European Program	60,000 *	40,000	20,000	
INTERNATIONAL MANAGEMENT CENTER FOUNDATION Budapest, Hungary	General support	150,000 *	125,000	25,000	
WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS Washington, D.C.	For a project to assess U.S. and European efforts to promote democracy in Eastern Europe	25,000		25,000	

EAST ASIA					
ASIA FOUNDATION, THE San Francisco, California	President's Transition Fund	75,000		75,000	
ASIA SOCIETY, INC., THE New York, New York	Public education initiative on Northeast Asia	100,000		100,000	
	Williamsburg Conference	75,000		75,000	
ASIAN CULTURAL COUNCIL, INC. New York, New York	General support	300,000		300,000	
BROOKINGS INSTITUTION, THE Washington, D.C.	East Asia Studies Program	225,000 *		225,000	
CARNEGIE COUNCIL ON ETHICS AND INTERNATIONAL AFFAIRS New York, New York	Dialogue on Human Rights in Asia project	150,000 *		100,000	

\*Appropriation made prior to 1995

ONE WORLD:  
WORLD SECURITY

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
CENTER FOR CULTURAL AND TECHNICAL INTERCHANGE BETWEEN EAST AND WEST, INC. Honolulu, Hawaii	For a project, Asian Conceptions of Security: A Comparative Study	75,000		57,500	17,500
CENTER FOR STRATEGIC AND INTERNATIONAL STUDIES, INC. Honolulu, Hawaii	Toward general expenses of the United States Committee of the Council for Security Cooperation in the Asia-Pacific	100,000 *	50,000	50,000	
COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF New York, New York	East Asian Institute: Culture and Diplomacy in Post-Cold War Asia project	130,000		65,000	65,000
COUNCIL ON FOREIGN RELATIONS, INC. New York, New York	Asia Project	100,000 *	25,000	75,000	
GEORGETOWN UNIVERSITY Washington, D.C.	Harmonization of Law and Policy in the Asia-Pacific Region project	150,000 *	50,000	50,000	50,000
INSTITUTE OF SOUTHEAST ASIAN STUDIES Republic of Singapore	ASEAN-APEC project	190,000 *	50,000	70,000	70,000
INTERNATIONAL HOUSE OF JAPAN, INC. Tokyo, Japan	Dartmouth-International House conference series	80,000 *	40,000	40,000	
JAPAN CENTER FOR INTERNATIONAL EXCHANGE, INC. New York, New York	General support	120,000 *	40,000	40,000	40,000
NAUTILUS OF AMERICA, INC. Berkeley, California	To establish an Internet link in North Korea	38,000		38,000	
YONSEI UNIVERSITY Seoul, Korea	Institute of East and West Studies: Structural Transition and Industrial Cooperation in Northeast Asia project	117,500 *	75,000	42,500	
Subtotal				2,583,500	557,500

\*Appropriation made prior to 1994

## NONPROFIT SECTOR

### PAYMENTS MADE IN 1995 AND GRANTS OUTSTANDING

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
DEVELOPMENT OF RESOURCES					
ALLIANCE FOR JUSTICE Washington, D.C.	Minority Fellowship Program	20,000		20,000	
AMERICAN ALLIANCE FOR RIGHTS AND RESPONSIBILITIES Washington, D.C.	Citizenship and Community Program	100,000 *	50,000	50,000	
ASIA FOUNDATION, THE San Francisco, California	Asia Pacific Philanthropy Consortium	150,000 *	50,000	50,000	50,000
COMMITTEE OF GOOD WILL, THE Prague, Czech Republic	General support	30,000 *	20,000	10,000	
FOUNDATION CENTRAL EUROPEAN CENTER FOR BEHAVIORAL ECONOMICS Lublin, Poland	For its Lublin Self-Help Center	42,500		42,500	
FOUNDATION FOR A CIVIL SOCIETY, LTD. New York, New York	General support	125,000 *	50,000	25,000	50,000
HUNGARIAN FOUNDATION FOR SELF-RELIANCE Budapest, Hungary	General support	200,000		150,000	50,000
INFORMATION CENTER FOR FOUNDATIONS AND OTHER NOT-FOR-PROFIT ORGANIZATIONS Prague, Czech Republic	General support	60,000 *	30,000	30,000	
INTERNATIONAL YOUTH FOUNDATION Battle Creek, Michigan	Polish Children and Youth Foundation	150,000 *	100,000	50,000	
INVESTMENT FUND FOR FOUNDATIONS, THE Charlottesville, Virginia	To expand its educational programs	50,000		50,000	
JAPANESE NGO CENTER FOR INTERNATIONAL COOPERATION Tokyo, Japan	General support	120,000 *	80,000	40,000	
JOHNS HOPKINS UNIVERSITY Baltimore, Maryland	Institute for Policy Studies: International Fellows in Philanthropy	150,000		50,000	100,000
NATIONAL CENTER FOR NONPROFIT BOARDS Washington, D.C.	To expand its membership program	180,000 *	60,000	60,000	60,000
NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS Washington, D.C.	Assistance to State Associations of Nonprofit Organizations Project	150,000		50,000	100,000

\* Appropriation made prior to 1995



## NONPROFIT SECTOR

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
NATIONAL ENDOWMENT FOR THE ARTS Washington, D.C.	To support the President's Committee on the Arts and the Humanities	25,000		25,000	
PUBLIC ALLIES: THE NATIONAL CENTER FOR CAREERS IN PUBLIC LIFE Washington, D.C.	General support for its national office	150,000 *	115,000	35,000	
ROCKEFELLER FAMILY FUND New York, New York	General support	25,000		21,000	4,000
SLOVAK ACADEMIC INFORMATION AGENCY Bratislava, Slovakia	General support	80,000 *	40,000	40,000	
SUPPORT OFFICE FOR THE MOVEMENT OF SELF-HELP INITIATIVES Warsaw, Poland	Volunteer Center Project	120,000		60,000	60,000
TIDES FOUNDATION San Francisco, California	Civil Society Development Program	200,000 *	100,000	100,000	
WASHINGTON CENTER FOR INTERNSHIPS AND ACADEMIC SEMINARS Washington, D.C.	Minority Leaders Fellowship Program	75,000 *	50,000	25,000	

## INCREASED UNDERSTANDING

ASPEN INSTITUTE, INC. Washington, D.C.	Nonprofit Sector Research Fund	300,000 *	154,000	46,000	100,000
	Conference on the impact of philanthropy	28,500		28,500	
HARVARD UNIVERSITY Cambridge, Massachusetts	John F. Kennedy School of Government: Nonprofit Policy and Leadership Program	225,000		75,000	150,000
INSTITUTE FOR THE ARTS OF DEMOCRACY Brattleboro, Vermont	American News Service project	25,000		25,000	
JOHNS HOPKINS UNIVERSITY, THE Baltimore, Maryland	Institute for Policy Studies: Training of Trainers program	150,000 *	75,000	75,000	
	Institute for Policy Studies: Comparative Nonprofit Sector project	180,000		60,000	120,000
NEW PRESS, THE New York, New York	General support	150,000		100,000	50,000
NONPROFIT FOUNDATION Budapest, Hungary	County News Agency Network Project	48,000 *	24,000	24,000	
YALE UNIVERSITY New Haven, Connecticut	Institution for Social and Policy Studies: Program on Non-Profit Organizations	150,000 *	100,000	34,700	15,300

\*Appropriation made prior to 1995

NONPROFIT SECTOR

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
PHILANTHROPIC SUPPORT ORGANIZATIONS					
COUNCIL ON FOUNDATIONS, INC. Washington, D.C.	General support	34,600		34,600	
	Grantmakers for Education	1,000		1,000	
FOUNDATION CENTER New York, New York	General support	60,000*	30,000	30,000	
INDEPENDENT SECTOR Washington, D.C.	General support	7,400		7,400	
NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS New York, New York	General support	9,000		9,000	
ROCKEFELLER FAMILY FUND New York, New York	Environmental Grantmakers Association	1,800		1,800	
TIDES FOUNDATION San Francisco, California	Funders Concerned About AIDS	1,000		1,000	
	Grantmakers for Children, Youth and Families	1,000		1,000	
Subtotal				1,537,500	909,300

\*Appropriation made prior to 1995



EDUCATION

PAYMENTS MADE IN 1995 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
RBF FELLOWS					
STIPENDS FOR FELLOWS AND MENTORS				315,750	1,006,500 <sup>2</sup>

MINORITIES					
ARIZONA BOARD OF REGENTS Tempe, Arizona	Project 1000 teacher education initiative	150,000 *	100,000	50,000	
BANK STREET COLLEGE OF EDUCATION New York, New York	Toward support of its Principals Institute	200,000		171,000	29,000
CENTER FOR COLLABORATIVE EDUCATION, THE New York, New York	Teacher education program	200,000 *	100,000	100,000	
CLAREMONT UNIVERSITY CENTER Claremont, California	Multi-Ethnic Teacher Advancement Project	150,000*	135,000	15,000	
RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK New York, New York	Program to support minority teacher education students at Hunter College	105,000*	35,000	70,000	
SOUTHERN EDUCATION FOUNDATION Atlanta, Georgia	Summer Scholars Program	200,000		100,000	100,000

EARLY CHILDHOOD					
NATIONAL ASSOCIATION FOR THE EDUCATION OF YOUNG CHILDREN Washington, D.C.	Symposium on the role of community colleges in the professional development of early childhood educators	30,000		30,000	
NATIONAL CENTER FOR THE EARLY CHILDHOOD WORK FORCE Washington, D.C.	Early Childhood Mentoring Alliance	100,000 *	50,000	50,000	
NEW YORK STATE CHILD CARE COORDINATING COUNCIL New York, New York	To develop a career development plan for early childhood educators in New York State	75,000		75,000	

<sup>2</sup> Includes \$7,000 in lapses

\* Appropriation made prior to 1995

EDUCATION

Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
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UNDERGRADUATE, LIBERAL ARTS PROGRAMS

COMMUNITY PREPARATORY, INC. Providence, Rhode Island	Teach for the Future program	60,000 *	40,000	20,000	
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PROJECTS OF PARTICULAR MERIT

AMERICAN ACADEMY OF ARTS AND SCIENCES Cambridge, Massachusetts	To publish the transcript of a conference on education reform in its journal, <i>Daedalus</i>	20,000		20,000	
SUMMERBRIDGE, INC. San Francisco, California	To hire a staff recruitment coordinator	150,000*	50,000	50,000	50,000
TEACHERS COLLEGE, COLUMBIA UNIVERSITY New York, New York	Toward a forum on teacher education	60,000		60,000	
Subtotal				1,126,750	1,185,500

\*Appropriation made prior to 1994

NEW YORK CITY

PAYMENTS MADE IN 1995 AND GRANTS OUTSTANDING

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
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HOUSING

COMMUNITY SERVICE SOCIETY OF NEW YORK New York, New York	For its project on mutual housing associations and community land trusts	256,000*	128,000	128,000	
NEW YORK CITY MISSION SOCIETY New York, New York	To plan a housing initiative by coalitions of Latino churches	240,000*	120,000	120,000	
PRATT INSTITUTE New York, New York	Pratt Community Economic Development Internship	300,000*	200,000	100,000	

AIDS

AIDS AND ADOLESCENTS NETWORK OF NEW YORK, 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*	30,000	30,000	

SCHOOLS AND YOUNG PEOPLE

MOTHERS ON THE MOVE, INC. Bronx, New York	Parents Organizing Consortium	265,000		112,500	152,500
PEOPLE ABOUT CHANGING EDUCATION New York, New York	Toward a study of parental concerns regarding New York City public education	25,000		25,000	
PUBLIC EDUCATION ASSOCIATION New York, New York	Community-based program for school improvement and reform	60,000		60,000	
RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK New York, New York	Howard Samuels State Management and Policy Center: Research project on building civic capacity to support education reform	60,000		60,000	

\*Appropriation made prior to 1995

		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
COMMUNITY LIFE					
FUND FOR THE CITY OF NEW YORK, INC. New York, New York	Center for Parks and Public Spaces	100,000		100,000	
HENRY STREET SETTLEMENT New York, New York	General support	150,000*	75,000	75,000	
NEW YORK URBAN LEAGUE, INC. New York, New York	Building Block Project	100,000		100,000	
WORLD MONUMENTS FUND, INC. New York, New York	New York City crafts training initiative	25,000		25,000	

CIVIC PARTICIPATION					
CENTER FOR VOTING AND DEMOCRACY Washington, D.C.	Community Board Election Education Project	20,000		20,000	
NATIONAL COUNCIL OF THE CHURCHES OF CHRIST IN THE UNITED STATES OF AMERICA New York, New York	Civic Conversation Program	10,000		10,000	
	Civic Conversation Program	200,000		100,000	100,000
URBAN ASSEMBLY, THE New York, New York	Symposium on the role of religious institutions in community-based economic development	20,000		20,000	
Subtotal				1,125,500	252,500

\*Appropriation made prior to 1995

SPECIAL CONCERNS: SOUTH AFRICA

PAYMENTS MADE IN 1995 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
BASIC EDUCATION					
ABE DEVELOPMENT SERVICES TRUST Cape Town, South Africa	Curriculum and materials development	100,000		50,000	50,000
CAPE EDUCATIONAL TRUST Cape Town, South Africa	Early Learning Resource Unit	118,000*	36,000	41,000	41,000
CAPE TOWN, UNIVERSITY OF Cape Town, South Africa	Primary Mathematics Education Project	84,000		28,000	56,000
CAPE TOWN FUND, INC., UNIVERSITY OF New York, New York	Youth services center	150,000*	75,000	75,000	
CENTRE FOR EARLY CHILDHOOD DEVELOPMENT Cape Town, South Africa	Training programs for early childhood educators	20,000		20,000	
COOPERATIVE ORGANIZATION FOR THE UPGRADING OF NUMERACY TRAINING Johannesburg, South Africa	Teacher training program	79,000*	36,000	43,000	
ELTIC EDUCATION TRUST, THE Johannesburg, South Africa	Teacher training project	39,000		39,000	
ERA INITIATIVE TRUST Johannesburg, South Africa	General support	35,000		35,000	
NEW SCHOOL FOR SOCIAL RESEARCH New York, New York	South Africa Partnership Project	46,000			46,000
PRIMARY OPEN LEARNING PATHWAY TRUST Cape Town, South Africa	Children's literacy project	100,000*	50,000	50,000	
SMALL BEGINNINGS Pretoria, South Africa	To develop radio programs for early childhood education	20,000		20,000	
SOUTH AFRICAN INSTITUTE OF DISTANCE EDUCATION TRUST Johannesburg, South Africa	Adult basic education radio programs	100,000*	50,000	50,000	
USWE TRUST Cape Town, South Africa	Teacher training program	70,000		41,000	29,000
WESTERN CAPE, UNIVERSITY OF THE Cape Town, South Africa	Teacher In-service Project	100,000*	29,000	33,000	38,000
Subtotal				525,000	260,000

\*Appropriation made prior to 1995

RAMON MAGSAYSAY AWARDS

PAYMENTS MADE IN 1995 AND GRANTS OUTSTANDING		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
RAMON MAGSAYSAY AWARD FOUNDATION					
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Ramon Magsaysay Awards for 1995	150,000		150,000	

PROGRAM FOR ASIAN PROJECTS					
AMTE, MURLIDHAR D. Maharashtra, India	To acquire equipment for a secretarial training program for leprosy patients	10,000*		10,000	
ARIYARATNE, A.T. Moratuwa, Sri Lanka	To establish an education facility at the Vishva Niketan Peace Center	10,000			10,000
BHATT, CHANDI PRASAD Uttar Pradesh, India	Forest restoration project	10,000*		10,000	
CHANG, KEE-RYO Pusan, Korea	For a project to improve the welfare of autistic children	10,000			10,000
CHOWDHURY, AMITABHA Hong Kong PRESS FOUNDATION OF ASIA Manila, Philippines	For a project to increase cooperative activities among the national press institutes of Asia	20,000			20,000
COYAJI, BANOO Pune, India	For a project to teach goat husbandry to women	10,000			10,000
HH THE DALAI LAMA Dharamsala, India	To develop a human resources plan for the Central Tibetan Administration	4,400*		4,400	
DALY, JOHN V. JEI, PAUL JEONG GU Seoul, South Korea	To develop urban welfare policies	20,000*		20,000	
FEI, HSIAO TUNG Beijing, People's Republic of China	Toward a rural economic development plan	9,500			9,500
HATA, PRATEEP U. SRIMUANG, CHAMLONG Bangkok, Thailand	Klong Toey Project	10,000*		10,000	
JASSIN, HANS B. SADIKIN, ALI Jakarta, Indonesia	To computerize operations of the H.B. Jassin Centre for Literary Documentation	20,000*		20,000	
KAWAKITA, JIRO Tokyo, Japan	Toward the English publication of <i>Revitalization of Rural Areas Based on Ecology and Community</i>	10,000			10,000
KHAN, SHOAB SULTAN KHAN, AKHTER HAMEED Islamabad, Pakistan	Video documentaries	5,000*		5,000	



RAMON MAGSAYSAY AWARDS

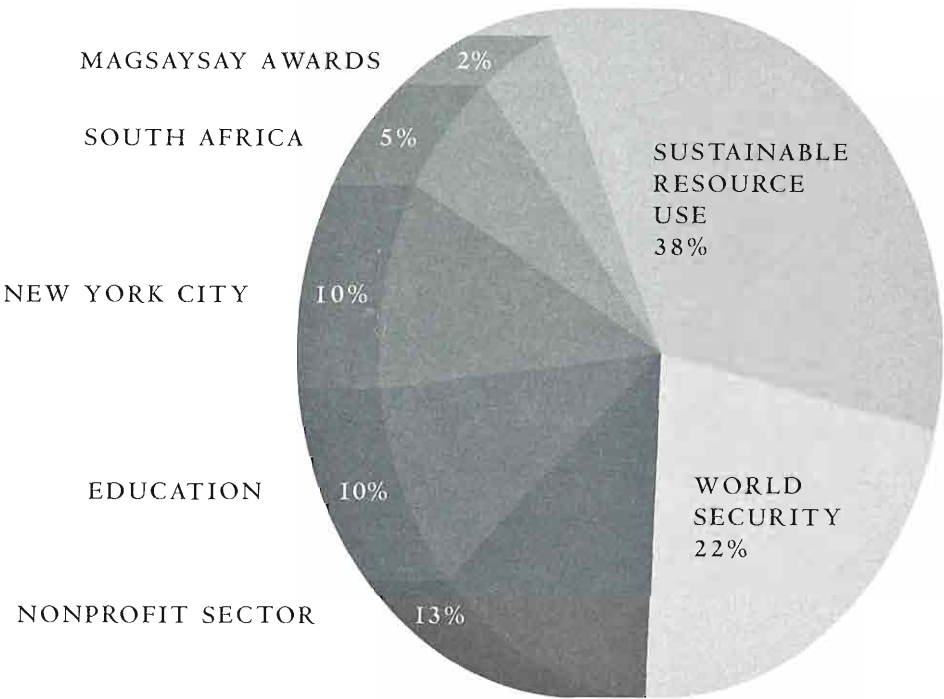
		Total Appropriation	Paid in Previous Years	Payment in 1995	Unpaid Balance
LUMBERA, BIENVENIDO Quezon City, Philippines	To write a book on the Philippine film industry	10,000 *		10,000	
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Asian Issues and Trends for Development project	10,000 *		10,000	
	Publication of <i>The Magsaysay Awardee</i>	4,500 *		4,500	
	Publication of <i>The Magsaysay Awardee</i>	3,500			3,500
	Publication of <i>The Ramon Magsaysay Awards</i> and the <i>Awardee Pamphlet</i> series	5,000 *		5,000	
	Publication of <i>The Ramon Magsaysay Awards</i> and the <i>Awardee Pamphlet</i> series	20,000			20,000
	Magsaysay Award Fellowships	5,000			5,000
SIMAR, SIMA Quetta, Pakistan	Girls schools for Afghan refugees	10,000			10,000
SUMMER INSTITUTE OF LINGUISTICS Quezon City, Philippines	To publish a Tausug-English dictionary	10,000 *		10,000	
SWAMINATHAN, M.S. Madras, India	Biological diversity conservation project	10,000 *		10,000	
YOON, SUK-JOONG MCGLINCHEY, J. PATRICK RAMON MAGSAYSAY AWARD FOUNDATION Seoul, Korea and Manila, Philippines	Asian Issues and Trends for Development	30,000			30,000
Subtotal				278,900	138,000

\*Appropriation made prior to 1995

GRANTS SUMMARY

SUMMARY OF PAYMENTS MADE IN 1995

	Payments in 1995
One World: Sustainable Resource Use	\$ 4,452,000
One World: World Security	2,583,500
Nonprofit Sector	1,537,500
Education	1,126,750
New York City	1,125,500
Special Concerns: South Africa	525,000
Ramon Magsaysay Awards	278,900
	<hr/> 11,629,150
Payments matching employee contributions to charitable institutions	<hr/> 15,484
Appropriations paid in 1995	<hr/> \$ 11,644,634





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

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UNPAID APPROPRIATIONS, DECEMBER 31, 1994		
Principal Fund	\$ 7,219,439	
Ramon Magsaysay Award Foundation	-0-	
Asian Projects Fund	128,900	
		\$ 7,348,339

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APPROPRIATIONS AUTHORIZED IN 1995		
Principal Fund	10,239,150	
Ramon Magsaysay Award Foundation	150,000	
Asian Projects Fund	138,000	
	<u>10,527,150</u>	
Less:		
Appropriations Lapsed: Principal Fund	37,039	
		10,490,111

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APPROPRIATIONS PAID IN 1995		
Principal Fund	11,350,250	
Ramon Magsaysay Award Foundation	150,000	
Asian Projects Fund	128,900	
		<u>11,629,150</u>

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UNPAID APPROPRIATIONS, DECEMBER 31, 1995		
Principal Fund	6,071,300	
Ramon Magsaysay Award Foundation	-0-	
Asian Projects Fund	138,000	
		<u>\$ 6,209,300</u>



# FINANCIAL REPORT



# FINANCIAL REPORT

## REPORT OF INDEPENDENT ACCOUNTANTS

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

In our opinion, the accompanying combined statement of financial position and the related combined statements of activities and of cash flows present fairly, in all material respects, the financial position of the Rockefeller Brothers Fund, Inc. and Combined Affiliate (the "Fund") at December 31, 1995, and the changes in its net assets and its cash flows for the year then ended in conformity with generally accepted accounting principles. These financial statements are the responsibility of the Fund's management; our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with generally accepted auditing standards which 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, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for the opinion expressed above. The financial statements of the Rockefeller Brothers Fund, Inc. and its combined affiliate, the Asian Cultural Council, Inc., for the year ended December 31, 1994, prior to restatement, were audited separately by other independent accountants whose reports dated April 5, 1995 and May 31, 1995, respectively, expressed unqualified opinions on those financial statements.

As discussed in Notes 2, 6, and 10 to the financial statements, in 1995 the Fund adopted Statement of Financial Accounting Standards ("SFAS") 106, "Employers' Accounting for Postretirement Benefits Other Than Pensions"; SFAS 116, "Accounting for Contributions Received and Contributions Made"; SFAS 117, "Financial Statements of Not-for-Profit Organizations"; and AICPA Statement of Position 94-3, "Reporting of Related Entities by Not-for-Profit Organizations."

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. Such information has been subjected to the auditing procedures applied in the 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 whole.

*Price Waterhouse LLP*

*New York, New York*

*May 10, 1996*

ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE  
COMBINED STATEMENT OF FINANCIAL POSITION

December 31, 1995 with Comparative 1994 Totals

ROCKEFELLER BROTHERS FUND ("RBF")									
	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Restoration Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1995	Total 1994 (Restated)
ASSETS									
Cash	\$325,637	\$159,772	\$ -	\$ -	\$ -	\$485,409	\$238,772	\$724,181	\$3,437,702
Accounts receivable	23,581	-	-	-	4,303	27,884	11,848	39,732	15,740
Contributions receivable	-	-	-	-	-	-	305,320	305,320	373,727
Interest and dividends receivable	1,609,803	239,567	15,630	14,486	4,262	1,883,748	86,630	1,970,378	1,997,857
Due from brokers and dealers	1,224,254	183,695	12,133	11,089	-	1,431,171	318,643	1,749,814	1,668,363
Investments, at market value	304,820,758	46,860,610	3,154,211	2,713,637	829,044	358,378,260	20,127,712	378,505,972	325,553,874
Program-related investments:									
Program mortgage loans	3,420,000	-	-	-	-	3,420,000	-	3,420,000	2,211,421
Real estate	510,000	-	-	-	-	510,000	-	510,000	510,000
Other	-	-	-	-	-	-	-	-	764,959
Recoverable taxes paid	625,257	-	-	-	-	625,257	-	625,257	360,385
Prepaid expenses	618,764	-	-	-	-	618,764	20,914	639,678	676,392
Fixed assets, net	462,444	2,343,985	-	-	8,518,455	11,324,884	26,791	11,351,675	9,663,116
Interfund	2,554,693	(2,238,670)	(273,851)	(42,669)	497	-	-	-	-
Total assets	\$316,195,191	\$47,548,959	\$2,908,123	\$2,696,543	\$9,356,561	\$378,705,377	\$21,136,630	\$399,842,007	\$347,233,536

The accompanying notes are an integral part of these financial statements.

# ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE COMBINED STATEMENT OF FINANCIAL POSITION

December 31, 1995 with Comparative 1994 Totals

ROCKEFELLER BROTHERS FUND ("RBF")									
	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Restoration Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1995	Total 1994 (Restated)
<b>LIABILITIES AND NET ASSETS</b>									
Liabilities:									
Grants payable	\$6,071,300	\$ -	\$ -	\$138,000	\$ -	\$6,209,300	\$664,079	\$6,873,379	\$7,859,483
Due to brokers and dealers	6,476,378	949,370	62,754	57,594	-	7,546,096	220,906	7,767,002	2,997,065
Accounts payable and accrued liabilities	1,338,478	333,877	-	-	16,296	1,688,651	311,585	2,000,236	1,130,325
Taxes payable	16,389	-	-	-	-	16,389	-	16,389	390,911
Total liabilities	13,902,545	1,283,247	62,754	195,594	16,296	15,460,436	1,196,570	16,657,006	12,377,784
Commitments									
Net assets:									
Unrestricted	302,292,646	46,265,712	2,845,369	2,500,949	9,340,265	363,244,941	3,494,620	366,739,561	319,377,391
Temporarily Restricted	-	-	-	-	-	-	4,201,592	4,201,592	3,266,728
Permanently Restricted	-	-	-	-	-	-	12,243,848	12,243,848	12,211,633
Total liabilities and net assets	\$316,195,191	\$47,548,959	\$2,908,123	\$2,696,543	\$9,356,561	\$378,705,377	\$21,136,630	\$399,842,007	\$347,233,536

The accompanying notes are an integral part of these financial statements.

ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE  
COMBINED STATEMENT OF ACTIVITIES

For the Year Ended December 31, 1995 with Comparative 1994 Totals

ROCKEFELLER BROTHERS FUND ("RBF")									
	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Restoration Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1995	Total 1994 (Restated)
REVENUES									
Dividend income	\$2,877,126	\$410,446	\$27,051	\$25,048	\$ -	\$3,339,671	\$313,017	\$3,652,688	\$2,956,252
Interest income	7,429,938	1,041,136	68,619	63,535	75,089	8,678,317	252,660	8,930,977	8,576,412
Other investment income (loss)	1,398,322	199,476	13,147	12,173	15,775	1,638,893	106,121	1,745,014	(1,682,028)
Contributions	-	-	-	-	-	-	1,224,214	1,224,214	4,115,652
	11,705,386	1,651,058	108,817	100,756	90,864	13,656,881	1,896,012	15,552,893	13,966,288
EXPENSES									
Functional expenses (Exhibit I):									
Direct charitable activities	624,452	2,053,719	-	-	468,502	3,146,673	126,547	3,273,220	3,536,171
Program and grant management	13,211,896	-	186,130	182,965	-	13,580,991	1,011,901	14,592,892	14,707,872
Investment management	1,389,031	214,345	11,543	10,688	23,220	1,648,827	122,748	1,771,575	2,138,985
General management	1,917,647	231,930	-	-	135,539	2,285,116	1,466,643	3,751,759	3,314,474
	17,143,026	2,499,994	197,673	193,653	627,261	20,661,607	2,727,839	23,389,446	23,697,502
Deficiency of revenues over expenses	(5,437,640)	(848,936)	(88,856)	(92,897)	(536,397)	(7,004,726)	(831,827)	(7,836,553)	(9,731,214)

The accompanying notes are an integral part of these financial statements.



# ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE

## COMBINED STATEMENT OF ACTIVITIES

For the Year Ended December 31, 1995 with Comparative 1994 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")								
	Principal Fund	Pocantico Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Restoration Fund	Total RBF Funds	Asian Cultural Council, Inc.	Total 1995	Total 1994 (Restated)
GAIN ON INVESTMENTS									
Net realized gain from securities sales	\$17,892,119	\$2,552,457	\$168,225	\$155,764	\$ -	\$20,768,565	\$1,752,493	\$22,521,058	\$13,217,828
Net change in unrealized gain (loss) on investments	28,135,282	4,013,727	264,534	244,939	-	32,658,482	2,107,262	34,765,744	(30,495,600)
	46,027,401	6,566,184	432,759	400,703	-	53,427,047	3,859,755	57,286,802	(17,277,772)
Change in net assets before cumulative effect of accounting change	40,589,761	5,717,248	343,903	307,806	(536,397)	46,422,321	3,027,928	49,450,249	(27,008,986)
Cumulative effect of accounting change	(977,000)	-	-	-	-	(977,000)	(144,000)	(1,121,000)	-
Change in net assets:									
Unrestricted	39,612,761	5,717,248	343,903	307,806	(536,397)	45,445,321	1,916,849	47,362,170	(26,667,064)
Temporarily restricted	-	-	-	-	-	-	934,864	934,864	(424,189)
Permanently restricted	-	-	-	-	-	-	32,215	32,215	82,267
Total change in net assets	39,612,761	5,717,248	343,903	307,806	(536,397)	45,445,321	2,883,928	48,329,249	(27,008,986)
NET ASSETS beginning of year	262,679,885	40,548,464	2,501,466	2,193,143	9,876,662	317,799,620	17,056,132	334,855,752	361,864,738
NET ASSETS end of year	\$302,292,646	\$46,265,712	\$2,845,369	\$2,500,949	\$9,340,265	\$363,244,941	\$19,940,060	\$383,185,001	\$334,855,752

The accompanying notes are an integral part of these financial statements.

# ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE COMBINED STATEMENT OF CASH FLOWS

For the Years Ended December 31, 1995 and 1994

	Total 1995 All Funds	Total 1994 All Funds
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Change in net assets	\$48,329,249	(\$27,008,986)
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Net realized and unrealized (gain) or loss on investments	(57,286,802)	17,277,772
Depreciation	867,743	718,543
(Increase) decrease in accounts receivable	(23,992)	108,633
(Increase) decrease in contributions receivable	68,407	(92,417)
(Increase) decrease in interest and dividends receivable	27,479	166,795
(Increase) decrease due from brokers and dealers	(81,452)	1,033,111
Write-down of program-related investment	764,960	-
(Increase) decrease in recoverable taxes paid	(264,872)	(179,204)
(Increase) decrease in prepaid expenses	36,714	(123,106)
Increase (decrease) in securities sold short, not yet purchased	-	(14,020,051)
Increase (decrease) in grants payable	(986,104)	(398,027)
Increase (decrease) in due to brokers and dealers	4,769,938	(5,460,177)
Increase (decrease) in accounts payable and accrued liabilities	869,911	166,438
Increase (decrease) in taxes payable	(374,522)	390,911
Increase (decrease) in deferred support	-	(321,560)
Net cash provided by operations	(3,283,343)	(27,741,325)
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Proceeds from sales of investments	880,500,722	920,423,069
Purchase of investments	(876,166,017)	(900,552,776)
Loans disbursed for program-related investments	(1,208,579)	(1,671,421)
Purchases of fixed assets	(2,556,304)	(3,156,890)
Net cash provided by investing activities	569,822	15,041,982
Net decrease in cash	(2,713,521)	(12,699,343)
Cash at beginning of year	3,437,702	16,137,045
Cash at end of year	\$724,181	\$3,437,702

## ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE NOTES TO FINANCIAL STATEMENTS

### (1) ORGANIZATIONS AND PURPOSE

ROCKEFELLER BROTHERS FUND, INC. (the "Fund") is a not-for-profit, 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 overseas philanthropic organizations. The Fund also provides fellowships for minority students entering the teaching profession.

The Board of Trustees has designated the allocation from the Principal Fund and other funds to the following special purpose funds:  
Pocantico Fund: For the maintenance and operation of the Pocantico Historic Area at Pocantico Hills, New York, as an historic park benefiting the public.

Ramon Magsaysay Award Foundation Fund: To increase the amount of the Ramon Magsaysay Awards and other support for the activities of the Ramon Magsaysay Award Foundation, Inc.

Asian Projects Fund: Income to be used for a period of twenty years for special projects which exemplify the spirit of the Ramon Magsaysay Awards and Asian program concerns of the Fund.

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

ASIAN CULTURAL COUNCIL, INC. is a not-for-profit, charitable corporation existing under the New York not-for-profit corporation law and has been determined to be a publicly supported organization as defined in the Internal Revenue Code. The Asian Cultural Council, Inc. provides fellowship awards to Asian and American individuals in the visual and performing arts, and also awards grants to cultural institutions engaged in international exchange projects. The Fund is the sole member of the Asian Cultural Council, Inc.

### (2) SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

The financial statements of the Fund have been prepared on an accrual basis. The significant accounting policies followed are described below:

ACCOUNTING CHANGES: Effective January 1, 1995, the Fund adopted the following Statements of Financial Accounting Standards ("SFAS"):

SFAS 106- "Employers' Accounting for Postretirement Benefits Other Than Pensions." SFAS 106 requires the use of the accrual method of accounting for postretirement benefits other than pensions. (see Note 6).

SFAS 116- "Accounting for Contributions Received and Contributions Made." SFAS 116 requires entities that make contributions to record noncurrent promises to give at net present value and to not record promises to give that include donor-imposed conditions until the conditions are met by the grantee. The effect of adopting SFAS 116 on the Fund's financial statements is not material.

SFAS 117- "Financial Statements for Not-for-Profit Organizations." SFAS 117 establishes standards for external financial statements that enhance the comparability of financial statements issued by not-for-profit organizations. SFAS 117 requires not-for-profit organizations to present a statement of cash flows and three classes of net assets-permanently restricted, temporarily restricted, and unrestricted. The Fund has presented a statement of cash flows for the year ended December 31, 1994 and reclassified net assets into the three classes above for comparative purposes. The adoption of SFAS 117 has no effect on the Fund's unrestricted net assets.

Additionally, effective January 1, 1995, the Fund adopted AICPA Statement of Position ("SOP") 94-3, "Reporting of Related Entities by Not-for-Profit Organizations." SOP 94-3 gives uniform guidance concerning the reporting of related entities and required the combination of the Asian Cultural Council, Inc., a not-for-profit organization of which the Rockefeller Brothers Fund, Inc. is the sole member. 1994 financial information has been restated to reflect the retroactive adoption of this statement. (See Note 10).

**USE OF ESTIMATES:** The preparation of financial statements in accordance with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities at the date of the financial statements and the reported amounts of revenues and expenses during the reported period. Actual results could differ from those estimates.

**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, 1995, \$7,909,175 of the Fund's investments in limited partnerships were recorded at fair value as determined by the Fund's management or their designee, 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.

Investments of the Principal Fund, Pocantico Fund, Ramon Magsaysay Award Foundation Fund, and Asian Projects Fund are pooled; 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, 1995 will be paid as follows:

1996: \$5,331,979	1997: \$1,163,200	1998: \$266,600	1999: \$60,000	2000: \$51,600	Total: \$6,873,379
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The net present value of grants payable is not materially different from amounts committed to be paid.

Fellowships for minority students are awarded in three stages, for summer projects, graduate study and student loan repayments. Included in the Grants Awarded as of December 31, 1995 is \$1,198,350 awarded to Fellows, which includes approximately \$800,000 for Fellows appointed in 1992 through 1995.

**TAX STATUS:** The Fund is exempt from Federal income tax 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.

The Asian Cultural Council, Inc. is incorporated as a not-for-profit organization and is exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code, and has been determined to be a publicly supported organization.

**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; office equipment: 7 years; computer equipment: 5 years; computer software: 3 years. Fixed assets are presented net of accumulated depreciation and amortization of \$2,638,372 and \$1,770,628, respectively.

**PRIOR YEAR'S FINANCIAL STATEMENTS:** Certain reclassifications and restatements of the 1994 financial information have been made to conform to the 1995 presentation and to reflect the adoption of accounting pronouncements as described in Notes 2, 6 and 10. The financial information presented for 1994 in the accompanying financial statements is intended to provide a basis for comparison and reflects summarized totals only.

## (3) INVESTMENTS

Investments at December 31, 1995 and 1994 are summarized as follows:

	December 31, 1995			December 31, 1994	
	Cost	Unrealized Appreciation/ (Depreciation)	Market	Cost	Market
Short-term investments	\$24,723,292	(\$357)	\$24,722,935	\$22,127,798	\$22,168,519
Stocks	160,862,709	31,884,498	192,747,207	136,526,489	146,610,273
Bonds	108,256,585	5,362,551	113,619,136	111,992,358	109,195,990
Limited partnerships	44,372,816	2,371,945	46,744,761	49,382,412	47,530,965
Foreign currency fluctuations	-	671,933	671,933	-	48,127
	<u>\$338,215,402</u>	<u>\$40,290,570</u>	<u>\$378,505,972</u>	<u>\$320,029,057</u>	<u>\$325,553,874</u>

The cost of investments in each fund at December 31, 1995 and 1994 is as follows:

	December 31, 1995	December 31, 1994
Principal Fund	\$268,880,634	\$258,683,076
Pocantico Fund	46,055,893	39,130,281
Ramon Magsaysay Award Foundation Fund	3,006,008	2,550,853
Asian Projects Fund	2,628,004	2,205,170
Pocantico Restoration Fund	829,043	1,889,031
Asian Cultural Council, Inc.	16,815,820	15,570,646
	<u>\$338,215,402</u>	<u>\$320,029,057</u>

According to the terms of its limited partnership agreements, the Fund is committed to contribute approximately \$450,000 as of December 31, 1995 in additional capital.

The Fund, through its investment advisors, periodically invests in foreign exchange contracts. Such contracts are recorded in investments at market in the accompanying financial statements. All transactions are executed by the Fund's investment managers in accordance with policies established by the Fund's Finance Committee. Gains and losses on these instruments are included in the determination of net realized and unrealized gains on investments, depending on whether the positions had settled prior to December 31, 1995. The terms of these contracts are generally 3 months or less. The table below summarizes, by major currency, the notional principal amounts of the Fund's foreign exchange contracts outstanding at December 31, 1995. The "buy" amounts represent U.S. dollar equivalents of commitments to purchase the respective currency and the "sell" amounts represent the commitments to sell the respective currency.

	Buy	Sell	Unrealized Currency Gain/(Loss)
Deutsche Mark	\$4,688,750	\$4,623,781	\$64,969
Japanese Yen	5,354,703	4,749,242	605,461

## (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 of \$510,000, and has been leased rent-free to a not-for-profit organization under the terms of an agreement which expires in the year 2056.

In February 1994, the Fund entered into a loan agreement with the Ramon Magsaysay Award Foundation ("RMAF") which authorized RMAF to borrow up to three million dollars during the period the loan commenced through December 31, 1995. The

underlying promissory note bears interest on the unpaid principal at the rate of 6 percent per year; such interest accrued beginning January 1, 1995. Payment of principal of \$120,000 and related interest is to be made annually over the term of the loan and on December 31, 2019, the outstanding balance will be payable in full. As of December 31, 1995, the Fund had loaned RMAF the full amount authorized and had received the first principal repayment and interest.

During 1995, the Fund reserved approximately \$765,000 for the full value of one of its program-related investments based on a review of its estimated fair value.

### (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, 1995 and for the year then ended:

<b>Actuarial present value of benefit obligations:</b>	
Accumulated benefit obligation, including vested benefits of \$2,405,262	<u>\$2,670,961</u>
Projected benefit obligation for services rendered to date	\$3,726,628
Plan assets at fair value	<u>4,506,861</u>
Plan assets in excess of projected benefit obligation	780,233
Unrecognized prior service cost	(49,692)
Unrecognized net gain from past experience different from that assumed and effects of changes in assumptions	92,809
Unamortized transitional net asset	<u>(336,560)</u>
Prepaid pension cost included in prepaid expenses	<u>\$486,790</u>
Net pension cost for 1995 included the following components:	
Service cost—benefits earned during period	\$234,639
Interest cost on projected benefit obligation	235,982
Actual return on plan assets	(790,111)
Net amortization and deferral	<u>425,175</u>
Net periodic pension cost	<u>\$105,685</u>

The weighted-average discount rate and rate of increase in future compensation levels used in determining the actuarial present value of the projected benefit obligation were 7 percent and 4.5 percent, respectively. The expected long-term rate of return on assets was 9 percent.

### (6) POSTRETIREMENT HEALTHCARE BENEFITS

In addition to providing pension benefits, the Fund provides certain health care benefits for retired employees. Substantially all of the Fund's employees may become eligible for these benefits if they reach age 55 while employed by the Fund and have accumulated at least five years of service. Such benefits are provided through an insurance company.

Effective January 1, 1995, the Fund adopted SFAS 106 "Employers' Accounting for Postretirement Benefits other than Pensions". In connection with the adoption of this statement, the Fund elected to accrue the entire transition obligation, aggregating \$1,121,000, in 1995.

## FINANCIAL REPORT

The following table sets forth the plan's status as of December 31, 1995:

Accumulated postretirement benefit obligation ("APBO"):	
Retirees	\$446,000
Active participants fully eligible for benefits	171,000
Active participants not fully eligible for benefits	636,000
	<hr/>
	\$1,253,000
Unrecognized net loss	7,000
	<hr/>
Accrued postretirement benefit cost	<u>\$1,246,000</u>

The net periodic postretirement benefit cost for 1995 included the following components:

Service retirement cost	\$69,000
Interest cost	88,000
	<hr/>
Net periodic postretirement benefit cost	<u>\$157,000</u>

Actual retiree premiums paid by the Fund during 1995 amounted to \$32,000.

The discount rate assumed in determining the APBO was 7% and the medical cost trend rates assumed was 11% and declining to 5% over a seven year period. Increasing the assumed medical cost trend rate by 1% each year would result in increases in both the APBO and the net periodic postretirement cost of approximately \$220,000 and \$39,000, respectively.

### (7) RELATED PARTY TRANSACTIONS

The Fund paid Rockefeller and Co., Inc., fees of \$159,740 as one of its investment advisors and fees of \$40,274 for the management of the Fund's qualified pension plans and other services for the year ended December 31, 1995. The Fund was reimbursed \$104,451 for the fair value of certain common expenses, including accounting and occupancy, by the Rockefeller Family Fund, Inc. The Fund was also reimbursed \$102,211, \$27,016 and \$5,961 for the fair value of certain common expenses, including accounting and occupancy, by the Asian Cultural Council, Inc., the Consultative Group on Biological Diversity, Inc., and the David Rockefeller Fund, respectively.

As of December 31, 1995, the Fund's investment portfolio included approximately \$19,700,000 in funds held in Lipco Partners, L.P., which is managed by a board member.

The Fund paid fees of approximately \$1,200,000 in 1995 for maintenance of the Pocantico properties to Greenrock Corporation, which is wholly owned by Rockefeller family members.

### (8) FEDERAL TAXES

As a private foundation, the Fund is assessed an excise tax by the Internal Revenue Code. This tax is generally equal to 2 percent of net investment income; however, it is reduced to 1 percent if a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. For 1995, the Fund qualified for the reduced tax rate, and taxes have been provided for on investment income at 1 percent.

The Fund is subject to unrelated business income tax on a certain amount of the income derived from its investment in Lipco Partners, L.P. For 1995, the Fund was not liable for any unrelated business income tax. For 1994, this investment generated net ordinary income subject to unrelated business income tax and incurred tax expense of \$520,623. For 1994, the Fund also incurred a capital loss of approximately \$3.8 million from this investment. Under the provisions of the Internal Revenue Code, the Fund is allowed to carry back this loss to those two prior years it had paid unrelated business income tax on this investment. For 1994, the Fund applied a portion of its 1994 investment loss against the amounts paid in 1993 and 1992, and an amount of \$296,157 has been recorded as recoverable taxes in the balance sheet. The Fund is entitled to carry forward the balance of its 1994 capital loss for five years to offset any unrelated business income tax which may arise on capital gain income. As of December 31, 1995, the carry forward available to offset future years unrelated business income tax was approximately \$2,500,000.

## (9) COMMITMENTS

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

Fiscal Year					
1996	\$642,469	1997	\$642,469	1998	\$642,469

The lease expires on December 31, 1998. Net rent expense for the Fund aggregated approximately \$682,000 in 1995.

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 1995 and 1994, these costs aggregated approximately \$1,504,000 and \$1,654,000 respectively.

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 public visitation program commenced in April 1994. In 1994, the Fund paid for start-up costs for the visitation program of approximately \$229,000.

## (10) ASIAN CULTURAL COUNCIL, INC.

In 1994, the American Institute of Certified Public Accountants issued Statement of Position ("SOP") 94-3, "Reporting of Related Entities by Not-For-Profit Organizations," giving uniform guidance concerning the reporting of related entities. The Fund adopted this SOP in 1995. The impact of the adoption in the 1995 financial statements is the additional presentation of the financial results of the Asian Cultural Council, Inc., a not-for-profit organization of which the Fund is the sole member. The accompanying 1994 financial statements have been restated to reflect the retroactive adoption of this SOP.

Summarized financial results of the Asian Cultural Council, Inc. for the year ended December 31, 1995 are presented below:

	Unrestricted	Temporarily restricted	Permanently restricted	Total
Net assets, beginning of year	\$1,577,771	\$3,266,728	\$12,211,633	\$17,056,132
Total support and revenue	\$3,705,339	\$2,018,213	\$32,215	\$5,755,767
Net assets released from restriction	1,083,349	(1,083,349)	-	-
Program expenses	(2,090,383)	-	-	(2,090,383)
General management expenses	(637,456)	-	-	(637,456)
Cumulative effect of accounting change (SFAS 106)	(144,000)	-	-	(144,000)
Change in net assets	\$1,916,849	\$934,864	\$32,215	\$2,883,928
Net assets, end of year	\$3,494,620	\$4,201,592	\$12,243,848	\$19,940,060

All contributions are considered to be available for unrestricted use unless specifically restricted by the donor. Unrestricted net assets represent resources over which the Board of Trustees has full discretion with respect to use. Temporarily restricted net assets represent expendable resources which have been time or purpose restricted by the donor. When a donor restriction expires, that is, when a stipulated time restriction ends or a purpose restriction is accomplished, temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statement of activities as satisfaction of program restrictions.

Permanently restricted net assets represent contributions and other gifts which require that the corpus be maintained intact and that only the income be used as designated by the donor.

Net assets at the beginning of the year have been reclassified to reflect the retroactive adoption of SFAS 117, whereby permanently restricted net assets have decreased by \$4,543,761 and temporarily restricted and unrestricted net assets have increased by \$2,965,990 and \$1,577,771, respectively.



EXHIBIT I: SCHEDULE OF FUNCTIONAL EXPENSES

For the Year Ended December 31, 1995 with Comparative 1994 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")									
	Direct Charitable Activities			Program and Grant Management	Investment Management	General Management	RBF Total 1995	Asian Cultural Council, Inc.	Combined Total 1995	Total 1994
	General Programs	Pocantico Funds	Pocantico Restoration Fund							
SALARIES AND EMPLOYEE BENEFITS										
Salaries	\$234,496	\$219,524	\$ -	\$1,036,821	\$74,409	\$716,277	\$2,281,527	\$555,726	\$2,837,253	\$2,806,700
Employee benefits	75,540	55,003	-	333,999	22,667	223,165	710,374	215,072	925,446	749,180
	310,036	274,527	-	1,370,820	97,076	939,442	2,991,901	770,798	3,762,699	3,555,880
OTHER EXPENSES										
Grants awarded	-	-	-	10,483,924	-	-	10,483,924	1,127,080	11,611,004	12,313,950
Fellowship program expenses	117,996	-	-	-	-	-	117,996	-	117,996	103,535
Visitation program expenses (Note 9)	-	-	-	-	-	-	-	-	-	228,886
Federal excise and other taxes (Notes 2 and 8)	-	-	-	-	-	342,029	342,029	28,821	370,850	478,979
Unrelated business income tax (Notes 2 and 8)	-	-	-	-	-	-	-	-	-	351,174
Consultants' fees	3,403	17,928	4,802	43,632	13,787	36,255	119,807	100,803	220,610	323,095
Investment services	-	-	-	-	1,444,503	-	1,444,503	122,748	1,567,251	1,517,104
Legal and audit fees	-	29,104	-	-	21,198	158,051	208,353	44,114	252,467	224,418
Travel	61,645	5,738	-	263,456	4,709	76,311	411,859	52,706	464,565	389,288
Rent and electricity	57,354	-	-	314,201	17,456	234,404	623,415	139,419	762,834	745,449
Program conferences and events	-	-	87,262	49,539	-	-	136,801	3,914	140,715	186,458
Facilities maintenance and operations (Note 9)	-	1,503,886	-	-	-	-	1,503,886	16,023	1,519,909	1,670,703
Telephone	5,053	28,475	-	27,683	3,272	30,776	95,259	19,836	115,095	90,897
General office expenses	42,976	87,526	561	173,747	12,518	167,665	484,993	269,814	754,807	713,941
Publications	9,805	-	-	369	-	62,530	72,704	23,238	95,942	85,202
Allowance for decline in value	-	-	-	764,959	-	-	764,959	-	764,959	-
Depreciation and amortization	16,184	106,535	375,877	88,661	34,308	237,653	859,218	8,525	867,743	718,543
	\$624,452	\$2,053,719	\$468,502	\$13,580,991	\$1,648,827	\$2,285,116	\$20,661,607	\$2,727,839	\$23,389,446	\$23,697,502

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<sup>1</sup> Until June 6, 1995

<sup>2</sup> Effective June 6, 1995

<sup>3</sup> Until December 1, 1995

<sup>4</sup> Effective October 1, 1995

<sup>5</sup> Until August 16, 1995

## 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*. The Foundation Center's databases on grantmakers and their grants are available online via DIALOG. The Foundation Center maintains reference libraries in New York, New York; Washington, D.C.; Atlanta, Georgia; Cleveland, Ohio; and San Francisco, California; and Cooperating Collections in more than 200 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).

The Fund maintains a World Wide Web site on the Internet that includes information about the Fund's program guidelines, descriptions of recent grants, and a list of currently available publications. The Fund's web site can be found at <http://www.rbf.org/rbf/>. Annual reports may be requested via the Internet at [anreport@rbf.org](mailto:anreport@rbf.org).



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