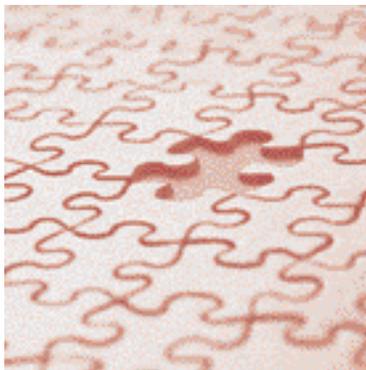


**ROCKEFELLER BROTHERS FUND**  
**Annual Report 2000**



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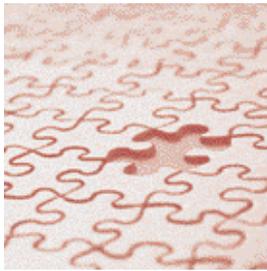
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# A Message from the Chair

The years 1999 and 2000 have been a time of new growth and transition at the Rockefeller Brothers Fund. After the Charles E. Culpeper Foundation merged with the RBF in July 1999, the trustees formed a Strategic Review Committee and initiated a systematic review of the Fund's grantmaking programs that will not be completed until 2002. In July 2000 Colin G. Campbell, who had been president of the Fund since 1988, left to become president of the Colonial Williamsburg Foundation. In late 2000, the trustees unanimously elected Stephen B. Heintz as the new president of the Fund. He assumed his new responsibilities on February 1, 2001. During the transition period between presidents a Management Committee, chaired by executive vice president and chief operating officer William F. McCalpin, was responsible for oversight of the Fund's daily operations. The Management Committee also included vice president Linda E. Jacobs and corporate secretary Benjamin R. Shute, Jr. and was assisted by director of communications Priscilla Lewis. A report from the Committee takes the place of the usual President's Report in this annual report.



Steven C. Rockefeller

The Report of the Chair focuses primarily on the work of the Strategic Review Committee and the arrival of Stephen Heintz at the RBF. A tribute to former president Colin Campbell was included in last year's Annual Report. We continue to benefit from and build on the many exceptional contributions Colin made during his tenure at the Fund.



## STRATEGIC REVIEW PROCESS

The task of the Strategic Review Committee of the board is to evaluate all RBF and former Culpeper grant programs and to make recommendations to the board regarding future programs. The members of the Committee include Peggy Dulany, Stephen Heintz, Hunter Lewis, John Morning, Robert Oxnam, Richard Rockefeller, and Steven Rockefeller (chair). Meetings of the Committee are open to all board members, many of whom have participated in the lively discussions involved in the review process. The Fund's grantmaking is currently organized around six major themes: Arts and Culture, the Nonprofit Sector, Education, Health, Sustainable Resource Use, and Global Security. Several of these programs are pursued only in the United States, with a special emphasis on New York City where the Fund is located. Others are carried out in one or more of the other geographic areas of interest to the Fund, namely

North America, Central and Eastern Europe, East Asia, and South Africa. The mix of program foci is under review, as is the related issue of how the Fund defines its work geographically.

During 2000, the Strategic Review Committee and the board completed the review of the New York City program and agreed to maintain its existing focus with modest revisions to the program guidelines (see page 51). Reviews of the Arts and Culture and Nonprofit Sector programs were initiated; these will be completed in 2001. By the end of 2000, the Committee and the board had also completed reviews of and adopted recommendations on the Fund's Education program and its grantmaking in Central and Eastern Europe.

Both the RBF and the former Culpeper Foundation had long been committed to supporting education as a fundamental democratic value and as central to constructive social change. On recommendation of the Strategic Review Committee, the RBF board voted to integrate the education programs of the two foundations, keeping some components and dropping or reconstructing others. The new program, which



Steven C. Rockefeller and RBF advisory trustee Jonathan Fanton

will be fully implemented in 2001 with an annual grantmaking budget of \$3–\$4 million, will have two major emphases: (1) the improvement of early childhood education and care, especially in New York City; and (2) resumption of the Fund's very successful national program of Fellowships for Minority Students Entering the Teaching Profession.<sup>1</sup> Modest additional grantmaking that complements these two program emphases is also envisioned (see page 47 for a full statement of program guidelines). The Education program's focus on early childhood education offers opportunities for synergy with the Fund's South Africa program, which also emphasizes early childhood development and education. At mid-year, Annette U. Rickel joined the RBF as a program officer for the new Education program. Prior to this appointment, Dr. Rickel had been a clinical

professor on the psychiatry faculty of the Georgetown University Medical Center. She replaces Caroline Zinsser, who retired in 1999.

After a review of the Fund's 20-year history of grantmaking in Central and Eastern Europe (CEE), the Strategic Review Committee and the trustees decided to phase out over the next three years the RBF's involvement in initiatives focused on Poland, the Czech Republic, Slovakia, and Hungary. By 2003, the Fund will have committed nearly \$25 million to projects in Central and Eastern Europe, primarily through its Sustainable Resource Use, Global Security, and Nonprofit Sector programs, and will have achieved many of the goals it set for its grantmaking in the region. Since the RBF's engagement in the region was a long and particularly significant one, a few comments are in order here about this body of grantmaking and its phaseout.

In the Cold War days of the early 1980s, superpower relations between Washington and Moscow dominated Western attention, and countries such as Poland, Hungary, and the former Czechoslovakia were rarely the focus of American philanthropy (the Ford Foundation being a notable exception). The

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<sup>1</sup> The nature and purpose of the Fellowship program are well described in a special RBF report entitled *Voices of Insight and Power: Recruiting and Supporting Minority Teachers in Public Schools*, available on the Fund's website.

RBF, however, conducted a modest grantmaking program in the region during those years; staff and trustees shared the belief that there was a critical need and an opportunity to develop mutual understanding and greater respect among the peoples of Central and Eastern Europe, Western Europe, and North America and to address the serious environmental problems that were becoming evident in CEE. After the fall of the Berlin Wall, in the autumn of 1989, it became possible to expand this grantmaking agenda to include support for the democratization process and the rebirth of civil society.



Steven C. Rockefeller with trustee Tadataka Yamada

Over the past decade, grantmaking in Central and Eastern Europe has come to represent an important dimension of the Fund's Sustainable Resource Use and Nonprofit Sector programs. Most grants have been relatively small (\$25,000 – \$50,000 per year), but many organizations have been supported for a number of years. RBF staff have often provided grantees with assistance beyond financial support in an effort to strengthen organizations and improve their effectiveness. Whenever possible the Fund has worked collaboratively with other donors.

During the 1990s, Central and Eastern Europe underwent major transformations. Democratic forms of government have been established, market-oriented economies are being built, a dynamic civil society is emerging, and the region is cultivating the leadership and institutions needed to address the challenge of developing in an equitable and ecologically sustainable way. In addition, all four countries in which the Fund is active are heading toward membership in the European Union; Poland, Hungary, and the Czech Republic have already become members of NATO. While it is difficult to quantify the impact of grants in any field, the trustees and staff of the RBF believe the Fund has played a useful role in these transformations. Many initiatives supported by the Fund have also reached important milestones. For example:

- In 1991, the RBF joined with the German Marshall Fund of the United States and the Charles Stewart Mott Foundation to establish a locally managed program of small grants, technical assistance, and training for Central European NGOs and municipal governments that would enhance their capacity to address environmental and social problems. Now, a decade later, and with support totaling \$10 million from a broad range of donors, this program known as the Environmental Partnership for Central Europe has blossomed into a network of five independently managed, country-level grantmaking organizations (in Poland, the Czech Republic, Slovakia, Hungary, and Romania) that are creative, effective, and increasingly self-reliant in their efforts to address a range of environmental and community needs.
- The RBF has played a significant role in the establishment of several important environmental think tanks and advocacy organizations in Central and Eastern Europe. The Institute for Sustainable Development in Warsaw, the Institute for Environmental Policy in Prague, and the Center for Environmental Studies in Budapest have become highly respected policy centers in their countries and the region, providing independent analyses of critical issues and of opportunities to achieve sustainable development. The RBF-funded CEE Bankwatch Network, now active in 14 countries, plays a vital complementary role by monitoring international financial institutions and advocating investment policies and practices that encourage long-range planning and the sustainable use of natural resources.
- In 1991, the RBF commissioned and published an influential report entitled *The Rebirth of Civil Society: The Development of the Nonprofit Sector in East Central*

*Europe and the Role of Western Assistance.* Dozens of RBF grants followed that have helped to improve the legal, tax, and policy frameworks governing the nonprofit sector in CEE and that have enabled NGOs and other civic organizations to build their capacity for financial management and accounting, fund raising, strategic planning, professional development, and advocacy. Much progress has been made, but it will take another decade to complete the construction of a solid foundation for the nonprofit sector in CEE. Meanwhile, many of the international foundations that have supported the development of civil society are pulling out of the region, despite the fact that adequate flows of indigenous support will not be available for some time. Recognizing this challenge, the RBF played a leadership role in creating the Trust for Civil Society in Central and Eastern Europe, a ten-year initiative designed to support the development of civil society and the NGOs in the region by promoting a legal, fiscal, and political environment in which civil society can flourish; by strengthening the nonprofit sector through institutional capacity building; and by enhancing the long-term financial stability of nonprofit organizations. A consortium consisting of the Ford Foundation, the German Marshall Fund, the Open Society Institute (the Soros foundations), the Charles Stewart Mott Foundation, a private European donor, and the RBF has committed \$60 million to the Trust, which was formally launched in 2000.

RBF staff have worked with all of the Fund's CEE grantees to devise customized phaseout plans that will help key organizations become organizationally and financially sustainable by providing another round of support for strategic planning, staff and board strengthening, development of reserve funds, and, in some instances, establishment of endowments. A total of \$1.5–\$2 million per year will be expended on such grants between now and the end of 2003. The RBF is committed to bringing the same thoughtfulness and care to this phaseout grantmaking that it brings to earlier stages in the grantmaking process.

### **A NEW PRESIDENT FOR THE RBF**

Stephen Heintz is particularly well qualified to lead the Fund as it enters one of the most challenging times in human history. He has had broad experience in the nonprofit sector and government, and he brings to the Fund a proven ability to work cross-sectorally to promote constructive social change. Stephen graduated magna cum laude with a B.A. in American Studies from Yale University in 1974. Shortly thereafter he was appointed to serve as Administrative Assistant to the Connecticut State Senate Majority Leader, Joseph I. Lieberman. Over the next 14 years,



**New RBF president Stephen B. Heintz with trustee John Morning**

Stephen held a series of important positions in Connecticut state government, including Commissioner of the Department of Income Maintenance (Welfare) and Commissioner of Economic Development.

In 1990, after the fall of the Berlin Wall and the end of the Cold War, Stephen joined the EastWest Institute (EWI, formerly the Institute for East West Studies), an international, nonprofit “think and action tank” that promotes a more secure, democratic, prosperous, and integrated Euro-Atlantic community. Over a period of nine years, first as director of the EWI Prague Office and then as executive vice-president and COO, Stephen shaped the Institute's programs for the advancement of democracy

and sustainable economic development and coordinated implementation of these programs through the Institute's network of offices in Eastern and Western Europe. In 1999, Stephen left EWI to found and head Dēmos, a nonprofit network dedicated to promoting democracy and more broadly shared economic prosperity in the United States.

The trustees of the RBF have no greater responsibility than ensuring that the Fund has outstanding leadership. I extend heartfelt thanks to my colleagues on the board who served so ably on the Presidential Search Committee: Cathy Broderick, Jessica Einhorn, Neva Goodwin, John Morning, Robert Oxnam, and David Rockefeller, Jr. The Committee began its search for a new president in April and four months later enthusiastically recommended to the board the appointment of Stephen Heintz. With his arrival, a new chapter in the history of the Fund begins.



In June 2000 Abby M. O'Neill retired from the board after 39 years as a trustee, and Richard D. Parsons stepped down after 12 years on the board. Abby joined the RBF board in 1958. She served as vice chair from 1981 to 1990 and as chair from 1992 to 1998. Abby's devotion to the Rockefeller family and its highest ideals and to the Rockefeller Brothers Fund have been an inspiration to all who know her. Her contribution to the Fund has been truly exceptional. Richard Parsons, who was a close associate of Nelson A. Rockefeller, served as legal counsel to the Fund from 1978 to 1988 and joined the board in 1988. He was a member of the Executive Committee for 11 years. Dick's broad experience and leadership in the fields of law, business, and government and his deep commitment to Rockefeller family traditions in philanthropy have made him a wise and trusted adviser. At the June meeting of the board, trustees expressed their appreciation and gratitude to Abby and Dick for their extraordinary dedication to the Fund and its goals and unanimously elected both as Advisory Trustees. At the same meeting, Dr. Richard G. Rockefeller, who had formerly been a member of the board, was elected again to serve as a trustee.



RBF trustee Richard G. Rockefeller

On behalf of all of the trustees, I would like to express deep appreciation and thanks to Bill McCalpin and the members of the Management Committee for their leadership and special efforts during the transition period after Colin Campbell stepped down as president of the Fund and before Stephen Heintz arrived. I also want to thank the entire staff of the RBF for working so effectively together to ensure a smooth transition.

*Steven C. Rockefeller*  
*Chair*



## Management Committee Report

The year 2000 was the first full fiscal year in which the Rockefeller Brothers Fund and the former Charles E. Culpeper Foundation operated as a single, completely integrated foundation. It was a year of growth, organizational renewal, and continued evolution of the Fund's philanthropic activity.

Grants paid in 2000 totaled \$32,114,000, or 27.5 percent more than in 1999, when the two foundations operated independently for the first six months and together after the July 1 merger. A good portion of this increase can be attributed to administrative expense efficiencies that were expected to result from combining the two foundations and that did, in fact, materialize through the year. Savings on administration made more grantmaking possible. Not including taxes and the cost of investment management, as well as costs associated with maintaining the historic Pocantico property, administrative expenses in 2000 accounted for 17.3 percent of total spending.

In a departure from most years of the past decade, the foundation was not able to finance all of its spending in 2000 from investment earnings. Consequently, it was a year in which the Fund, like many other foundations, expended some of the real asset growth that it experienced during the unusually favorable years of the 1990s. The market value of the Fund's investment portfolio declined from \$777,000,000 at the beginning of the year to \$740,000,000 on December 31, though much of the year-end value is explained by the deterioration in public equity markets during the final months of the year. If 2000 is a better guide to investment returns in the years immediately ahead than the final years of the 1990s, then preserving the real purchasing power of financial assets while spending at least 5 percent annually will remain a challenge.

The significant expansion of the Fund's operations that resulted from the merger led management and staff to focus attention on further institutional development in 2000. Capacity building, which has long been central to the Fund's grantmaking, was thus a high internal priority during the first full fiscal year following the merger. Through the year, a considerable amount of staff time was invested in efforts to strengthen the foundation's organizational infrastructure in several areas, including human resources management, information technologies, investments, and accounting and finance. Like the work of the Strategic Review Committee described in the chairman's essay, these activities offered valuable new learning and enabled staff members to renew their sense of shared purpose.

While the Strategic Review Committee process was the centerpiece of program development activity in 2000, there were important advances as well in the Fund's grantmaking in several areas of long-standing



William F. McCalpin, Linda E. Jacobs, and Benjamin R. Shute, Jr.

interest. In past years, advances of this kind have been reviewed in essays that appear at the beginning of each section of this volume. In keeping with the character of 2000 as a year of institutional transition, we have departed from that practice and opted instead for a leaner presentation that includes only listings of all new grants approved in each program area. In lieu of the usual essays, we offer the following brief highlights of noteworthy developments in the Fund's grantmaking during 2000.

By year-end, following the review of past education grantmaking described in the chairman's essay, the Fund was well into the process of restarting its fellowship program for outstanding young people of color who want to pursue careers in teaching. That process will lead to the selection of 25 individuals in the spring of 2001 to constitute the 2001 class of RBF Teaching Fellows. The program provides financial and other forms of support to Fellows as they progress from their senior year in undergraduate liberal arts programs through graduate-level study in education and into classrooms in schools across the country. As another demonstration of its commitment to assist the development of future leaders, the Fund awarded four new Charles E. Culpeper Scholarships in Medical Science last year. The beneficiaries of these three-year grants are exceptionally promising physician-scientists who have recently completed medical school and who are keen to pursue biomedical research interests while also maintaining clinical practices and fulfilling teaching responsibilities.

In New York City in 2000, the Fund deepened support provided in past years to important citywide and community-based projects to protect parks and open spaces. At the local level, initiatives of this kind, particularly in less advantaged neighborhoods, can help to forge a sense of common purpose among neighbors and give them the confidence to engage with other civic concerns, such as schools improvement. Far from New York and in response to very different circumstances, the Fund also continued its support for citizen-led efforts to protect the valuable natural resources of the five major provinces of the Russian Far East. The grants approved in 2000 were the first that the RBF has awarded directly to young, indigenous nongovernmental organizations in the region, and our expectation is that the work of these grantees will have at least as much impact on expanding the scope for citizen initiative in the Russian Far East as on preserving the region's threatened terrestrial and marine ecosystems.

Last year the Fund made considerable progress in implementing the guidelines for global security grantmaking that were adopted in March 1999. Staff developed strong collections of grants to assist efforts to:

- tell the story of global interdependence more effectively and build a more informed and more vocal constituency for cooperative U.S. engagement in global affairs;
- include the voices of citizens' groups and of developing countries in important transnational dialogues about arrangements for governing an increasingly complex array of economic interactions in a rapidly integrating world; and
- increase the transparency of cross-border commercial activities that create instability at local, national, and regional levels, such as trade in legal and illegal goods by organized criminal groups in the countries of Southern Africa.

Finally, the Fund has long been one of only a few grantmaking foundations committed to expanding and improving the practice of philanthropy. In 2000 the RBF continued to pursue this interest with several grants designed to increase, strengthen, and diversify philanthropy in the United States, including commitments to the New Ventures in Philanthropy project of the Forum of Regional Association of Grantmakers, the Committee to Encourage Corporate Philanthropy, the Association of Small Foundations, and the National Center for Black Philanthropy.

As a further dimension of its philanthropic activity, the Fund maintains the Pocantico Conference Center and makes these facilities available to nonprofit organizations for discussions that advance RBF grantmaking interests. The conference center is located at the historic Rockefeller family estate in Tarrytown, New York, on land owned by the National Trust for Historic Preservation and leased to the Fund. Last year, based on the success of the RBF-National Trust partnership since its inception in 1991, the original term of the lease was extended, thereby ensuring that the Fund will be able to offer the conference center as a resource to the nonprofit community for many years to come. The center also gives the Fund a valuable convening capability: in 2000, RBF staff organized a record number of meetings, collaborating with grantees and other funders to craft promising strategies for achieving progress in areas of priority interest.

In closing, we would like to thank the Fund's board of trustees for giving us the privilege of managing such a strong and dynamic organization through an important period of institutional transition. We appreciate the confidence in us that the trustees demonstrated by entrusting management responsibility to our committee and enjoyed especially the opportunities that this arrangement afforded to work more closely with the Fund's committed and enthusiastic chairman on a range of issues, large and small. We are also grateful for the support and encouragement that we received throughout the transition from all members of the Fund's staff. With them, we look forward to beginning a new chapter in the Fund's rich institutional history under the leadership of Stephen Heintz.

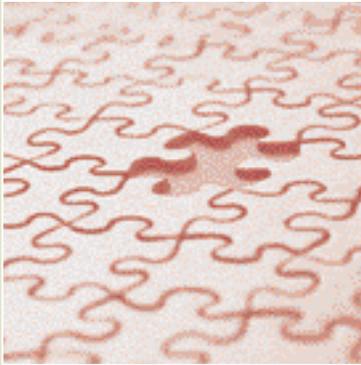
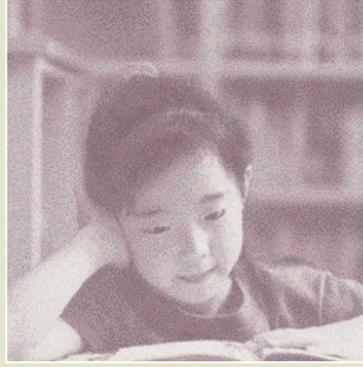
*Linda E. Jacobs*  
*Vice President*

*William F. McCalpin*  
*Executive Vice President*  
*and Chief Operating Officer*

*Benjamin R. Shute, Jr.*  
*Secretary*



ABOUT THE ROCKEFELLER BROTHERS FUND





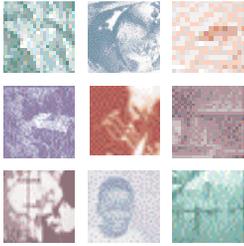
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The Rockefeller brothers and sister in Seal Harbor, Maine, 1960. From left to right: John D. Rockefeller 3rd, Winthrop Rockefeller, Abby Rockefeller Mauzé, Laurance S. Rockefeller, David Rockefeller, Nelson A. Rockefeller.

*“Over the years in our efforts we have been inspired by the contribution which you and Grandfather made to the well-being of mankind.... This new gift to the Rockefeller Brothers Fund is in such substantial proportions that it is a challenge of the first order.... It opens up new vistas of opportunity and usefulness which we had not dreamed of before. At the same time it gives us a great sense of gratification to have this tangible evidence of your confidence.”*

- From a letter dated May 28, 1952, in which the Rockefeller brothers thank their father on the occasion of his gift endowing the RBF

# About the Rockefeller Brothers Fund



The Rockefeller Brothers Fund was established in 1940 as a vehicle through which the five sons and daughter of John D. Rockefeller, Jr., could share a source of philanthropic advice and coordinate their philanthropic efforts to better effect. Comparatively modest in its early years, the Fund's endowment—and consequently its program of grants—grew substantially in the early 1950s, when it was the recipient of a large gift from John D. Rockefeller, Jr. In 1960, the Fund received a major bequest from his estate. These gifts, which together constitute the Fund's basic endowment, enabled the RBF to increase the scope of its grantmaking. On July 1, 1999, the Charles E. Culpeper Foundation of Stamford, Connecticut, merged with the RBF. Four trustees of the Culpeper Foundation joined the governing board of the Fund.

Today, the Fund's major objective is to promote 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 regions.

## ASSETS AND PHILANTHROPIC EXPENDITURES

The Fund's assets at the end of 2000 were \$753,327,772 and its 606 grant payments for the year amounted to \$32,113,573. Since 1940, the Fund has disbursed a total of \$525,919,091 in grants.\* In addition, during 2000 the Fund expended approximately \$3.6 million on direct charitable activities—philanthropic activities carried out directly by the Fund itself. These included:

- conferences held at the Pocantico Conference Center of the Rockefeller Brothers Fund, which complement and extend the reach of the Fund's grantmaking;
- preservation and public visitation programs at the Pocantico Historic Area (site of the conference center), a section of the Rockefeller family estate that was donated to the National Trust for Historic Preservation and is now leased by the trust to the RBF, which maintains and administers the area as a public service;

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\* Financial data are also provided in this report for the Fund-affiliated Asian Cultural Council (described on pages 23–24)

## PHILANTHROPIC EXPENDITURES 2000

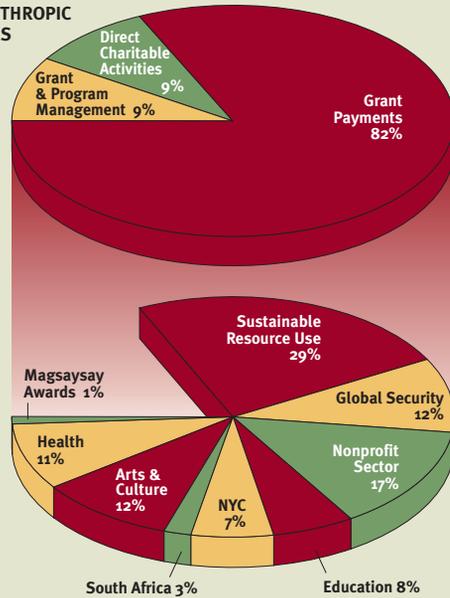
### GRANT PAYMENTS MADE IN 2000

Sustainable Resource Use	\$9,423,625
Global Security	3,801,000
Nonprofit Sector	5,543,785
Education	2,538,552
New York City	2,237,000
South Africa	842,000
Arts and Culture	3,861,450
Health	3,397,981
Ramon Magsaysay Awards	268,180
Asian Cultural Council	200,000
<b>SUBTOTAL: GRANT PAYMENTS</b>	<b>\$32,113,573</b>

Payments Matching Employee Contributions	\$19,544
Grant & Program Management	\$3,474,254
Direct Charitable Activities*	\$3,550,891

**TOTAL PHILANTHROPIC EXPENDITURES** \$39,158,262

### TOTAL PHILANTHROPIC EXPENDITURES



\* Includes administration and operation of the RBF Fellowship Program for Minority Students Entering the Teaching Profession and the related Program for Educational Leadership, preservation and public visitation programs at the Pocantico Historic Area, and conferences at the Pocantico Conference Center.

- administration of the RBF Fellowship Program for Minority Students Entering the Teaching Profession and the related Program for Educational Leadership, which support a cohort of approximately 150 outstanding young men and women of color at various stages of their public school teaching careers; and
- staff service on boards and advisory committees of other charitable organizations.

Grant and program management expenditures amounted to approximately \$3.5 million. In sum, the Fund's philanthropic expenditures in 2000 were \$39,158,262, as displayed in the charts above.

## GRANTMAKING PROGRAMS

The Fund makes grants in eight areas (please refer to the program summaries that follow on pages 27–65 for formal grantmaking guidelines).



**Sustainable Resource Use** — This program is designed to foster environmental stewardship which is ecologically based, economically sound, culturally appropriate, and sensitive to questions of intergenerational equity. At the global level, the program seeks to advance international discussions on climate change and biodiversity preservation, and to support practical models that contribute to international agreements on these issues. With respect to climate change, the focus is on increasing public awareness and curbing emissions of greenhouse gases; with respect to biodiversity, an ecosystem approach is applied (in the terrestrial context) to temperate rainforests and (in the marine context) to fishery and coastal zone management. Encouraging the practice of sustainable forest management has become a significant global program focus. Within the United States, the program focuses on model programs that further the Fund's global strategies and on building the national environmental constituency. In East Asia, the focus is on assisting communities in their efforts to define and pursue locally appropriate development strategies, with particular attention to sustainable agriculture, coastal management, and integrated watershed planning as well as to the social

and environmental effects of this region's integration into the global economy. The Fund is phasing out its sustainable resource use program in Central and Eastern Europe.



**Global Security** — The Fund seeks to contribute to the emergence of a more just, sustainable, and peaceful world by improving the cooperative management of transnational threats and challenges. Strategies include building strong domestic constituencies for cooperative international engagement; promoting transparency and inclusive participation in transnational policymaking; and understanding and addressing the challenge of economic integration, both regional and global. In addition, the Fund retains flexibility to explore emerging transnational challenges that require new forms of cooperative management.



**Nonprofit Sector** — The goal of this program is to promote the health and vitality of the nonprofit sector, both nationally and internationally, by assisting in the development of the financial, human, and structural resources necessary to the sector; by encouraging greater accountability within the sector; and by promoting improved understanding of the sector and the roles it plays in society. Particular emphasis is placed on those geographic regions of the world where the Fund is engaged in other aspects of its grantmaking.



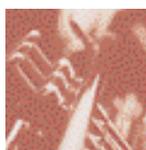
**Education** — The RBF's Education program addresses two of the most pressing challenges in U.S. education: the need to provide quality early childhood education and care to all children and, at a time of profound demographic shifts, the need to encourage outstanding people of color to enter the teaching profession. With respect to early childhood education, the RBF gives special attention to the needs of New York City.



**New York City** — The New York City program is designed to encourage the participation of individuals and communities in the civic life of New York City. In particular, the program focuses on promoting civic responsibility for public education and youth development; assisting community-based initiatives that encourage respect and care for neighborhoods and public spaces; and supporting place-based strategies and bottom-up community initiatives that seek to improve the quality of life in disadvantaged neighborhoods by addressing locally identified priorities, building local leadership, and encouraging collaboration among local institutions and across sectors.



**South Africa** — This program seeks to improve the quality and accessibility of basic education for children and adults in South Africa, in the areas of early childhood development, lower primary learning, and adult basic education and training. In particular, the program focuses on supporting promising basic education models; advancing in-service teacher development; strengthening the institutional capacity of nonprofit organizations, university programs, and government agencies in the field of basic education; and helping nonprofits in this field attain financial self-sufficiency.



**Arts and Culture** — The primary focus of the Fund's Arts and Culture program is to create access with the goal of building greater understanding and appreciation of the art forms or cultural activities served by applicant organizations. The Fund is interested in supporting those programs and institutions that work to enable all segments of American society to have access to, and informed participation in, the richness and diversity of arts and cultural activities. The program is national in scope. It embraces all performing arts disciplines, the visual and literary arts, and cultural and historic preservation.



**Health** —The Fund supports projects involving research and education in the field of human health. The Health Program, including the Charles E. Culpeper Scholarships in Medical Science program and the Charles E. Culpeper Biomedical Pilot Initiative, is designed to foster the Fund’s interest in the following:

- Basic biomedical research with a special emphasis on molecular genetics, molecular pharmacology, and bioengineering.
- Health services research.
- The study of social and ethical issues in health and disease.
- The advancement of American medical education.

The goal of the Scholarships in Medical Science program is to develop and support young American medical school faculty members with demonstrated talents in biomedical research. Applications are accepted once a year with a mid-August deadline.

The goal of the Biomedical Pilot Initiative is to encourage the investigation of new ideas in the areas of the Fund’s interest in health, particularly research in molecular genetics, bioengineering, molecular pharmacology, and health services research. Guidelines for applicants are available on the Fund’s website.

**Operational Touchstones** —Four operational “touchstones” are key considerations 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.

## OTHER PROGRAMS



**Pocantico Programs** — The Fund’s Pocantico programs are based in the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York, and were established when the Fund leased the area from the National Trust for Historic Preservation in 1991. The Pocantico Conference Center is the key component of these programs; it extends the reach of the RBF’s grantmaking through conferences and meetings that address central concerns of the Fund. In addition, the Pocantico programs provide public access to the Historic Area and carry out maintenance, restoration, and conservation projects in the area on behalf of the National Trust. (For Conference Center guidelines and additional program details, please see pages 69–74.)



**The Ramon Magsaysay Award Foundation** — The RBF provides significant support to the Ramon Magsaysay Award Foundation (see page 77), which grants the annual Ramon Magsaysay Awards. These awards, named after the former president of the Philippines, were established with the encouragement of the Fund’s trustees in the late 1950s.

## 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, as described in this annual report. In addition, please note the following general and geographic restrictions.

**General Restrictions:** 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.

**Geographic Restrictions:** The Fund's Sustainable Resource Use and Global Security programs both focus on North America and East and Southeast Asia; the Sustainable Resource Use program also includes the Russian Far East; and the Global Security program also includes Central and Eastern Europe and Southern Africa. The Nonprofit Sector program focuses primarily on the United States, as well as on East and Southeast Asia. The Arts and Culture, Health, and Education programs are active only in the United States. Geographic restrictions for the New York City and South Africa programs are self-evident.

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

## THE GRANTMAKING PROCESS

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. There are no application forms and the review of inquiries is ongoing throughout the year, except for the Charles E. Culpeper Scholarships in Medical Science (for Medical Scholarship application forms and information on deadlines please visit the Fund's website at [www.rbf.org](http://www.rbf.org)).

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.

### **ADDITIONAL INFORMATION**

The Fund maintains a World Wide Web site at [www.rbf.org](http://www.rbf.org) that includes information about the Fund's program guidelines, descriptions of recent grants, and a list of currently available publications. Publications may be requested via e-mail at the following addresses:

**Annual Reports:** [anreport@rbf.org](mailto:anreport@rbf.org)

**Guidelines:** [guidelines@rbf.org](mailto:guidelines@rbf.org)

**Other Publications:** [publications@rbf.org](mailto:publications@rbf.org) (*occasional papers and press releases*)

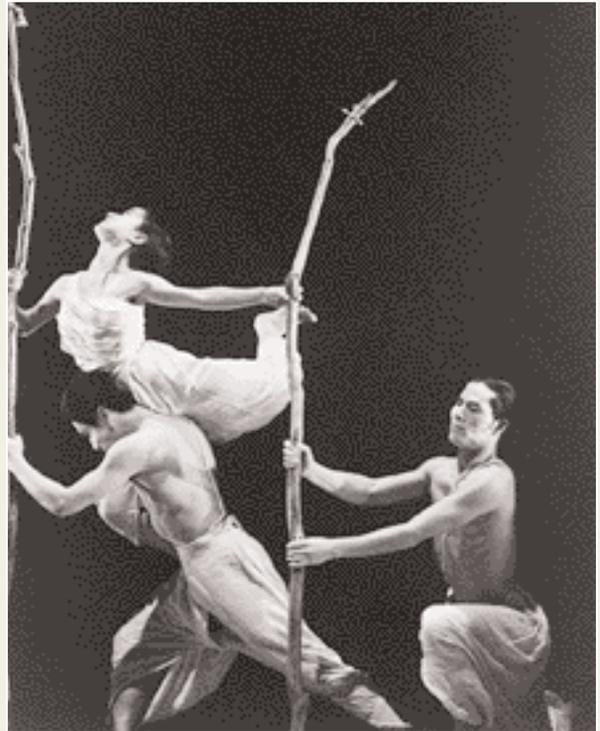
The Rockefeller Brothers Fund submits grants information on a regular basis to the Foundation Center for inclusion in its publications, including *The Foundation Grants Index Quarterly* and *The Foundation 1000*. Foundation Center grants data are also available online via DIALOG. The Foundation Center 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 Foundation Center website, [www.fdncenter.org](http://www.fdncenter.org), contains additional information about Foundation Center materials and services.

## Asian Cultural Council

The Asian Cultural Council (ACC), a publicly supported operating foundation affiliated with the Rockefeller Brothers Fund, supports cultural exchange in the visual and performing arts between the United States and the countries of Asia. The major emphasis of the ACC's grant program is the provision of individual fellowships to artists, scholars, and specialists from Asia undertaking research, study, and creative work in the United States. Some grants are also made to Americans pursuing similar activities in Asia and to cultural institutions engaged in projects of particular significance to Asian-American exchange. In addition, the Council awards a small number of grants to encourage regional dialogue, cooperation, and exchange among artists and scholars within Asia.

Funding for the Council's programs is derived from a combination of endowment income and annual contributions from individuals, foundations, government agencies, and corporations in the United States and Asia.

The ACC's grant program was established by John D. Rockefeller 3rd in 1963; over the past 37 years, it has supported more than 3,600 individuals from Asia and the United States. The Council not only awards grants for fellowships but also devotes special attention to arranging programs that are specifically tailored to the needs and objectives of each grant recipient. ACC grants thus include both fellowship funds and a wide range of support services to help grantees fully realize their goals.



The Cloud Gate Dance Theatre of Taiwan performs *Songs of the Wanderers*, by choreographer Lin Hwai-min, at the Brooklyn Academy of Music in November 2000.

Approximately one-quarter of the ACC's annual grant budget is appropriated from unrestricted funds. The majority of the Council's grants are made through a series of named programs that have been established with funds restricted for specific purposes. Examples include the Ford Foundation Fellowship Program, which supports research and study in the traditional arts of Asia; the Starr Foundation Fellowship Program, focusing on the contemporary visual arts of Asia; and several country-specific programs funded by local donors in Japan, Hong Kong, Taiwan, and the Philippines.

The ACC undertook two particularly important program efforts during 2000. First, continuing to build on the excitement generated from the Council's 35th anniversary conference (held in Manila in 1998), in November the ACC formally established a new Philippines Fellowship Program. Working in collaboration with a dedicated group of donors and arts enthusiasts in Manila, the Council has created a new foundation, the ACC Philippines Foundation, which now serves as the ACC's partner in raising funds and making grants in support of Philippine-U.S. cultural exchange. Second, with funding from the Rockefeller Foundation, in October the Council convened a meeting in Bangkok: the Forum on Arts and Culture in the Mekong Region. The forum brought together a group of 22 ACC grantees from five Mekong region countries and three neighboring countries to discuss the issues and challenges faced

## Asian Cultural Council *(continued)*

by the cultural community in this rapidly changing part of Southeast Asia. This strategic review of grantmaking needs and opportunities led the ACC to establish a three-year Mekong Region grantmaking initiative, to begin in summer 2001, largely with financial support from the Rockefeller Foundation. It will include three components: fellowships for Mekong region artists and scholars, a continuation of regional forum meetings, and the establishment of an Internet-based communications network for arts and culture professionals in the region.

The year 2000 brought expanded regional grantmaking to other aspects of the ACC's program as well, with a number of fellowship, internship, and project awards. These included support for Asian filmmakers coming to the Cinemanila International Film Festival and Seminar in the Philippines; for museum and arts management professionals in Indonesia undertaking internships in Malaysia and the Philippines; for regional performing arts collaborations facilitated through a new organization called Arts Network Asia; and for an Indian theater scholar engaging in collaborative research and creative work in rural provinces of the Philippines. A particularly significant regional grantmaking step in 2000 supported the beginnings of a Japan-Taiwan artists exchange: a special contribution that the ACC can make in these two countries, where government cultural agencies are not permitted to fund mutual exchange programs.

During 2000, the ACC appropriated a total of \$1,720,707 for grants to support 169 fellowships and project awards. Individuals from Bhutan, Cambodia, China, Hong Kong, India, Indonesia, Japan, Korea, Malaysia, the Philippines, Singapore, Taiwan, Thailand, the United States, and Vietnam received grants during the year.

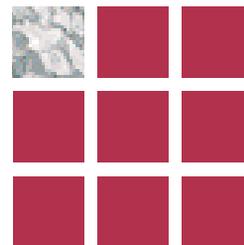
The Rockefeller Brothers Fund made a grant of \$200,000 to the Asian Cultural Council in 2000 to help support the ACC's unrestricted grant program.

*Copies of the ACC annual report may be obtained from the Asian Cultural Council at 437 Madison Avenue, 37th Floor, New York, N.Y. 10022.*





# 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 global strategy is informed by the other geographic interests described below.

**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 ASIA**, by assisting communities in their efforts to define and pursue locally appropriate development strategies, with particular attention to sustainable agriculture, coastal management, and integrated watershed planning, and to monitor the social and environmental effects of development programs and fiscal policies resulting from East and Southeast Asia's integration into the global economy.

**IN CENTRAL AND EASTERN EUROPE**, the Fund is phasing out its Sustainable Resource Use program after nearly 20 years of activity, which focused on the Northern Tier countries of Poland, the Czech Republic, Slovakia, and Hungary. At this time, grantmaking is concentrated on the provision of final support to RBF-funded organizations and projects.

**IN ALL THE REGIONS** where the Fund is engaged in Sustainable Resource Use grantmaking, it seeks to integrate activities across geographical areas to promote maximum synergy.

## SUSTAINABLE RESOURCE USE ▶ 2000 GRANTS

### UNITED STATES AND GLOBAL

#### AMERICAN LANDS ALLIANCE

Washington, D.C. \$75,000

To its joint project with the World Wildlife Fund to ensure that scientific considerations inform climate change discussions on carbon sequestration in forests and soils.

#### AMERICAN OCEANS CAMPAIGN

Washington, D.C. \$150,000

Toward its project, the Marine Fish Conservation Network, to enhance grassroots organizing and media outreach capabilities.

#### CERTIFIED FOREST PRODUCTS COUNCIL

Beaverton, Oregon \$200,000 over 2 years

For its efforts to build corporate demand for Forest Stewardship Council certified forest products.

#### CLEAN AIR TASK FORCE

Boston, Massachusetts \$150,000 over 2 years

For efforts to reduce carbon emissions from coal-fired power plants.

#### CLEAN ENERGY GROUP

Montpelier, Vermont \$200,000 over 2 years

To support its efforts to help newly established state-based clean energy funds use their resources effectively.

#### CLIMATE INSTITUTE

Washington, D.C. \$100,000

Toward its Sustainable Energy Demonstration Country Project in St. Lucia.

#### CLIMATE INSTITUTE

Washington, D.C. \$3,000

To its work in assisting St. Lucia's transition to a clean-energy future.

#### COASTAL RAINFOREST COALITION

Berkeley, California \$150,000

Toward efforts to increase U.S. and European demand for sustainably managed forest products from Chile.

#### CONSUMER'S CHOICE COUNCIL

Washington, D.C. \$175,000 over 2 years

To promote the use of eco-labels.

#### DAVID SUZUKI FOUNDATION

Vancouver, Canada \$225,000

For its scientific, legal, media, and First Nations community organizing work to help protect the British Columbia coast.

#### EARTH COUNCIL FOUNDATION—U.S.

Bethesda, Maryland \$100,000

Toward the initial phase of a project to assist national councils of sustainable development around the world with preparations for the Rio+10 summit in 2002.

#### EDUCATIONAL BROADCASTING CORPORATION (THIRTEEN/WNET)

New York, New York \$250,000

For production and promotion of a documentary film for public television on the health of Earth's major ecosystems.

#### ENVIRONMENT NORTHEAST

Rockport, Maine \$45,000

Toward an analysis of cost effective domestic U.S. greenhouse gas reduction strategies.

#### ENVIRONMENTAL LAW AND POLICY CENTER OF THE MIDWEST

Chicago, Illinois \$200,000 over 2 years

To support its efforts to help newly established state-based clean energy funds use their resources effectively.

#### FOREST STEWARDSHIP COUNCIL, A.C.

Oaxaca, Mexico \$750,000 over 3 years

To expand the use of sustainable forest management practices.

#### FOREST TRUST

Santa Fe, New Mexico \$100,000 over 2 years

As a contribution to its Forest Stewards Guild project.

#### GREEN HOUSE NETWORK

Lake Oswego, Oregon \$50,000 over 2 years

Renewed support to engage students on the issue of global warming.

#### GREENPEACE FUND

Washington, D.C. \$100,000 over 2 years

To help build European buyer pressure for sustainable forestry practices in British Columbia.

#### INSTITUTE FOR AGRICULTURE AND TRADE POLICY

Minneapolis, Minnesota \$150,000 over 3 years

For its efforts to certify private forest lands.

#### IZAAK WALTON LEAGUE OF AMERICA, INC.

Gaithersburg, Maryland \$100,000 over 2 years

For a joint industry-NGO project to monitor sustainable forest management practices of industrial forest companies.

#### LAND AND WATER FUND OF THE ROCKIES

Boulder, Colorado \$100,000 over 2 years

To support efforts to create consumer buyer cooperatives for renewable energy.

#### LEGAL ENVIRONMENTAL ASSISTANCE FOUNDATION

Tallahassee, Florida \$100,000 over 2 years

To support efforts to create consumer buyer cooperatives for renewable energy.

#### LONG ISLAND PINE BARRENS SOCIETY

Manorville, New York \$25,000

To help provide emergency assistance to expand watershed protection in eastern Long Island.

#### MERIDIAN INSTITUTE

Dillon, Colorado \$40,000

Toward its work identifying negative incentives in the tax code that encourage forest fragmentation and how best to change them.

<b>MERIDIAN INSTITUTE</b> Dillon, Colorado	\$200,000 over 2 years	For its efforts to create an independent global certification system for greenhouse gas emission reductions.
<b>MERIDIAN INSTITUTE</b> Dillon, Colorado	\$15,000	For support of the costs of a meeting on carbon certification.
<b>NATIONAL COUNCIL FOR SCIENCE AND THE ENVIRONMENT</b> Washington, D.C.	\$40,000	For its efforts to launch a National Commission on Sustainable Forestry.
<b>NATIONAL PARK FOUNDATION</b> Washington, D.C.	\$25,000	For its Park Partners Initiative, which seeks to help individual parks develop their own fundraising capacity.
<b>NATURAL RESOURCES DEFENSE COUNCIL</b> New York, New York	\$150,000 over 2 years	For its efforts to build consumer awareness and demand for Forest Stewardship Council certified forest products.
<b>NATURE CONSERVANCY, INC.</b> Arlington, Virginia	\$45,000	Toward its Forest Bank project, a mechanism for conserving private forest land in the U.S.
<b>NEW ENGLAND FORESTRY FOUNDATION</b> Groton, Massachusetts	\$500,000	For the purchase of a conservation easement on approximately 755,000 acres of working forestland in northern and western Maine.
<b>RAINFOREST ACTION NETWORK</b> San Francisco, California	\$200,000 over 2 years	For efforts to build corporate demand for forest products certified by the Forest Stewardship Council.
<b>THE REGENTS OF THE UNIVERSITY OF CALIFORNIA</b> San Diego, California	\$80,000 over 2 years	For support of its Partnership for Observation of the Global Oceans Project, which will create an integrated global marine observation system.
<b>RESIDENTS' COMMITTEE TO PROTECT THE ADIRONDACKS</b> North Creek, New York	\$75,000 over 3 years	For its efforts to certify private forest lands.
<b>ROCKEFELLER FAMILY FUND</b> New York, New York	\$150,000 over 2 years	For its Environmental Enforcement Project, which works to reduce carbon emissions from coal-fired power plants.
<b>ROUND RIVER CONSERVATION STUDIES</b> Salt Lake City, Utah	\$100,000 over 2 years	For its Coastal Conservation Area Design project, which will detail the location of critical wildlife habitat and salmon-bearing streams on the British Columbia coast.
<b>SIERRA CLUB OF BRITISH COLUMBIA FOUNDATION</b> Victoria, Canada	\$25,000	For its coastal ancient forest campaign.
<b>SILVA FOREST FOUNDATION</b> Slocan Park, Canada	\$150,000 over 2 years	For its work certifying sustainable forestry practices in British Columbia.
<b>SOLAR DEVELOPMENT FOUNDATION</b> Arlington, Virginia	\$2,000,000 over 5 years	In 1996, the RBF joined a group of other U.S. grantmaking foundations and the World Bank Group to explore the feasibility of a global initiative to make solar electric energy more available to the 2 billion people in developing countries who lack access to a reliable electric grid. The Solar Development Foundation was established in early 2000 as a not-for-profit corporation whose mission is to accelerate the installation of solar homes systems in rural areas of the developing world through support for activities designed to impact both the supply of and demand for such systems by providing technical assistance and financial support to businesses involved in producing, distributing, and financing such systems in developing countries.
<b>SURFACE TRANSPORTATION POLICY PROJECT</b> Washington, D.C.	\$25,000	For its new project, entitled "From Place to Place," which explores solutions to America's 21st century transportation problems and the problem of urban sprawl.
<b>TELLUS INSTITUTE, INC.</b> Boston, Massachusetts	\$2,000	Toward a meeting on restructuring of the electric industry.
<b>TIDES FOUNDATION</b> San Francisco, California	\$100,000 over 2 years	For the Forest Stewardship Council B.C. Regional Initiative.
<b>TIDES CENTER</b> San Francisco, California	\$100,000	Toward its Environmental Media Services project, which is seeking to increase media interest in private forest lands conservation.
<b>U.S. WORKING GROUP INC.</b> Washington, D.C.	\$150,000	Toward targeted advertising in support of sustainable forest management.
<b>U.S. WORKING GROUP INC.</b> Washington, D.C.	\$200,000 over 2 years	For general support of Forest Stewardship Council—U.S.
<b>VALHALLA WILDERNESS SOCIETY</b> New Denver, Canada	\$100,000 over 2 years	Renewed support for its work to protect the habitat of the Spirit Bear, a white bear found only along the British Columbia coast.
<b>WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC.</b> Morriston, Arkansas	\$125,000	Toward two projects designed to aid in the development of a carbon market.
<b>WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVELOPMENT, INC.</b> Morriston, Arkansas	\$240,000	Toward its Renewable Energy Project Support Office in Nepal.

**WORLD RESOURCES INSTITUTE**

Washington, D.C. \$150,000 over 2 years

For its climate change program.

**WORLD WILDLIFE FUND, INC.**

Washington, D.C. \$100,000

To its joint project with the American Lands Alliance to ensure that scientific considerations inform climate change discussions.

**YALE UNIVERSITY**

New Haven, Connecticut \$25,000

For a conference on climate change and protected areas.

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**CENTRAL AND EASTERN EUROPE****CARPATHIAN FOUNDATION**

Kosice, Slovakia \$100,000 over 2 years

For the further development of its Integrated Rural Community Development Program.

**CENTER FOR ENVIRONMENTAL PUBLIC ADVOCACY**

Ponicka Huta, Slovakia \$50,000 over 2 years

As a contribution to its Public Interest Law Program.

**CENTER FOR ENVIRONMENTAL STUDIES FOUNDATION**

Budapest, Hungary \$200,000 over 3 years

For current operating needs, institutional capacity building, and longer term financial planning.

**CLEAN AIR ACTION GROUP**

Budapest, Hungary \$90,000

To its transportation and land-use program in Hungary.

**CONSERVATION FUND A NONPROFIT CORPORATION**

Arlington, Virginia \$25,000

As a supplemental contribution toward a report on integrative approaches to transformation in Central and Eastern Europe.

**FOUNDATION INSTITUTE OF PUBLIC AFFAIRS**

Warsaw, Poland \$70,000 over 2 years

As a contribution to institutional capacity building.

**FRIENDS OF THE EARTH, INTERNATIONAL**

Amsterdam, The Netherlands \$70,000 over 2 years

For a project to increase the effectiveness of environmental NGOs in Central and Eastern Europe and to advance the understanding of links between the activities of international financial institutions and the challenge of global climate change.

**GERMAN MARSHALL FUND OF THE UNITED STATES**

Washington, D.C. \$450,000

For its Environmental Partnership for Central Europe.

**GERMAN MARSHALL FUND OF THE UNITED STATES**

Washington, D.C. \$25,000

For travel, report, and follow-up field trip costs of a transatlantic seminar, "Grassroots Action in a Global World."

**GREEN FEDERATION**

Krakow, Poland \$53,100

To its transportation and land-use program in Poland.

**INSTITUTE FOR ENVIRONMENTAL POLICY**

Prague, Czech Republic \$200,000 over 3 years

For current operating needs, institutional capacity building, and longer term financial planning.

**INSTITUTE FOR SUSTAINABLE COMMUNITIES**

Montpelier, Vermont \$150,000

For the Madeleine M. Kunin Special Opportunities Fund.

**INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY**

New York, New York \$420,000

To its initiative to integrate real estate, transportation, and natural resources planning to make cities in Central and Eastern Europe more livable.

**INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY**

New York, New York \$75,000

For the preparatory phase of an Urban Husbandry Communications Project.

**PRAGUE MOTHERS**

Prague, Czech Republic \$60,000 over 2 years

For its project, SOS Prague, which works to ensure greater public engagement and participation in the development of a master land-use plan for Prague.

**QUEBEC-LABRADOR FOUNDATION, INC.**

Ipswich, Massachusetts \$180,000 over 3 years

For its Central European Stewardship Program of its Atlantic Center for the Environment.

**ROZMBERK SOCIETY**

Trebou, Czech Republic \$120,000 over 3 years

For a project to promote strategies for achieving economic and social development while also preserving cultural and natural resource assets in a rural region in the Czech Republic.

**RURAL ORGANIZATION FOR COMMUNITY ACTIVITIES (VOKA)**

Banska Bystrica, Slovakia \$40,000

To a project to enhance its community capacity-building efforts.

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**EAST ASIA****AGRARIAN REFORM CONSORTIUM**

Bandung, Indonesia \$50,000

To its program of research and advocacy on resource tenure issues in Indonesia.

**BANK INFORMATION CENTER**

Washington, D.C. \$120,000

To its Asia programs, which monitors World Bank policy, lending strategies, and loan portfolios.

**CENTER FOR THE PROTECTION OF WILD NATURE**

Vladivostok, Russia \$50,000 over 2 years

For work on the "Living Seas" public education campaign, a program of public outreach and awareness building on fisheries issues in the Russian Far East.

**CHIANG MAI UNIVERSITY**

Chiang Mai, Thailand \$80,000

To its research program on resource tenure and political ecology.

**CHINA DEVELOPMENT RESEARCH SERVICES**

Beijing, China \$20,000

For the development of a bilingual website regarding development issues and the nonprofit sector in China.

**COLLEGE OF THE HOLY CROSS TRUSTEES**

Worcester, Massachusetts \$19,500

For development of curricular material to advance economics training in Vietnam.

**CONSUMER ASSOCIATION OF PENANG**

Penang, Malaysia \$60,000

To its work on strengthening the legal framework of aquaculture development in Indonesia.

**CORAL REEF ALLIANCE**

Berkeley, California \$20,000

For its “Dive Into Earth Day” project.

**DUTA AWAM FOUNDATION**

Bengawan Solo, Indonesia \$80,000

For research, advocacy, and training programs to monitor multilateral development projects in Indonesia.

**EARTH ISLAND INSTITUTE**

San Francisco, California \$52,700

For its Industrial Shrimp Aquaculture Network project.

**ENERGY PROBE RESEARCH FOUNDATION**

Toronto, Ontario \$10,000

To help conduct economic research on hydrodevelopment in the Mekong, and to make this analysis accessible to groups in the region for use in their own advocacy efforts.

**ENERGY PROBE RESEARCH FOUNDATION**

Toronto, Canada \$60,000

To the Mekong program of its Probe International division.

**FRIENDS OF THE EARTH–JAPAN**

Tokyo, Japan \$200,000 over 2 years

For its work on reform of Japanese development assistance and for organizational development.

**INDONESIA MEDIA DEVELOPMENT FOUNDATION**

Jakarta Selatan, Indonesia \$50,000

For its project, “Developing Media Services for Better Governance in Indonesia.”

**INSTITUTE FOR SUSTAINABLE NATURAL RESOURCE USE**

Vladivostok, Russia \$25,000

For general support and for its program on community-based natural resource management and control in Primorye province.

**INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY**

New York, New York \$50,000

For a program to examine motorized transportation planning in Guangzhou and the Pearl River Delta, China.

**INTERNATIONAL ASSOCIATION FOR THE STUDY OF COMMON PROPERTY**

Bloomington, Indiana up to \$25,000

For its biennial conference and a research review on issues of common property, resource management, and collective action.

**ISAR**

Washington, D.C./ Vladivostok, Russia \$120,000 over 2 years

For work on the “Living Seas” public education campaign, a program of public outreach and awareness building on fisheries issues in the Russian Far East.

**JOYO FOUNDATION**

New York, New York \$50,000

To its project, “Developing Media Services for Better Governance in Indonesia.”

**KAMCHATKA LEAGUE OF INDEPENDENT EXPERTS**

Petropavlovsk-Kamchatka, Russia \$25,000

For general support and for its work on marine protected area designation, energy, and mining issues.

**MAGADAN CENTER FOR THE ENVIRONMENT**

Magadan, Russia \$20,000

For general support and for its work on marine and mining issues.

**MEKONG WATCH JAPAN**

Tokyo, Japan \$120,000 over 2 years

General support for the organization, which serves as an “international node” for NGOs focusing on Japan’s role in Mekong development.

**NATURAL RESOURCES AND DEVELOPMENT INSTITUTE**

Bogor, Indonesia \$80,000

To its work on the role of Export Credit Agencies in Indonesia’s development.

**NETWORK OF AQUACULTURE CENTRES IN ASIA-PACIFIC**

Bangkok, Thailand \$15,000

For costs associated with an international conference, “Aquaculture in the Third Millennium,” held in Bangkok.

**NORTHERN DEVELOPMENT FOUNDATION**

Chiang Mai, Thailand \$80,000

To its Southeast Asia Rivers Network program.

**NORTHERN PACIFIC FUND**

Petropavlovsk-Kamchatka, Russia \$50,000 over 2 years

For work on the “Living Seas” public education campaign, a program of public outreach and awareness building on fisheries issues in the Russian Far East.

**OXFAM – AMERICA**

Boston, Massachusetts \$80,000 over 2 years

For its Mekong basin advocacy program.

**OXFAM – GREAT BRITAIN**

Phnom Penh, Cambodia \$40,000 over 2 years

For its Non-Timber Forest Products project in Cambodia.

**PACIFIC ENVIRONMENT AND RESOURCES CENTER**

Oakland, California \$300,000

For its work, which helps address threats to critical marine and forest ecosystems in the Russian Far East.

**PROJECT UNDERGROUND**

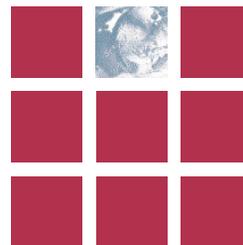
Berkeley, California \$40,000

For an effort to raise awareness of the impact of submarine mine tailings disposal on coastal ecosystems in Southeast Asia.

<b>SAKHALIN ENVIRONMENT WATCH</b> Yuzhno-Sakhalinsk, Russia	\$25,000	
For general support and for its marine environment program.		
<b>SUARAM</b> Selangor, Malaysia	\$15,000	
To its Save Our Selangor water use awareness campaign.		
<b>TAIGA RANGERS</b> Khabarovsk, Russia	\$20,000	
For general support and for its program of forest monitoring and protected area designation.		
<b>TAMBUYOG DEVELOPMENT CENTER</b> Quezon City, Philippines	\$100,000	
For its Sustainable Water Area Management Project.		
<b>TELAPAK FOUNDATION</b> Bogor, Indonesia	\$5,000	
For a national meeting of the Indonesian Network of Coastal and Marine NGOs.		
<b>UNIVERSITY OF SYDNEY</b> Sydney, Australia	\$120,000 over 2 years	
For its Australian Mekong Resource Centre.		
<b>U.S. FOUNDATION FOR THE UNIVERSITY OF VICTORIA</b> Victoria, Canada	\$10,000	
To its work on the use of remote sensing and other spatial planning tools to ensure local compliance with Thailand's national zoning regulations regarding shrimp aquaculture.		
<b>VIETNAM NATIONAL UNIVERSITY</b> Hanoi, Vietnam	\$6,000	
For outreach by its Center for Environment and Natural Resources on integrated mangrove-shrimp aquaculture systems.		
<b>WETLANDS INTERNATIONAL ASIA-PACIFIC</b> Kuala Lumpur, Malaysia	\$40,000	
To the work of its Indonesia program on coastal management and shrimp aquaculture area rehabilitation in the Indra Mayu regency of West Java, Indonesia.		
<b>WILD SALMON CENTER</b> Portland, Oregon	\$150,000 over 2 years	
For its Pacific salmon mapping project and for the creation of a system of wild salmon sanctuaries in the Russian Far East.		
<b>WORLD RESOURCES INSTITUTE</b> Washington, D.C.	\$10,000	
For a collaboration with the Indonesian NGO Konphalindo on the production of a status report on the shrimp industry in Indonesia and for a set of public education activities associated with the launch of this report.		







## GOAL

To contribute to the emergence of a more just, sustainable, and peaceful world by improving the cooperative management of transnational threats and challenges.

Working with a wide range of public and private actors in regions of the world where the RBF is already engaged, the Fund will pursue four mutually reinforcing strategies.

## STRATEGIES

**CONSTITUENCY BUILDING:** Strong domestic constituencies for cooperative international engagement enable national governments, civil society organizations, and corporate actors to make more effective contributions to transnational problem solving. With an initial emphasis on the United States, the RBF will support projects designed to build such constituencies and to increase general understanding of the ethical and practical implications of living in an increasingly interdependent world.

**IMPLEMENTATION:** Grantmaking will focus on public education efforts that link transnational issues to personal values and local concerns and on other activities that seek to frame a relevant transnational agenda for public advocacy and political leadership. The centerpiece of this strategy is the Fund’s commitment to the “Global Interdependence Initiative,” a long-range constituency building endeavor in the U.S. that involves foundations, NGOs, multilateral agencies, and business.

**TRANSPARENCY AND INCLUSIVE PARTICIPATION:** Transparency and inclusive participation legitimate transnational policymaking processes that have widespread impact on the quality of people’s lives and the integrity of the natural environment. The RBF will support efforts to achieve an open, candid exchange of information and perspectives among the growing number of actors who participate in the development and implementation of transnational policy.

**IMPLEMENTATION:** Grantmaking will focus initially on advancing transparency and inclusive participation in global economic development and policymaking. In addition, where a lack of transparency or inclusiveness in national policy processes impairs transnational problem solving or contributes to regional instability, the Fund will assist efforts to improve the policy environment—for example, by expanding citizen access to government and corporate information or by ensuring equal participation in multi-ethnic societies.

**THE CHALLENGE OF ECONOMIC INTEGRATION:** In each of the geographic areas where the Fund is active, accelerating regional and global economic integration poses new social, political, and environmental challenges. The RBF will support efforts to understand, adjust to, and steer the process of increased economic integration, with an emphasis on approaches that serve the goals of justice, sustainable development, and peace.

**IMPLEMENTATION:** Grantmaking will focus primarily on the dynamics of individual regions where the Fund is active. Emphasis will be placed on advancing culturally appropriate models of economic development, articulating regional strategies for the resolution of transnational economic problems, and assisting the appropriate incorporation of national economies into regional economic frameworks.

**EMERGING TRANSNATIONAL CONCERNS:** In an era of rapid change and increasingly complex interactions, the Fund wishes to retain flexibility to explore and respond to emerging concerns. The RBF will therefore address other transnational challenges that require new forms of cooperative management.

**IMPLEMENTATION:** Grantmaking is expected to focus initially on the penetration of criminal networks into state structures and transnational business activity, a threat whose extent and consequences are not yet fully understood and whose curtailment exceeds the capacity and mandate of existing institutional arrangements.

## GLOBAL SECURITY ► 2000 GRANTS

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### CONSTITUENCY BUILDING

#### ASPEN INSTITUTE

Washington, D.C. \$500,000 over 2 years  
As a contribution to its project, the Global Interdependence Initiative.

#### ASSOCIATION OF THE BAR OF THE CITY OF NEW YORK FUND, INC.

New York, New York \$25,000  
For the association's program, Partnerships Across Borders: A Global Forum on Access to Justice.

#### BENTON FOUNDATION

Washington, D.C. \$25,000  
For its project, "Youth Activism and Global Engagement: Charting the Field."

#### CENTER FOR POLICY ALTERNATIVES

Washington, D.C. \$300,000  
Toward the Eleanor Roosevelt Global Leadership Institute, a nonpartisan, geographically representative network of state elected officials with a transnational perspective and a commitment to global stewardship and international engagement.

#### COLLEGE-UNIVERSITY RESOURCE INSTITUTE, INC.

Washington, D.C. \$25,000  
Toward a set of communications consultations by its project, the Frameworks Institute, with selected organizations from the Working Group of the Global Interdependence Initiative.

#### EDUCATIONAL BROADCASTING CORPORATION

New York, New York \$25,000  
For efforts to research and develop a new documentary series for PBS that examines the history and role of the United Nations.

#### FOREIGN POLICY ASSOCIATION

New York, New York \$25,000  
For the production of a segment of "Globalization" for the Great Decisions public television series.

#### GEORGETOWN UNIVERSITY

Washington, D.C. \$15,000  
To support the general program activity of Georgetown's Institute for the Study of Diplomacy.

#### HARVARD UNIVERSITY

Cambridge, Massachusetts \$25,000  
For a new program at its Divinity School on examining ethno-religious conflict and peacemaking strategies.

#### LINK MEDIA

San Rafael, California \$300,000 over 2 years  
For WorldLink TV, a direct broadcast satellite channel devoted exclusively to global issues, themes, and cultures.

#### THE MILLENNIUM WORLD PEACE SUMMIT

New York, New York \$75,000  
Toward costs associated with the Millennium World Peace Summit of Religious and Spiritual Leaders.

#### NATIONAL PEACE CORPS ASSOCIATION

Washington, D.C. \$25,000  
Toward its public policy education program.

#### NEW YORK UNIVERSITY

New York, New York \$190,000 over 2 years  
For a project of its Center on International Cooperation, entitled "Unilateralism, Multilateralism, and US Foreign Policy," which will culminate in a book entitled "The Cost of Acting Alone."

#### THE OFFICE OF THE UNITED NATIONS HIGH COMMISSIONER FOR REFUGEES

Geneva, Switzerland \$25,000  
For its "Imagine Coexistence" project.

#### OVERSEAS DEVELOPMENT COUNCIL

Washington, D.C. \$25,000  
To extend the outreach phase of its project, "America's National Interests in Multilateral Engagement: A Bipartisan Dialogue."

#### STATE OF THE WORLD FORUM

San Francisco, California \$25,000  
For Forum 2000, a high-level gathering of international leaders of business and civil society in New York.

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

New York, New York \$250,000  
To a public education project entitled "Global Health and the UN System."

#### UNIVERSITY FOR PEACE

Ciudad Colon, Costa Rica \$25,000  
As a contribution toward its reorganization process.

#### THE WORLD AFFAIRS COUNCIL OF NORTHERN CALIFORNIA

San Francisco, California \$75,000  
As a contribution to efforts to diversify its membership and develop effective models for outreach to new constituencies.

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### TRANSPARENCY AND INCLUSIVE PARTICIPATION

#### CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW

Washington, D.C. \$200,000 over 2 years  
To help establish a Trade Action Network, an international NGO network on trade issues.

#### THE COALITION FOR WOMEN'S ECONOMIC DEVELOPMENT AND GLOBAL EQUALITY, INC.

Washington, D.C. \$100,000 over 2 years  
For efforts to develop a communications strategy for international women's organizations concerned about globalization.

#### CONSUMER'S CHOICE COUNCIL

Washington, D.C. \$25,000  
For an examination of the role of the office of the U.S. Trade Representative in international policymaking.

**EARTHRIGHTS INTERNATIONAL**

Washington, D.C./ Bangkok Thailand \$60,000

For the documentation of human rights abuses and environmental despoliation in Myanmar and Thailand.

**GEORGETOWN UNIVERSITY**

Washington, D.C. \$200,000 over 2 years

For an effort to work with public officials to better understand the implications of global trade agreements for local governance and to help strengthen the capacity of state and local public officials to govern in a global economy.

**INTERNATIONAL FORUM ON GLOBALIZATION**

San Francisco, California \$150,000 over 2 years

For efforts to develop a positive vision for global governance.

**LEGISLATORS ORGANIZATION FOR A BALANCED ENVIRONMENT INC. (GLOBE USA)**

Washington, D.C. \$200,000 over 2 years

For efforts to develop social and environmental guidelines for export credit agencies.

**NORTHERN ALLIANCE FOR SUSTAINABILITY**

Utrecht, The Netherlands \$200,000 over 2 years

For efforts to develop social and environmental guidelines for export credit agencies.

**PUBLIC CITIZEN FOUNDATION, INC.**

Washington, D.C. \$100,000 over 2 years

For efforts to monitor, make transparent, and reform global standard setting.

**PUBLIC CONVERSATIONS PROJECT INC.**

Watertown, Massachusetts \$25,000

For a planning process that will explore opportunities for making its resources more accessible to an international audience.

**ROCKEFELLER FAMILY FUND**

New York, New York \$50,000 over 2 years

For the Environmental Grantmakers' Association in support of a new trade and globalization funders' network.

**SOUTH CENTRE**

Geneva, Switzerland \$200,000 over 2 years

To support capacity building for and engagement by developing country NGOs and governments on trade and global governance issues.

**THIRD WORLD NETWORK**

Kuala Lumpur, Malaysia \$200,000 over 2 years

To support capacity building for and engagement by developing country NGOs and governments on trade and global governance issues.

**TRUSTEES OF TUFTS COLLEGE**

Bedford, Massachusetts \$225,000 over 3 years

For its Global Development and Environment Institute Trade project.

**UNITED NATIONS**

New York, New York \$100,000

For the United Nations Development Programme's work on assessment of the global trading system and development of a positive vision for the international governance of trade.

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**ECONOMIC INTEGRATION****TRILATERAL COMMISSION**

New York, New York \$64,000

For the work of its Study Group on East Asia and the International System.

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**EMERGING TRANSNATIONAL CONCERNS****INSTITUTE FOR SECURITY STUDIES**

Pretoria, South Africa \$130,000

For its project, "Towards Improving the Effectiveness of Southern African States in Identifying and Combating the Penetration by Organized Crime Networks of State Structures and Regional Business Activities."

**SOUTH AFRICAN INSTITUTE OF INTERNATIONAL AFFAIRS**

Johannesburg, South Africa \$49,000

For its project, the Impact of West African Criminal Groups in Southern Africa: Empirical Perspectives, Analysis and Policy Options.

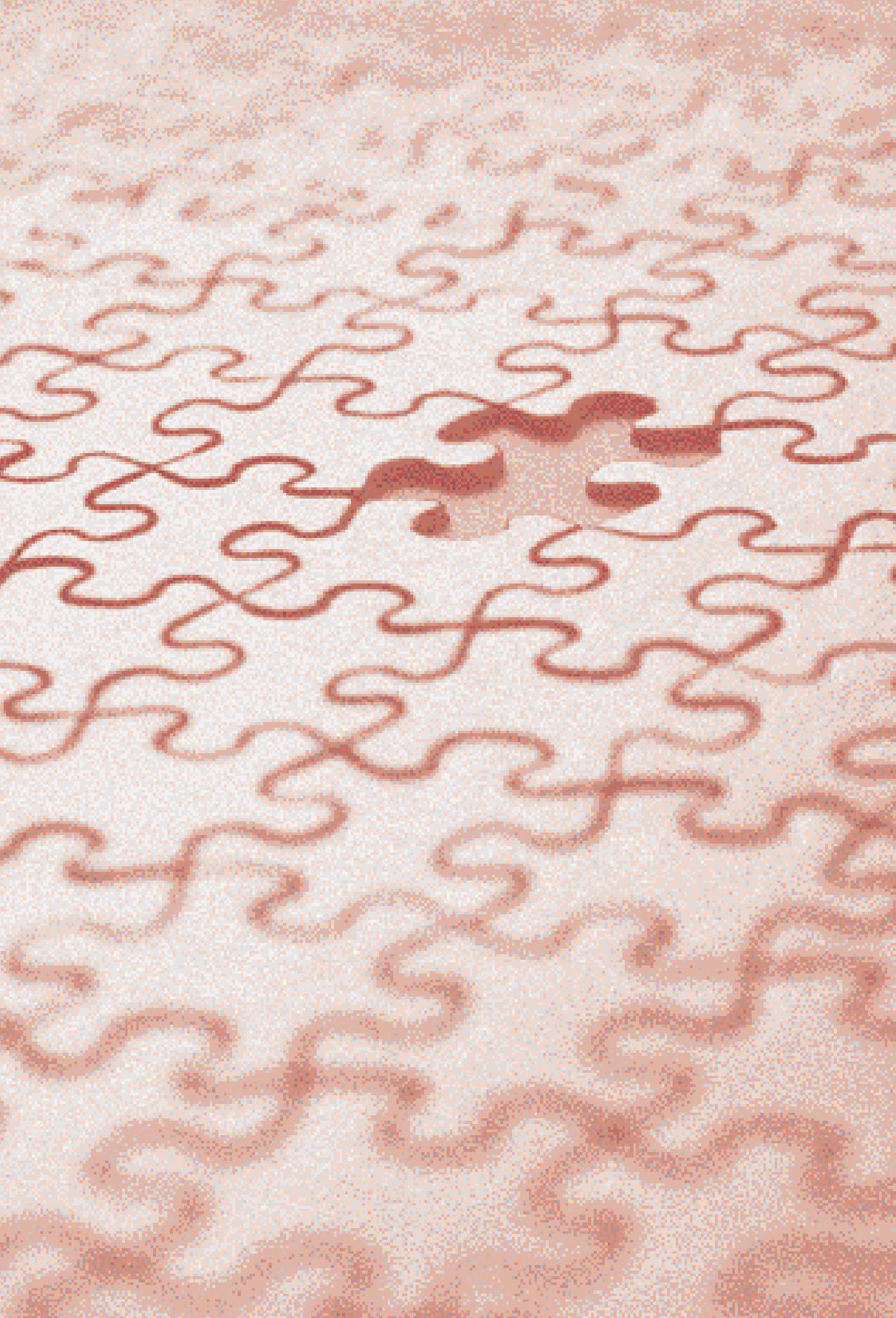
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**OTHER****PLOWSHARES INSTITUTE**

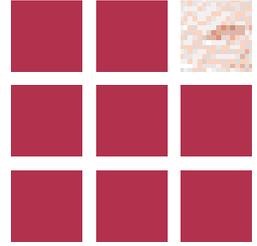
Simsbury, Connecticut \$60,000

For its Empowering for Reconciliation project in Indonesia, which focuses on indigenous approaches to conflict, cross-cultural communication, and the building of networks across religious divides.





# 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

**DEVELOPMENT OF RESOURCES:** 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.

**ACCOUNTABILITY:** Encouraging greater accountability within the nonprofit sector, with special attention to the role of trustees or directors of nonprofit organizations in ensuring ethical practices.

**INCREASED UNDERSTANDING:** 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 ▶ 2000 GRANTS

### DEVELOPMENT OF RESOURCES

#### ACADEMY FOR THE DEVELOPMENT OF PHILANTHROPY IN POLAND

Warsaw, Poland \$60,000

Toward evaluating and further developing its programs to promote philanthropy in Poland.

#### ALLIANCE FOR NONPROFIT MANAGEMENT

Washington, D.C. \$100,000 over 2 years

For general support.

#### CHILDREN OF SLOVAKIA FOUNDATION

Bratislava, Slovakia \$100,000

As a final contribution to the organization's institutional development.

#### CIVIL SOCIETY DEVELOPMENT FOUNDATION—POLAND

Warsaw, Poland \$50,000

As a final contribution to the organization's institutional development.

#### COMMITTEE TO ENCOURAGE CORPORATE PHILANTHROPY, INC.

New York, New York \$150,000

For core support of its efforts to increase corporate philanthropy.

#### DĚMOS: A NETWORK FOR IDEAS AND ACTION

New York, New York \$500,000

For general support.

#### THE DEVELOPMENT SCHOOL

Gent, Belgium \$60,000

To help establish an advanced capacity-building program for nonprofit trainers and consultants in Central and Eastern Europe.

#### FAMILY FOUNDATION OF NORTH AMERICA

Milwaukee, Wisconsin \$180,000 over 3 years

As a contribution to Phase II of its Resource Development Initiative.

#### FORUM OF REGIONAL ASSOCIATIONS OF GRANTMAKERS

Washington, D.C. \$200,000

To its New Ventures in Philanthropy project.

#### HEALTHY CITY FOUNDATION — COMMUNITY FOUNDATION OF BANSKA BYSTRICA

Banska Bystrica, Slovakia \$50,000

As a final contribution to the organization's institutional development.

#### HISPANICS IN PHILANTHROPY

Berkeley, California \$300,000

Toward its project, The Funders Collaborative for Strong Latino Communities.

#### HUNGARIAN FOUNDATION FOR SELF-RELIANCE

Budapest, Hungary \$100,000

As a final contribution to the organization's institutional development.

### INDEPENDENT SECTOR

Washington, D.C. \$20,000

Toward the costs of implementation planning for its new strategic framework.

#### INTERNATIONAL NGO FORUM ON INDONESIAN DEVELOPMENT

Jakarta, Indonesia \$100,000

For its Global Issues Program.

#### JOHNS HOPKINS UNIVERSITY

Baltimore, Maryland \$100,000 over 3 years

As a contribution to the International Fellows in Philanthropy program of its Institute for Policy Studies.

#### NATIONAL CENTER FOR BLACK PHILANTHROPY

Washington, D.C. \$35,000

Toward the Third National Conference on Black Philanthropy.

#### NATIONAL CENTER ON NONPROFIT ENTERPRISE

Arlington, Virginia \$15,000

Toward the costs of a meeting to explore the possibility of forming a consortium of universities to sponsor and collaborate with NCNE.

#### NATIONAL CENTER ON PHILANTHROPY AND THE LAW

New York, New York \$228,470

Toward the Rockefeller Brothers Fund Fellowship in Nonprofit Law program.

#### NATIONAL CHARITIES INFORMATION BUREAU

New York, New York \$20,000

Toward the costs of the merger between National Charities Information Bureau and the Council of Better Business Bureaus' Foundation.

#### NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS

Washington, D.C. \$300,000

Toward general support.

#### NEW HAMPSHIRE COLLEGE

Manchester, New Hampshire \$50,000

Toward the cost of scholarships at the scaling-up Institute of the Community Economic Development Program.

#### NOS FOUNDATION

Bratislava, Slovakia \$50,000

As a final contribution to the organization's institutional development.

#### POLISH CHILDREN AND YOUTH FOUNDATION

Warsaw, Poland \$100,000

As a final contribution to the organization's institutional development.

#### ROCKEFELLER FAMILY FUND

New York, New York \$25,000

For commissioning public opinion research to explore the viability of an Internet-based Strategic Giving Fund.

#### ROCKEFELLER FAMILY FUND

New York, New York \$45,000

Toward its Strategic Giving Fund.

<b>SAMI-SEBE</b> Pezinok, Slovakia	\$50,000
As a final contribution to the organization's institutional development.	
<b>SLOVAK ACADEMIC INFORMATION AGENCY</b> Bratislava, Slovakia	\$50,000
As a final contribution to the organization's institutional development.	
<b>TECHROCKS</b> Philadelphia, Pennsylvania	\$75,000
For general support.	
<b>TIDES CENTER</b> San Francisco, California	\$35,000
As a contribution to planning and implementation of the center's project, the Share Our Security Campaign.	
<b>THE VIA FOUNDATION FOR LOCAL INITIATIVES</b> Prague, Czech Republic	\$50,000
As a final contribution to the organization's institutional development.	

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## ACCOUNTABILITY

<b>MARYLAND ASSOCIATION OF NONPROFIT ORGANIZATIONS, INC.</b> Baltimore, Maryland	\$100,000
Toward the national dissemination of its Ethics and Accountability Project.	
<b>MUSEUM TRUSTEE ASSOCIATION</b> Washington, D.C.	\$25,000
As a contribution to the Museum Governance in a New Age project.	
<b>NATIONAL CHARITIES INFORMATION BUREAU</b> New York, New York	\$20,000
Toward the costs of its merger with the Council of Better Business Bureaus' Foundation.	
<b>THE URBAN INSTITUTE</b> Washington, D.C.	\$90,000
Toward a study of fundraising and administrative costs for nonprofit organizations by its Center on Nonprofits and Philanthropy.	

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## INCREASED UNDERSTANDING

<b>ASPEN INSTITUTE, INC.</b> Washington, D.C.	\$75,000
Toward its State of the Nonprofit Sector report.	
<b>ASSOCIATION OF SMALL FOUNDATIONS</b> Bethesda, Maryland	\$100,000 over 2 years
Toward the Small Foundation Awareness Program.	
<b>INDIANA UNIVERSITY FOUNDATION</b> Bloomington, Indiana	\$45,000
As a contribution to its project to develop and strengthen a network that promotes third-sector studies in Central and Eastern Europe.	
<b>TRUSTEES OF TUFTS COLLEGE</b> Medford, Massachusetts	\$15,000
Toward a program involving research, writing, and speaking about the role of voluntary organizations and private foundations and their impact on people, communities, and the country.	

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## MEMBERSHIPS

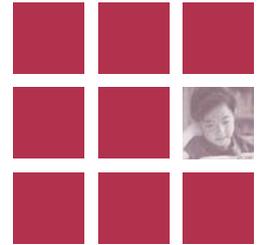
<b>COUNCIL ON FOUNDATIONS</b> Washington, D.C.	\$39,600
General support for 2000.	
<b>INDEPENDENT SECTOR</b> Washington, D.C.	\$10,250
General support for 2000.	
<b>NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS</b> New York, New York	\$10,000
General support for 2000.	
<b>THE FOUNDATION CENTER</b> New York, New York	\$60,000 over 2 years
General support for 2000.	







# Education



The Education Program of the Rockefeller Brothers Fund addresses two of the most pressing challenges in U.S. education: the need to provide quality early childhood education and care to all children and, at a time of profound demographic shifts, the need to encourage outstanding people of color to enter the teaching profession.

## GOAL 1

To promote universal, quality education and care for pre-kindergarten children with a comprehensive approach to their development, including concerns for health, safety, and readiness to learn.

## STRATEGIES

### NATIONAL STRATEGIES

- Supporting the development of public policies at city, state, and federal levels that improve the quality of and promote universal access to early childhood education programs.
- Strengthening and expanding programs that advance the professional development and stature of early childhood educators.

### STRATEGIES FOR NEW YORK CITY

Given New York State's leadership in establishing universal pre-kindergarten education and the Fund's location in New York City, the RBF will give special attention to the needs of the City in its early childhood development grantmaking:

- Enhancing existing programs and increasing access to high quality early learning opportunities.
- Encouraging the introduction and evaluation of effective models of early childhood learning including those that support the critical role of parents.

## GOAL 2

To increase the number of talented and committed minority teachers in the United States public education system.

## STRATEGIES

- Assisting outstanding students from selected colleges and universities to pursue graduate studies in education and enter the teaching profession through Rockefeller Brothers Fund Fellowships.
- Furthering the professional development of RBF Fellows after they have completed graduate studies and begun careers in teaching.

In addition, on a limited basis, the Fund will also identify and support other opportunities that offer special promise for strengthening U.S. education in ways that complement the specific goals of the education program.

*Note: The grants listed on the following page were made under program guidelines that were in effect during 2000, which focused on higher education and in particular on environmental studies, foreign language, and technology in teaching and research.*

## EDUCATION ▶ 2000 GRANTS

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### ENVIRONMENTAL STUDIES

#### FURMAN UNIVERSITY

Greenville, South Carolina \$108,600 over 2 years

For an interdisciplinary environmental science project to investigate water quality and watershed management issues in upstate South Carolina.

#### KNOX COLLEGE

Galesburg, Illinois \$180,975

For faculty and curriculum development, student research opportunities, and infrastructure enhancements to support the launch of an environmental studies major.

#### UNIVERSITY OF THE SOUTH

Sewanee, Tennessee \$252,000

Toward the creation of an environmental studies model curriculum that utilizes faculty-student research, hands-on field experience, and real-life problem solving.

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### FOREIGN LANGUAGE

#### CARLETON COLLEGE

Northfield, Minnesota \$292,415 over 3 years

To support faculty and course development for a new interdisciplinary program: Asia in Comparative Perspective.

#### ST. OLAF COLLEGE

Northfield, Minnesota \$242,586

Toward initiatives to foster innovative use of technologies in foreign language teaching and learning.

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### TECHNOLOGY IN TEACHING & RESEARCH

#### COLGATE UNIVERSITY

Hamilton, New York \$256,568 over 3 years

For two new educational technology staff positions that will provide support to faculty for the incorporation of technology across the curriculum.

#### NORTHWEST INDIAN COLLEGES

Bellingham, Washington \$150,000

To support the development and presentation of Native American cultural courses through a distance learning network that serves tribal and mainstream colleges and universities.

#### ST. LAWRENCE UNIVERSITY

Canton, New York \$290,000

Toward faculty development initiatives and technical support to help integrate Geographic Information System (GIS) technology into the global studies and sciences curricula.

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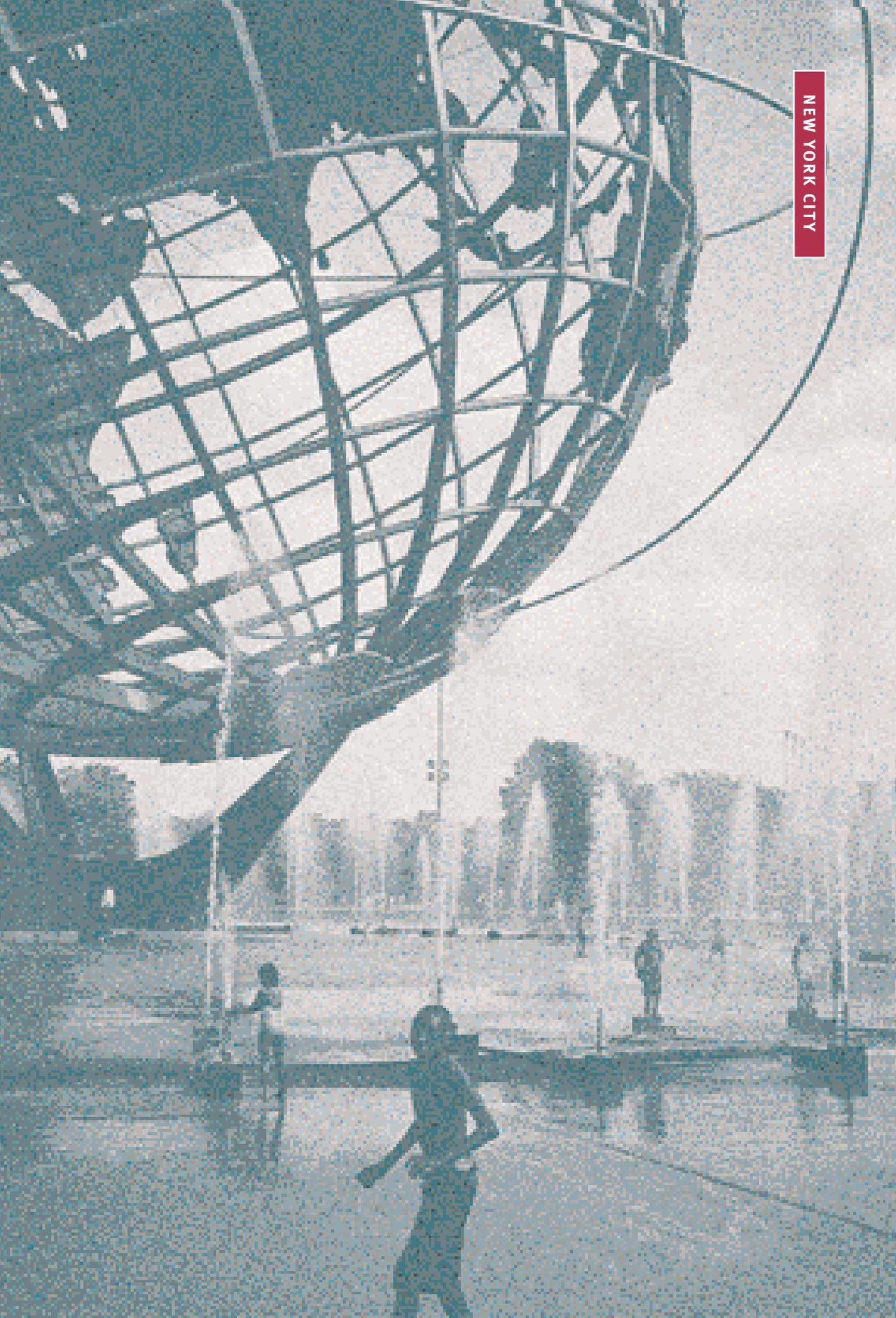
### OTHER

#### BANK STREET COLLEGE OF EDUCATION

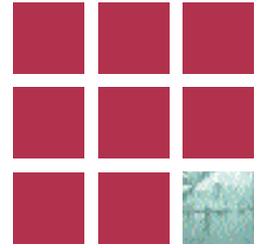
New York, New York \$5,000

As a contribution to a symposium to celebrate the tenth anniversary of the Principals Institute.

NEW YORK CITY







## GOAL

To encourage the participation of individuals and communities in the civic life of New York City by promoting inclusive public discourse and action on issues of local and citywide concern and by strengthening the capacity for leadership and engagement at the community level.

## STRATEGIES

### **PUBLIC EDUCATION AND YOUTH DEVELOPMENT:**

Promoting civic responsibility for school improvement, strengthening constituencies for effective public education, and creating opportunities for young people to grow through active engagement with their communities.

**NEIGHBORHOODS AND PUBLIC SPACES:** Assisting community-based initiatives that encourage respect and care for the natural and built environment and that enhance or reclaim public space in order to

improve the safety, the aesthetic quality, and the spiritual and community life of New York City neighborhoods.

**COMMUNITY LEADERSHIP:** Supporting place-based strategies and bottom-up community initiatives that seek to improve the quality of life in disadvantaged neighborhoods by addressing locally identified priorities, building local leadership, and encouraging collaboration among local institutions and across sectors.

## NEW YORK CITY ▶ 2000 GRANTS

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### PUBLIC EDUCATION AND YOUTH DEVELOPMENT

#### CENTRAL BROOKLYN CHURCHES SPONSORING COMMITTEE, INC.

Brooklyn, New York \$30,000  
To the Parent Organizing Project.

#### COMMUNITY ACTION PROJECT, INC.

Brooklyn, New York \$35,000  
Toward its school reform outreach to churches in Canarsie and Flatlands, Brooklyn.

#### NATIONAL CONFERENCE FOR COMMUNITY AND JUSTICE, INC.

New York, New York \$50,000  
To help establish the Emerging Leaders Institute for New York City public school students.

#### THE NEW YORK COMMUNITY TRUST

New York, New York \$200,000  
As a contribution to its Donors' Education Collaborative.

#### THE NEW YORK IMMIGRATION COALITION, INC.

New York, New York \$240,000 over 2 years  
As a contribution to its Equity Monitoring Project for Immigrant and Refugee Education.

#### NEW YORK UNIVERSITY

New York, New York \$30,000  
For the Organizing for School Reform Research Initiative of the university's Institute for Education and Social Policy.

#### PARTNERSHIP FOR AFTER SCHOOL EDUCATION, INC.

New York, New York \$120,000 over 2 years  
For its program, "The Voice of Experience: Engaging After School Practitioners in Developing Public Policy."

#### PHELPS-STOKES FUND, THE TRUSTEES OF THE

New York, New York \$70,000  
Toward its Parents Partnering in Education Project.

#### VALLEY, INC.

New York, New York \$100,000 over 2 years  
As a contribution to its Youth Leadership Action Council program.

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### NEIGHBORHOODS AND PUBLIC SPACES

#### CITY PARKS FOUNDATION

New York, New York \$50,000  
For its Partnerships for Parks database and technology enhancement project.

### ENVIRONMENTAL ADVOCATES

Albany, New York \$25,000  
Toward the New York Brownfields Initiative: A Coalition Approach.

#### NEW YORK CONSERVATION EDUCATION FUND, INC.

New York, New York \$200,000 over 2 years  
For the efforts of its project, the Waterfront Park Coalition, to develop a Waterfront Blueprint.

#### NEW YORK CONSERVATION EDUCATION FUND INC.

New York, New York \$70,000 over 2 years  
For its Waterfront Park Coalition, which will advocate for public access to the waterfront and for habitat conservation.

#### NEW-YORK HISTORICAL SOCIETY

New York, New York \$25,000  
For an organizational self-assessment and an institutional planning process.

#### NEW YORK LAWYERS FOR THE PUBLIC INTEREST

New York, New York \$125,000 over 2 years  
For its Environmental Justice and Community Development Project which will focus on brownfield redevelopment.

#### PARKS COUNCIL, INC.

New York, New York \$150,000 over 2 years  
For production and dissemination of educational materials documenting the state of New York City parks.

#### PRATT INSTITUTE

New York, New York \$100,000 over 2 years  
Toward the efforts of its Center for Community and Environmental Development to provide technical assistance in brownfield redevelopment to community-based organizations.

#### REGIONAL PLAN ASSOCIATION

New York, New York \$150,000 over 2 years  
Toward its program of direct and planning assistance for community groups.

#### REGIONAL PLAN ASSOCIATION

New York, New York \$75,000  
For its "Civic Leadership and the Port Authority" initiative.

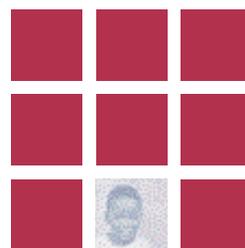
#### SCENIC HUDSON, INC.

Poughkeepsie, New York \$150,000  
Toward the development of a community-supported plan for reuse of the former General Motors manufacturing site in Sleepy Hollow, New York.





# South Africa



## GOAL

To improve the quality and accessibility of basic education for children and adults in South Africa, in the areas of early childhood development, lower primary learning, and adult basic education and training.

## STRATEGIES

**PROMISING MODELS:** Supporting the introduction and evaluation of promising basic education models.

**IN-SERVICE TEACHER DEVELOPMENT:** Advancing in-service development of lower primary school teachers.

**INSTITUTIONAL CAPACITY BUILDING:** Strengthening the institutional capacity of nonprofit organizations, university programs, and government agencies in the field of basic education, including:

- a) Encouraging documentation, reflection upon, and dissemination of lessons learned, and
- b) Facilitating cross-sectoral linkages and collaboration—among nonprofit organizations, universities, and government agencies.

**FINANCIAL SELF-SUFFICIENCY:** Helping nonprofit organizations in the field of basic education to develop and diversify their funding and income base.

## SOUTH AFRICA ▶ 2000 GRANTS

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### PROMISING MODELS

#### ENGLISH RESOURCE UNIT

Durban, South Africa \$117,000 over 2 years

As a contribution to a project to link literacy training with practical skills training and income generation projects in South Africa.

#### THE INSTITUTE FOR INTERNATIONAL COOPERATION OF THE GERMAN ADULT EDUCATION ASSOCIATION

Cape Town, South Africa \$13,000

Toward the establishment of an Adult Literacy, Basic Education and Development Foundation (the ALBED Foundation).

#### NTATAISE TRUST

Viljoenskroon, South Africa \$69,000 over 3 years

As a contribution to its parent involvement program.

#### PROJECT LITERACY TRUST

Pretoria, South Africa \$25,000

For its "Into Africa" project, designed to build the organization's sustainability by expanding its services to other African countries.

#### SOUTH AFRICAN BROADCASTING CORPORATION LTD.

Johannesburg, South Africa \$100,000 over 2 years

As a contribution to the community outreach efforts associated with the radio program Takalani Sesame, a co-production with SesameWorkshop.

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### IN-SERVICE TEACHER DEVELOPMENT

#### THE TEACHER TRUST

Johannesburg, South Africa \$40,000

To a project of its Institute for Leadership in Education entitled "Reclaiming the Professional Status of Teachers: Training for Management of Curriculum Change for Individual Teachers."

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### INSTITUTIONAL CAPACITY BUILDING

#### CAPE EDUCATIONAL TRUST

Cape Town, South Africa \$157,000 over 3 years

For four early childhood education projects that seek to strengthen research and evaluation capacity in early childhood NGOs and to enhance the impact and effectiveness of early childhood projects.

#### GRASSROOTS EDUCARE TRUST

Cape Town, South Africa \$12,000

For an external evaluation of its early childhood education and training programs.

#### READ EDUCATIONAL TRUST

Johannesburg, South Africa \$120,000 over 2 years

As a contribution to a project to develop and test a method of ongoing assessment for its Learning for Living project.

#### UNIVERSITY OF CAPE TOWN FUND, INC.

New York, New York \$25,000

For a project on democracy building and democratization.

#### UNIVERSITY OF THE WESTERN CAPE

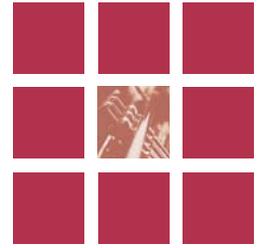
Cape Town, South Africa \$180,000

To its Teacher Inservice Project to build the capacity of the Western Cape Education Department.





# Arts and Culture



## PROGRAM GUIDELINES

The primary focus of the Fund's program is to create access with the goal of building greater understanding and appreciation of the art forms or cultural activities served by applicant organizations. The Fund is interested in supporting those programs and institutions that work to enable all segments of American society to have access to, and informed participation in, the richness and diversity of arts and cultural activities. The program is national in scope. It embraces all performing arts disciplines, the visual and literary arts, and cultural and historic preservation.

The Fund will address its goals through three initiatives, which are limited to the United States. These initiatives, although thematically connected, are not necessarily sequential. Applicants are encouraged to apply where appropriate to their level of development. The initiatives are as follows:

**EXPLORATION GRANTS:** The Fund will award grants to test projects that might effectively educate and/or engage constituencies in arts and cultural activities in ways either new to the applicant organization or its field.

**PROGRAM GRANTS:** The Fund will award grants to exemplary new or existing projects or programs that effectively provide informed access to arts and cultural activities.

**CHARLES E. CULPEPER ENDOWMENTS IN ARTS AND CULTURE:** In exceptional cases, the Fund will provide endowment grants to those organizations it identifies as having demonstrated a successful commitment to engaging and/or educating the public in their work. Consideration will be given to program quality, exhibited financial responsibility, and institutional commitment to access as central to the mission of the organization.

## ARTS AND CULTURE ▶ 2000 GRANTS

### THE AMERICAN MUSEUM OF NATURAL HISTORY

New York, New York \$201,860 over 2 years

To assist the pilot phase of new cultural programming.

### THE BROOKLYN ACADEMY OF MUSIC, INC.

Brooklyn, New York \$500,000 over 3 years

Toward endowment in the name of Charles E. Culpeper.

### THE CARNEGIE HALL SOCIETY, INC.

New York, New York \$500,000

Toward endowment in the name of Charles E. Culpeper.

### CHAMBER MUSIC SOCIETY OF LINCOLN CENTER, INC.

New York, New York \$25,000

For its Beethoven 2000 concert series.

### DANCE THEATRE WORKSHOP, INC.

New York, New York \$500,000 over 3 years

Toward endowment in the name of Charles E. Culpeper.

### DANCING IN THE STREETS

New York, New York \$12,000

For a conference on exploring ways to promote and strengthen the field of site-specific dance and multi-disciplinary performance.

### JOYCE THEATRE FOUNDATION, INC.

New York, New York \$500,000 over 3 years

Toward endowment in the name of Charles E. Culpeper.

### NEW YORK CITY OPERA, INC.

New York, New York \$500,000 over 4 years

Toward endowment in the name of Charles E. Culpeper.

### NEW YORK BOTANICAL GARDEN

Bronx, New York \$450,000

Toward endowment in the name of Charles E. Culpeper

### NEW YORK FOUNDATION FOR THE ARTS, INC.

New York, New York \$25,000

For costs related to a Pocantico conference, "U.S.-Cuba Cultural Exchanges and Philanthropy in the Millennium."

### THE NEW YORK HISTORICAL SOCIETY

New York, New York \$250,000 over 2 years

As a contribution to a National Teachers Institute and related dissemination activities designed to help educators enhance the teaching of history.

### OPUS 118 MUSIC CENTER

New York, New York \$25,000

For expansion of teacher training initiatives.

### ST. LUKES CHAMBER ENSEMBLE, INC.

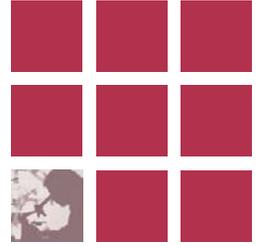
New York, New York \$292,000 over 3 years

To develop long-term relationships with a number of performing arts centers and universities outside of New York City, resulting in increased residency and performing opportunities.





# Health



## PROGRAM GUIDELINES

The Fund supports U.S.-based projects involving research and education in the field of human health. The Health Program, including the Charles E. Culpeper Scholarships in Medical Science program and the Charles E. Culpeper Biomedical Pilot Initiative, is designed to foster the Fund's interest in the following:

- Basic biomedical research with a special emphasis on molecular genetics, molecular pharmacology, and bioengineering.
- Health services research.
- The study of social and ethical issues in health and disease.
- The advancement of American medical education.

The goal of the **SCHOLARSHIPS IN MEDICAL SCIENCE** program is to develop and support young American medical school faculty members with demonstrated talents in biomedical research. Applications are accepted once a year with a mid-August deadline. Guidelines for applicants to the Scholarships in Medical Science, a three year program, are published anew each year in April and are available upon request or may be obtained from the Fund's site on the World Wide Web.

The goal of the **BIOMEDICAL PILOT INITIATIVE** is to encourage the investigation of new ideas in the areas of the Fund's interest in health, particularly research in molecular genetics, bioengineering, molecular pharmacology, and health services research. Guidelines for applicants to the Biomedical Pilot Initiative, a one-year program, are available upon request or may be obtained from the Fund's site on the World Wide Web.

Generally, the Fund does not support the acquisition of major items of equipment. Grants are limited to the United States.

## HEALTH ▶ 2000 GRANTS

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### RESEARCH

#### ETV ENDOWMENT OF SOUTH CAROLINA, INC.

Columbia, South Carolina \$25,000

For the education and outreach initiatives related to Hedrick Smith Productions' documentary, "Critical Condition: How Good Is Your Health Care?"

#### HEALTH COMMONS INSTITUTE

Falmouth, Maine \$280,000 over 2 years

For start up expenses of its project, the Maine Center for Health Systems Study.

#### NATIONAL CENTER FOR HEALTH EDUCATION, INC.

New York, New York \$25,000

As a contribution toward its seminar "Critical Issues in Global Health Leadership Challenges in the 21st Century," held in Salzburg, Austria, July 8-11, 2000.

#### ROCKEFELLER UNIVERSITY

New York, New York \$329,206

Toward the research of Maria Karayiorgou, MD, on "A Stratified Method For the Identification of Mouse QTLs Controlling Sensorimotor Gating: An Animal Model for Testing Drug Efficacy in Schizophrenia."

#### UNIVERSITY HOSPITALS OF CLEVELAND (UHOC)

Cleveland, Ohio \$200,000 over 2 years

As a contribution toward the research to create and establish continuing medical education programs that will prepare physicians to use advances in genetic testing.

#### UNIVERSITY OF CALIFORNIA

Los Angeles, California \$110,000 over 2 years

As a contribution to a project intended to develop a clinical predictive scale that will help physicians estimate the short-term survival probability of patients with advanced dementia.

#### UNIVERSITY OF CALIFORNIA

La Jolla, California \$300,000 over 3 years

For a project that will design and implement a new curriculum for the final year of study in the university's medical school.

#### UNIVERSITY OF MICHIGAN

Ann Arbor, Michigan \$150,000

As a contribution toward a project to create and launch computer-based clinical skill building tutorials for physicians and other healthcare providers.

#### UNIVERSITY OF VIRGINIA

Charlottesville, Virginia \$145,626 over 2 years

As a contribution toward a project entitled "Infected Physicians and Invasive Procedures: Development of National Policy Recommendations."

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### SCHOLARSHIPS IN MEDICAL SCIENCE

#### COLUMBIA UNIVERSITY

New York, New York \$324,000 over 3 years

Toward the research of Asa Abeliovich, MD, PhD, concerning the genetics of Parkinson's Disease.

#### CORNELL UNIVERSITY

Ithaca, New York \$324,000 over 3 years

Toward the research of Jay M. Edelberg, MD, PhD, at the Joan and Stanford Weill Medical College of Cornell University, concerning cardiac microvascular communication.

#### EMORY UNIVERSITY

Atlanta, Georgia \$324,000 over 3 years

Toward the research of Kerry James Ressler, MD, PhD, concerning the molecular neurobiology of fear in mammals.

#### HARVARD COLLEGE

Cambridge, Massachusetts \$324,000 over 3 years

Toward the research of Lynda Chin, MD, concerning the genetics of Melanoma.

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### BIOMEDICAL PILOT PROJECTS

#### ALBANY MEDICAL COLLEGE OF UNION UNIVERSITY

Albany, New York \$24,600

For the research of Mark W. Fleck, PhD, entitled "Control of AMPA Receptor Function by Desensitization."

#### CHILDREN'S HOSPITAL CORPORATION

Boston, Massachusetts \$25,000

Toward the research of Robert N. Husson, MD, entitled "Comparative Genomics of Strain W: A Highly Prevalent, Pathogenic Strain of Mycobacterium Tuberculosis."

#### CHILDRENS HOSPITAL CORPORATION

Boston, Massachusetts \$25,000

Toward the research of Xi He, PhD, entitled "Functional Cloning of Regulatory Genes Involved in Vertebrate Neural Induction."

#### CHILDREN'S RESEARCH INSTITUTE

Washington, D.C. \$24,450

Toward the research of Xuehai Ye, PhD, entitled "Gene Therapy for Congenital Nephrotic Syndrome in Mice Lacking CD2-Associated Protein."

#### COLORADO SCHOOL OF MINES FOUNDATION, INC.

Golden, Colorado \$25,000

Toward the research of Junko Munakata Marr, PhD, entitled "Biofilm Control Via Targeted Optical Manipulation: Investigative Studies."

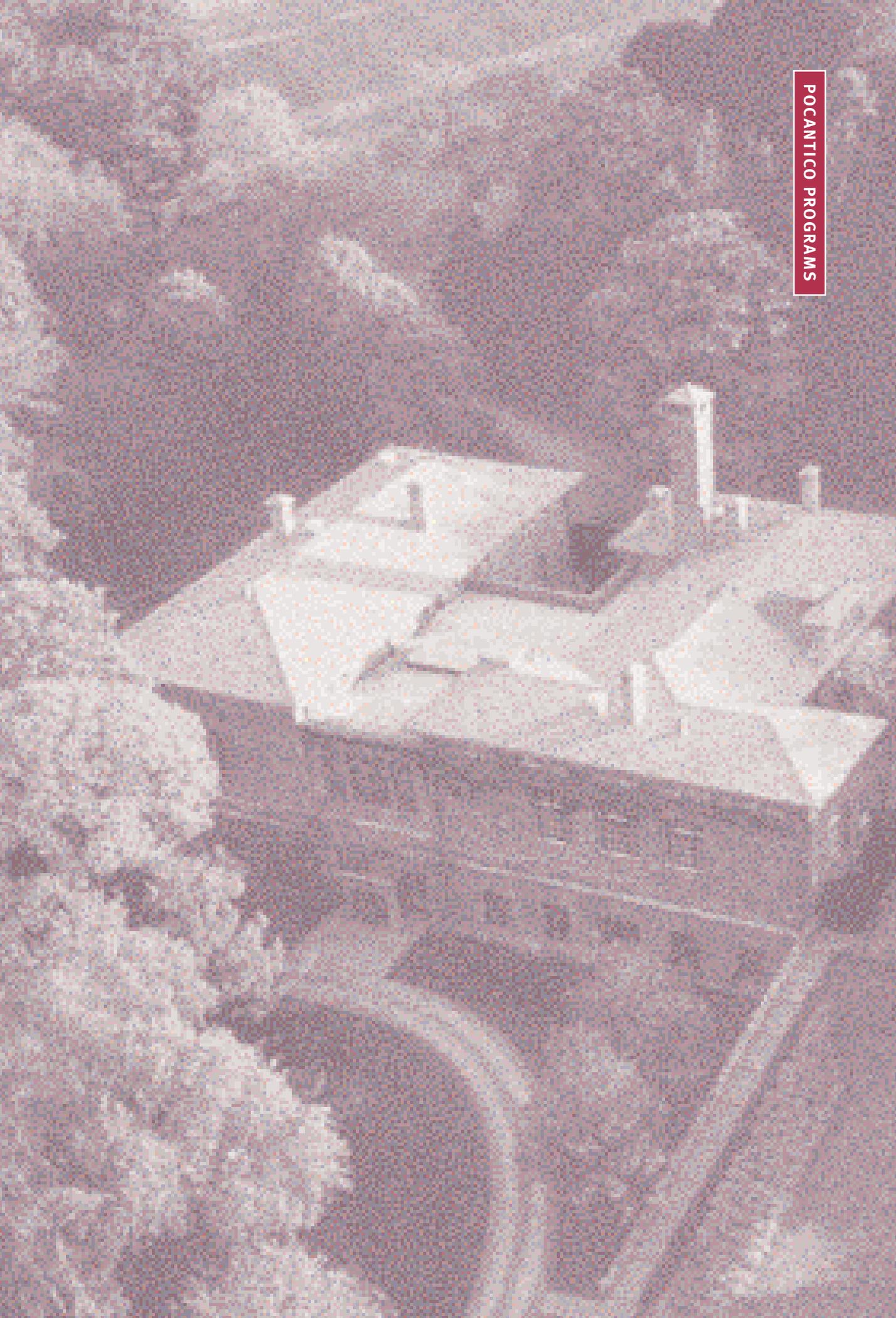
#### ENH RESEARCH INSTITUTE

Evanston, Illinois \$24,750

Toward the research of Lakshman Sehgal, PhD, entitled "Adenoviral Vector Based Delivery of Thrombomodulin Gene to Provide Localized Anticoagulation to Saphenous Vein Grafts Used in Coronary Artery Bypass Patients."

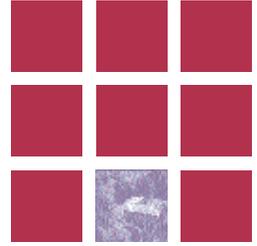
<b>HARVARD UNIVERSITY</b> Cambridge, Massachusetts	\$25,000	Toward the research of Marin Vulic, PhD, entitled "Entering Stationary Phase: Senescence, Death, and Selfish Survivors."
<b>INDIANA UNIVERSITY</b> Bloomington, Indiana	\$25,000	For the research of Evelyn Jabri, PhD, entitled "Structural Studies of RNA Helicases Involved in Germline Development."
<b>JOHNS HOPKINS UNIVERSITY</b> Baltimore, Maryland	\$25,000	Toward the research of A. Courtney DeVries, PhD, entitled "Stress-Induced Alterations in Gene Expression Following Experimental Stroke."
<b>LOUISIANA TECH UNIVERSITY</b> Reston, Louisiana	\$25,000	Toward the research of Bruce Gale, PhD, entitled "Nanoparticle Therapy: Design and Development of Targeted, Optically-Active Nanoparticles for Destruction of Tumor Cells."
<b>MAYO FOUNDATION</b> Rochester, Minnesota	\$25,000	Toward the research of Lewis Roberts, MD, PhD, entitled "Role of the FRA6E Chromosomal Fragile Site in Chronic Hepatitis B-Induced Liver Cancer."
<b>PURDUE RESEARCH FOUNDATION</b> West Lafayette, Indiana	\$25,000	Toward the research of Rashid Bashir, PhD, entitled "Feasibility of a Silicon-Based Nano-Electro-Mechanical System for the Electronic Characterization and Sequencing of DNA/mRNA."
<b>REGENTS OF THE UNIVERSITY OF CALIFORNIA</b> La Jolla, California	\$25,000	Toward the research of Victor Nizet, MD, entitled "Streptolysin S and the Pathogenesis of Streptococcal Necrotizing Fasciitis."
<b>REGENTS OF THE UNIVERSITY OF CALIFORNIA</b> Santa Barbara, California	\$24,986	Toward the research of Samir Mitragotri, PhD, entitled "A Non-Invasive and Painless Method of Vaccination."
<b>RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK</b> Buffalo, New York	\$25,000	For the research of Shahrokh C. Kahni, MD, PhD, entitled "Molecular Genetics of Age-Related Macular Degeneration."
<b>ST. VINCENTS CATHOLIC MEDICAL CENTERS OF NEW YORK</b> New York, New York	\$24,998	For the research of Philip W. Brickner, MD, entitled "Tuberculosis Ultraviolet Shelter Study."
<b>UNITED STATES DEPARTMENT OF ENERGY, FOR PERFORMANCE AT LAWRENCE BERKELEY NATIONAL LABORATORY</b> Berkeley, California	\$24,933	Toward a research fellowship for James T. Groves, PhD, for research entitled "Engineering Cell Adhesion: Novel Strategies to Patterned Cell Growth, Screening, and Manipulation."
<b>UNIVERSITY OF PENNSYLVANIA</b> Philadelphia, Pennsylvania	\$24,632	Toward the research of A. Joshua Wand, PhD, entitled "Encapsulation of Proteins Within Reserve Micelles: A New Approach to Membrane Protein Structure Determination."
<b>UNIVERSITY OF PITTSBURGH</b> Pittsburgh, Pennsylvania	\$24,998	Toward the research of James H-C. Wang, PhD, entitled "In Vitro Model Study of Cellular Mechanism of Tendinitis Induced by Repetitive Motion."
<b>VIRGINIA POLYTECHNIC INSTITUTE</b> Blacksburg, Virginia	\$25,000	Toward the research of Laura Wojcik, PhD, entitled "Development of A Novel Interactive Biomechanical Model for Clinical Simulations in Virtual Environments."
<b>WAYNE STATE UNIVERSITY</b> Detroit, Michigan	\$25,000	Toward the research of Howard W.T. Matthew, PhD, entitled "Hybrid Polysaccharide Materials for Enhanced Wound Healing and Tissue Repair."
<b>WHITEHEAD INSTITUTE FOR BIOMEDICAL RESEARCH</b> Cambridge, Massachusetts	\$25,000	For the research of Robert A. Weinberg, PhD, entitled "Acquisition of Invasiveness by Human Tumor Cells."
<b>WILLIAM MARSH RICE UNIVERSITY</b> Houston, Texas	\$25,000	For the research of Jennifer L. West, PhD, entitled "Nanoparticle Therapy: Design and Development of Targeted, Optically-Active Nanoparticles for Destruction of Tumor Cells."
<b>YALE UNIVERSITY</b> New Haven, Connecticut	\$25,000	As a contribution toward the research of Frank Slack, PhD, entitled "Identification of Cofactors for Small temporal RNAs."







# Pocantico Programs



## MISSION STATEMENT

To extend the reach of the RBF's grantmaking programs through conferences and meetings that address central concerns of the Fund;

To provide public access to the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York, through a program of public visitation;

To act as steward of the Pocantico Historic Area by carrying out maintenance, restoration, and conservation projects on behalf of the National Trust for Historic Preservation, from which the Fund leased the Pocantico Historic Area in 1991.

## 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 philanthropic program, leading to new levels of understanding and creative resolution of problems.

**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 CONFERENCES ▶ 2000

### FORD FOUNDATION WORLDWIDE PHILANTHROPY GROUP

January 5–7, 2000

*Sponsored by the Ford Foundation*

Program staff of the Ford Foundation's offices in Latin and Central America, Africa, Southeast Asia, India, and New York convened to share experiences, better understand how their efforts contribute to the foundation's mission, and devise a strategy for promoting philanthropy around the world. In considering how to more closely link grantmaking to the attainment of social change and social justice, participants concluded that strengthening emerging national foundations would remain a priority. They also decided to assess the results of Ford's work in this area and to concentrate on lessons learned about grantmaking strategies of new foundations, endowments, and governance and accountability. Finally, as a way of improving the policy environment within which emerging philanthropies operate, they agreed to support country-specific and comparative research projects.

### EARTH CHARTER DRAFTING MEETING

January 24–26, 2000

*Sponsored by the Earth Charter Fund*

At its third meeting at Pocantico in three years, The Earth Charter International Drafting Committee, chaired by Steven Rockefeller, convened to make recommendations for a final version of the charter. The 18 participants from Africa, Asia, Australia, Central and South America, Europe, North America, and Russia—experts in ecology, international affairs and international law, sustainable development, and global ethics—critiqued the existing draft; their recommendations were subsequently incorporated by a smaller drafting team. In March the Earth Charter Commission approved and released a final version of the charter, thus concluding the consultation and drafting process launched in 1995 when the Earth Charter Steering Committee met at Pocantico to lay the foundation for this work.

### THE BALTIC-AMERICAN PARTNERSHIP FUND STRATEGY RETREAT

February 2–4, 2000

*Sponsored by the Baltic-American Partnership Fund*

Refining and articulating the Baltic-American Partnership Fund's grantmaking strategy and drafting a request for proposals for its second-year Partnership Programs were the goals of a retreat for the organization's board and staff, as well as staff and advisors from its programs operating in the Baltic states. In addition to analyzing the programs' accomplishments during their first year, staff members reviewed and infrastructure for the nonprofit sector in the three countries and explored ways of building and strengthening the finances of nonprofit institutions. They also discussed cross-sectoral cooperation and lessons about civil engagement that might be drawn from U.S. programs that promote democracy abroad.

### RETHINKING THE CROSS-STRAIT RELATIONSHIP

February 10–13, 2000

*Sponsored by the Rockefeller Brothers Fund*

The United States Institute of Peace and the Council on Foreign Relations convened a nonpartisan group of leading scholars and analysts to assess the current cross-strait relationship and explore new approaches to shaping the future of greater China based on international law. The dialogue, attended by 22 specialists from mainland China, Hong Kong, and Taiwan, and 9 from the United States, was conducted off the record to encourage frank and fruitful exchanges. Pocantico's facilities offered a neutral setting that promoted reflection and focused, low-key discussions.

### NATIONAL TRUST FOR HISTORIC PRESERVATION HISTORIC SITE CAMPAIGN LEADERSHIP AND SITE DIRECTORS MEETINGS

March 6–9, 2000

*Sponsored by the Rockefeller Brothers Fund*

The directors of the seven sites involved in the National Trust for Historic Preservation's Comprehensive Campaign, as well as several of the trust's board and council members, met to report on their efforts and to share information and ideas that might advance their work. The site directors of all 20 National Trust Historic Sites subsequently gathered for their semiannual meeting and were joined by staff from the trust's headquarters to discuss issues of mutual concern.

### GLOBAL GOVERNANCE REFORM PROJECT

March 22–24, 2000

*Sponsored by the Rockefeller Brothers Fund*

In line with its interest in global security—in particular, the encouragement of candid exchanges of perspectives among the growing number of transnational policymakers—the RBF hosted a conference on behalf of Focus on the Global South for its Global Governance Reform Project. The project is being carried out jointly with Australia's La Trobe University and the Toba Institute. Participants—officials from United Nations and Bretton Woods institutions—reviewed drafts of materials planned by project staff. These include an edited volume concerning UN reform and changes in international financial systems, an essay on the governance and voting arrangements of existing global peace and development fora (notably, the contrast between the one-country-one-vote arrangement of UN bodies and the one-dollar-one-vote principle of the Bretton Woods institutions), and “advocacy booklets” that will explain globalization issues for a wide audience and that can be translated for use in various settings worldwide.

### **BUILDING CONSUMER DEMAND FOR ENVIRONMENTALLY FRIENDLY PRODUCTS AND SERVICES**

April 2–4, 2000

*Sponsored by the Rockefeller Brothers Fund*

Four organizations—the Center for a New American Dream, Consumers Choice Council, Mothers and Others for a Livable Planet, and Co-op America—convened to begin laying the foundation for efforts to increase institutional and individual demand for “green” (that is, environmentally sound) products and services. In planning a subsequent meeting, participants agreed to invite representatives of organizations likely to be involved in formulating policies on the procurement of such goods.

### **POCANTICO FORUM**

April 11, 2000

*Sponsored by the Rockefeller Brothers Fund and the National Trust for Historic Preservation*

The Pocantico Forum is an annual series of free lectures on a wide range of topics that are representative of the Fund’s broad program objectives. The lectures are hosted by the RBF and occasionally involve partnerships with local, regional, and national organizations and institutions. Some 70 guests from the local community attended the first lecture, on American garden ornaments (examples of which may be found throughout the gardens at Kykuit)—a subject that reflects the RBF’s commitment to the stewardship of Pocantico.

### **OXFORD COMMISSION ON SUSTAINABLE CONSUMPTION**

April 27–29, 2000

*Sponsored by the Rockefeller Brothers Fund*

The international Oxford Commission on Sustainable Consumption was created by Oxford University’s Mansfield College to serve as a catalyst for a shift towards more sustainable patterns of consumption. The commission is preparing an action plan for governments, businesses, the media, and other institutions to be published at the UN Earth Summit in 2002. At their second meeting, commission members agreed to undertake several projects to promote sustainable consumption in their home communities; they also refined a strategy for pursuing the action plan.

### **CRITICS TALK ABOUT SMART GROWTH**

May 10–11, 2000

*Sponsored by the Rockefeller Brothers Fund*

The colloquium, “Reversing Sprawl, Redefining Suburbs and Revitalizing Cities,” enabled design critics from 17 newspapers across the country—who collectively reach some 8 million readers each week—to come together for the first time and share reports on smart growth. Representatives of the Lincoln Institute for Land Policy set the agenda and led the discussion, which constituted a national overview on smart growth.

### **THE FOUNDATION CENTER: BOARD PLANNING RETREAT AND MEETING**

May 15–16, 2000

*Sponsored by the Rockefeller Brothers Fund*

The Foundation Center’s first board and staff planning retreat, one event in a year-long project, was attended by 10 senior staff members and 17 trustees, 6 of whom were completing their board service. Six papers prepared by board and staff working groups served as background to the discussions, which set directions for the next several years. The group also revised the center’s mission and vision and devised the framework for a plan for 2001–2003.

### **PUBLIC ENGAGEMENT, EDUCATIONAL REFORM, AND THE COURTS**

May 18–19, 2000

*Sponsored by the Rockefeller Brothers Fund*

As part of its national research project on the role of public engagement in school finance litigation and reform, the Campaign for Fiscal Equity (CFE) convened scholars, attorneys, judges, and leading activists from around the country to discuss their efforts in this area. In an examination of the hypothesis that such activities are most likely to be effective when members of the public are able to voice their opinions, the participants analyzed CFE’s public engagement efforts in New York State. CFE is exploring ways to create a national network on public engagement, school reform, and litigation as a way of continuing this kind of collaboration.

### **UNITED NATIONS SECURITY COUNCIL RETREAT**

June 2–3, 2000

*Sponsored by the Rockefeller Brothers Fund*

Most of the United Nations Security Council’s work entails responding to immediate crises; rarely do the council’s members have the chance to step back and analyze some of the broad ramifications of peacekeeping. To address this need, the UN Secretary-General invited the council’s 15 members to reflect on recent peacekeeping missions—special attention was devoted to Sierra Leone—and consider what conclusions might be applied to future missions (including Lebanon and the Democratic Republic of Congo) and to the overall improvement of the UN’s missions. The council decided to make the retreat an annual event.

### **SEMINAR ON “DEMOCRACY AND GLOBAL COOPERATION AT THE UNITED NATIONS”**

June 26–27, 2000

*Sponsored by the International Institute for Democracy and Electoral Assistance and the United Nations Foundation*

The International Institute for Democracy and Electoral Assistance (International IDEA), an intergovernmental organization that promotes democracy and assists democratization around the world, organized a seminar to generate ideas for a more effective United Nations role in democratization efforts. Participants were relatively young people who hold influential positions in the UN system, UN member states, academia, and nongovernmental organizations. Following the seminar, a policy discussion paper was produced and presented to the UN Secretary-General as a series of recommendations to the Millennium Assembly.

## **CHALLENGES AND OPPORTUNITIES IN THE TAIWAN STRAIT: DEFINING AMERICA'S ROLE**

July 14–16, 2000

*Sponsored by the Rockefeller Brothers Fund*

Since the early 1970s, the United States has attempted to forge and strengthen official ties with the People's Republic of China while maintaining functional relations with Taiwan. Scrutinizing the assumptions underlying U.S. policy toward Beijing and Taipei, prompting a fresh view of what is at stake for this country in the cross-strait controversy, and determining how best to safeguard vital American interests were the aims of a meeting convened by the National Committee on U.S.-China Relations. Some 30 U.S. academic, government, business, and media experts with a wide variety of professional and political perspectives recommended a continued reliance on the policy framework of the three Communiqués and the Taiwan Relations Act. They also suggested that the United States adopt a facilitating role—by, for example, helping to create an atmosphere conducive to dialogue, building trust in the negotiating process, and encouraging creative thinking and flexibility on both sides of the Taiwan Strait.

## **NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS BOARD/STAFF RETREAT**

July 24–25, 2000

*Sponsored by the Rockefeller Brothers Fund*

Board and staff members of the New York Regional Association of Grantmakers (NYRAG) met to set goals and assign priorities for the organization over the next three to five years. They also defined NYRAG's competitive strategies and analyzed and revised its current mission. Given the association's large number of members and their high visibility, the directions outlined at the retreat are likely to have major effects on grantmaking in the United States.

## **AHEAD OF THE CURVE? UN IDEAS AND GLOBAL CHALLENGES**

July 26–31, 2000

*Sponsored by the Rockefeller Brothers Fund*

Although the end of the Cold War led to a substantial growth in scholarly and policy interest in the political and security activities of the United Nations, no comparable attention has been paid to its economic and social activities. The United Nations Intellectual History Project, based at the CUNY Graduate Center, is attempting to redress this imbalance by exploring the nexus of ideas, international institutions, and public policy. The project's three codirectors gathered for a workshop to rethink the arguments in and fully revise the first book in a planned 15-volume series being published by Indiana University Press.

## **GLOBAL INTERDEPENDENCE INITIATIVE WORKING GROUP MEETING**

July 31–August 2, 2000

*Sponsored by the Rockefeller Brothers Fund*

The Global Interdependence Initiative is a long-range, cross-sectoral constituency-building endeavor that is funded by the RBF and other foundations. It was conceived at a 1996 Pocantico retreat sponsored by the Fund and the World Bank and formally launched with an RBF grant to the Aspen Institute in 1999. The initiative's Working Group brings together chief executives from leading U.S.-based organizations that deal with environmental, health, economic, and other global concerns. At its third meeting (convened by the institute) the working group considered the results and implications of surveys of Americans' understanding of the nation's role in addressing such challenges. Participants also identified areas for additional research and began to identify and plan ways to apply its results—separately or in collaboration—to efforts to build domestic support for cooperative forms of international engagement.

## **RBF PROGRAM FOR EDUCATIONAL LEADERSHIP COHORT 2 ANNUAL INSTITUTE**

August 4–8, 2000

*Sponsored by the Rockefeller Brothers Fund*

The annual summer institute for participants in the Fund's Program for Educational Leadership was attended by 15 fellows and 5 mentors from the second cohort of the program. In addition to giving presentations on how their personal and professional lives have changed through their involvement in the program, they attended workshops and seminars on the use of federal and state standards to design curricula for schools and communities, the pursuit of education reform through litigation, and issues of intercultural leadership and conflict resolution. After hearing a presentation on the impact of welfare reform on children in Mississippi, fellows prepared welfare reform lesson plans for their own classrooms.

## **NATIONAL EXECUTIVE SERVICE CORPS: STRENGTHENING THE NESC AFFILIATE NETWORK**

September 11–13, 2000

*Sponsored by the Rockefeller Brothers Fund*

Representatives of 14 local affiliates of the National Executive Service Corps (NESC) met to analyze and refine the organization's core mission and reevaluate its five-year strategy. They also agreed on a set of focused objectives and decided to restructure NESC in a way that will broaden affiliates' participation in its governance.

## **THE ROCKEFELLER FOUNDATION'S PHILANTHROPY WORKSHOP**

September 22–24, 2000

*Sponsored by the Rockefeller Foundation*

The Philanthropy Workshop (TPW) is a training program in strategic philanthropy for new donors. Founded by the Rockefeller Foundation in 1995, it provides the information, skills, and networks that allow new donors to move from charity to more focused approaches to giving. TPW participants attended a retreat that included readings, reflection, and discussions about the philosophical underpinnings of U.S. philanthropy; they also crafted mission statements for their new grantmaking foundations.

**WORKING MEETING OF THE  
NATIONAL RESEARCH COUNCIL PROJECT ON  
INSTITUTIONS FOR MANAGING THE COMMONS**

September 27–29, 2000

*Sponsored by the International Association for the Study of Common Property*

The U.S. National Research Council's Committee on the Human Dimensions of Global Change is reviewing and synthesizing knowledge accumulated over the past 15 years on the effectiveness of a variety of institutional forms, from community-based norms to international treaties, in managing human use of natural resources—fisheries, forests, water systems, and the atmosphere. Project leaders and the authors of 11 review papers outlined a synthesis of the papers and considered how best to integrate them into a book scheduled for publication in spring 2001. They also made plans for completing the introductory and synthetic chapters and for revising the remaining chapters.

**GRASSROOTS ACTION IN A GLOBAL WORLD**

October 2–4, 2000

*Sponsored by the Rockefeller Brothers Fund*

The RBF, the Environmental Partnership for Central Europe, the German Marshall Fund of the United States, and the Charles Stuart Mott Foundation hosted a seminar to assess the relationship between grassroots activity and globalization in Central Europe and the United States and to identify ways of nurturing constructive, farsighted local action. The seminar brought together 32 environmental leaders from this country and Central and Eastern Europe to examine prospects for transatlantic collaboration, with special attention to projects that promote urban and rural development. Afterwards they learned about and toured community-based projects in the Hudson River Valley and New York City.

**AFRICA GRANTMAKERS' AFFINITY GROUP RETREAT**

October 5–6, 2000

*Sponsored by the individual conferees and the Packard Foundation*

The Africa Grantmakers' Affinity Group (AGAG) is the first continent-wide affinity group of foundations. A retreat designed to promote networking and organize AGAG's structure and continued activities enabled representatives of 19 U.S. foundations working throughout Africa to address human and institutional capacity building in Africa, grantmakers' impact and effectiveness, financial sustainability, and the HIV/AIDS pandemic. The group plans to make the retreat an annual event.

**SEAWEB MARINE PROTECTED AREAS  
STRATEGIC MESSAGE DEVELOPMENT WORKSHOP**

October 18–20, 2000

*Sponsored by the Rockefeller Brothers Fund*

Developing a communications and campaign strategy for protecting marine habitat in U.S. oceans was the aim of a meeting attended by 22 environmental advocates, scientists, marine sanctuary managers, communications professionals, and foundation staff. In discussions led by representatives of SeaWeb, attendees devised the framework for a marine conservation campaign for safeguarding the nation's oceans. This was the second of three meetings planned in the series; the final meeting was held in February 2001.

**DANCING IN THE STREETS:  
NATIONAL CONFERENCE ON SITE WORK**

October 22–24, 2000

*Sponsored by the Rockefeller Brothers Fund*

The RBF and Dancing in the Streets convened 30 visual and performing artists, producers, and funders from across the United States to consider ways of increasing the national production and visibility of the unique art form known as site work to identify the challenges it poses. Participants recognized that site work has the potential to become one of the most public manifestations of art in the United States and highlighted the need to for a centralized entity to create the tools and systems for documentation, education, and advocacy. Several conferees agreed to join Dancing in the Streets representatives to form a task force that will formulate plans for implementing these suggestions.

**THE TRILATERAL COMMISSION  
2000 CHAIRMEN'S MEETING**

October 28–29, 2000

*Sponsored by the Trilateral Commission.*

The chairmen, deputy chairmen, and directors from the three regions represented in the Trilateral Commission met to address ways of helping the regions better cooperate with each other. Discussions ranged from project work and conferences to the evolving structure and focus of the commission itself. In addition, the meeting featured a discussion of the United States' relationship with the United Nations—a discussion that was also attended by the Japanese and German permanent representatives to the United Nations, an American UN General Assembly representative, and North American commission members.

**CARNEGIE ECONOMIC REFORM NETWORK:  
ANCHORING PUBLIC SUPPORT FOR REFORM**

October 30–November 1, 2000

*Sponsored by the Rockefeller Brothers Fund*

The Carnegie Endowment for International Peace's Economic Reform Network (CERN) is a group of 30 former ministerial-level policymakers who have attempted to implement comprehensive economic change in their countries. This year's meeting focused on the topic of anchoring public support for economic reform. Participants tackled questions about how to approach what has been called "reform fatigue" and secure support for second-generation reforms. Among the issues discussed were the value of consensus building, the use of communications and the media, the role of civil society, and the politics of reform. The meeting offered both a chance for experts and academics to present their work and an opportunity for CERN members to share their experience "from the trenches" of the reform process. The meeting featured a keynote speech by UNDP Administrator Mark Malloch Brown. An edited volume based on the meeting will include short case studies of CERN member experiences with the process of implementing reform, and academic papers on the subject.

## **PLANNING THE EXPANSION OF TEACH FOR AMERICA**

November 3–4, 2000

*Sponsored by the Rockefeller Brothers Fund.*

Teach for America's board of directors met to reorganize its efforts to support a significant expansion of the organization. The board affirmed its commitment to the plan to double the size of Teach for America, while at the same time increasing the effectiveness of its teachers and strengthening the network among the program's alumni. The board determined to organize its efforts around supporting an ambitious marketing and recruiting campaign and an aggressive fundraising effort. Sub-committees established clear goals, and the board agreed on next steps for working together.

## **POCANTICO FORUM: "THE FUTURE OF THE REGION'S WATERFRONTS"**

November 14, 2000

*Sponsored by the Rockefeller Brothers Fund*

Eighty guests from the local community attended the second in an annual series of free lectures, called the Pocantico Forum. The forum, which was held at the Coach Barn, featured representatives from two of the Fund's grantees: the Municipal Art Society and Scenic Hudson, Inc. Following introductory remarks made by RBF program officer Michael Northrop, guests heard Kent L. Barwick, president of the Municipal Art Society and director of the Metropolitan Waterfront Alliance, and Ned Sullivan, executive director of Scenic Hudson, Inc., discuss the pressures and opportunities occasioned by the redevelopment of the metropolitan area's waterfront. The goal of the Pocantico Forum series is to provide information on a wide range of issues and topics that reflect the broad program objectives of the Rockefeller Brothers Fund.

## **THE ASPEN INSTITUTE: DEVELOPING BALANCED LEADERS; THE ROLE OF THE EXECUTIVE LEADER**

November 15–17, 2000

*Sponsored by the Aspen Institute*

The Aspen Institute's Initiative for Social Innovation through Business (Aspen ISIB) convened experts in executive education from diverse institutions including academia, corporations, and professional service firms to learn about cutting-edge leadership development programs and to support Aspen ISIB's effort to build a learning network of practitioners. Collaborations for further initiatives were formed during and outside the conference sessions, and many participants left the meetings with plans to convene individuals in their own organizations/countries to help educators integrate social and environmental issues into their executive education programs. Conference co-chairs were William Wiggenghorn, senior vice president of training and education at Motorola Inc. and president of Motorola University, and Gary Jusela, chief learning officer at Lucent Technologies. Attendees came from the United States, India, South Africa, Mexico, Brazil, Germany, and England.

## **EARTH COUNCIL STRATEGY MEETING FOR NATIONAL COUNCILS FOR SUSTAINABLE DEVELOPMENT RIO +10 AND NCSD COLLABORATIVE**

November 27–29, 2000

*Sponsored by the Rockefeller Brothers Fund*

The National Councils for Sustainable Development (NCSD) program of the Earth Council convened a strategy meeting at Pocantico. The meeting focused on supporting the NCSD Rio+10 multi-stakeholder assessment of progress in implementing sustainable development over the past decade; and discussing the establishment of the NCSD Collaborative, which will bring together members of key sustainability initiatives to support national sustainable development through NCSDs. During the meeting, participants shared their recommendations for integrating critical advocacy issues into the NCSD Rio+10 assessment, and into the ongoing NCSD strengthening and knowledge sharing processes. It was agreed that the Collaborative would be formed and that over the coming months, communications among and contributions from the Collaborative participants would be encouraged through the NCSD Knowledge Network.

## **U.S. GREEN BUILDING COUNCIL LEADERSHIP IN ENERGY AND ENVIRONMENTAL DESIGN COMMERCIAL INTERIORS TECHNICAL CHARETTE**

December 3–5, 2000

*Sponsored by the Rockefeller Brothers Fund*

The U.S. Green Building Council (USGBC) brought together design professionals, scientists, government representatives, environmental advocates, and other stakeholders involved in the design and construction of building interiors to gather information and build a consensus to enable the USGBC to complete the first release of the LEED Commercial Interiors rating system to its membership for ballot in the spring of 2001. The group's work concentrated on four primary areas of concern: design issues and innovation, energy and water, indoor environmental quality, and materials and resources. As a result of this meeting, a new draft of the Commercial Interiors rating system will be distributed to the larger working Technical Advisory Groups. The draft will continue to be shaped by these groups in preparation for ballot in the spring.

## **CHILD CARE ACTION CAMPAIGN: POLICY FORUM FOR NEW YORK STATE SUPERINTENDENTS**

December 6-8, 2000

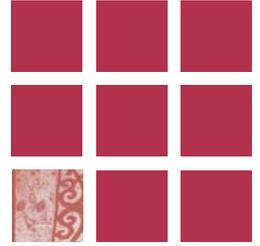
*Sponsored by the Rockefeller Brothers Fund*

"Toward a New Education Framework: Expanding the Boundaries to Include Universal Pre-K" was organized by the Child Care Action Campaign in co-sponsorship with Child Care Inc. and the State Communities Aid Association. Attending were 30 superintendents from four cities in New York (Syracuse, Binghamton, Ithaca, and Buffalo) and from Connecticut, Vermont, and South Carolina. Their goals were to create a policy framework to better link pre-K with the K–12 system, to identify effective practices in early care and education partnerships that can guide the adoption of universal pre-K in New York State, and to offer recommendations to education leaders in New York and elsewhere who are implementing universal systems of early care and education. Sessions were held on professional development, financing, the role of early childhood programs in promoting school readiness, and ways to engage community-based programs in implementing universal pre-K systems.





# Ramon Magsaysay Award Foundation



The trustees of the Fund encouraged the establishment of 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 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 significant support from the RBF.

In 2000, the The Ramon Magsaysay Award Foundation selected the following awardees:

## GOVERNMENT SERVICE

**Jesse M. Robredo**, Philippines, *mayor of the Philippine city of Naga from 1988 to 1998*

For “his giving credence to the promise of democracy by demonstrating that effective city management is compatible with yielding power to the people.”

## PUBLIC SERVICE

**Congjie Liang**, China, *founder of China's first environmental NGO, Friends of Nature*

For “his courageous pioneering leadership in China's environmental movement and nascent civil society.”

## JOURNALISM, LITERATURE AND CREATIVE COMMUNICATION ARTS

**Atmakusumah Astraatmadja**, Indonesia, *executive director, Dr. Soetomo Press Institute*

For “his formative role in laying the institutional and professional foundations for a new era of press freedom in Indonesia.”

## COMMUNITY LEADERSHIP

**Aruna Roy**, India, *co-founder of MKSS, Organization for the Empowerment of Workers and Peasants*

For “empowering Indian villagers to claim what is rightfully theirs by upholding and exercising the people's right to information.”

## INTERNATIONAL UNDERSTANDING

**Jockin Arputham**, India, *founder, National Slum Dwellers Federation of India*

For “extending the lessons of community building in India to Southeast Asia and Africa and helping the urban poor of two continents improve their lives by learning from one another.”

## RAMON MAGSAYSAY AWARD FOUNDATION ▶ 2000 GRANTS

### RAMON MAGSAYSAY AWARD FOUNDATION

Manila, Philippines \$180,000 total  
\$150,000 to the stipend for the 2000 Ramon Magsaysay Awards.

\$5,000 as a contribution for continued publication of The Magsaysay Awardee.

\$25,000 as a contribution to its Issues and Trends in Asian Development seminar.

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### PROGRAM FOR ASIAN PROJECTS

#### KIRAN BEDI

\$10,000 as a contribution to a comprehensive rural development project in an area near Delhi, India.

#### MAHASWETA DEVI

\$5,500 as a contribution to a project to establish ten non-formal education centers for the Dhikaro Community in West Bengal, India.

#### ANGELA GOMES

\$10,000 as a contribution to a project to improve the socio-economic conditions of disadvantaged women in rural areas of Bangladesh.

#### GILOPEZ KABAYAO

\$10,000 as a contribution to a project to create a more effective music curriculum for use in public and private schools in the Philippines.

#### TASNEEM A. SIDDIQUI

\$10,000 as a contribution to a project to develop strategies for providing affordable housing to shelterless families in urban centers in Pakistan.

#### M.S. SWAMINATHAN

\$10,000 as a contribution to a project to design and promote a community-based food security program in India.

#### RICHARD TIMM

\$10,000 as a contribution to a project to train tribal youth in human rights, investigation, and reporting in the Chittagong Hill Tracts of Bangladesh.

**ROCKEFELLER BROTHERS FUND**  
**Grants Paid in 2000**



# Summary of Grants Paid

## SUSTAINABLE RESOURCE USE

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>UNITED STATES AND GLOBAL</b>					
<b>ALASKA MARINE CONSERVATION COUNCIL</b> Anchorage, Alaska	To its fisheries management reform project in the North Pacific.	140,000		70,000	70,000
<b>AMERICAN COUNCIL FOR AN ENERGY EFFICIENT ECONOMY</b> Washington, D.C.	Toward efforts to improve appliance standards and increase the use of cogeneration.	100,000	50,000	50,000	
<b>AMERICAN LANDS ALLIANCE</b> Washington, D.C.	To its joint project with the World Wildlife Fund to ensure that scientific considerations inform climate change discussions.	75,000		75,000	
	For continued support of its global forest network and its efforts to educate conservation advocates about sustainable forestry.	200,000	100,000	100,000	
<b>AMERICAN LITTORAL SOCIETY</b> Frederick, Maryland	To its fisheries management project in the Caribbean.	50,000	25,000	25,000	
<b>AMERICAN OCEANS CAMPAIGN</b> Washington, D.C.	Toward its project, the Marine Fish Conservation Network, to enhance its grassroots organizing and media outreach capabilities.	150,000		75,000	75,000
	For its project, the Marine Fish Conservation Network.	160,000		80,000	80,000
<b>CAPE COD COMMERCIAL HOOK FISHERMEN'S ASSOCIATION</b> North Chatham, Massachusetts	To its Fisheries Reform Campaign.	70,000		35,000	35,000
<b>CENTER FOR RESOURCE ECONOMICS</b> Washington, D.C.	Toward publication of two books documenting the economic benefits of greenhouse gas emissions reduction.	100,000	50,000	50,000	
<b>CENTER FOR MARINE CONSERVATION</b> Washington, D.C.	To four fishery management reform projects in the Mid-Atlantic, South Atlantic, Gulf, and Pacific regions.	420,000	210,000		210,000
<b>CERTIFIED FOREST PRODUCTS COUNCIL</b> Beaverton, Oregon	To its efforts to build corporate demand for FSC-certified forest products.	200,000		100,000	100,000
<b>CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY</b> San Francisco, California	For general operating expenses and toward a project to assess strategies for private forest land conservation.	45,000	30,000	15,000	
<b>CLEAN AIR TASK FORCE</b> Boston, Massachusetts	Toward efforts to reduce carbon emissions from coal-fired plants.	150,000		75,000	75,000
<b>CLEAN AIR-COOL PLANET, INC., A NORTHEAST ALLIANCE</b> Portsmouth, New Hampshire	To the Northeast Climate Initiative.	100,000		50,000	50,000
<b>CLEAN ENERGY GROUP</b> Montpelier, Vermont	Toward efforts to help newly established state-based clean energy funds use their resources effectively.	200,000		100,000	100,000
<b>CLIMATE INSTITUTE</b> Washington, D.C.	To its work in assisting St. Lucia's transition to a clean energy future.	3,000		3,000	
	To its Sustainable Energy Demonstration Country Project in St. Lucia.	100,000		50,000	50,000
<b>COASTAL RAINFOREST COALITION</b> Berkeley, California	To its efforts to increase U.S. and European demand for sustainably managed forest products from Chile.	150,000		75,000	75,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>CONSERVATION LAW FOUNDATION</b> Boston, Massachusetts	For its fishery management project in New England.	100,000		50,000	50,000
<b>CONSUMER'S CHOICE COUNCIL</b> Washington, D.C.	Toward general support.	175,000		75,000	100,000
<b>DAVID SUZUKI FOUNDATION</b> Vancouver, Canada	Toward its scientific, legal, media, and First Nations community organizing work in British Columbia.	225,000		225,000	
<b>EARTH COUNCIL FOUNDATION</b> San Jose, Costa Rica	For a project to assist preparations for the Rio + 10 Summit in 2002.	100,000		100,000	
<b>ECOTRUST CANADA</b> Vancouver, Canada	Toward efforts to foster a conservation-based economy in the north coast region of British Columbia.	200,000	100,000	100,000	
<b>EDUCATIONAL BROADCASTING CORPORATION</b> New York, New York	For the production and promotion of "Global Report," a documentary film for public television on the health of Earth's major ecosystems.	250,000		250,000	
<b>ENVIRONMENT NORTHEAST</b> Rockport, Maine	Toward an analysis of cost effective domestic greenhouse gas reduction strategies.	45,000		45,000	
<b>ENVIRONMENTAL LAW &amp; POLICY CENTER OF THE MIDWEST</b> Chicago, Illinois	To its efforts to help newly established state-based clean energy funds use their resources effectively.	200,000		100,000	100,000
<b>FOREST STEWARDSHIP COUNCIL, A.C.</b> Oaxaca, Mexico	Toward strengthening its senior management staff.	100,000	50,000	50,000	
	Toward general support.	750,000			750,000
<b>FOREST TRUST</b> Santa Fe, New Mexico	To its Forest Stewards Guild.	100,000		50,000	50,000
<b>GERMAN MARSHALL FUND OF THE U.S.</b> Washington, D.C.	For travel, report, and follow-up field trip costs of a transatlantic seminar, "Grassroots Action in a Global World."	25,000		25,000	
<b>GLOBAL ENVIRONMENT AND TECHNOLOGY FOUNDATION</b> Annandale, Virginia	Toward its new Center for Energy and Climate Solutions to help American industry profitably reduce greenhouse gas emissions.	100,000	50,000	50,000	
<b>GREEN HOUSE NETWORK</b> Lake Oswego, Oregon	Toward general support.	50,000		25,000	25,000
<b>GREENPEACE FUND</b> Washington, D.C.	To its work building European buyer pressure for sustainably managed forestry practices in British Columbia.	100,000		50,000	50,000
<b>HAWAII AUDUBON SOCIETY</b> Honolulu, Hawaii	To its Fisheries Management project in the Western Pacific.	120,000	60,000	60,000	
<b>INSTITUTE FOR AGRICULTURE AND TRADE POLICY</b> Minneapolis, Minnesota	Toward its effort to educate private landowners in the Great Lakes region about sustainable forestry certification.	150,000		75,000	75,000
	To its efforts to certify private forest lands.	75,000		75,000	
<b>INTERNATIONAL COUNCIL FOR LOCAL ENVIRONMENTAL INITIATIVES USA</b> Berkeley, California	Toward helping municipalities develop plans for cost-effective greenhouse gas emissions reductions.	100,000	50,000	50,000	
<b>INTERNATIONAL ASSOCIATION FOR THE STUDY OF COMMON PROPERTY</b> Gary, Indiana	To its Year 2000 Conference and toward a follow-up meeting at the Pocantico Conference Center of the Rockefeller Brothers Fund.	25,000		25,000	
<b>INTERSTATE RENEWABLE ENERGY COUNCIL</b> Latham, New York	Toward efforts to create uniform pricing and interconnection standards for solar, wind, and fuel cell energy systems.	60,000	30,000	30,000	
<b>IZAAK WALTON LEAGUE OF AMERICA, INC.</b> Gaithersburg, Maryland	To efforts to further the development of sustainable forestry management practices on U.S. industrial forest lands.	80,000		60,000	20,000
	To a joint industry-NGO project to monitor sustainable forest management practices of industrial forest companies.	100,000		50,000	50,000
<b>LAND AND WATER FUND OF THE ROCKIES</b> Boulder, Colorado	Toward efforts to create consumer buyer cooperatives for renewable energy.	100,000		50,000	50,000
<b>LEGAL ENVIRONMENTAL ASSISTANCE FOUNDATION</b> Tallahassee, Florida	Toward efforts to create consumer buyer cooperatives for renewable energy.	100,000		50,000	50,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>LONG ISLAND PINE BARRENS SOCIETY</b> Manorville, New York	To support the Society's campaign to educate residents of the need to expand watershed protection in eastern Long Island.	25,000		25,000	
<b>MERIDIAN INSTITUTE</b> Dillon, Colorado	For support of a meeting on carbon certification on September 27, 2000.	15,000		15,000	
	To completion of its work with members of the Dialogue on Forested Lands and Taxation.	40,000		40,000	
	To its efforts to create an independent global certification system for greenhouse gas emission reductions.	200,000			200,000
<b>MUNICIPAL ART SOCIETY OF NEW YORK</b> New York, New York	Toward launching its project, the Metropolitan Waterfront Alliance.	200,000	100,000	100,000	
<b>NATIONAL COUNCIL FOR SCIENCE AND THE ENVIRONMENT</b> Washington, D.C.	To its efforts to launch a National Commission on Sustainable Forestry.	40,000		40,000	
<b>NATIONAL FISH AND WILDLIFE FOUNDATION</b> Washington, D.C.	To efforts to further the development of sustainable forestry management practices on U.S. industrial forest lands.	60,000	30,000	30,000	
<b>NATIONAL PARK FOUNDATION</b> Washington, D.C.	For its Park Partners Initiative.	25,000		25,000	
<b>NATURAL RESOURCES DEFENSE COUNCIL, INC</b> New York, New York	To its Forests for Tomorrow Initiative.	150,000		75,000	75,000
	To its efforts to build consumer awareness and demand for FSC-certified forest products.				
<b>NATURE CONSERVANCY, INC.</b> Arlington, Virginia	Toward its Forest Bank project, an innovative mechanism for conserving private forest land in the U.S.	45,000		45,000	
<b>NEW ENGLAND AQUARIUM CORPORATION</b> Boston, Massachusetts	For its New England Fishing Communities Organizing Project.	60,000	30,000	30,000	
<b>NEW ENGLAND FORESTRY FOUNDATION</b> Groton, Massachusetts	To the purchase of a conservation easement on approximately 755,000 acres of working forestland in northern and western Maine.	500,000		500,000	
<b>NEW YORK CONSERVATION EDUCATION FUND, INC.</b> New York, New York	For its project, the Waterfront Park Coalition to develop a Waterfront Blueprint.	200,000	100,000		100,000
<b>OXFAM-AMERICA</b> Boston, Massachusetts	To the advocacy work and rural development programs of its Mekong regional office in Phnom Penh, Cambodia.	80,000		40,000	40,000
<b>OXFAM - GREAT BRITAIN</b> Oxford, United Kingdom	To its Non-Timber Forest Products Project.	40,000		20,000	20,000
<b>OZONE ACTION</b> Washington, D.C.	For support of its efforts to build a U.S. constituency for mitigating climate change.	100,000	50,000	50,000	
<b>PENNSYLVANIA STATE UNIVERSITY</b> University Park, Pennsylvania	Toward its efforts to educate private land owners in Pennsylvania about sustainable forestry certification.	50,000	25,000	25,000	
<b>PEOPLE FOR PUGET SOUND</b> Seattle, Washington	Toward a model effort to design and implement a comprehensive system of marine protected areas in the northwest straits of Puget Sound.	120,000	60,000	60,000	
<b>RAINFOREST ACTION NETWORK</b> San Francisco, California	To general support.	200,000		100,000	100,000
<b>REGENTS OF THE UNIVERSITY OF CALIFORNIA</b> La Jolla, California	To the Partnership for Observation of the Global Oceans POGO of its Scripps Institution of Oceanography.	80,000		40,000	40,000
<b>RESIDENTS' COMMITTEE TO PROTECT THE ADIRONDACKS</b> North Creek, New York	To its efforts to certify private forest lands.	75,000		25,000	50,000
<b>ROCKEFELLER FAMILY FUND</b> New York, New York	Toward a project to build consumer demand for more fuel efficient vehicles.	100,000	50,000	50,000	
	To its Environmental Enforcement Project.	150,000			150,000
<b>ROUND RIVER CONSERVATION STUDIES</b> Salt Lake City, Utah	To its BC Coastal Conservation Area Design Project.	100,000		50,000	50,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>SIERRA CLUB OF BRITISH COLUMBIA FOUNDATION</b> Victoria, Canada	For its coastal ancient forest campaign.	25,000		25,000	
<b>SIERRA LEGAL DEFENCE FUND SOCIETY</b> Vancouver, Canada	Toward efforts to protect First Nations traditional lands in the temperate rainforests of British Columbia's mid coast.	50,000	25,000	25,000	
<b>SILVA FOREST FOUNDATION</b> Slocan Park, Canada	To its work certifying sustainable forestry practices in British Columbia.	150,000		75,000	75,000
<b>SOLAR DEVELOPMENT FOUNDATION</b> Arlington, VA	To its general program.	2,000,000		372,000	1,628,000
<b>SURFACE TRANSPORTATION POLICY PROJECT</b> Washington, D.C.	For a project entitled, From Place to Place, which explores solutions to America's 21st century transportation problems and the problem of urban sprawl.	25,000		25,000	
<b>TELLUS INSTITUTE, INC.</b> Boston, Massachusetts	To the conference: Electricity Restructuring at a Crossroads: Environmental and Consumer Implications.	2,000		2,000	
<b>TIDES CENTER</b> San Francisco, California	For support of the efforts of its project, Environmental Media Services, to educate the media about pressing environmental concerns, including climate change.	150,000	75,000	75,000	
	Toward its Environmental Media Services project which seeks to increase media interest in private forest lands conservation.	100,000		50,000	50,000
	To its project, the Global Forest Policy Project.	90,000	45,000	45,000	
<b>TIDES FOUNDATION</b> San Francisco, California	To the Forest Stewardship Council B.C. Regional Initiative.	100,000		50,000	50,000
<b>U.S. FOUNDATION FOR THE UNIVERSITY OF VICTORIA</b> Victoria, Canada	To its work on the use of remote sensing and other spatial planning tools to ensure local compliance with Thailand's national zoning regulations regarding shrimp aquaculture.	10,000		10,000	
<b>U.S. PUBLIC INTEREST RESEARCH GROUP EDUCATION FUND, INC.</b> Washington, D.C.	For support of its efforts to build a U.S. constituency for mitigating climate change.	100,000	50,000	50,000	
<b>U.S. WORKING GROUP INC.</b> Waterbury, Vermont	To its core program, the Forest Stewardship Council U.S.	200,000	100,000	100,000	
	Toward targeted advertising in support of sustainable forest management.	150,000		50,000	100,000
	For general support.	200,000		100,000	100,000
<b>VALHALLA WILDERNESS SOCIETY</b> New Denver, Canada	To its work to highlight and protect habitat for the Spirit Bear.	100,000		50,000	50,000
<b>WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVPMT, INC.</b> Morrilton, Arizona	Toward two projects designed to aid in the development of a carbon market.	125,000		125,000	
<b>WORLD RESOURCES INSTITUTE</b> Washington, D.C.	To its climate change program.	150,000		75,000	75,000
<b>WORLD WILDLIFE FUND, INC.</b> Washington, D.C.	To its joint project with the American Lands Alliance to ensure that scientific considerations inform climate change discussions.	100,000		100,000	
<b>YALE UNIVERSITY</b> New Haven, CT	To support a conference on climate change and protected areas.	25,000		25,000	
<b>CENTRAL AND EASTERN EUROPE</b>					
<b>A-PROJEKT</b> Liptovsky Hradok, Slovakia	For general operating support.	120,000	40,000	40,000	40,000
<b>CARPATHIAN FOUNDATION</b> Kosice, Slovakia	To the further development of its Integrated Rural Community Development Program.	100,000			100,000
<b>CEE BANKWATCH NETWORK</b> Krakow, Poland	General budgetary support.	180,000	60,000	120,000	
<b>CENTER FOR ENVIRONMENTAL PUBLIC ADVOCACY CEPA</b> Poniky, Slovakia	To its Public Interest Law Program.	50,000			50,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>CENTER FOR ENVIRONMENTAL STUDIES FOUNDATION</b> Budapest, Hungary	Toward general budgetary support.	90,000	74,575	15,425	
	To institutional capacity building and longer term financial planning.	200,000		75,000	125,000
<b>CITIZENS ACTION - CENTER FOR COMMUNITY ORGANIZING</b> Banska Bystrica, Slovakia	General operating expenses.	80,000	40,000	40,000	
<b>CLEAN AIR ACTION GROUP</b> Budapest, Hungary	To its transportation and sprawl program in Hungary.	90,000		30,000	60,000
<b>CONSERVATION FUND A NONPROFIT CORPORATION, THE</b> Arlington, Virginia	Toward a report on integrative approaches to encourage a healthy transformation of the countries in Central and Eastern Europe.	25,000		25,000	
<b>CZECH ECO-COUNSELING NETWORK STEP</b> Brno, Czech Republic	General budgetary support.	75,000	50,000	25,000	
<b>ENVIRONMENTAL MANAGEMENT AND LAW ASSOCIATION</b> Budapest, Hungary	For general budgetary purposes.	150,000	140,000	10,000	
<b>ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE - CZECH OFFICE</b> Brno, Czech Republic	Toward a collaborative transportation reform program.	120,000	40,000	40,000	40,000
<b>EUROPEAN CENTRE FOR ECOLOGICAL AGRICULTURE &amp; TOURISM, POLAND</b> Stryszow, Poland	Toward two projects to help rural people remain on small farms in Poland.	50,000	25,000	25,000	
<b>FOUNDATION INSTITUTE OF PUBLIC AFFAIRS</b> Warszawa, Poland	To institutional capacity building.	70,000		35,000	35,000
<b>FRIENDS OF THE EARTH, INTERNATIONAL</b> Amsterdam, The Netherlands	To its project to improve the accountability of international financial institutions, especially with respect to activities that bear on energy and transportation planning in Central and Eastern Europe, and on climate change.	70,000		35,000	35,000
<b>GERMAN MARSHALL FUND OF THE U.S.</b> Washington, D.C.	To its project to launch and operate the Environmental Partnership in Romania.	217,500	137,500	80,000	
	To its Environmental Partnership for Central Europe.	450,000		350,000	100,000
<b>GREEN FEDERATION</b> Krakow, Poland	To its transportation and sprawl program in Poland.	53,100		17,700	35,400
<b>HUNGARIAN ASSOCIATION FOR COMMUNITY DEVELOPMENT</b> Budapest, Hungary	To its organizational capacity building and to professionalize and expand community development work in Hungary.	100,000	50,000	50,000	
<b>INSTITUTE FOR ENVIRONMENTAL POLICY</b> Prague, Czech Republic	To current operating needs and longer term financial planning.	200,000			200,000
<b>INSTITUTE FOR SUSTAINABLE COMMUNITIES</b> Middlebury, Vermont	To the Madeleine M. Kunin Special Opportunities Fund.	150,000		150,000	
<b>INSTITUTE FOR SUSTAINABLE DEVELOPMENT</b> Warsaw, Poland	General budgetary support.	225,000	215,000	10,000	
<b>INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY</b> New York, New York	To its initiative to integrate real estate, transportation, and natural resources planning to make cities in Central and Eastern Europe more livable.	420,000		380,000	40,000
<b>PRAGUE MOTHERS</b> Prague, Czech Republic	Toward its project, SOS Prague.	20,000	10,000	10,000	
	Toward its project, SOS Prague.	60,000			60,000
<b>QUEBEC-LABRADOR FOUNDATION, INC.</b> Ipswich, Massachusetts	To the Central European Stewardship Program of its Atlantic Center for the Environment.	120,000	110,000	10,000	
	To its Central European Stewardship Program of its Atlantic Center for the Environment.	180,000		60,000	120,000
<b>ROZMBERK SOCIETY</b> Trebou, Czech Republic	To its project, the Kajakovice Peasant Museum and Cultural Center.	120,000		40,000	80,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>RURAL ORGANIZATION FOR COMMUNITY ACTIVITIES VOKA</b> Banska Bystrica, Slovakia	To a project to enhance its community capacity building efforts.	40,000		20,000	20,000
<b>EAST ASIA</b>					
<b>BANK INFORMATION CENTER</b> Washington, D.C.	To its Asia programs.	120,000		120,000	
<b>BOGOR AGRICULTURAL UNIVERSITY</b> Bogor, Indonesia	To its planning of a national training course of integrated coastal management in Indonesia.	50,000		50,000	
<b>CENTER FOR THE PROTECTION OF WILD NATURE "ZOV TAIGI"</b> Primorskii Krai, Russia	For its media work on fisheries and marine conservation issues in the Russian Far East.	50,000		25,000	25,000
<b>CHIANG MAI UNIVERSITY</b> Chiang Mai, Thailand	To its research program on resource tenure and political ecology.	80,000		40,000	40,000
<b>COLLEGE OF THE HOLY CROSS TRUSTEES</b> Worcester, Massachusetts	For a project to develop Vietnamese-language curricular material to advance economics training in Vietnam.	19,500		19,500	
<b>CONSUMERS ASSOCIATION OF PENANG</b> Pulau Penang, Malaysia	To its work on strengthening the legal framework of aquaculture development in Indonesia.	60,000		30,000	30,000
<b>CORAL REEF ALLIANCE CORAL, THE</b> Berkeley, California	For support of its "Dive Into Earth Day" project.	20,000		20,000	
<b>DUTA AWAM FOUNDATION</b> Solo, Indonesia	For research, advocacy, and training programs to monitor multilateral development projects in Indonesia.	80,000		40,000	40,000
<b>EARTH ISLAND INSTITUTE</b> San Francisco, California	To its Industrial Shrimp Aquaculture Network ISANET project.	52,700		52,700	
<b>ENERGY PROBE RESEARCH FOUNDATION</b> Toronto, Canada	To the Mekong program of Energy Probe Research Foundation's affiliate, Probe International, for capacity-building work with NGOs in Southeast Asia on the economics of hydropower development.	10,000		10,000	
	To the Mekong program of its Probe International division.	60,000		60,000	
<b>FOCUS ON THE GLOBAL SOUTH</b> Bangkok, Thailand	To its work in Mainland Southeast Asia.	240,000	80,000	80,000	80,000
<b>FRIENDS OF THE EARTH-JAPAN</b> Tokyo, Japan	To its work on reform of Japanese development assistance and for organizational development.	200,000	60,000	70,000	70,000
	To its work on reform of Japanese development assistance and for organizational development.	200,000	140,000	30,000	30,000
<b>HARIBON FOUNDATION FOR THE CONSERVATION OF NATURAL RESOURCES</b> Quezon City, Philippines	For its program on community-based marine protected areas in the Philippines.	6,000		6,000	
<b>HUALOPI FOUNDATION</b> Baquala, Indonesia	Toward its work on community-based coastal resource management.	70,000	35,000		35,000
<b>INDONESIA MEDIA DEVELOPMENT FOUNDATION</b> Jakarta, Indonesia	To its project, "Developing Media Services for Better Governance in Indonesia."	50,000		25,000	25,000
<b>INSTITUTE FOR SUSTAINABLE NATURAL RESOURCE USE</b> Vladivostok, Russia	To general support and its work in community-based natural resource management in Primorye province.	25,000		15,000	10,000
	To its transportation planning work in China.	50,000		50,000	
<b>INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY</b> New York, New York	Toward the preparatory phase of an Urban Husbandry Communications Project.	75,000		75,000	
<b>INTERNATIONAL CENTER FOR LIVING AQUATIC RESOURCES/MANAGEMENT</b> Penang, Malaysia	To its regional work on coastal management training.	30,000		30,000	
<b>INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC.</b> Washington, D.C.	To its programs in Asia.	150,000	75,000	75,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>INTERNATIONAL RIVERS NETWORK</b> Berkeley, California	To its Mekong program.	180,000	105,000		75,000
<b>ISAR, INC.</b> Washington, D.C.	Toward its "Living Seas" public education work in the Russian Far East.	120,000		60,000	60,000
<b>JALA FOUNDATION</b> Medan, Indonesia	For its work in community organizing and paralegal training among fishing communities of Sumatra.	50,000		50,000	
<b>KAMCHATKA LEAGUE OF INDEPENDENT EXPERTS</b> Petropavlovsk-Kamchatsky, Russia	To general support and its work on energy, fisheries, and mining issues in Kamchatka.	25,000		15,000	10,000
<b>KHAO KWAN FOUNDATION</b> Suphanburi, Thailand	For its GreenNet Organic Competency Project.	90,000		60,000	30,000
<b>LAJNAH KAJIAN PENGEMBANGAN SDM LAKPESDAM</b> Panakukang V Makassar, Indonesia	For the anti-destructive fishing program of its Working Group on Human Resource Development.	18,300		18,300	
<b>MAGADAN CENTER FOR THE ENVIRONMENT</b> Magadan, Russia	Toward general support and its work on marine and mining issues in Magadan Province.	20,000			20,000
<b>MEKONG WATCH JAPAN</b> Tokyo, Japan	To the organization's core operating costs.	120,000		120,000	
<b>NATIONAL UNIVERSITY OF LAOS</b> Vientiane, Laos	Toward building capacity in its natural resource management curriculum, and toward the costs of hosting a meeting of the Asia Resource Tenure Network.	100,000	50,000	50,000	
<b>NATURAL RESOURCES AND DEVELOPMENT INSTITUTE</b> Jakarta, Indonesia	To its work on the role of Export Credit Agencies in Indonesia's development.	80,000		40,000	40,000
<b>NAUTILUS OF AMERICA, INC.</b> Berkeley, California	To its project, "Environmental Scenarios After the Asian Crisis."	80,000	40,000	40,000	
<b>NETWORK OF AQUACULTURE CENTRES IN ASIA-PACIFIC</b> Bangkok, Thailand	For travel funds and publication costs associated with an upcoming international conference, "Aquaculture in the Third Millennium," to be held in Bangkok.	15,000		15,000	
<b>NORTHERN DEVELOPMENT FOUNDATION</b> Chiang Mai, Thailand	To its Southeast Asia Rivers Network program.	80,000		40,000	40,000
<b>NORTHERN PACIFIC FUND</b> Petropavlovsk-Kamchatsky, Russia	To its work in promoting conservation and good governance in Russia's Far East fishing sector.	50,000		25,000	25,000
<b>PACIFIC ENVIRONMENT AND RESOURCES CENTER</b> Oakland, California	For its work in the Russian Far East.	300,000		150,000	150,000
<b>PACIFIC MARINE CONSERVATION COUNCIL</b> Astoria, Oregon	To its fishery management reform project in the Pacific.	100,000		50,000	50,000
<b>PESTICIDE ACTION NETWORK-NORTH AMERICA REGIONAL CENTER</b> San Francisco, California	Toward efforts to reduce pesticide use in World Bank and corporate joint-venture agriculture projects in Indonesia and China.	100,000	50,000	50,000	
<b>PROJECT UNDERGROUND</b> Berkeley, California	To its project on submarine mine tailings disposal and mining impacts on Southeast Asian coastal zones.	40,000		40,000	
<b>SAKHALIN ENVIRONMENT WATCH</b> Yuzhno-Sakhalinsk, Russia	For general support and its work on forest watershed protection and for its marine environment program in Sakhalin.	25,000			25,000
<b>SEAWEB</b> Washington, D.C.	To the SeaWeb Salmon Aquaculture Clearinghouse project.	80,000	40,000	40,000	
<b>SOUTH CHINA AGRICULTURAL UNIVERSITY</b> Guangzhou, People's Republic of China	Toward efforts to develop sustainable agriculture extension programs in Guangdong Province.	156,000	104,000	52,000	
<b>SYDNEY, UNIVERSITY OF AUSTRALIA</b> Sydney, Australia	To the Australian Mekong Resource Center.	120,000		60,000	60,000
<b>TAIGA RANGERS</b> Khabarovsk, Russia	To general support and its work on forest watershed protection in Khabarovsk province.	20,000			20,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>TAMBUYOG DEVELOPMENT CENTER</b> Quezon City, Philippines	For its Sustainable Water Area Management Project.	100,000		50,000	50,000
<b>TELAPAK FOUNDATION</b> Bogor, Indonesia	For support of a national meeting of the Indonesian Network of Coastal and Marine NGOs.	5,000		5,000	
<b>TIDES CENTER</b> San Francisco, California	For its Asia Pacific Environmental Exchange project.	60,000	30,000	30,000	
<b>VIETNAM NATIONAL UNIVERSITY</b> Hanoi, Vietnam	For its outreach by its Center for Resources Management and Environmental Studies on integrated mangrove-shrimp aquaculture systems.	6,000			6,000
<b>WETLANDS INTERNATIONAL ASIA PACIFIC</b> Petaling Jaya, Malaysia	To the work of its Indonesia program on coastal management and shrimp aquaculture area rehabilitation in Indra Mayu reGENCY of West Java, Indonesia.	40,000		20,000	20,000
<b>WILD SALMON CENTER</b> Portland, Oregon	To its salmon biogeographical mapping project and its effort to create wild salmon sanctuaries in the Russian Far East.	150,000		110,000	40,000
<b>WINROCK INTERNATIONAL INSTITUTE FOR AGRICULTURAL DEVPMT, INC.</b> Morrilton, Arizona	Toward its Renewable Energy Project Support Office in Nepal.	240,000		80,000	160,000
<b>WORLD RESOURCES INSTITUTE</b> Washington, D.C.	To its work with Indonesian NGOs in preparing a report on the state of the shrimp aquaculture industry in Indonesia.	10,000		10,000	
<b>YUNNAN ACADEMY OF SOCIAL SCIENCES</b> Kunming, People's Republic of China	For a project of its Institute of Rural Economy on people's participation in determining resource tenure arrangements.	50,000	30,000		20,000
<b>SUBTOTAL</b>				9,423,625	7,669,400

## GLOBAL SECURITY

CONSTITUENCY BUILDING					
<b>ASPEN INSTITUTE, INC.</b> Washington, D.C.	Toward the Global Interdependence Initiative.	500,000	250,000	250,000	
	Toward the Global Interdependence Initiative.	500,000		250,000	250,000
<b>ASSOCIATION OF THE BAR OF THE CITY OF NEW YORK FUND, INC.</b> New York, New York	For its Partnerships Across Borders: A Global Forum on Access to Justice program.	25,000		25,000	
<b>BENTON FOUNDATION</b> Washington, D.C.	For its project, Youth Activism and Global Engagement: Charting the Field.	25,000		25,000	
<b>CENTER FOR POLICY ALTERNATIVES</b> Washington, D.C.	To the Eleanor Roosevelt Global Leadership Institute.	300,000		150,000	150,000
<b>COALITION FOR WOMEN'S ECONOMIC DEVELOPMENT &amp; GLOBAL EQUALITY, INC, THE</b> Washington, D.C.	To its efforts to develop a communications strategy for international women's organizations concerned about globalization.	100,000		100,000	
<b>COLLEGE-UNIVERSITY RESOURCE INSTITUTE, INC.</b> Washington, D.C.	Toward a set of communications consultations by its project, the FrameWorks Institute, with selected organizations from the Working Group of the Global Interdependence Initiative.	25,000		25,000	
<b>EDUCATIONAL BROADCASTING CORPORATION</b> New York, New York	For efforts to research and develop a new documentary series for PBS that tells the story of the United Nations.	25,000		25,000	
<b>FOREIGN POLICY ASSOCIATION</b> New York, New York	To help produce an interview with Thomas Friedman, the foreign affairs columnist of the New York Times, for a Great Decisions television segment entitled "Globalization."	25,000		25,000	
<b>GEORGETOWN UNIVERSITY</b> Washington, D.C.	Toward the general program activity of Georgetown's Institute for the Study of Diplomacy.	15,000		15,000	
<b>HARVARD UNIVERSITY</b> Cambridge, MA	For a new program at its Divinity School on examining ethno-religious conflict and peacemaking strategies.	25,000		25,000	
<b>LINKMEDIA, INC.</b> San Rafael, California	To its public interest television channel, WorldLink TV.	300,000		200,000	100,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>MILLENNIUM WORLD PEACE SUMMIT, THE</b> New York, New York	Toward costs associated with the Millennium World Peace Summit of Religious and Spiritual Leaders.	75,000		75,000	
<b>NATIONAL PEACE CORPS ASSOCIATION</b> Washington, D.C.	Toward its public policy education program.	25,000		25,000	
<b>NEW SCHOOL UNIVERSITY</b> New York, New York	Toward the College Media Initiative of the U.N. Project at its World Policy Institute.	200,000		100,000	100,000
<b>NEW YORK UNIVERSITY - CENTER ON INTERNATIONAL COOPERATION</b> New York, New York	Toward a project of its Center on International Cooperation, entitled "Unilateralism, and U.S. Foreign Policy."	190,000		100,000	90,000
<b>OFFICE OF THE UNITED NATIONS HIGH COMMISSIONER FOR REFUGEES</b> Geneva, Switzerland	Toward its Imagine Coexistence project.	25,000		25,000	
<b>OVERSEAS DEVELOPMENT COUNCIL</b> Washington, D.C.	To extend the outreach phase of its project, "America's National Interests in Multilateral Engagement: A Bipartisan Dialogue."	25,000		25,000	
<b>PACIFIC COUNCIL ON INTERNATIONAL POLICY</b> Los Angeles, California	Toward membership recruitment and public outreach efforts.	225,000		75,000	75,000
<b>PUBLIC CONVERSATIONS PROJECT, INC.</b> Watertown, Massachusetts	For a planning process that will explore opportunities for making its resources more accessible to an international audience.	25,000		25,000	
<b>PUBLIC RADIO INTERNATIONAL</b> Minneapolis, Minnesota	Toward creation of the position of Special Projects Producer for its daily international news program, The World.	260,000	128,000	132,000	
<b>STATE OF THE WORLD FORUM</b> San Francisco, California	For a high level gathering of international leaders of business and civil society in New York.	25,000		25,000	
<b>UNITED NATIONS ASSOCIATION OF THE UNITED STATES OF AMERICA, INC.</b> New York, New York	To a public education project entitled "Global Health and the UN System."	250,000		125,000	125,000
<b>UNIVERSITY FOR PEACE</b> Ciudad Colon, Costa Rica	Toward its reorganization process.	25,000		25,000	
<b>WORLD AFFAIRS COUNCIL OF NORTHERN CALIFORNIA</b> San Francisco, California	To efforts to diversify its membership and develop effective models for outreach to new constituencies.	75,000		75,000	
<b>TRANSPARENCY AND INCLUSIVE PARTICIPATION</b>					
<b>CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW</b> Washington, D.C.	Toward a two-year project to develop a theoretical and practical framework for World Trade Organization reform.	100,000	50,000	50,000	
	To establish a trade action network.	200,000		200,000	
<b>CONSUMER'S CHOICE COUNCIL</b> Washington, D.C.	To efforts to review the role of the office of the U.S. Trade Representative in international policymaking.	25,000		25,000	
<b>EARTHRIGHTS INTERNATIONAL</b> Washington, D.C.	Toward efforts to document human rights abuses and environmental despoliation in Myanmar and Thailand.	60,000		60,000	
<b>FOUNDATION FOR THE SUPPORT OF ANPED</b> Amsterdam, The Netherlands	To its efforts to develop social and environmental guidelines for export credit agencies.	200,000		100,000	100,000
<b>GEORGETOWN UNIVERSITY</b> Washington, D.C.	To a project of its Harrison Institute on trade and local governance.	200,000		200,000	
<b>GLOBAL LEGISLATORS ORG. FOR A BALANCED ENVIRONMENT U.S.A.</b> Washington, D.C.	To its efforts to develop social and environmental guidelines for export credit agencies.	200,000			200,000
<b>GLOBAL WITNESS TRUST</b> London, United Kingdom	Toward its Angola and Cambodia projects.	150,000	75,000	75,000	
<b>INSTITUTE FOR AGRICULTURE AND TRADE POLICY</b> Minneapolis, Minnesota	Toward efforts to give greater expression to environmental and human security concerns in national and international standard-setting processes.	200,000	100,000	100,000	
<b>INTERNATIONAL FORUM ON GLOBALIZATION</b> San Francisco, California	To its efforts to develop a positive vision for global governance.	150,000		75,000	75,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>PUBLIC CITIZEN FOUNDATION, INC.</b> Washington, D.C.	To its efforts to monitor, make transparent, and reform global standard setting.	100,000		50,000	50,000
<b>ROCKEFELLER FAMILY FUND</b> New York, New York	To the Environmental Grantmakers Association's efforts to form a Funder's Network on Trade.	50,000		25,000	25,000
<b>SOUTH CENTRE</b> Geneva, Switzerland	To its efforts to support capacity building and engagement by developing country NGOs and governments on trade and global governance issues.	200,000		100,000	100,000
<b>THIRD WORLD NETWORK</b> Penang, Malaysia	To its efforts to support capacity building and engagement by developing country NGOs and governments on trade and global governance issues.	200,000		100,000	100,000
<b>TUFTS COLLEGE, TRUSTEES OF</b> Medford, Massachusetts	To a project of its Global Development and Environment Institute on trade and globalization issues.	225,000		150,000	75,000
<b>UNITED NATIONS</b> New York, New York	To support the United Nations Development Programme's work on assessment of the global trading system and development of a positive vision for the international governance of trade.	100,000		100,000	

### ECONOMIC INTEGRATION

<b>INSTITUTE FOR HUMAN SCIENCES</b> Spittelauer Lande, Austria	To its program, Social Costs of Economic Transformation in Central Europe.	300,000		150,000	150,000
<b>INSTITUTE FOR INTERNATIONAL ECONOMICS</b> Washington, D.C.	To three related research and publication projects focusing on the management of international capital flows in the wake of the Asian financial crisis.	250,000	85,000	85,000	80,000
<b>THE TRILATERAL COMMISSION (NORTH AMERICA)</b> New York, New York	Toward the work of its Study Group on East Asia and the International System.	64,000		64,000	

### EMERGING TRANSNATIONAL CONCERNS

<b>INSTITUTE FOR SECURITY STUDIES</b> Cape Town, South Africa	For its project "Towards Improving the Effectiveness of Southern African States in Identifying and Combating the Penetration by Organized Crime Networks of State Structures and Regional Business Activities."	130,000		60,000	70,000
<b>SOUTH AFRICAN INSTITUTE OF INTERNATIONAL AFFAIRS</b> Braamfontein, South Africa	To its project, The Impact of West African Criminal Groups in Southern Africa: Empirical Perspectives, Analysis and Policy Options.	49,000			49,000

### OTHER

<b>PLOUGHSHARES FUND</b> San Francisco, California	To its program of the Peace and Security Funders Group.	50,000	25,000	25,000	
<b>PLOWSHARES INSTITUTE</b> Simsburg, Connecticut	To its Empowering for Reconciliation project in Indonesia.	60,000		60,000	
<b>SUBTOTAL</b>				3,801,000	1,964,000

## NONPROFIT SECTOR

### DEVELOPMENT OF RESOURCES

<b>ACADEMY FOR THE DEVELOPMENT OF PHILANTHROPY IN POLAND</b> Warsaw, Poland	Toward evaluating and further developing its programs to promote philanthropy in Poland.	60,000		60,000	
<b>ALLIANCE FOR NONPROFIT MANAGEMENT</b> Washington, D.C.	General support.	100,000		50,000	50,000
<b>ASIA FOUNDATION, THE</b> San Francisco, California	Toward its Asia Pacific Philanthropy Consortium project.	150,000	100,000	50,000	
<b>ASPEN INSTITUTE, INC.</b> Washington, D.C.	Toward its State of the Nonprofit Sector report.	75,000		25,000	50,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>BRIDGE GROUP INC.</b> Boston, Massachusetts	For start-up support.	450,000		300,000	150,000
<b>CHILDREN OF SLOVAKIA FOUNDATION</b> Bratislava, Slovakia	To its capacity building and fostering philanthropy projects.	90,000	45,000	45,000	
	To the organization's institutional development.	100,000		100,000	
<b>CHINA DEVELOPMENT RESEARCH SERVICES</b> Beijing, People's Republic of China	For the development of a bilingual website regarding development issues and the nonprofit sector in China.	20,000		20,000	
<b>CIVICUS: WORLD ALLIANCE FOR CITIZEN PARTICIPATION</b> Washington, D.C.	For general support.	100,000	50,000	50,000	
<b>CIVIL SOCIETY DEVELOPMENT FOUNDATION - POLAND</b> Gdynia, Poland	To the organization's institutional development.	50,000		25,000	25,000
<b>COMMITTEE TO ENCOURAGE CORPORATE PHILANTHROPY, INC.</b> New York, New York	For core support of it's efforts to increase corporate philanthropy.	150,000		50,000	100,000
<b>COUNCIL ON FOUNDATIONS</b> Washington, D.C.	Toward general support for 2001.	39,600		39,600	
	For the work of its International Committee.	50,000	25,000	25,000	
<b>DEMOS: A NETWORK FOR IDEAS &amp; ACTION</b> New York, New York	General operating support.	500,000			500,000
<b>DEVELOPMENT SCHOOL, THE</b> Gent, Belgium	To help establish an advanced capacity building program for nonprofit trainers and consultants in Central and Eastern Europe.	60,000		60,000	
<b>ENVIRONMENTAL PARTNERSHIP FOUNDATION, HUNGARY</b> Budapest, Hungary	To its Integrated Organizational Development project.	102,000	34,000	34,000	34,000
<b>EUROPEAN ROMA RIGHTS CENTER</b> Budapest, Hungary	For maintaining and enhancing the Center's research and information services.	100,000	80,000	20,000	
<b>FAMILY FOUNDATION OF NORTH AMERICA</b> Milwaukee, Wisconsin	To Phase II of it's Resource Development Initiative.	180,000		60,000	120,000
<b>FORUM OF REGIONAL ASSOCIATIONS OF GRANTMAKERS</b> Washington, D.C.	To its New Ventures in Philanthropy project.	200,000		200,000	
<b>FOUNDATION CENTER</b> New York, New York	Toward general support for 2001 and 2002.	60,000		30,000	30,000
<b>GERMAN MARSHALL FUND OF THE U.S.</b> Washington, D.C.	For its project, the Trust for Civil Society in Central and Eastern Europe.	3,000,000		1,700,000	1,300,000
<b>HARVARD UNIVERSITY: JOHN F. KENNEDY SCHOOL OF GOVERNMENT</b> Cambridge, Massachusetts	To an Executive Session on Policies and Practices in Philanthropy to be convened by the Hauser Center of the John F. Kennedy School of Government.	300,000	100,000	200,000	
<b>HEALTHY CITY FOUNDATION – COMMUNITY FND. OF BANSKA BYSTRICA</b> Banska Bystrica, Slovakia	Toward general support.	100,000	50,910	49,090	
	To the organization's institutional development.	50,000			50,000
<b>HISPANICS IN PHILANTHROPY</b> Berkeley, California	Toward its project, The Funders Collaborative for Strong Latino Communities.	300,000		100,000	200,000
<b>HUNGARIAN FOUNDATION FOR SELF-RELIANCE</b> Budapest, Hungary	To the organization's institutional development.	100,000		100,000	
<b>INDEPENDENT SECTOR</b> Washington, D.C.	Toward the costs of implementation planning for the Independent Sector strategic framework.	20,000		20,000	
	Toward its Building Capacity for Public Policy Program.	90,000	30,000	60,000	
<b>INDIANA UNIVERSITY FOUNDATION</b> Indianapolis, Indiana	To develop and strengthen a network promoting third-sector studies in Central and Eastern Europe.	45,000		45,000	
<b>INTERNATIONAL CENTER FOR NOT-FOR-PROFIT LAW</b> Washington, D.C.	To its "Database, Journal, and Support for International Grant Making Project."	100,000	50,000	50,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>INTERNATIONAL NGO FORUM ON INDONESIAN DEVELOPMENT (INFID)</b> Jakarta, Indonesia	For its Global Issues Program.	100,000		50,000	50,000
<b>JOHNS HOPKINS UNIVERSITY INSTITUTE FOR POLICY STUDIES</b> Baltimore, Maryland	To the International Fellows in Philanthropy program of its Institute for Policy Studies.	100,000		34,000	66,000
<b>NATIONAL CENTER FOR BLACK PHILANTHROPY, INC.</b> Washington, D.C.	Toward the Third National Conference on Black Philanthropy.	35,000		35,000	
<b>NATIONAL CENTER ON NONPROFIT ENTERPRISE, INC.</b> Arlington, Virginia	Toward planning and start-up costs.	50,000	20,000	30,000	
	Toward the costs of convening a meeting of potential consortium members to develop a specific plan for the structure and implementation of a consortium to sponsor NCNE.	15,000		15,000	
<b>NATIONAL CENTER ON PHILANTHROPY AND THE LAW</b> New York, New York	To the Rockefeller Brothers Fund Fellowship in Nonprofit Law program.	228,470		78,470	150,000
<b>NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS</b> Washington, D.C.	To general support.	300,000		200,000	100,000
<b>NEW HAMPSHIRE COLLEGE</b> Manchester, New Hampshire	Toward the cost of scholarships at the Scaling up Institute of the Community Economic Development Program at the college's Graduate School of Business.	50,000		50,000	
<b>NONPROFIT ENTERPRISE AND SELF-SUSTAINABILITY TEAM</b> Budapest, Hungary	For its Sustainable NGO Financing Project in Central and Eastern Europe.	100,000	50,000	50,000	
<b>NOS FOUNDATION</b> Bratislava, Slovakia	To the organization's institutional development.	50,000		50,000	
<b>POLISH CHILDREN AND YOUTH FOUNDATION</b> Ilp. Pok, Poland	To the organization's institutional development.	100,000		100,000	
<b>ROCKEFELLER FAMILY FUND</b> New York, New York	Toward its Strategic Giving Fund project.	45,000		45,000	
	To commission public opinion research examining the viability of an Internet-based Strategic Giving Fund.	25,000		25,000	
<b>SAMI-SEBE</b> Pezinok, Slovakia	Toward general support.	52,000	25,250	25,250	
	To the organization's institutional development.	50,000		50,000	
<b>SLOVAK ACADEMIC INFO. AGENCY – SERVICE CENTER FOR THE 3RD SECTOR</b> Bratislava , Slovakia	To the organization's institutional development.	50,000		50,000	
<b>SUPPORT OFF. FOR THE MOVEMENT OF SOCIAL INITIATIVES–BORIS ASSOCIATION</b> Warsaw, Poland	To a program of Local Activities Centers.	83,000	45,000	38,000	
<b>SYNERGOS INSTITUTE, INC., THE</b> New York, New York	To the implementation of the recommendations contained in its recently adopted strategic plan.	300,000	100,000	200,000	
<b>TECHROCKS</b> Philadelphia, Pennsylvania	For general support.	75,000		75,000	
<b>TIDES CENTER</b> San Francisco, California	To planning and implementation of the center's project, the Share Our Security Campaign.	35,000		35,000	
	For its project, Grantmakers for Education.	2,000		2,000	
<b>VIA FOUNDATION FOR LOCAL INITIATIVES</b> Prague, Czech Republic	To its Development Directors Support Program in the Czech Republic.	90,000	45,000	45,000	
	To the organization's institutional development.	50,000		30,000	20,000
<b>VIRTUAL FOUNDATION JAPAN</b> Tokyo, Japan	To its core activities.	100,000	50,000	50,000	
<b>VOLUNTEER CONSULTING GROUP, INC.</b> New York, New York	Toward the National Board NET program.	120,000	80,000	40,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>INCREASED UNDERSTANDING</b>					
<b>ASSOCIATION FOR RESEARCH ON NONPROFIT ORGANIZATIONS AND VOLUNTARY ACTION</b> Indianapolis, Indiana	Toward its project to improve understanding of the nonprofit sector.	75,000	25,000	25,000	25,000
<b>ASSOCIATION OF SMALL FOUNDATIONS</b> Washington, D.C.	Toward the Small Foundation Awareness Program.	100,000		50,000	50,000
<b>TUFTS COLLEGE, TRUSTEES OF</b> Medford, Massachusetts	Toward the costs of a program involving research writing, and speaking about the role of voluntary organizations and private foundations in the United States.	15,000		15,000	
<b>ACCOUNTABILITY</b>					
<b>INSTITUTE FOR GLOBAL ETHICS, THE</b> Camden, Maine	Toward its Ethical Decision Making: A Training and Consulting Program for Nonprofits project.	175,000	25,000	150,000	
<b>MARYLAND ASSOCIATION OF NONPROFIT ORGANIZATIONS, INC.</b> Baltimore, Maryland	To the national dissemination of its Ethics and Accountability Project.	100,000		100,000	
<b>MUSEUM TRUSTEE ASSOCIATION</b> Washington, D.C.	To the Museum Governance in a New Age project.	25,000		25,000	
<b>NATIONAL CENTER FOR NONPROFIT BOARDS</b> Washington, D.C.	For general support.	150,000	50,000	50,000	50,000
<b>NATIONAL CHARITIES INFORMATION BUREAU, INC.</b> New York, New York	Toward its Second Generation Website project.	100,000	50,000	50,000	
	Toward the costs of its merger with the Council of Better Business Bureaus' Foundation.	20,000		20,000	
<b>THE URBAN INSTITUTE</b> Washington, D.C.	To a study of fundraising and administrative costs for nonprofit organizations by its Center on Nonprofits and Philanthropy.	90,000		30,000	60,000
<b>MEMBERSHIPS</b>					
<b>INDEPENDENT SECTOR</b> Washington, D.C.	Toward general support for 2001.	10,250		10,250	
<b>NEIGHBORHOOD FUNDERS GROUP</b> Washington, D.C.	Membership.	750		750	
<b>NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS</b> New York, New York	Toward general support in 2001.	10,000		10,000	
<b>ROCKEFELLER FAMILY FUND</b> New York, New York	For its project, the Environmental Grantmakers Association.	2,375		2,375	
<b>SUBTOTAL</b>				5,543,785	3,180,000

## EDUCATION

<b>ENVIRONMENTAL STUDIES</b>					
<b>ALBION COLLEGE</b> Albion, Michigan	For initiatives to enhance the Environmental Concentrations and develop the Institute for the Study of the Environment.	64,000	38,500	25,500	
<b>COLORADO SEMINARY</b> Denver, Colorado	To to establish a field study component in the Geosciences program.	30,000		10,000	
<b>DUKE UNIVERSITY</b> Durham, North Carolina	To an initiative to enhance the Undergraduate Program in Environmental Sciences and Policy.	195,000	67,000	128,000	
<b>FURMAN UNIVERSITY</b> Greenville, South Carolina	To support an interdisciplinary environmental science project to investigate water quality and watershed management issues in upstate South Carolina.	108,600		108,600	
<b>GUSTAVUS ADOLPHUS COLLEGE</b> St. Peter, Minnesota	To support the development and enhancement of the environmental studies program.	194,000	57,610	136,390	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>KNOX COLLEGE</b> Galesburg, Illinois	For faculty and curriculum development, student research opportunities, and infrastructure enhancements to support the launch of an environmental studies major.	180,975		79,250	101,725
<b>UNIVERSITY OF THE SOUTH, THE</b> Sewanee, Tennessee	Toward the creation of an environmental studies model curriculum that utilizes faculty-student research, hands-on field experience, and real life problem solving.	252,000		119,000	133,000
<b>FOREIGN LANGUAGE</b>					
<b>CARLETON COLLEGE</b> Northfield, Minnesota	To support faculty and course development for a new interdisciplinary program: "Asia in Comparative Perspective."	292,415		105,000	187,415
<b>DAVIDSON COLLEGE</b> Davidson, North Carolina	To faculty development initiatives and equipment acquisition to foster the integration of instructional technology into the foreign language curriculum.	250,000	93,766	156,234	
<b>FAIRFIELD UNIVERSITY</b> Fairfield, Connecticut	Toward faculty development and equipment acquisition to foster the integration of the technological resources of the University's Geographic Information System and Virtual Language Lab across the curriculum.	311,458	215,340	96,118	
<b>ST. OLAF COLLEGE</b> Northfield, Minnesota	Toward initiatives to foster innovative use of technologies in foreign language teaching and learning.	242,586		35,250	207,336
<b>TECHNOLOGY IN TEACHING AND RESEARCH</b>					
<b>CLAREMONT MCKENNA COLLEGE</b> Claremont, California	Toward the development of a teaching resource center to promote the use of technology in teaching and learning across the curriculum.	176,000	88,000	88,000	
<b>COLGATE UNIVERSITY</b> Hamilton, New York	To support two new educational technology staff positions that will provide support to faculty for the incorporation of technology across the curriculum.	256,568		114,030	142,538
<b>DICKINSON COLLEGE</b> Carlisle, Pennsylvania	To support a faculty development program to foster the use of technology in the social sciences curriculum.	106,360		70,260	36,100
<b>GRINNELL COLLEGE</b> Grinnell, Iowa	For integration of new technology into teaching and learning in the Fine Arts Department.	114,746		56,283	58,463
<b>MIDDLEBURY COLLEGE</b> Middlebury, Vermont	To support for a team consisting of a technology specialist, graphic designer and student assistants to help faculty integrate technology into foreign language pedagogy and curriculum, as well as to serve the technology needs of undergraduate students.	127,000	63,500	63,500	
<b>NORTHEASTERN UNIVERSITY</b> Boston, Massachusetts	Towards salary support for co-op students who will train faculty on the use of technology and for equipment and software for the Ed Tech Center.	128,000	64,000	64,000	
<b>NORTHWEST INDIAN COLLEGES</b> Bellingham, Washington	To support the development and presentation of Native American cultural courses through a distance learning network that serves tribal and mainstream colleges and universities.	150,000		150,000	
<b>PUGET SOUND, UNIVERSITY OF</b> Tacoma, Washington	To support the integration of technology into the foreign languages and international studies curricula.	260,361	193,361	67,000	
<b>SOUTHERN METHODIST UNIVERSITY</b> Dallas, Texas	Toward initiatives to enhance the resources and services of the Center for Teaching Excellence including instruction/curricular design consultants, student technology assistantships, faculty technology stipends, and courseware materials.	189,610	93,200	96,410	
<b>ST. LAWRENCE UNIVERSITY</b> Canton, New York	Toward faculty development initiatives and technical support to help integrate Geographic Information System GIS technology into the global studies and sciences curricula.	290,000		95,000	195,000
<b>TRINITY COLLEGE</b> Hartford, Connecticut	Toward faculty training program in the use of information technology, including new director for technical assistance and faculty development workshops.	69,272		69,272	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>WAKE FOREST UNIVERSITY</b> Winston-Salem, North Carolina	Toward support for a faculty development program to integrate instructional technology into the undergraduate curriculum.	228,305		76,102	76,820
<b>WASHINGTON AND LEE UNIVERSITY</b> Lexington, Virginia	To an initiative to integrate technology into the teaching and learning of foreign languages through expansion of the resources of the University's multimedia center and increased opportunities for faculty development.	318,232	265,945	52,287	
<b>WHITMAN COLLEGE</b> Walla, Walla, Washington	To support faculty development and student mentoring initiatives to promote the use of multimedia technologies in the teaching and learning of oral communication skills across the curriculum.	280,000	166,000	114,000	
<b>MERIT</b>					
<b>BANK STREET COLLEGE OF EDUCATION</b> New York, New York	Towards a symposium on the occasion of the tenth anniversary of the Principals Institute at the Bank Street College of Education.	5,000		5,000	
<b>CENTER FOR ARTS EDUCATION, THE</b> New York, New York	To the Center's effort to match a \$12 million challenge grant from the Annenberg Foundation and meet its five-year \$24 million fundraising goal.	300,000	200,000	100,000	
<b>SUBTOTAL</b>				2,538,552	1,138,397

## NEW YORK CITY

### NEIGHBORHOODS AND PUBLIC SPACES

<b>AUDUBON PARTNERSHIP FOR ECONOMIC DEVELOPMENT LOCAL DEV'T. CORP.</b> New York, New York	Toward its Northern Manhattan Comprehensive Revitalization and Urban Design Plan.	130,000	85,000	45,000	
<b>CITY LORE, INC.: THE NEW YORK CENTER FOR URBAN FOLK CULTURE</b> New York, New York	To its Place Matters project.	100,000	50,000	50,000	
<b>CITY PARKS FOUNDATION</b> New York, New York	Toward its Partnership for Parks database and technology enhancement project.	50,000		50,000	
<b>COMMUNITY SERVICE SOCIETY OF NEW YORK</b> New York, New York	Toward its Comprehensive Community Initiative in Bedford- Stuyvesant.	150,000	75,000	75,000	
<b>EAST SIDE HOUSE, INC.</b> Bronx, New York	For the second phase of the Bronx Cluster of Settlement Houses' Community Building Project.	200,000	125,000	75,000	
<b>ENVIRONMENTAL DEFENSE FUND</b> New York, New York	Toward its Urban Brownfields Reclamation and Neighborhood Revitalization Project.	100,000	50,000	50,000	
<b>ENVIRONMENTAL ADVOCATES</b> Albany, New York	Towards the New York Brownfields Initiative: A Coalition Approach.	25,000		25,000	
<b>MUNICIPAL ART SOCIETY OF NEW YORK</b> New York, New York	Toward launching its project, the Metropolitan Waterfront Alliance.	200,000	100,000	100,000	
<b>NEW YORK CONSERVATION EDUCATION FUND, INC.</b> New York, New York	For its project, the Waterfront Park Coalition to develop a Waterfront Blueprint.	200,000	100,000	100,000	
<b>NEW YORK CONSERVATION EDUCATION FUND, INC.</b> New York, New York	Toward its Waterfront Park Coalition.	70,000		35,000	35,000
<b>NEW YORK HISTORICAL SOCIETY, THE</b> New York, New York	Toward an organizational self-assessment and an institutional planning process.	25,000		25,000	
<b>NEW YORK LAWYERS FOR THE PUBLIC INTEREST</b> New York, New York	To its Environmental Justice and Community Development Project.	125,000		75,000	50,000
<b>NEW YORK RESTORATION PROJECT</b> New York, New York	Toward facilitating community participation in the development of an integrated plan for the Harlem River Corridor and surrounding parks.	175,000	100,000	75,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>PARKS COUNCIL, INC.</b> New York, New York	Toward the production and dissemination of educational materials documenting the state of New York City Parks.	150,000		100,000	50,000
<b>PRATT INSTITUTE</b> Brooklyn, New York	Toward the efforts of its Center for Community and Environmental Development to provide technical assistance to community-based organizations.	100,000		50,000	50,000
<b>REGIONAL PLAN ASSOCIATION, INC.</b> New York, New York	Toward its "Civic Leadership and the Port Authority" initiative.	75,000		75,000	
	To its program of direct planning and development assistance for community groups.	150,000		75,000	75,000
<b>SCENIC HUDSON, INC.</b> Poughkeepsie, New York	Toward the development of a community supported plan for reuse of the former General Motors manufacturing site in Sleepy Hollow, New York.	150,000		150,000	
<b>ST. MARK'S HISTORIC LANDMARK FUND</b> New York, New York	Toward its Neighborhood Preservation Center.	100,000	50,000	50,000	
<b>PUBLIC EDUCATION AND YOUTH DEVELOPMENT</b>					
<b>CENTRAL BROOKLYN CHURCHES SPONSORING COMMITTEE, INC.</b> Brooklyn, New York	To the Parent Organizing Project	30,000		30,000	
<b>COMMUNITY ACTION PROJECT, INC.</b> Brooklyn, New York	Toward its school reform outreach initiatives to churches in Canarsie and Flatlands, Brooklyn.	35,000		35,000	
<b>EDUCATION DEVELOPMENT CENTER</b> New York, New York	To its Adult Literacy Media Alliance New York project.	150,000	50,000	100,000	
<b>FORDHAM UNIVERSITY</b> New York, New York	To its National Center for Schools and Communities for the Community Monitoring Project.	150,000	75,000	75,000	
<b>INNER FORCE ECONOMIC DEVELOPMENT CORP.</b> Brooklyn, New York	To its parent outreach and training project.	90,000	45,000	45,000	
<b>JEWISH FUND FOR JUSTICE, INC.</b> New York, New York	Toward the start-up phase and New York City work of its project, the Funders' Collaborative on Youth Organizing.	150,000	50,000	100,000	
<b>NATIONAL CONFERENCE FOR COMMUNITY AND JUSTICE</b> New York, New York	To help establish the Emerging Leaders Institute program for New York City public school students.	50,000		50,000	
<b>NEW YORK COMMUNITY TRUST</b> New York, New York	To its Donors' Education Collaborative.	200,000			200,000
<b>NEW YORK IMMIGRATION COALITION, INC., THE</b> New York, New York	To its Equity Monitoring Project for Immigrant and Refugee Education.	240,000		119,500	120,500
<b>NEW YORK UNIVERSITY: INSTITUTE FOR EDUCATION AND SOCIAL POLICY</b> New York, New York	Toward the Organizing for School Reform Research Initiative of its Institute for Education and Social Policy.	30,000		30,000	
<b>PARTNERSHIP FOR AFTER SCHOOL EDUCATION, INC.</b> New York, New York	Toward its "The Voice of Experience: Engaging After School Practitioners in Developing Public Policy" program.	120,000		60,000	60,000
<b>PHELPS-STOKES FUND, THE TRUSTEES OF THE</b> New York, New York	Toward its Parents Partnering in Education Project.	70,000		70,000	
<b>VALLEY, INC., THE</b> New York, New York	To its Youth Leadership Action Council program.	100,000		50,000	50,000
<b>CIVIC PARTICIPATION</b>					
<b>NEW YORK URBAN LEAGUE, INC.</b> New York, New York	To help launch the Standards Keepers Project.	110,000	55,000	55,000	
<b>UNITED NEIGHBORHOOD HOUSES OF NEW YORK, INC.</b> New York, New York	To the civic engagement initiatives of its Community Building Committee.	100,000	50,000	50,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>WEST HARLEM ENVIRONMENTAL ACTION, INC.</b> New York, New York	To the second phase of its Harlem waterfront project.	150,000	75,000	75,000	
<b>SUBTOTAL</b>				2,237,000	690,500

## SOUTH AFRICA

### PROMISING BASIC EDUCATION MODELS

<b>ADULT BASIC EDUCATION DEVELOPMENT SERVICES TRUST</b> Claremont, South Africa	To a joint project with the Cape Education Trust to develop and evaluate a literacy course with early childhood development content.	86,000	43,000	43,000	
<b>CAPE EDUCATIONAL TRUST</b> Glosderry, South Africa	Toward four projects of its Early Learning Resource Unit related to evaluation.	157,000		57,000	100,000
<b>ENGLISH RESOURCE UNIT</b> Durban, South Africa	To a project to link literacy training with practical skills training and income generation projects in South Africa.	117,000		58,500	58,500
<b>GRASSROOTS EDUCARE TRUST</b> Gatesville, South Africa	Toward the costs of conducting an independent evaluation of its training programs in early childhood education.	12,000		12,000	
	For its Grassroots Alternative Special Program.	100,000	50,000	50,000	
<b>INSTITUTE FOR INTERNATIONAL COOPERATION OF THE GERMAN ADULT EDUCATION ASSOCIATION</b> Cape Town, South Africa	For the start-up costs of an Adult Literacy, Basic Education and Development Foundation in South Africa that will serve NGOs in the adult basic education sector.	13,000		13,000	
<b>NTATAISE TRUST</b> Viljoenskroon, South Africa	To its Parent Involvement Program.	69,000		33,000	36,000
<b>PROJECT LITERACY TRUST FUND</b> Pretoria, South Africa	Toward the costs of convening a regional conference on adult basic education and training needs in Southern and East Africa.	25,000		25,000	
<b>READ EDUCATIONAL TRUST</b> Braamfontein, South Africa	To develop and test a method of ongoing assessment for its Learning for Living project.	120,000		60,000	60,000
<b>SOUTH AFRICAN BROADCASTING CORPORATION, LTD.</b> Auckland Park, South Africa	To the community outreach efforts associated with the radio program Takalani Sesame.	100,000			100,000

### INSTITUTIONAL CAPACITY BUILDING

<b>CAPE TOWN FUND, INC., UNIVERSITY OF</b> New York, New York	For its democracy building and democratization project.	25,000		25,000	
<b>CENTRE FOR EARLY CHILDHOOD DEVELOPMENT</b> Clareinch, South Africa	Toward its capacity building programs in early childhood development.	150,000		50,000	50,000
<b>FRIENDS OF THE NELSON MANDELA FOUNDATION</b> Seattle, Washington	Toward the planning stages of the foundation.	25,000		25,000	
<b>INSTITUTE OF TRAINING AND EDUCATION FOR CAPACITY BUILDING</b> East London, South Africa	To build the capacity of Eastern Cape Department of Education officials responsible for early childhood developments.	150,000		50,000	
<b>LEARNING FOR ALL TRUST</b> Braamfontein, South Africa	For general support.	100,000	65,000	35,000	
<b>NATAL ADULT BASIC EDUCATION SUPPORT TRUST</b> Durban, South Africa	To building the capacity of community-based NGOs in the KwaZulu-Natal Province to establish and manage adult basic education and training projects.	91,000	45,500	45,500	
<b>NORTH, UNIVERSITY OF THE</b> Edupark, South Africa	To its Development Facilitation Training Institute for nonprofit leaders.	100,000	50,000	50,000	

### IN SERVICE TEACHER DEVELOPMENT

<b>D.G. MURRAY TRUST, THE</b> Claremont, South Africa	For the GET INSET teacher development project in the Western Cape Province.	120,000	60,000	60,000	
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GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>TEACHER TRUST, THE</b> Braamfontein, South Africa	To a project of its Institute for Leadership in Education entitled "Reclaiming the Professional Status of Teachers: Training for Management of Curriculum Change for Individual Teachers."	40,000		40,000	
<b>WESTERN CAPE, UNIVERSITY OF THE</b> Bellville, South Africa	To its Teacher Inservice Project to build the capacity of the Western Cape Education Department.	180,000		60,000	120,000
<b>OTHER</b>					
<b>AFRICA SOCIETY OF THE NATIONAL SUMMIT ON AFRICA, THE</b> Washington, D.C.	Toward its grassroots constituency building efforts.	50,000		50,000	
<b>SUBTOTAL</b>				842,000	524,500

## ARTS AND CULTURE

<b>AMERICAN DANCE FESTIVAL</b> Durham, North Carolina	Toward a long-term residency project by the David Dorfman Dance Company New York targeting adult audiences in a state-wide collaboration with cultural, educational and social service nonprofit organizations and businesses.	75,000		75,000	
<b>AMERICAN MUSEUM OF NATURAL HISTORY</b> New York, New York	To implementing the pilot phase of the museum's new cultural programming.	201,860		101,950	99,910
<b>ART 21, INC.</b> New York, New York	Toward the production of a television series focusing on contemporary American visual arts, entitled Art for the Twenty-First Century.	300,000	100,000	100,000	100,000
<b>BROOKLYN ACADEMY OF MUSIC</b> Brooklyn, New York	Toward endowment in the name of Charles E. Culpeper, to recognize cultural organizations with a record of excellence in programming, a history of sound financial management, and a commitment to public access.	500,000		200,000	300,000
<b>CARNEGIE HALL SOCIETY, INC., THE</b> New York, New York	Toward endowment in the name of Charles E. Culpeper.	500,000		500,000	
<b>CHAMBER MUSIC SOCIETY OF LINCOLN CENTER, THE</b> New York, New York	For its Beethoven 2000 concert series.	25,000		25,000	
<b>DANCE EXCHANGE, INC., THE</b> Takoma Park, Maryland	Toward the Hallelujah Project.	75,000		75,000	
<b>DANCE THEATER WORKSHOP, INC.</b> New York, New York	Toward endowment in the name of Charles E. Culpeper to recognize cultural organizations with a record of excellence in programming, a history of sound financial management, and a commitment to public access.	500,000		200,000	300,000
<b>DANCE THEATRE FOUNDATION, INC.</b> New York, New York	Toward the establishment of a Charles E. Culpeper Endowment in Arts and Culture.	450,000		175,000	275,000
<b>DANCING IN THE STREETS, INC.</b> New York, New York	For activities related to the October 2000 Pocantico conference on site specific dance and multi-disciplinary performance.	12,000		12,000	
<b>HENRY STREET SETTLEMENT</b> New York, New York	For a Charles E. Culpeper Endowment in Arts and Culture.	100,000		100,000	
<b>JOYCE THEATRE FOUNDATION, INC.</b> New York, New York	Toward endowment in the name of Charles E. Culpeper to recognize cultural organizations with a record of excellence in programming, a history of sound financial management, and a commitment to public access.	500,000		200,000	300,000
<b>MID ATLANTIC ARTS FOUNDATION</b> Baltimore, Maryland	Toward the Artists and Communities: America Creates for the Millennium project.	200,000	100,000	100,000	
<b>MUSEUM OF MODERN ART</b> New York, New York	To the development and marketing of the internet-based component of the exhibition MOMA2000.	150,000	75,000	75,000	
<b>NATIONAL BUILDING MUSEUM</b> Washington, D.C.	To the relocation and redevelopment of the permanent exhibition "Washington Symbol and City" in an effort to increase accessibility to and understanding of the built environment	102,000		102,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>THE NATIONAL TRUST FOR HISTORIC PRESERVATION IN THE U.S.</b> Washington, D.C.	For a Charles E. Culpeper Endowment in Arts and Culture.	150,000		150,000	
<b>NEW YORK BOTANICAL GARDEN</b> Bronx, New York	Toward Endowment in the Name of Charles E. Culpeper, payable prior to December 31, 2002, on the basis of one dollar for every dollar raised for this purpose from other sources.	450,000		450,000	
<b>NEW YORK CITY BALLET</b> New York, New York	To expand its existing, as well as launch new, adult and family enrichment programs.	100,000		100,000	
<b>NEW YORK CITY OPERA, INC.</b> New York, New York	Toward endowment in the name of Charles E. Culpeper.	500,000		500,000	
<b>NEW YORK FOUNDATION FOR THE ARTS, INC.</b> New York, New York	For transportation and meeting coordination costs related to the Pocantico Conference "U.S.-Cuba Cultural Exchanges and Philanthropy in the Millennium."	25,000	12,500	12,500	
<b>NEW YORK HISTORICAL SOCIETY, THE</b> New York, New York	To a National Teachers Institute and related dissemination activities designed to help educators enhance the teaching of history.	250,000			250,000
<b>NPR FOUNDATION</b> Washington, D.C.	To the endowment (Charles E. Culpeper Endowment in Arts and Culture grant) for the cultural programming of National Public Radio.	500,000	250,000	250,000	
<b>OPUS 118 MUSIC CENTER</b> New York, New York	Toward expansion of their teacher training initiative.	25,000		25,000	
<b>RBF-POCANTICO CONFERENCES</b> Pocantico Hills, New York	For a three-day conference held at the Pocantico Conference Center for the next stage of development of the On Site Performance Network.	9,440		9,440	
<b>ST. LUKES CHAMBER ENSEMBLE, INC.</b> New York, New York	To develop long-term residency programs with a number of performing arts centers and universities outside of New York City.	292,000		87,000	205,000
<b>THEATRE FOR A NEW AUDIENCE, INC.</b> New York, New York	Toward the creation of a cash reserve fund.	310,000	155,000	155,000	
<b>WORCESTER ART MUSEUM</b> Worcester, Massachusetts	For programs designed to broaden and diversify the museum's constituency.	210,000	119,000	91,000	
<b>SUBTOTAL</b>				3,861,450	1,829,910

## HEALTH

### BIOMEDICAL PILOT PROJECTS

<b>ALBANY MEDICAL COLLEGE OF UNION UNIVERSITY</b> Albany, New York	Toward the research of Mark W. Fleck, PhD, entitled "Control of AMPA Receptor Function by Desensitization."	24,600		24,600	
<b>CHILDREN'S HOSPITAL CORPORATION</b> Boston, MA	Toward the research of Robert N. Husson, MD, entitled "Comparative Genomics of Strain W: A Highly Prevalent, Pathogenic Strain of Mycobacterium Tuberculosis."	25,000		25,000	
	For the research of Zi He, PhD, entitled "Functional Cloning of Regulatory Genes Involved in Vertebrate Neural Induction."	25,000		25,000	
<b>CHILDREN'S RESEARCH INSTITUTE</b> Washington, D.C.	Toward the research of Xuenhai Ye, PhD, entitled "Gene Therapy for Congenital Nephrotic Syndrome in Mice Lacking CD2-Associated Protein."	24,450		24,450	
<b>COLORADO SCHOOL OF MINES FOUNDATION, INC.</b> Golden, Colorado	Toward the research of Junko Munakata Marr, PhD, entitled "Biofilm Control Via Targeted Optical Manipulation: Investigative Studies."	25,000		25,000	
<b>ENH RESEARCH INSTITUTE</b> Evanston, Illinois	For the research of Lakshman Sehgal, PhD, entitled "Adenoviral Vector Based Delivery of Thrombomodulin Gene to Provide Localized Anticoagulation to Saphenous Vein Grafts Used in Coronary Artery Bypass Patients."	24,750		24,750	
<b>HARVARD UNIVERSITY</b> Cambridge, Massachusetts	Toward the research of Marin Vulic, Ph.D, entitled "Entering Stationary Phase: Senescence, Death, and Selfish Survivors."	25,000		25,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>INDIANA UNIVERSITY, TRUSTEES OF</b> Bloomington, Indiana	Toward the research of Evelyn Jabri, PhD, entitled "Structural Studies of RNA Helicases Involved in Germline Development."	25,000		25,000	
<b>JOHNS HOPKINS UNIVERSITY</b> Baltimore, Maryland	Toward the research of A. Courtney DeVries, PhD entitled "Stress-Induced Alterations in Gene Expression Following Experimental Stroke."	25,000		25,000	
<b>LOUISIANA TECH UNIVERSITY</b> Reston, Louisiana	For the research of Bruce Gale, PhD, entitled "Nanoparticle Therapy: Design and Development of Targeted, Optically-Active Nanoparticles for Destruction of Tumor Cells."	25,000		25,000	
<b>MAYO FOUNDATION</b> Rochester, Minnesota	Toward the research of Lewis Roberts, MD, PhD, entitled, "Role of the FRA6E Chromosomal Fragile Site in Chronic Hepatitis B-Induced Liver Cancer."	25,000		25,000	
<b>NEW YORK ACADEMY OF MEDICINE, THE</b> New York, New York	Toward the establishment of a Center for Urban Bioethics.	25,000		25,000	
<b>PENNSYLVANIA, UNIVERSITY OF, TRUSTEES OF THE</b> Philadelphia, Pennsylvania	Toward the research of A. Joshua Wand, PhD, entitled "Encapsulation of Proteins Within Reserve Micelles: A New Approach to Membrane Protein Structure Determination."	24,632		24,632	
<b>PITTSBURGH, UNIVERSITY OF</b> Pittsburgh, Pennsylvania	Toward the research of James H-C. Wang, Ph.D. entitled "In Vitro Model Study of Cellular Mechanism of Tendinitis Induced by Repetitive Motion."	24,998		24,998	
<b>PURDUE RESEARCH FOUNDATION</b> West Lafayette, Indiana	Toward the research of Rashid Bashir, PhD, entitled "Feasibility of a Silicon-Based Nano-Electro-Mechanical System for the Electronic Characterization and Sequencing of DNA/mRNA."	25,000		25,000	
<b>REGENTS OF THE UNIVERSITY OF CALIFORNIA</b> La Jolla, California	Toward the research of Victor Nizet, MD, entitled "Streptolysin S and the Pathogenesis of Streptococcal Necrotizing Fasciitis."	25,000		25,000	
	To a project at the University of California, Los Angeles, that will design and implement a new curriculum for the final year of study in the university's medical school.	300,000		100,000	200,000
	To a project at the University of California, Santa Barbara, toward the research of Samir Mitragotri, PhD, entitled "A Non-Invasive and Painless Method of Vaccination."	24,986		24,986	
<b>RESEARCH FOUNDATION OF STATE UNIVERSITY OF NEW YORK</b> Albany, New York	Toward the research of Shahrokh C. Kahni, MD, PhD, entitled "Molecular Genetics of Age-Related Muscular Degeneration."	25,000		25,000	
<b>ST. VINCENTS CATHOLIC MEDICAL CENTERS OF NEW YORK</b> New York, New York	Toward the research of Philip W. Brickner, MD, entitled "Tuberculosis Ultraviolet Shelter Study."	24,998		24,998	
<b>U.S. DEPT. OF ENERGY, FOR PERFORMANCE AT L.B. NATIONAL LABORATORY</b> Berkeley, California	Toward a research fellowship for James T. Groves, PhD. for research entitled "Engineering Cell Adhesion: Novel Strategies to Patterned Cell Growth, Screening, and Manipulation."	24,933		24,933	
<b>VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY</b> Blacksburg, Virginia	Toward the research of Laura Wojcik, PhD, entitled "Development of A Novel Interactive Biomechanical Model for Clinical Simulations in Virtua Environments."	25,000		25,000	
<b>WAYNE STATE UNIVERSITY</b> Detroit, Michigan	Toward the research of Howard W.T. Matthew, PhD, entitled "Hybrid Polysaccharide Materials for Enhanced Wound Healing and Tissue Repair."	25,000		25,000	
<b>WHITEHEAD INSTITUTE FOR BIOMEDICAL RESEARCH</b> Cambridge, Massachusetts	Toward the research of Robert A Weinberg, PhD, entitled "Acquisition of Invasiveness by Human Tumor Cells."	25,000		25,000	
<b>WILLIAM MARSH RICE UNIVERSITY</b> Houston, Texas	Toward the research of Jennifer L. West, PhD, entitled "Nanoparticle Therapy: Design and Development of Targeted, Optically-Active Nanoparticles for Destruction of Tumor Cells."	25,000		25,000	
<b>YALE UNIVERSITY</b> New Haven, Connecticut	For the research of Frank Slack, PhD, entitled "Identification of Cofactors for Small temporal RNAs."	25,000		25,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>PROJECT/PROGRAM</b>					
<b>BAYSTATE MEDICAL CENTER, INC.</b> Springfield, Massachusetts	Toward a training program in Biomedical Sciences for resident physicians and predoctoral students.	183,738	122,524		61,214
<b>BOSTON UNIVERSITY</b> Boston, Massachusetts	For support of three interdisciplinary working groups of scientists, ethicists, religious leaders, attorneys, and public policy experts to discuss issues surrounding genetic engineering and biotechnology and formulate policy recommendations.	50,000	25,000	25,000	
<b>NEW YORK UNIVERSITY</b> New York, New York	To salary support for a computer scientist/mathematician to further develop the Medical Knowledge Syncytium.	153,013	75,229	77,784	
<b>REGENTS OF THE UNIVERSITY OF MICHIGAN</b> Ann Arbor, Michigan	Toward support to establish a Center for Integrative Biology and Genomics.	199,578	98,588	100,990	
<b>UNITED NEGRO COLLEGE FUND, INC.</b> Fairfax, Virginia	Toward the Culpeper Premedical Scholarship Program.	100,000	50,000	50,000	
<b>SCHOLARSHIPS IN MEDICAL SCIENCE</b>					
<b>CALIFORNIA, UNIVERSITY OF, SAN DIEGO</b> La Jolla, California	1998 Medical Science Scholar Steffan Nicholas Ho, MD, PhD toward research entitled, "Transcriptional Regulatory Mechanisms Controlling T Cell Differentiation."	108,000		108,000	
<b>CALIFORNIA, UNIVERSITY OF SAN FRANCISCO</b> La Jolla, California	1998 Medical Science Scholar - Steven Lee McIntire, MD, PhD, toward research entitled, "Neuronal Vesicular Amino Acid Transport."  1999 Medical Science Scholar Steven M. Finkbeiner, MC, PhD toward research entitled, "Molecular and Cellular Mechanisms of Huntington's Disease." TRANSFERRED FROM HARVARD 6/1/99	108,000  216,000		108,000  108,000	  108,000
<b>CHICAGO, UNIVERSITY OF</b> Chicago, Illinois	1998 Medical Science Scholar Elizabeth M. McNally, MD, PhD, toward research entitled, "Genetic Defect in Myopathy."	108,000		108,000	
<b>COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF</b> New York, New York	For the research of Asa Abeliovich, Md, PhD, concerning the genetics of Parkinson's Disease.	324,000			324,000
<b>CORNELL UNIVERSITY (FOR JOAN AND SANFORD I. WEILL MEDICAL COLLEGE OF CORNELL UNIVERSITY)</b> Ithaca, New York	Toward the research of Jacqueline Bromberg, MD, PhD, concerning oogenesis.  For the research of Jay M. Edelberg, MD, PhD, at the Joan and Stanford Weill Medical College of Cornell University concerning cardiac microvascular communication.	324,000  324,000		108,000	216,000  324,000
<b>EMORY UNIVERSITY SCHOOL OF MEDICINE</b> Atlanta, Georgia	For the research of Kerry James Ressler, MD, PhD, concerning the molecular neurobiology of fear in mammals.	324,000			324,000
<b>HARVARD UNIVERSITY</b> Cambridge, Massachusetts	For the research of Lynda Chin, MD, concerning the genetics of Melanoma.	324,000			324,000
<b>IOWA, STATE UNIVERSITY OF</b> Iowa City, Iowa	1999 Medical Science Scholar - C. Michael Knudson, MD, PhD, toward research entitled "Regulation of Apoptosis in Germ Cell Development, Spermogenesis and Infertility."	216,000		108,000	108,000
<b>PITTSBURGH, UNIVERSITY OF</b> Pittsburgh, Pennsylvania	Toward the research of Charleen T. Chu, MD, PhD, concerning oxidative stress and neurotrophic signaling in Parkinson's Disease.	324,000		108,000	216,000
<b>LELAND STANFORD JUNIOR UNIVERSITY, BOARD OF TRUSTEES OF</b> Stanford, California	To the research of Anthony E. Oro, MD, PhD, concerning the stromal regulation of basal cell carcinoma formation.	324,000		108,000	216,000
<b>TEXAS, UNIVERSITY OF, MEDICAL BRANCH AT GALVESTON</b> Galveston, Texas	1999 Medical Science Scholar - Joseph M. Vinetz, MD, PhD toward research entitled, "Malaria (Molecular Genetics and Molecular Pharmacology)."	216,000		108,000	108,000
<b>TEXAS, UNIVERSITY OF, SOUTHWESTERN MEDICAL CENTER AT DALLAS</b> Dallas, Texas	1998 Medical Science Scholar Johnathan M. Graff, MD, PhD, toward research entitled, "The Endogenous Role of the Smads in Vertebrate Development."	108,000		108,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
UTAH, UNIVERSITY OF Salt Lake City, Utah	1999 Medical Science Scholar - Dean Y. Li, MD, PhD, toward research entitled "Cloning and Characterizing the Elastin Receptor."	216,000		108,000	108,000
WASHINGTON UNIVERSITY St. Louis, Missouri	To the research of Thomas J. Baranski, MD, PhD concerning the roles of receptor structure in G protein signaling.	324,000		108,000	216,000
<b>RESEARCH</b>					
ETV ENDOWMENT OF SOUTH CAROLINA, INC., THE Columbia, South Carolina	Toward the education and outreach initiatives related to Hedrick Smith Productions' documentary, "Critical Condition: How Good Is Your Health Care?"	25,000		25,000	
HEALTH COMMONS INSTITUTE Falmouth, Maine	To the Maine Center for Health Systems Study.	280,000		150,000	130,000
NATIONAL CENTER FOR HEALTH EDUCATION, INC. New York, New York	Toward its seminar Critical Issues in Global Health: Leadership Challenges in the 21st Century, to be held in Salzburg, Austria, July 8-11, 2000.	25,000		25,000	
RECTORS AND VISITORS OF THE UNIVERSITY OF VIRGINIA Charlottesville, Virginia	To a project entitled "Infected Physicians and Invasive Procedures: Development of National Policy Recommendations."	145,626		145,626	
REGENTS OF THE UNIVERSITY OF MICHIGAN Ann Arbor, Michigan	To a project to create and launch computer-based clinical skill building tutorials for physicians and other healthcare providers.	150,000		150,000	
ROCKEFELLER UNIVERSITY, THE New York, New York	Toward the research on "A Stratified Method For the Identification of Mouse QTLs Controlling Sensorimotor Gating: An Animal Model for Testing Drug Efficiency in Schizophrenia."	329,206		106,295	222,911
UHO (UNIVERSITY HOSPITALS OF CLEVELAND) Cleveland, Ohio	To research to create and establish continuing medical education programs that will prepare physicians to use advances in genetic testing.	200,000		200,000	
UNIVERSITY OF CALIFORNIA, LOS ANGELES La Jolla, California	To a project to develop a clinical predictive scale to help physicians estimate the short-term survival probability of individual patients with Advanced Dementia.	110,000	110,000		
UNIVERSITY OF CHICAGO Chicago, Illinois	Toward a study to evaluate the University's hospitalist program, which utilizes physicians who dedicate their practice to in-patient care, focusing on cost-effectiveness, patient care and impact on medical education.	149,340		77,287	
WASHINGTON UNIVERSITY St. Louis, Missouri	Toward research concerning American medical education in the 21st Century.	105,000	35,000	70,000	
YALE UNIVERSITY New Haven, Connecticut	Toward the research project "In Vitro Generation of Novel Antimicrobials."	133,979	68,327	65,652	
<b>SUBTOTAL</b>				<b>3,397,981</b>	<b>3,206,125</b>

## RAMON MAGASAYSAY AWARDS

<b>RAMON MAGSAYSAY AWARD FOUNDATION</b>					
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	To the stipend for the 2000 Ramon Magsaysay Awards.	150,000		150,000	
<b>PROGRAM FOR ASIAN PROJECTS</b>					
AMTE, MURLIDHAR DEVIDAS Anandwan, India	For a training program for rural youths in India on the cost-effective recycling of plastics.	10,000		10,000	
BEDI, KIRAN New Delhi, India	To a comprehensive rural development project in an area near Delhi, India	10,000			10,000
BHATT, ELA R. Ahmedabad, India	To a project documenting the early years of her attempt to unionize the informal sector of women workers in India.	10,000		10,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 2000	UNPAID BALANCE
<b>DEL MUNDO, DR. FE</b> Quezon City, Philippines	To the project "Directly Observed Treatment Short Course Among Children with Tuberculosis Disease in an Urban Poor Community."	10,000		10,000	
<b>DEVI, MAHASWETA</b> Manila, Philippines	To a project to establish ten non-formal education centers for the Dhikaro Community in West Bengal, India.	5,500			5,500
<b>GOMES, ANGELA</b> Manila, Philippines	To a project to improve the socio-economic conditions of disadvantaged women in rural areas of Bangladesh.	10,000			10,000
<b>HATA, PRATEEP U.</b> Bangkok, Thailand	To work on livestock and agricultural development in the Klung Toey area of metropolitan Bangkok.	10,000		10,000	
<b>KABAYAO, GILOPEZ</b> Iloilo City, Philippines	To a project to create a more effective music curriculum for use in public and private schools.	10,000			10,000
<b>KANG, AUGUSTINE J.R.</b> Bangkok, Thailand	To the project, "Credit Union Promotion in Mongolia."	10,000		10,000	
<b>PHALY, NUON</b> Khan Dangkor, Cambodia	To a project to teach sewing skills to orphaned Cambodian girls and young women.	10,000		10,000	
<b>RAMON MAGSAYSAY AWARD FOUNDATION</b> Manila, Philippines	For continuing publication of The Magsaysay Awardee.	5,000		5,000	
	To its "Issues and Trends in Asian Development" seminar.	15,000		15,000	
	For continued publication of The Magsaysay Awardee.	5,000			5,000
	To its "Issues and Trends in Asian Development" seminar.	25,000			25,000
<b>RIZVI, ADIBUL HASAN</b> Karachi, Pakistan	To a project on rehabilitating kidney transplant recipients.	10,000		10,000	
<b>SIDDIQUI, TASNEEM A.</b> Karachi, Pakistan	To a project to develop strategies for providing affordable housing to shelterless families in urban centers in Pakistan.	10,000			10,000
<b>SWAMINATHAN, MONCOMPU S.</b> Madras, India	To a project to design and promote a community based food security program in India.	10,000			10,000
<b>TIMM, RICHARD W.</b> Manila, Philippines	To a project to train tribal youth in human rights, investigation, and reporting in the Chittagong Hill Tracts of Bangladesh.	10,000			10,000
<b>WASI, PRAWASE</b> Bangkok, Thailand	To Prawase Wasi, Aree Valyasevi, Sophon Sophapong, and Chamlong Srimuang, as a contribution to the project, "Establishment of Social Partnership to Promote Quality of Life for Children, Youth, and Family in Thailand."	28,180		28,180	
<b>SUBTOTAL</b>				268,180	95,500

## ASIAN CULTURAL COUNCIL

<b>ASIAN CULTURAL COUNCIL, INC.</b> New York, New York	To the organization's unrestricted grants program in 2000.	200,000		200,000	
<b>SUBTOTAL</b>		200,000		200,000	
<b>TOTAL</b>				32,113,573	20,298,332

**ROCKEFELLER BROTHERS FUND**  
**Management and Operations**



# 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, 2000 and 1999, and the changes in their net assets and their cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America. 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 audits. We conducted our audits of these statements in accordance with auditing standards generally accepted in the United States of America 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 audits provide a reasonable basis for our opinion.

Our audits were 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 audits of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

### **PricewaterhouseCoopers LLP**

New York, New York

May 8, 2001

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

December 31, 2000 with Comparative 1999 Totals

ROCKEFELLER BROTHERS FUND ("RBF")							
	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Total RBF Funds	Asian Cultural Council, Inc.
<b>ASSETS</b>							
Cash	\$298,502	\$1,051	\$ -	\$ -	\$ -	\$299,553	\$383,752
Accounts receivable	32,302	-	-	8,286	-	40,588	46,059
Contributions receivable	-	-	-	-	-	-	105,675
Interest and dividends receivable	2,497,601	283,278	1,008	18,339	17,007	2,817,233	233,023
Due from brokers and dealers	1,698,696	365,553	-	26,904	22,551	2,113,704	1,099,486
Investments, at market value	660,734,321	63,683,463	60,248	4,095,893	3,770,898	732,344,823	42,573,467
Program-related investments:							
Program mortgage loans	2,482,000	-	-	-	-	2,482,000	-
Real estate	510,000	-	-	-	-	510,000	-
Prepaid expenses	1,651,242	-	-	-	-	1,651,242	-
Fixed assets, net	3,122,841	7,945,788	-	-	-	11,068,629	20,066
Interfund	(292,754)	(608,622)	1,401,312	(327,912)	(172,024)	-	-
Total assets	\$672,734,751	\$71,670,511	\$1,462,568	\$3,821,510	\$3,638,432	\$753,327,772	\$44,461,528

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

## COMBINED STATEMENTS OF FINANCIAL POSITION

(continued)

	Total 2000	1999 RBF Funds	1999 Asian Cultural Council, Inc.	Total 1999
<b>ASSETS</b>				
Cash	\$683,305	\$58,839	\$502,785	\$561,624
Accounts receivable	86,647	205,329	32,915	238,244
Contributions receivable	105,675	—	87,680	87,680
Interest and dividends receivable	3,050,256	2,258,163	201,105	2,459,268
Due from brokers and dealers	3,213,190	233,382	—	233,382
Investments, at market value	774,918,290	776,772,377	46,842,828	823,615,205
Program-related investments:				
Program mortgage loans	2,482,000	2,624,000	—	2,624,000
Real estate	510,000	510,000	—	510,000
Prepaid expenses	1,651,242	1,797,656	—	1,797,656
Fixed assets, net	11,088,695	11,531,854	26,375	11,558,229
Interfund	—	—	—	—
Total assets	<u>\$797,789,300</u>	<u>\$795,991,600</u>	<u>\$47,693,688</u>	<u>\$843,685,288</u>

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

December 31, 2000 with Comparative 1999 Totals

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Total RBF Funds	Asian Cultural Council, Inc.
<b>LIABILITIES AND NET ASSETS</b>							
Liabilities:							
Grants payable	\$20,351,540	\$ -	\$ -	\$ -	\$95,500	\$20,447,040	\$692,250
Due to brokers and dealers	3,669,696	602,246	2,381	39,505	36,480	4,350,308	890,064
Accounts payable and accrued liabilities	2,019,265	29,120	659	-	1,615	2,050,659	769,122
Deferred taxes payable	375,470	-	-	-	-	375,470	-
<b>Total liabilities</b>	<b>26,415,971</b>	<b>631,366</b>	<b>3,040</b>	<b>39,505</b>	<b>133,595</b>	<b>27,223,477</b>	<b>2,351,436</b>
Commitments							
Net assets:							
Unrestricted	646,318,780	71,039,145	1,459,528	3,782,005	3,504,837	726,104,295	24,657,355
Temporarily Restricted	-	-	-	-	-	-	4,620,824
Permanently Restricted	-	-	-	-	-	-	12,831,913
<b>Total liabilities and net assets</b>	<b>\$672,734,751</b>	<b>\$71,670,511</b>	<b>\$1,462,568</b>	<b>\$3,821,510</b>	<b>\$3,638,432</b>	<b>\$753,327,772</b>	<b>\$44,461,528</b>

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

## COMBINED STATEMENTS OF FINANCIAL POSITION

(continued)

	Total 2000	1999 RBF Funds	1999 Asian Cultural Council, Inc.	Total 1999
<b>LIABILITIES AND NET ASSETS</b>				
Liabilities:				
Grants payable	\$21,139,290	\$18,897,203	\$654,233	\$19,551,436
Due to brokers and dealers	5,240,372	2,055,738	—	2,055,738
Accounts payable and accrued liabilities	2,819,781	2,153,296	501,148	2,654,444
Deferred taxes payable	375,470	1,556,453	—	1,556,453
<b>Total liabilities</b>	<b>29,574,913</b>	<b>24,662,690</b>	<b>1,155,381</b>	<b>25,818,071</b>
Commitments				
Net assets:				
Unrestricted	750,761,650	771,328,910	27,966,944	799,295,854
Temporarily Restricted	4,620,824	—	5,739,450	5,739,450
Permanently Restricted	12,831,913	—	12,831,913	12,831,913
<b>Total liabilities and net assets</b>	<b>\$797,789,300</b>	<b>\$795,991,600</b>	<b>\$47,693,688</b>	<b>\$843,685,288</b>

## ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE COMBINED STATEMENTS OF ACTIVITIES

For the Year Ended December 31, 2000 with Comparative 1999 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")						
	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Total RBF Funds	Asian Cultural Council, Inc.
<b>REVENUES</b>							
Dividend income	\$3,937,899	\$376,456	\$8,704	\$22,631	\$21,325	\$4,367,015	\$467,109
Interest income	10,320,639	979,037	22,637	58,855	55,460	11,436,628	542,701
Other income	165,768	116	3	7	7	165,901	71,587
Contributions	—	—	654,901	—	—	654,901	1,117,833
	14,424,306	1,355,609	686,245	81,493	76,792	16,624,445	2,199,230
<b>EXPENSES</b>							
Functional expenses (Exhibit I):							
Direct charitable activities	1,062,894	2,507,541	—	—	—	3,570,435	—
Program and grant management	36,656,570	—	—	190,493	82,186	36,929,249	2,994,758
Investment management	3,996,646	440,824	7,971	20,725	19,529	4,485,695	333,202
General management	2,794,710	377,217	—	—	—	3,171,927	413,947
	44,510,820	3,325,582	7,971	211,218	101,715	48,157,306	3,741,907
Deficiency of revenues over expenses	(\$30,086,514)	(1,969,973)	\$678,274	(\$129,725)	(\$24,923)	(\$31,532,861)	(\$1,542,677)

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

## COMBINED STATEMENTS OF ACTIVITIES

(continued)

	Total 2000	1999 RBF Funds	1999 Asian Cultural Council, Inc.	Total 1999
<b>REVENUES</b>				
Dividend income	\$4,834,124	\$3,766,749	\$399,377	\$4,166,126
Interest income	11,979,329	9,168,019	525,805	9,693,824
Other income	237,488	85,822	65,107	150,929
Contributions	1,772,734	655,035	796,015	1,451,050
	18,823,675	13,675,625	1,786,304	15,461,929
<b>EXPENSES</b>				
Functional expenses (Exhibit I):				
Direct charitable activities	3,570,435	3,708,601	-	3,708,601
Program and grant management	39,924,007	34,365,971	2,589,434	36,955,405
Investment management	4,818,897	3,532,706	292,919	3,825,625
General management	3,585,874	3,622,989	514,936	4,137,925
	51,899,213	45,230,267	3,397,289	48,627,556
Deficiency of revenues over expenses	(\$33,075,538)	(\$31,554,642)	(\$1,610,985)	(\$33,165,627)

## ROCKEFELLER BROTHERS FUND, INC. AND COMBINED AFFILIATE COMBINED STATEMENTS OF ACTIVITIES

For the Year Ended December 31, 2000 with Comparative 1999 Totals

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Total RBF Funds	Asian Cultural Council, Inc.
<b>GAIN ON INVESTMENTS</b>							
Net realized gain from securities sales	\$93,490,296	\$8,969,521	\$207,388	\$539,208	\$508,100	\$103,714,513	\$3,410,066
Net change in unrealized gain on investments	(105,830,022)	(10,155,644)	(234,813)	(610,504)	(575,284)	(117,406,267)	(6,295,604)
	(12,339,726)	(1,186,123)	(27,425)	(71,296)	(67,184)	(13,691,754)	(2,885,538)
Change in net assets:							
Unrestricted	(42,426,240)	(3,156,096)	650,849	(201,021)	(92,107)	(45,224,615)	(3,309,589)
Temporarily restricted	—	—	—	—	—	—	(1,118,626)
Permanently restricted	—	—	—	—	—	—	—
Total change in net assets	(42,426,240)	(3,156,096)	650,849	(201,021)	(92,107)	(45,224,615)	(4,428,215)
<b>NET ASSETS</b> beginning of year	688,745,020	74,195,241	808,679	3,983,026	3,596,944	771,328,910	46,538,307
<b>NET ASSETS</b> of Culpeper	—	—	—	—	—	—	—
<b>NET ASSETS</b> end of year	\$646,318,780	\$71,039,145	\$1,459,528	\$3,782,005	\$3,504,837	\$726,104,295	\$42,110,092

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

## COMBINED STATEMENTS OF ACTIVITIES

(continued)

	Total 2000	1999 RBF Funds	1999 Asian Cultural Council, Inc.	Total 1999
<b>GAIN ON INVESTMENTS</b>				
Net realized gain from securities sales	\$107,124,579	\$32,961,240	\$4,608,942	\$37,570,182
Net change in unrealized gain on investments	(123,701,871)	110,692,198	5,606,405	116,298,603
	(16,577,292)	143,653,438	10,215,347	153,868,785
Change in net assets:				
Unrestricted	(48,534,204)	112,098,796	7,955,345	120,054,141
Temporarily restricted	(1,118,626)	-	649,017	649,017
Permanently restricted	-	-	-	-
Total change in net assets	(49,652,830)	112,098,796	8,604,362	120,703,158
<b>NET ASSETS</b>				
beginning of year	817,867,217	447,024,668	37,933,945	484,958,613
<b>NET ASSETS</b>				
of Culpeper	-	212,205,446	-	212,205,446
<b>NET ASSETS</b>				
end of year	\$768,214,387	\$771,328,910	\$46,538,307	\$817,867,217

## ROCKEFELLER BROTHERS FUND, INC. & COMBINED AFFILIATE COMBINED STATEMENTS OF CASH FLOWS

For the Years Ended December 31, 2000 and 1999

	Total 2000 All Funds	Total 1999 All Funds
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>		
Change in net assets	(\$49,652,830)	\$120,703,158
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Net realized and unrealized (gain) or loss on investments	16,577,292	(153,868,785)
Depreciation	1,130,893	1,058,169
Interest and dividends restricted for endowment	(152,381)	(147,474)
(Increase) decrease in accounts receivable	151,597	218,169
(Increase) decrease in contributions receivable	(17,995)	(61,365)
(Increase) decrease in interest and dividends receivable	(590,988)	(320,415)
(Increase) decrease due from brokers and dealers	(2,979,808)	5,636,742
(Increase) decrease in prepaid expenses	146,414	(414,967)
Increase (decrease) in grants payable	1,587,854	10,817,599
Increase (decrease) in due to brokers and dealers	2,294,570	(3,322,205)
Increase (decrease) in accounts payable and accrued liabilities	1,055,401	256,988
Increase (decrease) in deferred taxes payable	(1,180,983)	910,787
Net cash provided by (used in) operating activities	(31,630,964)	(18,533,599)
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Proceeds from sales of investments	1,217,392,107	963,449,249
Purchases of investments	(1,185,272,489)	(1,157,255,848)
Reductions of program-related investments	142,000	142,000
Purchases of fixed assets	(661,354)	(1,568,729)
Net cash provided by (used in) investing activities	31,600,264	(195,233,328)
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>		
Interest and dividends restricted for endowment	152,381	147,474
Net cash provided by financing activities	152,381	147,474
Net increase (decrease) in cash	121,681	(213,619,453)
Cash at beginning of year	561,624	1,975,631
Cash flows from merger	—	212,205,446
Cash at end of year	\$683,305	\$561,624

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

# 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 State not-for-profit corporation law and is classified as a private foundation as defined in the Internal Revenue Code. Effective July 1, 1999, the Fund merged with the Charles E. Culpeper Foundation (“Culpeper”), a private, grantmaking corporation founded in New York. Under the terms of the merger, the Fund received all of the assets of Culpeper with a fair value of approximately \$212,000,000, consisting principally of investments and cash and cash equivalents. In addition, four members of Culpeper’s Board of Trustees were elected to the Fund’s Board of Trustees. The assets received from Culpeper were treated similar to a contribution in the accompanying combined statement of activities. The surviving entity is known as the Rockefeller Brothers Fund. 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 and scholarships for medical science and biomedical research.

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 preservation, maintenance and operation of the Pocantico Historic Area at Pocantico Hills, New York, as a conference center and an historic park benefiting the public.

**Pocantico II Fund:** For the perpetual maintenance of the Playhouse parcel at the Pocantico Historic Area when ownership of that parcel passes to a charitable organization.

**Ramon Magsaysay Award Foundation Fund:** To support the Ramon Magsaysay Awards and other 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.

Effective January 1, 2001, the Pocantico Program Fund was consolidated into the Principal Fund.

**Asian Cultural Council, Inc.** (“ACC”) is a not-for-profit, charitable corporation existing under the New York State not-for-profit corporation law and has been determined to be a publicly supported organization as defined in the Internal Revenue Code. ACC 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 ACC.

## 2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

**Principles of Combination:** The financial statements of the Fund include ACC of which it is the sole member. The accompanying statement of financial position and related statements of activities and of cash flows, and the schedule of functional expenses, as of December 31, 2000 and 1999, and for the years then ended, are presented in the total column on a combined basis to reflect the financial position and results of operations of the Fund and ACC. All significant interfund balances and transactions are eliminated in combination.

**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 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, 2000 and 1999, approximately \$40,900,000 and \$50,600,000, respectively, 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.

Investments of the Principal Fund, Pocantico Fund, Pocantico II 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 and ACC estimate that the grants payable balance as of December 31, 2000 will be paid as follows:

2001: \$12,649,341 2002: \$6,177,249 2003: \$1,701,900 2004: \$606,000 2005: \$4,800 Total: \$21,139,290

The net present value of grants payable is not materially different from amounts committed to be paid.

**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 investment income.

ACC 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 include 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 approximately \$7,600,000 and \$6,500,000, respectively.

**Expenses:** The Fund and ACC report expenses on a functional basis, with all expenses charged either to a particular program or supporting service. Overhead expenses, including occupancy, telephone, and insurance, are allocated to functional areas based upon space used or actual usage, if specifically identifiable. The allocation of salary and related expenses for management and supervision of program service functions are made by management based on the estimated time spent by executives in the various program service functions.

**Use of estimates:** The preparation of financial statements in accordance with accounting principles generally accepted in the United States of America 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. Most significant estimates relate to investments. Actual results could differ from those estimates.

**Prior year's financial statements:** Certain reclassifications of the 1999 financial information have been made to conform to the 2000 presentation. The financial information presented for 1999 in the accompanying financial statements is intended to provide a basis for comparison and reflects summarized totals only.

### 3. INVESTMENTS

Investments at December 31, 2000 and 1999 are summarized as follows:

	December 31, 2000			December 31, 1999	
	Cost	Unrealized Appreciation/ (Depreciation)	Market	Cost	Market
Short-term investments	\$33,192,855	\$117,162	\$33,310,017	\$17,298,566	\$17,411,884
Stocks	445,689,823	46,098,717	491,788,540	410,057,876	572,293,810
Bonds	165,233,822	1,270,494	166,504,316	162,719,038	155,940,674
Limited partnerships	84,644,860	(1,297,891)	83,346,969	63,680,653	78,047,542
Foreign currency fluctuations	—	(31,552)	(31,552)	—	(78,705)
	\$728,761,360	\$46,156,930	\$774,918,290	\$653,756,133	\$823,615,205

The cost of investments in each fund at December 31, 2000 and 1999 is as follows:

	December 31, 2000	December 31, 1999
Principal Fund	\$622,975,412	\$557,367,636
Pocantico Fund	63,733,785	57,339,643
Ramon Magsaysay Award Foundation Fund	3,967,515	3,588,024
Asian Projects Fund	3,707,139	3,349,542
Pocantico II Fund	289,174	49,196
Asian Cultural Council, Inc.	34,088,335	32,062,092
	\$728,761,360	\$653,756,133

### 4. PROGRAM-RELATED INVESTMENTS

The Fund's program-related investments have limited or no marketability. These investments and real estate are stated at the lower of cost or estimated fair value. The Fund's real estate 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 initially charged interest on the unpaid principal at the rate of 6 percent per year; such interest accrued beginning January 1, 1995. In 1999, the interest rate was reduced to 3 percent for

the remaining term of the loan. 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. The Fund had loaned RMAF the full amount authorized as of December 31, 1995 and received the appropriate repayments of principal and interest in the years ended December 31, 1995 through 2000.

## 5. PENSION PLAN

The Fund and ACC participate in the Retirement Income Plan for Employees of Rockefeller Brothers Fund, Inc., et al., a noncontributory defined benefit plan covering substantially all its employees. The Fund's and ACC'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 financial statements at December 31, 2000 and 1999 and for the years then ended:

<b>Actuarial present value of benefit obligations:</b>	2000	1999
Accumulated benefit obligation	\$3,904,793	\$3,186,921
Projected benefit obligation for services rendered to date	\$5,329,392	\$4,380,421
Plan assets at fair value	5,030,592	4,554,321
Funded status	(298,800)	173,900
Unrecognized prior service cost	(40,657)	(42,464)
Unrecognized net gain from past experience different from that assumed and effects of changes in assumptions	1,037,533	391,190
Unamortized transitional net asset	(138,589)	(158,388)
Prepaid pension cost included in prepaid expenses	\$559,487	\$364,238
Net pension cost included the following components:		
Service cost—benefits earned during period	\$319,759	\$365,000
Interest cost on projected benefit obligation	350,434	329,978
Actual return on plan assets	(409,889)	(439,170)
Net amortization and deferral	(21,606)	(8,172)
Net periodic pension cost	\$238,698	\$247,636

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 7.5 percent and 4.5 percent in 2000 and 8.0 percent and 5.0 percent in 1999, respectively. The expected long-term rate of return on assets was 9.0 percent in 2000 and 1999.

## 6. POSTRETIREMENT HEALTHCARE BENEFITS

In addition to providing pension benefits, the Fund provides certain healthcare benefits for retired employees. Substantially all of the Fund's and ACC'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.

The following table sets forth the plan's status as of December 31, 2000 and 1999:

	2000	1999
Accumulated postretirement benefit obligation ("APBO")	\$1,519,960	\$1,353,000
Unrecognized net gain	210,734	288,000
Accrued postretirement benefit cost	\$1,730,694	\$1,641,000

The net periodic postretirement benefit cost included the following components:

	2000	1999
Service retirement cost	\$75,678	\$83,000
Interest cost	111,783	96,000
Amortization of unrecognized gain	(21,081)	(23,000)
Net periodic postretirement benefit cost	\$166,380	\$156,000

Actual retiree premiums paid by the Fund and ACC during 2000 and 1999 amounted to \$76,000 and \$75,000, respectively.

The discount rate assumed in determining the APBO was 7.5 percent in 2000 and 8.0 percent in 1999. The medical cost trend rates assumed were 8.0 percent and declining to 6.0 percent over a five-year period for 2000 and 1999. Increasing the assumed medical cost trend rate by one percent each year would result in increases in both the APBO and the net periodic postretirement cost of approximately \$240,000 and \$39,000 in 2000 and \$209,000 and \$32,000 in 1999, respectively.

## 7. RELATED PARTY TRANSACTIONS

The Fund paid Rockefeller and Co., Inc., fees of approximately \$325,000 and \$230,000 in 2000 and 1999, respectively, as one of its investment advisors and fees of \$50,000 in 2000 and 1999, respectively, for the management of the Fund's qualified pension plans and other services. The Fund was reimbursed approximately \$290,000 in 2000 and \$180,000 in 1999, for the fair value of certain expenses, including accounting and occupancy, by the Rockefeller Family Fund, Inc. The Fund was also reimbursed \$470,000 and \$12,000 in 2000 and \$370,000 and \$12,000 in 1999 for the fair value of certain expenses, including accounting and occupancy, by ACC and the David Rockefeller Fund, respectively.

The Fund paid fees in 2000 and 1999 of approximately \$1,070,000 and \$1,120,000, respectively, 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. The provision for federal excise tax consists of a current provision on realized net investment income and a deferred provision on unrealized appreciation of investments. This tax is generally equal to 2 percent; however, it is reduced to 1 percent if a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. For 2000, the Fund expects to qualify for the lower tax rate and provided for excise taxes at the rate of 1 percent. For 1999, the Fund provided for excise taxes at the rate of 1 percent.

## 9. COMMITMENTS

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

Fiscal Year		
2001: \$1,360,000	2002—2006: \$7,085,000	2007—2012: \$7,697,000

On January 1, 1998, the Fund entered into a new lease agreement and relocated its offices in June 1998. Effective January 1, 1999, the Fund leased additional space to expand its offices. The terms of the two leases for the Fund's offices expire in December, 2012 with one five-year renewal option. Under the terms of its merger agreement with the Charles E. Culpeper Foundation, the Fund assumed the liability for Culpeper's office space through 2007. This space was subleased in 1999 for the years 2000 through 2007.

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 2000 and 1999, these costs aggregated approximately \$1,535,000 and \$1,653,000, 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.

## 10. ASIAN CULTURAL COUNCIL, INC.

Summarized financial results of the Asian Cultural Council, Inc. for the year ended December 31, 2000 and 1999 are presented below:

	2000				1999			
	Unrestricted	Temporarily restricted	Permanently restricted	Total	Unrestricted	Temporarily restricted	Permanently restricted	Total
Net assets, beginning of year	\$27,966,944	\$5,739,450	\$12,831,913	\$46,538,307	\$20,011,599	\$5,090,433	\$12,831,913	\$37,933,945
Total support and revenue	(\$1,002,594)	\$316,286	—	(686,308)	\$9,970,128	\$2,031,523	\$—	\$12,001,651
Net assets released from restriction	1,434,912	(1,434,912)	—	—	1,382,506	(1,382,506)	—	—
Program expenses	(2,994,758)	—	—	(2,994,758)	(2,820,840)	—	—	(2,820,840)
General management expenses	(747,149)	—	—	(747,149)	(576,449)	—	—	(576,449)
Change in net assets	(3,309,589)	(1,118,626)	—	(4,428,215)	7,955,345	649,017	—	8,604,362
Net assets, end of year	\$24,657,355	\$4,620,824	\$12,831,913	\$42,110,092	\$27,966,944	\$5,739,450	\$12,831,913	\$46,538,307

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 net assets released from 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. Depending upon the donor's designation, such income is reflected in the statement of activities as either temporarily restricted or unrestricted income.

## EXHIBIT I: SCHEDULE OF FUNCTIONAL EXPENSES

For the Year Ended December 31, 2000 with Comparative 1999 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")					RBF Total 2000	Asian Cultural Council, Inc.	Combined Total 2000
	Direct Charitable Activities		Program and Grant Management	Investment Management	General Management			
	General Programs	Pocantico Fund						
<b>SALARIES AND EMPLOYEE BENEFITS</b>								
Salaries	\$308,915	\$277,745	\$1,467,346	\$200,674	\$1,021,429	\$3,276,109	\$625,507	\$3,901,616
Employee benefits	95,841	71,107	455,245	60,838	310,833	993,864	294,067	1,287,931
	404,756	348,852	1,922,591	261,512	1,332,262	4,269,973	919,574	5,189,547
<b>OTHER EXPENSES</b>								
Grants awarded	-	-	33,454,995	-	-	33,454,995	1,568,556	35,023,551
Fellowship and leadership program expenses	228,952	-	-	-	-	228,952	-	228,952
Federal excise and other taxes	-	-	-	-	359,746	359,746	27,430	387,176
Consultants' fees	3,279	342	248,978	26,616	189,385	468,600	181,154	649,754
Investment services	-	-	-	3,997,010	-	3,997,010	333,202	4,330,212
Legal, audit and professional fees	19,662	6,998	27,240	19,617	148,699	222,216	162,268	384,484
Travel	48,274	12,410	264,923	10,744	46,356	382,707	72,453	455,160
Rent and electricity	76,139	-	459,491	50,464	299,245	885,339	170,197	1,055,536
Program conferences and events	178,445	-	19,953	-	-	198,398	98,986	297,384
Facilities maintenance and operations	-	1,535,075	-	-	-	1,535,075	21,022	1,556,097
Telephone, facsimile and internet	6,997	16,644	42,227	6,324	33,258	105,450	16,449	121,899
General office expenses	60,552	82,500	286,293	40,033	236,985	706,363	118,028	824,391
Publications	2,273	-	-	-	219,505	221,778	31,223	253,001
Fundraising expenses	-	-	-	-	-	-	11,176	11,176
Depreciation and amortization	33,565	504,720	202,558	73,375	306,486	1,120,704	10,189	1,130,893
	\$1,062,894	\$2,507,541	\$36,929,249	\$4,485,695	\$3,171,927	\$48,157,306	\$3,741,907	\$51,899,213

**EXHIBIT I: SCHEDULE OF FUNCTIONAL EXPENSES**  
(continued)

	1999 RBF Funds	1999 Asian Cultural Council, Inc.	Combined Total 1999
<b>SALARIES AND EMPLOYEE BENEFITS</b>			
Salaries	\$3,056,061	\$593,136	\$3,649,197
Employee benefits	1,163,163	279,440	1,442,603
	<u>4,219,224</u>	<u>872,576</u>	<u>5,091,800</u>
<b>OTHER EXPENSES</b>			
Grants awarded	30,964,645	1,425,049	32,389,694
Fellowship and leadership program expenses	231,968	–	231,968
Federal excise and other taxes (Notes 2 and 8)	1,102,275	22,687	1,124,962
Consultants' fees	288,549	136,642	425,191
Investment services	3,034,293	292,919	3,327,212
Legal, audit and professional fees	263,037	154,368	417,405
Travel	398,343	74,060	472,403
Rent and electricity	921,458	119,976	1,041,434
Program conferences and events	193,693	121,821	315,514
Facilities maintenance and operations (Note 9)	1,653,323	15,981	1,669,304
Telephone, facsimile and internet	97,782	17,547	115,329
General office expenses	618,267	103,190	721,457
Publications	196,665	25,227	221,892
Fundraising expenses	–	3,822	3,822
Depreciation and amortization	1,046,745	11,424	1,058,169
	<u>\$45,230,267</u>	<u>\$3,397,289</u>	<u>\$48,627,556</u>

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<sup>1</sup> Until July 31, 2000

<sup>2</sup> Advisory Trustee

<sup>3</sup> Advisory Trustee as of June 7, 2000

<sup>4</sup> As of June 7, 2000

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<sup>1</sup> As of July 28, 2000

<sup>2</sup> Until July 31, 2000

<sup>3</sup> Until December 7, 2000

<sup>4</sup> Until May 14, 2000

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Regina Creegan  
Maria Monteiro  
Kimberly A. Miller  
Elida Reyes

<sup>1</sup> Until August 31, 2000  
<sup>2</sup> As of September 18, 2000  
<sup>3</sup> Until July 10, 2000  
<sup>4</sup> Until August 11, 2000  
<sup>5</sup> As of August 1, 2000  
<sup>6</sup> Until July 14, 2000  
<sup>7</sup> As of September 5, 2000  
<sup>8</sup> Until July 7, 2000  
<sup>9</sup> As of June 26, 2000  
<sup>10</sup> As of April 10, 2000