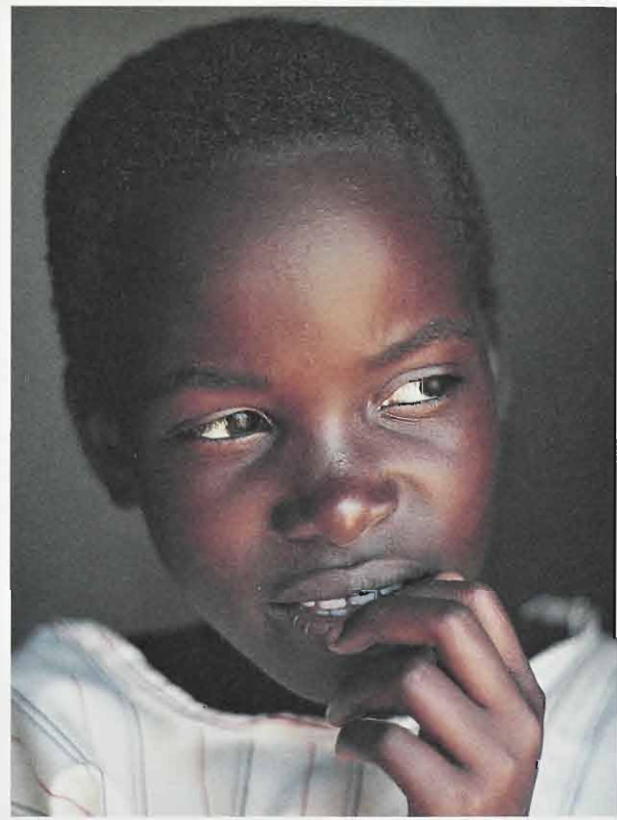


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# Rockefeller Brothers Fund

Philanthropy for an Interdependent World



2002 Annual Report

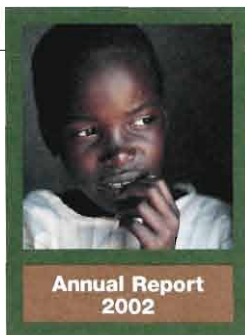
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# Rockefeller Brothers Fund

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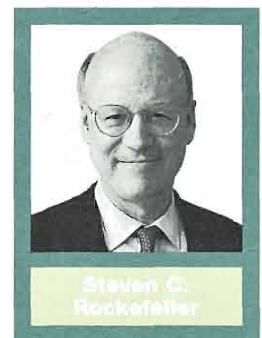
<sup>3</sup> Until October 31, 2002

<sup>4</sup> As of December 12, 2002

<sup>5</sup> As of December 12, 2002, and Assistant Treasurer  
until December 12, 2002

## Message from the Chair

In December 2002 the RBF board of trustees completed a review and redesign of its programs that had been in progress for two and a half years. The strategic review process was undertaken following the merger with the Charles E. Culpeper Foundation in an effort to integrate the programs of the two foundations, adjust programs to a changing world situation, and achieve some reduction in the broad scope of the Fund's activities with the goal of greater coherence in the program design. With the economy in a slump, the RBF's financial resources declined in 2002 for the second year in a row, and this situation forced new reductions in the Fund's program grant budget and intensified the trustees' interest in consolidation and a more concentrated focus. Stephen Heintz, the RBF's new president, played an especially important leadership role in the review and reconstruction of the Fund's programs. • Recognizing that the world is increasingly interdependent ecologically, economically, and socially, the trustees reaffirmed their commitment to a grant program that addresses global as well as local and regional challenges. This orientation is reflected in the revised formulation of the Fund's general purpose with which the new Program Statement begins: "The Rockefeller Brothers Fund promotes social change that contributes to a more just, sustainable, and



peaceful world.” Toward this end, as explained in the new Program Statement, the Fund pursues grantmaking and related activities designed “to develop leaders, strengthen institutions, engage citizens, build community, and foster partnerships that include government, business, and civil society.” It supports programs intended “to expand knowledge, clarify values and critical choices, nurture creative expression, and shape public policy.” The Fund will also continue an approach to grantmaking that involves a special emphasis on fundamental problems and long-term goals, a readiness to make long-term commitments to issues and regions, a concern to promote synergy among different projects and programs, and a willingness to launch promising new initiatives and to provide grantees with assistance beyond financial support. Often taking advantage of its Pocantico Conference Center, the RBF continues to have an interest in convening groups, including funders, and in encouraging collaboration.

With regard to the Fund’s mission, general objectives, and style of grantmaking, the trustees have endeavored to clarify ideas and to update definitions in a way that builds on and is consistent with RBF traditions. There has, however, been some significant reconstruction of the Fund’s program architecture. At the beginning of 2000, the RBF had nine separate programs, several of which were named after the geographic region on which they were focused—New York City and South Africa, for example. At the end of the strategic review process, the RBF trustees settled on four major programs which they have entitled Democratic Practice, Sustainable Development, Peace and Security, and Human Advancement. These four programs are each being implemented in various places in the United States and are also being pursued either in other regions, such as Asia, or at the global level, or both. In addition, the Fund has designated three areas as RBF Pivotal Places—New York City, South Africa, and Serbia and Montenegro—where it will apply at least two of its four major programs in ways appropriate to each place. In the case of some of the four major programs, much of their grantmaking may go on in an RBF Pivotal Place.

What happened in the course of the strategic review process can be further briefly explained as follows. For different reasons, four of the Fund’s nine programs have been or are being phased out, including the programs in Central and Eastern Europe, Education in the area of early childhood, Health, and the Nonprofit Sector. Three programs at the RBF or former Culpeper Foundation—Sustainable Resource Use, Global Security, and Arts and Culture—are being continued under new names and with varying degrees of redesign. Their new titles are Sustainable Development, Peace and Security, and the Culpeper Human Advancement program, which includes Arts and Culture, the RBF Teaching Fellows, the Magsaysay Awards, and the Health program, which will be phased out or transferred to another foundation. The Fund’s fourth major program in the new program architecture, Democratic Practice, is for the most part a new program with strong connections to past RBF interests and initiatives. In addition, two former RBF programs are now being continued under the designation of an RBF Pivotal Place—New York City and South Africa. The RBF grantmaking in New York City has been significantly expanded because the Fund’s Arts and Culture work, which is part of the Human Advancement program, is now largely concentrated in the City. The South Africa program has also been expanded to include work designed to assist South Africa with the AIDS crisis. A third RBF Pivotal Place is Serbia and Montenegro, where the RBF first initiated grantmaking on an experimental basis in 2001. A very helpful chart outlining the new program architecture may be found on page 16, and the new Program Statement and guidelines for each program, which have been published in the Fund’s 2003 program guidelines brochure, will further clarify the Fund’s new approach.

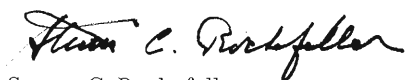
I would like to express special thanks to the Strategic Review Committee and to Stephen Heintz and the staff for leading the Fund to the successful completion of the review and redesign process. The members of the Committee included Peggy Dulany, Jim Moltz, John Morning, Bob Oxnam, Richard Rockefeller, and Stephen Heintz. The Committee’s



perseverance with a long and demanding process and its wise guidance are deeply appreciated.

RBF grant payments in 2002 totaled \$22.9 million, which reflects a reduction of \$2.7 million when compared with 2001. The difficult financial times that caused a steady decline in the value of the endowment over 2001 and 2002 also forced the Fund to eliminate seven positions during the fall of 2002. These changes, together with the new program architecture, have required the Fund's staff to make a number of adjustments, and on behalf of the board of trustees, I would like to thank the staff and express our deep appreciation for their understanding and flexibility. I also want to thank the Finance Committee, chaired by Ed Villani, for its expert oversight of the Fund's financial resources during this especially challenging period.

At a time when congressional and media scrutiny of foundations is on the rise, it is important to keep in mind two issues. First, the foundation and the larger not-for-profit community must do more to educate the public about the constructive role of foundations in promoting beneficial social, cultural, economic, and environmental innovations and in sustaining valuable established institutions and organizations. Foundations are a vitally important expression of American democratic freedom, and they make a major contribution to the creativity and dynamism of American society. They merit strong public support. Second, given their status as charitable institutions and the privileges they enjoy, foundations should be operated with a high sense of social responsibility, and they must do more to establish among trustees and staff an ethic and practice of self-scrutiny, transparency, and public accountability. The RBF is working to address these issues.



Steven C. Rockefeller  
*Chair*

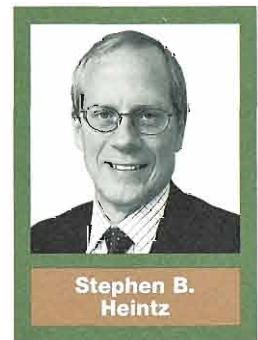
## Message from the President:

2002 in Review and Reflections on U.S. Global Engagement

I am pleased to have this opportunity to review some highlights of the work of the Rockefeller Brothers Fund during 2002 and to comment in more depth on one focus of our work that is of particular urgency: the U.S. role in an increasingly interdependent world full of both peril and promise.

### **2002: Enduring Mission, Redesigned Programs, and “Pivotal Places”**

The year 2002 proved to be an important milestone in the history of the Rockefeller Brothers Fund as our board of trustees and staff completed more than two years of strategic reflection and planning and adopted a substantially redesigned architecture for our grants programs. Reviewing the RBF’s programs in light of contemporary challenges and opportunities, we readily reaffirmed the Fund’s long-standing mission: *helping to build a more just, sustainable, and peaceful world*. At the same time, we came to understand that profoundly changing global conditions, coupled with a decline in the value of our endowment, required a sharper focus, stronger programmatic coherence, and the consolidation of certain of our activities in order to address urgent social and environmental concerns more effectively. • The process required some very difficult decisions about priorities.



At an early stage of our program review, we reached the conclusion that we had achieved our basic goals in Central and Eastern Europe, where the Fund has been active since the early 1980s. As we charted a careful, five-year phaseout of our work there, we decided to initiate a new program of grantmaking in the Balkans. This program will build on many of the lessons learned in the Central European countries that are poised to join the European Union. After many years of supporting efforts to expand and improve early childhood education and care in the United States, we decided to exit from this field during 2003. The Fund's decades-long interest in promoting the nonprofit sector and philanthropy will now be addressed as part of a more focused effort to strengthen democracy, both here in the U.S. and abroad. The RBF will no longer maintain a separate grants program in the field of health, although we will address certain very specific health concerns within the framework of other programs. Finally, we decided it was time to scale back our geographic reach within Asia.

As we shift to new priorities, I want to pay tribute to the remarkable grantees the Fund has supported through our past programs. They have all contributed in very real ways to a more just, sustainable, and peaceful world, and we have been honored to work with them.

Our new program architecture, adopted by the board in December 2002, is organized around four themes: Democratic Practice, Sustainable Development, Peace and Security, and Human Advancement. We recognize that achieving progress in each of these program areas is often linked with developments in the others, and we will be looking for ways to address the interconnections among the four themes explicitly.

Specific goals and strategies for each of the four program areas have been published in a separate program guidelines brochure and on our website. The internal logic of each program leads us to work in specific geographic contexts. For example, our deep interest in forest ecosystems, which is an aspect of our Sustainable Development program, leads us to focus

on the coast of British Columbia, where 25 percent of the world's remaining pristine coastal temperate rain forest is located. Our interest in democratic practice requires us to help address "democratic deficits" in our own country as we seek to support the expansion of democracy elsewhere.

We have also initiated an effort to explore more fully the intersection of our program interests and particular geographic contexts. Drawing on work by Yale historian Paul Kennedy and his colleagues, we have decided to test a new approach to cross-programmatic grantmaking in a select number of "RBF Pivotal Places." These are subnational areas, nation-states, or cross-border regions that are of disproportionate geostrategic significance and special relevance with regard to our substantive interests. From among the many pivotal places around the world, we have chosen the smaller number of places where the RBF is positioned to make a difference by virtue of its history, understanding, and experience, as well as the skills and knowledge of our trustees and staff. The Fund's engagement in its selected pivotal places will be long-term and multidisciplinary, involving two or more RBF program interests. It will also be directly responsive to local needs and priorities. Our strategies in each RBF Pivotal Place will be developed through extensive consultations with local leaders and grassroots activists.

As we start this experiment, we have designated three RBF Pivotal Places: New York City, South Africa, and Serbia and Montenegro. In 2003 we are conducting field research to support designation of a pivotal place in Asia and in future years, if funding permits, we may also return to grantmaking in Latin America or perhaps extend our engagement with the Muslim world. If it proves successful, this strategy of concentrating our programmatic and geographic interests will help the RBF continue to be a globally engaged foundation at a scale commensurate with our resources.

2002 was a critical year for New York City—the Fund's home, a long-standing focus of our grantmaking, and now one of our "RBF Pivotal Places." In the



aftermath of the devastating terrorist attacks on the World Trade Center, city, state, and federal leaders moved with alacrity to initiate planning for the future of the site and its environs in Lower Manhattan. Working with the Regional Plan Association, the Municipal Arts Society, and the Pratt Institute Center for Community and Environmental Development—all long-standing RBF grantees—the Fund supported formation of the Civic Alliance to Rebuild Downtown New York, an unprecedented coalition of nearly 100 groups with diverse interests including urban planning, green building design, transportation, arts and culture, housing, economic justice, immigrant rights, and the concerns of the families of 9/11 victims. The Civic Alliance united around the urgent need to engage New Yorkers from all walks of life in the process of determining the future of Lower Manhattan. Responding to this challenge, we introduced the Civic Alliance to AmericaSpeaks, a Washington, DC-based nonprofit organization that has pioneered techniques of “deliberative democracy” using state-of-the-art technology to conduct large-scale “town hall meetings.” The first “Listening to the City” forum took place at South Street Seaport in early February 2002, bringing together some 600 people from throughout the metropolitan region. As decision makers from the Lower Manhattan Development Corporation (LMDC), City Hall, and the Port Authority of New York and New Jersey looked on, participants outlined their visions for Lower Manhattan and an appropriate memorial to the victims of 9/11. Input from the forum directly contributed to the principles subsequently issued by the LMDC to guide the planning process. A second “Listening to the City” forum, held in July, attracted more than 5,000 participants to the Javits Convention Center. They forcefully rejected the six initial site designs developed for the LMDC. Participants urged planners to imagine a *new* downtown, a vibrant 24-hour community combining residential, commercial,

and office space, served by efficient transportation, and offering numerous cultural amenities. As a result, an entirely new design process was launched and a bold plan, designed by the world-renowned architect Daniel Libeskind, was selected for the site. Writing in *The New Yorker*, architecture critic Paul Goldberger called the civic engagement process “an emblematic event in the history of city planning.”

Much work remains to be done to ensure that the vision of a new Lower Manhattan is ultimately realized. The RBF will be deeply involved in this effort for a number of years to come.

Further from home, 2002 took me to Asia three times: to China to see firsthand the Fund’s work

on sustainable development in Guangdong and Guangxi provinces, to Manila for the 2002 Magsaysay Awards ceremonies, and back to China with the board of the Asian Cultural Council. All three experiences reinforced for me the dynamic importance of Asia in the world and its central place in the philanthropic interests of the Rockefeller

**Despite significant financial constraints, the Fund remained quite active in 2002. The board of trustees approved 284 new grants, totaling some \$18.4 million.**

family and the entities the family has created over nine decades.

Despite significant financial constraints, the Fund remained quite active in 2002. The board of trustees approved 284 new grants, totaling some \$18.4 million. Eighty-one percent of our grants were made to U.S.-based organizations and 19 percent went to foreign NGOs. (It is important to note, however, that many of our U.S.-based grantees actually carry out their work internationally.) Our average grant size in 2002 was \$65,000. Forty percent of our grants were multiyear commitments. As always, we have had to decline many more requests for funding than we have been able to support. In 2002, we declined a total of 1,676 funding requests.

Our Pocantico Conference Center, located on the historic Rockefeller family estate in Westchester County, New York, is an integral part of the Fund's programming. It provides an exceptional setting where nonprofit organizations and public-sector institutions can bring together people of diverse backgrounds and perspectives to discuss critical issues related to the RBF's philanthropic goals. In 2002 the Conference Center hosted 65 meetings and conferences, with a total of 1,773 participants.

As I look back over the year, I very deeply appreciate the fine work and exceptional dedication of the RBF staff and board of trustees. Their efforts ensure that the contributions of the Fund far exceed the value of our annual grants budget.

As 2002 came to an end, Americans braced for a possible preemptive war in Iraq, which has since come to pass. In the run-up to that war, the content as well as the style of U.S. foreign policy prompted high-level debate, both at home and abroad, about America's role in the post-9/11 world. The RBF, through a redefined Peace and Security program, is working to encourage broader public dialogue and debate on the U.S. role in the world and on the values and principles that should shape it. In the next section of this essay, I offer some personal reflections on this issue, drawing on the work of the Fund's Peace and Security program and the network of grantees and collaborators with whom we are engaged.

### **Promoting Responsible U.S. Global Engagement**

As we face the daunting challenges of this young century, there may be no more important question than how the U.S. employs its unprecedented global power in the face of profound new perils and opportunities.

Public-opinion research has consistently demonstrated, over many decades, that Americans want to contribute to both a better and a safer world. Even in the wake of 9/11 and despite the unprecedented sense of vulnerability the terrorist attacks have inspired, the American people wish to see their country pursue a multidimensional engagement in global affairs, conducted in collaboration with other nations and multilateral institutions. A close examination of survey data suggests that the views of most Americans about our country's overall role in the world are based on deeply rooted values and are at odds in important respects with current U.S. government policy and actions.

We are at a critical juncture in our national history—and because of this country's unparalleled strength and ability to influence others' fates, it may well be a critical juncture in world history as well. This moment will test our beliefs, our ingenuity, and our commitment to exercising America's power on behalf of the common good.

Iraq is the first major test case. Where will it lead us?

Omar al-Issawi, producer at the pan-Arab Al Jazeera television network, could have been speaking for people across the globe when he observed, "All Arab eyes will be watching to see what you do. It's a test, an experiment. Everything is uncertain. Everything except this: We can never go back."

Al-Issawi was right: We can never go back. But the question at this pivotal moment is *how* we go forward. I believe our ability to meet this test depends on engaging the American people in serious and sustained debate about America's role in the world and on forging broad consensus behind a positive vision for responsible and effective U.S. global leadership.

**The RBF, through a redefined Peace and Security program, is working to encourage broader public dialogue and debate on the U.S. role in the world and on the values and principles that should shape it.**

Early in 1999, with the support of six other foundations,<sup>1</sup> the Rockefeller Brothers Fund launched the Global Interdependence Initiative, or GII. Housed at the Aspen Institute, the GII is a multiyear effort to build a constituency for U.S. approaches to international engagement that reflect the realities of global interdependence, embody core American values, and address critical human needs.

During the first phase of its work, the GII, working with the Frameworks Institute, undertook an innovative communications research program to improve our understanding of American beliefs about global issues and the U.S. role in the world. The research also sought to determine how leaders and organizations could communicate more effectively with the public about global problems and engage citizens in support of principled and constructive solutions.

The research produced five main findings:<sup>2</sup>

1. The American public has long supported an active and cooperative international role for the United States. Although the public often lacks specific policy preferences anchored in detailed factual knowledge, Americans' views are shaped by their core values and beliefs.
2. At the same time, misperceptions and confusion undermine public support for more effective U.S. global engagement. Americans sincerely believe the U.S. does more than its fair share of addressing the world's problems. They also have difficulty recognizing cause and effect in global issues, assigning responsibility, and identifying ways that they can make a difference.
3. The public lacks confidence in its views on U.S. foreign policy and often remains silent. This leaves policymakers free to ignore the public in making policy without suffering political consequences.

<sup>1</sup> The Carnegie Corporation, the Atlantic Philanthropies, and the Ford, William and Flora Hewlett, John D. and Catherine T. MacArthur, and Rockefeller Foundations.

<sup>2</sup> See *From Values to Advocacy*. The Global Interdependence Initiative, Aspen Institute, Washington, DC, 2002.

4. The media's handling of international news fosters public misperceptions and widens the disconnect between public views and those of policymakers. International news coverage generally focuses on wars, natural disasters, coups, and demonstrations—episodes presented without context or cause. Through the dominant frame created by this portrayal, the public sees the U.S. acting alone to bring order to global mayhem. The public would prefer America to play a different role, but cannot see that role through this frame.

5. Finally, the research clearly demonstrates that leaders and organizations that want to engage the American people in devising and advocating for a positive new vision for U.S. global engagement need to communicate in ways that overcome this dominant "global mayhem" frame. This frame leaves global interdependence, long-term engagement, and effective cooperation outside the picture. The research also pointed to alternative communications frames through which the public *can* see the world more fully and accurately and which enable citizens to speak with confidence to policymakers in support of a more appropriate role for the United States in the world.

In short, when Americans are encouraged to view the world as an interdependent place—as opposed to the "us against them" place evoked by the rhetoric of war—they instinctively understand the need for a foreign policy that is multidimensional, multilateral, and committed to finding ways of aligning U.S. interests with global interests.

While much of this research was undertaken prior to the September 11th attacks, recent polling shows that American support for active and cooperative global engagement has held steady and perhaps even increased. Current surveys also show that despite feeling more vulnerable than ever before, despite wanting to be militarily strong and prepared to face real threats, the overwhelming majority of Americans have no appetite for a series of preemptive wars. Most Americans want to find peaceful solutions to global problems in cooperation with



others. Although the public has naturally rallied behind U.S. troops in Iraq, Americans remain wary of dependence on military means to secure a safer and better world.

These are provocative findings at a time when the outlines of a new U.S. approach to international engagement seem to be emerging on the ground—in Iraq—and in the statements of senior policymakers. Yet there has been limited meaningful public debate about America’s global role and about whether the current trend toward unilateral action and reliance on military supremacy actually contributes, in the long run, to a better, safer world. Perhaps the absence of debate should not be surprising, since no compelling alternative vision has been advanced effectively by advocates or policymakers. In the absence of an alternative vision, a public that is not well informed about the rest of the world but is eager for strong leadership in a frightening time has little incentive to trust, explore, or express its own discomfort with U.S. policy or actions. As a result, Americans remain deeply unsettled about our course in a world that seems suddenly much more threatening. We are ambivalent about the choices before us at a time when clarity of purpose and national resolve are essential in the face of numerous geopolitical crises and global health, social, and environmental threats.

As expressed in our revised program guidelines, the RBF’s Peace and Security program promotes efforts to engage the American public in discussion of “the content, tone, and style of U.S. global engagement” while also supporting “efforts to articulate and implement a positive new vision for our nation’s role in creating a better and safer world for all people and the diversity of life on Earth.” Our work is predicated on the belief that by developing and offering Americans an alternative vision that is coherent, that clarifies difficult policy choices, and that resonates with broadly shared notions of responsible leadership and decent behavior, we can invite and empower citizens to debate and shape the character of U.S. global leadership.

As a first step in this work, and building directly on the findings of the GII, my RBF colleague Priscilla

Lewis, our special advisor, P.J. Simmons, and I have worked over the last year in consultation with a wide range of grantees and other partners to foster the development and articulation of a set of principles for constructive, results-oriented, and ethical U.S. global leadership. Our aim is to help craft principles that reflect core American values as identified by the GII, that are consistent with the best of mainstream policy analysis, and that replace the “global mayhem” frame with a frame of responsibility, connectedness, and effectiveness. In addition, we are consciously endeavoring to develop straightforward language that is free of jargon and that communicates effectively to Americans of diverse backgrounds, knowledge, and experience.

The draft principles emerging from this process reflect a conviction that is broadly shared by experts and ordinary citizens alike: that the United States has an unparalleled opportunity and responsibility to take the lead in building a better and safer world—for itself and for others—and that this opportunity comes not just from our country’s unrivaled military and economic power but also from the combination of common sense and common decency that has characterized us at our best and has produced positive results, both at home and abroad, for more than two centuries.

I share these draft principles here as a work in progress (both with respect to their content and their language), and I encourage readers to offer critiques, suggestions for additions, or enhancements.

### **First, the U.S. must build strength through teamwork.**

Today’s freer and faster global movement of people, ideas, and money, of disease, pollution, and conflict, breeds a host of challenges, many of them new to world history. No single country, not even a superpower, can hope to surmount them alone. Although America can often lead the world by example, it can rarely—if ever—prevail by itself.

Instead, only teamwork among many nations can deal effectively over time with terrorism and

international crime, with poverty and disease, with biodiversity loss and bioweapons proliferation, with global warming and financial contagion, and with refugees from famine or war. Only such determined common effort can bring down trade barriers, promote the orderly transfer of technology, and insure that vital, complex agreements are rigorously monitored and sensibly enforced.

Multilateral institutions, such as the United Nations, are essential forums for international teamwork. For effective teamwork in the 21st century, existing multilateral institutions must be reformed and strengthened, but not circumvented, in the quest for effectiveness. In addition, new institutions may need to be invented to address regional problems or new threats to peace, stability, or human advancement.

A global order built on cooperation serves U.S. interests. It offers us greater security, wider economic opportunity, and a more promising setting for the advance of democratic values and practices. Teamwork expands—not limits—our options and multiplies our strength. And it broadens the expertise, resources, and imagination that are available to solve problems, avoid conflict, and achieve shared goals.

**Second, the U.S. should focus on the big picture.**

Given the realities of increasing global interdependence and accelerating globalization, we need to understand fully the links between domestic and global concerns as well as the connections among a wide array of global issues. One-dimensional responses won't work. Comprehensive approaches are the key to progress.

We know this from our own communities, where we have learned—for example—that building safe and healthy communities requires not only effective

policing but also an engaged citizenry and active civil-society organizations, good schools and programs for young people, good job opportunities, and strong local institutions, from churches, synagogues, and mosques to effective agencies of local government.

In international affairs, the same kind of common sense shows us that enhanced homeland security cannot be achieved solely by efforts at home. Our approach may need to include assistance to improve elementary schools in Pakistan, for example, or teamwork to tighten worldwide controls on money laundering. Similarly, to protect public health in a world where contagion respects no frontiers, we

need not only disease-monitoring networks but also programs to insure clean drinking water and effective sanitation.

**Enhanced homeland security cannot be achieved solely by efforts at home. Our approach may need to include assistance to improve elementary schools in Pakistan, for example, or teamwork to tighten worldwide controls on money laundering.**

**Third, we must develop and use a full range of tools for global problem solving.**

Given the enormous diversity and complexity of the challenges we face—from climate change to health pandemics, from ethnic conflicts to economic disparities, from terrorism to trade disputes—we will

need to develop, maintain, and employ a wide variety of tools. It has been said that if you only have a hammer, everything begins to look like a nail. Dependence on any one tool will not get the job done and risks causing unintended damage. We must maintain and use military force when absolutely necessary to confront urgent military or geopolitical threats to peace and security or to prevent genocide or other massive abuses of human rights. But we must also develop and use the other tools—including diplomacy, multilateral treaties, bilateral and other cooperative agreements, and international institutions; public-private partnerships; intelligence sharing; development and

capacity-building assistance; moral leadership and leadership by example—that can help us avoid the need for military action.

#### **Fourth, we must look well into the future and plan ahead.**

Responsible leadership and prudent management require planning ahead, from making childhood immunization a priority to developing assistance strategies along with military interventions. The unprecedented pace and scale of global technological change (from genetics to weaponry), of population growth and urbanization in the developing world, and of damage to our planet's ecosystems and atmosphere are raising the long-term global costs of error or inaction. By acknowledging and working to channel or avert these forces, America can make snowballing problems manageable, head off new dangers, and secure a safer, better future for all our children.

Our resources and our stature enable us—and our own security interests require us—to take the lead in identifying and preventing social, environmental, and security-related problems that could otherwise balloon in future years into state failures, conflicts, and other costly, dangerous, destabilizing, even potentially irreversible crises. The challenge is huge. But our power, exercised responsibly, effectively, and with foresight, is equal to it.

#### **Fifth, we should promote fair play.**

When America bases its actions on its fundamental values, it earns credibility, respect, goodwill, and backing in the international community. That combination of esteem and tangible support is essential to keeping old friends, winning new ones, forming effective coalitions, averting resentment and misunderstanding, and gaining the leeway needed in situations where America soberly determines it must act by itself. Moreover, to advance shared norms and the rule of law as the basis for stability and progress around the world, America itself has to play by the rules—whether along global shipping routes or in devising trade policies, deploying our military, promoting human rights, or using global environmental resources.

#### **And last, we must put our strength to great purpose.**

America has immense power to alleviate suffering, to expand opportunity, and to help build stable societies and a more prosperous and equitable global community. Our capacity for doing good—to our own benefit and that of others—is unparalleled. Working with others, we can save millions of lives now taken by malaria and AIDS, we can educate tens of millions of illiterate children, bring hope and health to millions of disadvantaged young girls and women, and save our climate, oceans, watersheds, fragile land, and forests from irreversible damage. We bring our strength to bear on such challenges because it is the right thing to do—not only morally right, but right in the furtherance of our self-interest. Effective use of our power will make the world safer and build the kind of global prosperity that grows the more widely it spreads.

As an unrivaled superpower—possessing an unprecedented combination of relative and absolute military strength, wealth, and moral and cultural appeal—America is not only positioned to be a strong leader, it is also the only nation that can fill that role. Being equal to such responsibility means, first of all, a commitment of will. Additionally, it means a willingness to commit resources proportionate to our wealth and power to shared enterprises of global scope. Funding, however, is not the only measure of America's fair share. As or more important is vigorous, sustained engagement itself: providing—sometimes by example at home—the essential catalyst for collaborative international action.

Realistically, America cannot stand apart as a neutral force. If America does not take a major part in the search for solutions, it becomes a significant part of the problems. To be sure we use our strength positively, America must be as generous as a nation as Americans are as individuals. We must be sensitive to the needs of others, imaginative in developing human potential, resourceful in preventing affliction, and compassionate in alleviating it.



Historically, when America advances a vision of progress, a plan for action, and a program for combining forces and assets, we inspire others to join us—and America’s power and can-do confidence moves mountains and the world.

These six principles—building strength through teamwork, focusing on the big picture, developing and using a full range of tools, thinking and planning ahead, promoting fair play, and putting our strength to great purpose—simply describe the marriage of common sense and common purpose. They reflect what has been best historically in the content, style, and tone of America’s approach to its role in the world. As points of reference that measure the match between our actual conduct and our high standards, they can help citizens and leaders chart a responsible, results-oriented global course to a better, safer world.

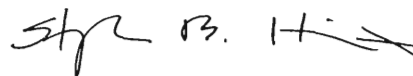
I hope that the framing and consideration of a set of basic principles like these can help encourage and equip individuals and organizations to contribute to a national dialogue about a positive new vision of America’s role in the world. I believe that when citizens’ groups, educators, journalists, business leaders, and elected officials working across a wide range of issues invoke such shared points of reference in ways that resonate with both elite and general audiences, they will inspire more Americans to learn about global issues, reflect on this country’s global role, and debate and support appropriate U.S. policies for creating a better, safer world.

To put this approach into practice, the RBF is working with a diverse and expanding network of grantees and other partners who share the basic values reflected in these draft principles. As we continue this work, we will seek to provide partner organizations with reliable communications guidance to help advocates, grassroots leaders, and other opinion shapers talk with Americans about U.S. global engagement in ways that evoke and reinforce a positive vision of America’s role in the world and that resonate with people’s understanding of

responsible and effective leadership, teamwork, and membership in a community. In addition, we will provide modest support for a variety of mutually reinforcing public-outreach efforts that are informed by a shared vision of responsible global leadership and carried out by a diverse array of advocacy organizations, foundations, educational groups, policymakers, journalists, and other concerned groups and individuals.

If we are to encourage and help enable Americans to assume the responsibilities of citizenship in an interdependent world, we need to foster a sense of purpose and point to a strong, unifying thread among the varied challenges we face. Rationality alone cannot meet these requirements. It must be fortified on the level of values and beliefs. In his second State of the Union address, Abraham Lincoln exhorted his fellow citizens to meet the unprecedented challenges that then threatened the very survival of the nation. “The dogmas of the quiet past are inadequate to the stormy present,” he said. “The occasion is piled high with difficulty, and we must rise with the occasion. As our case is new, so we must think anew and act anew. We must disenthrall ourselves, and then we shall save our country.”

As Americans face the profound challenges now before us, we must once again disenthrall ourselves and act anew, in ways consistent with our best traditions and enduring values, to create a safer and better world.



Stephen B. Heintz  
*President*



# Program Architecture\*

RBF Mission: Helping to build a more just, sustainable, and peaceful world.

<b>Democratic Practice</b>	<b>Sustainable Development</b>	<b>Peace and Security</b>	<b>Culpeper Human Advancement</b>
<b>WHAT</b>	<b>WHAT</b>	<b>WHAT</b>	<b>WHAT</b>
<ul style="list-style-type: none"> <li>• Civic Engagement</li> <li>• Effective Governance</li> <li>• Transparency and Accountability</li> <li>• Access and Inclusion</li> </ul>	<ul style="list-style-type: none"> <li>• Forest Ecosystems</li> <li>• Marine Ecosystems</li> <li>• Global Warming</li> <li>• Sustainable Communities</li> </ul>	<ul style="list-style-type: none"> <li>• Responsible U.S. Global Engagement</li> <li>• Dialogue with Islam</li> </ul>	<ul style="list-style-type: none"> <li>• Arts and Culture</li> <li>• Education</li> <li>• Leadership</li> <li>• Health</li> </ul>
<b>WHERE</b>	<b>WHERE</b>	<b>WHERE</b>	<b>WHERE</b>
<ul style="list-style-type: none"> <li>• United States</li> <li>• Global</li> </ul>	<ul style="list-style-type: none"> <li>• United States and British Columbia</li> <li>• East Asia</li> <li>• Global</li> </ul>	<ul style="list-style-type: none"> <li>• United States</li> <li>• Global</li> </ul>	<ul style="list-style-type: none"> <li>• United States</li> <li>• Asia (Magsaysay Awards and Asian Cultural Council)</li> </ul>
<p><b>RBF Pivotal Places: New York City, South Africa, and Serbia and Montenegro</b> (In 2003, the RBF will be reviewing opportunities to designate an RBF pivotal place in Asia.)</p>			

\*Effective January 1, 2003

## 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 charitable efforts to better effect. John D. Rockefeller, Jr., made a substantial gift to the Fund in 1951, enabling the RBF's endowment and program of grants to grow substantially. In 1960, the Fund received a major bequest from his estate. Together, these gifts constitute the original endowment of the Fund.

In 1952, the founders began to include on the board of the Fund trustees who were not members of the Rockefeller family. In 1958, the first of a number of daughters and sons of the founders joined the board, and the first of their children became trustees in 1992. Since the establishment of the Fund, three generations of family members have served as trustees. Beginning with John D. Rockefeller 3rd, who served as president from the inception of the Fund until 1956, seven presidents have distinguished the Fund through their vision and leadership. These presidents, along with the other trustees, officers, and staff, have ensured that the RBF remains dedicated to the philanthropic ideals of the Rockefeller family. The presidents include Nelson A. Rockefeller, 1956–1958; Laurance S. Rockefeller, 1958–1968; Dana S. Creel, 1968–1975; William M. Dietel, 1975–1987; Colin G. Campbell, 1988–2000; and the RBF's current president, Stephen B. Heintz, who assumed office in February 2001.

On July 1, 1999, the Charles E. Culpeper Foundation of Stamford, Connecticut, merged with the RBF, bringing the Fund's total assets to approximately \$670 million. Shortly after the merger, the Fund initiated a strategic review process designed to systemically evaluate all its programs in light of the opportunities before humanity—both global and local—at the dawn of the 21st century. This extensive and complex process has led to the integration of some programs and the phasing out and scaling

back of others. As part of this effort, the RBF's new program architecture came into effect on January 1, 2003 (see previous page). The new architecture revitalizes the RBF's program structure by improving its focus, coherence, and effectiveness in addressing urgent social and environmental problems.

### Assets and Philanthropic Expenditures

The Fund's assets at the end of 2002 were \$622,583,676 and its 489 grant payments for the year amounted to \$22,916,744. Since 1940, the Fund has disbursed a total of \$574,466,677 in grants. In addition, during 2002 the Fund expended approximately \$4 million in 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;
- Administration of the RBF Fellowships Program for Students of Color Entering the Teaching Profession and the related Program for Educational Leadership, which together support a cohort of approximately 200 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 \$3.6 million. In sum, the Fund's philanthropic expenditures in 2002 were \$30,524,105, as displayed in the accompanying chart.



## Philanthropic Expenditures 2002

### GRANT PAYMENTS MADE IN 2002

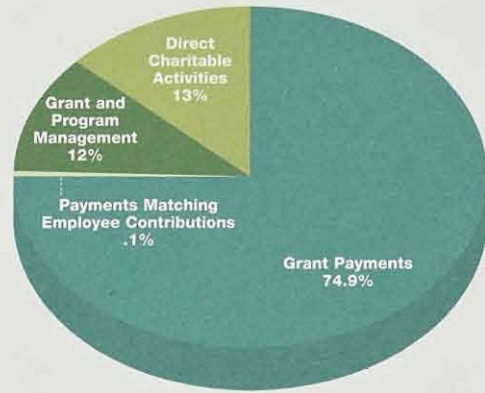
Sustainable Resource Use	\$6,332,500
Global Security	\$2,540,500
Nonprofit Sector	\$1,509,650
Education	\$2,016,745
New York City	\$2,045,000
South Africa	\$1,058,000
Charles E. Culpeper Arts and Culture	\$2,280,000
Health	\$2,226,999
Special Concern: The Balkans	\$460,000
Asian Cultural Council	\$200,000
Ramon Magsaysay Awards	\$267,150
Staff Grantmaking Fund	\$100,000
September 11th Grantmaking Initiative	\$980,200
Special Initiatives*	\$900,000

**Subtotal Grant Payments \$22,916,744**

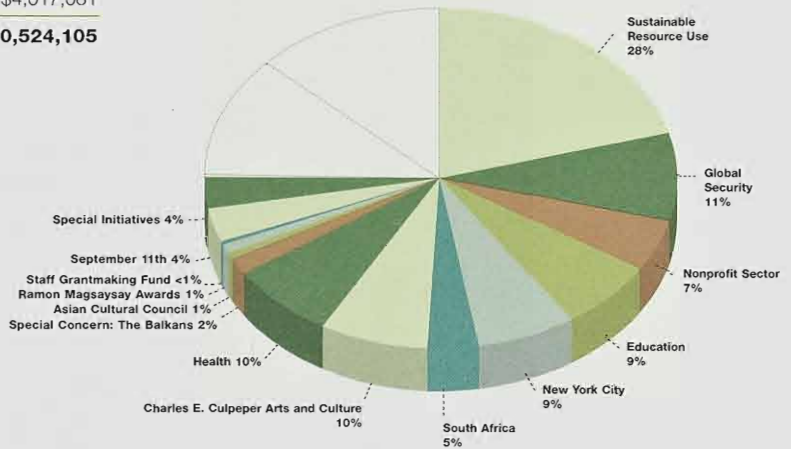
Payments Matching Employee Contributions	\$29,020
Grant and Program Management	\$3,561,260
Direct Charitable Activities**	\$4,017,081

**Total Philanthropic Expenditures \$30,524,105**

### TOTAL PHILANTHROPIC EXPENDITURES



### GRANT PAYMENTS



\* Special Initiatives include grant payments to the Trust for Civil Society in Central and East Central Europe, the Solar Development Foundation, and DEMOS.

\*\* Includes administration and operation of the RBF Fellowships for Students of Color 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.

### How to Apply for a Grant

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

A preliminary letter of inquiry to the Fund is recommended for most program areas. (Please visit [www.rbf.org](http://www.rbf.org) for grantmaking guidelines.) Such a letter need not exceed two or three pages in length and 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 are accepted *in English only* and 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. *Please note that separate application guidelines and deadlines exist for the New York City Arts and Culture program and the Charles E. Culpeper Scholarships in Medical Science and the Biomedical Pilot Initiative.*

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

Each letter of inquiry to the RBF is reviewed by one or more members of the staff, who try to notify applicants promptly 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



EZRA STELLER © ESTO

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.

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 from a U.S.-based organization 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.

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 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 Rockefeller Brothers Fund maintains a website 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 publications, many of which are available online.

For additional general information, annual reports, and publication requests, please e-mail [info@rbf.org](mailto:info@rbf.org). To obtain a copy of our program guidelines, please visit [www.rbf.org](http://www.rbf.org) or e-mail [guidelines@rbf.org](mailto:guidelines@rbf.org). For grant-related inquiries only, please e-mail [grants@rbf.org](mailto:grants@rbf.org).











## Asian Cultural Council

The Asian Cultural Council (ACC) is a publicly supported operating foundation that has been affiliated with the Rockefeller Brothers Fund since 1991. The Council 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 on providing 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 importance to Asian-American exchange. In addition, the Council awards a small number of grants to encourage regional exchange and collaboration in Asia.

The ACC's grant program was established by John D. Rockefeller 3rd in 1963 and is supported today by a broad range of donors including foundations, individuals, corporations, and government agencies, both in Asia and in the United States. The Council not only awards fellowship funds but also devotes special attention to arranging programs that are specifically tailored to the needs and objectives of each grantee. During the past 39 years, the Council has supported nearly 4,000 individuals from Asia and the United States.

The ACC maintains representative offices in Tokyo, Hong Kong, and Taipei, where funds are raised from local donors to support grants to individuals and institutions in those regions. A similar effort is also under way in the Philippines, where the ACC's Philippines Fellowship Program was established with a partner foundation, the ACC Philippines Foundation, in 2000. Funds raised by the Foundation in 2002 supported five grants to Philippine artists and scholars in the fields of theater, photography, and archaeology.

Along with its regular grant programs, the ACC undertakes special initiatives each year in close collaboration with other foundations. During 2002, for example, the Council continued its Mekong Region

Fellowship Program with grant support from the Rockefeller Foundation. Ten fellowships were awarded to arts professionals from Cambodia, Thailand, Vietnam, and the United States; a pilot Internet conferencing system for arts professionals in the region was established; and plans were finalized for a regional meeting of cultural leaders that was then held in Cambodia in February 2003.

Other partnership programs undertaken in 2002 include collaboration with the Ford Foundation to support performing arts scholarship and cultural management in Indonesia and the implementation of a new China Art History Initiative with special funding from the Henry Luce Foundation. This project is designed to strengthen the growth of the art history field within universities and academies in China and to encourage links between Chinese scholars and their colleagues in the United States.

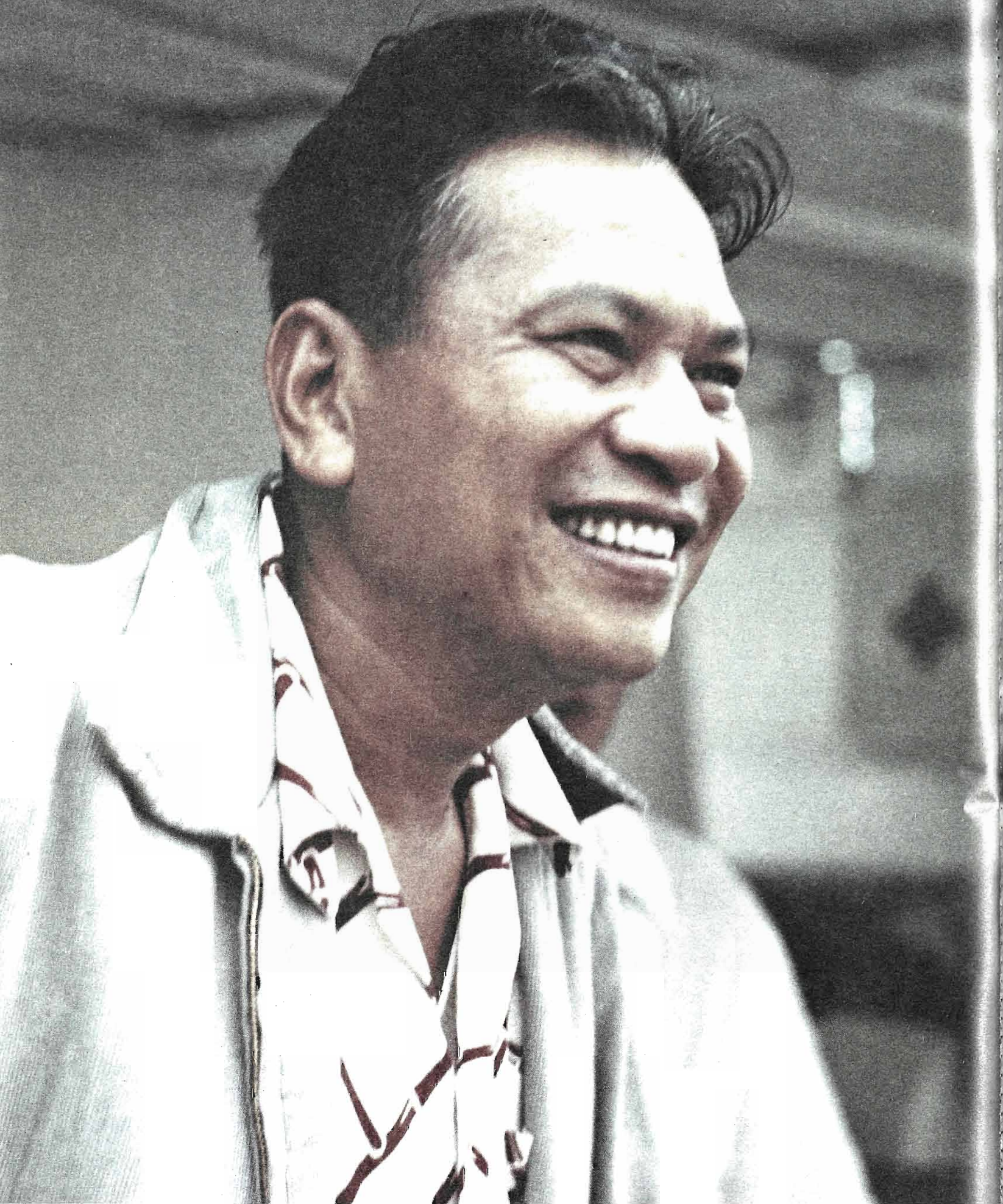
China constitutes a growing focus of the ACC's grant program, and 20 grants totaling \$250,325 were awarded to individuals and institutions in China in 2002. To gain fresh insight into the role of arts and culture within a rapidly changing Chinese society, the ACC board of trustees, together with several donors and colleagues from Asia, undertook a fascinating ten-day journey to meet with individual and institutional grantees in Beijing, Shanghai, Hangzhou, and Hong Kong in November 2002.

During 2002 the ACC appropriated a total of \$1,791,013 in grant funds to support 167 fellowships and project awards to individuals and institutions from 13 countries.

The Rockefeller Brothers Fund awarded a grant of \$200,000 to the Asian Cultural Council in 2002 in support of the ACC's unrestricted grant program.

*For further information about the ACC, visit [www.asianculturalcouncil.org](http://www.asianculturalcouncil.org) or contact its staff at 437 Madison Avenue, 37th Floor, New York, NY 10022-7001.*







## Ramon Magsaysay Award Foundation

With encouragement and financial support from members of the Rockefeller family and the RBF, the Ramon Magsaysay Award Foundation (RMAF) was established in 1957. It serves as a memorial to Ramon Magsaysay, the third president of the Republic of the Philippines, who died that year, during his presidency, in an airplane accident. From the RMAF's inception, its signature program has been the Ramon Magsaysay Awards. These annual awards recognize achievement consistent with the ideals of public service that characterized the life of Ramon Magsaysay. They are made to people and organizations working in Asia on behalf of Asians. Since 1958, awards have been given to more than 200 individuals and organizations in 20 Asian countries and territories.

Sometimes referred to as the Nobel Prizes of Asia, the awards are presented in six categories. From 1958 (the first year of the program) through 2000, there were five such categories: Government Service; Community Leadership; Public Service; Journalism, Literature, and Creative Communication Arts; and Peace and International Understanding. In 2001, the RMAF added a sixth, Emergent Leadership, to recognize promising younger individuals whose work is significant but not yet mature enough to qualify them for the award in any of the five established categories. The trustees of the RMAF select the awardees following a long-established nomination and investigation process. The awards are usually conferred by the president of the Philippines in a ceremony in Manila on August 31, Magsaysay's birthday.

Toward the current stipend of \$50,000 per award in the five original categories, the RMAF provides \$20,000 and the RBF \$30,000. The RBF contribution is paid from the RMAF Fund, a separate fund of the RBF endowment, which also finances efforts to maintain a thorough historical record of the awards and make information about awardees available to audiences in Asia and elsewhere.

### Program for Asian Projects

The Program for Asian Projects was established in 1987 at the conclusion of an assembly in Bangkok that brought together more than 100 Ramon Magsaysay awardees. The program provides financial support for projects that individual awardees or groups of awardees undertake in order to further the work that earned them the Ramon Magsaysay Award. The program is administered by the RMAF and steered by an Asian board of advisers consisting of both awardees and representatives of the Foundation. Working closely with RMAF staff, the board of advisers reviews and evaluates requests for support that awardees submit to the program and then recommends grant actions to the RBF trustees for their final approval.

Further information on the Ramon Magsaysay Awards and the Program for Asian Projects can be found on the RMAF website, at [www.rmaf.org.ph](http://www.rmaf.org.ph).

### 2002 Ramon Magsaysay Award Recipients

In 2002, the Ramon Magsaysay Award Foundation selected the following awardees:

**Hilario Davide, Jr.** *Philippines*  
2002 Awardee for Government Service

#### **Advancing the Rule of Law**

For his life of principled citizenship in profound service to democracy and the rule of law in the Philippines.

**Ruth Pfau** *Pakistan*  
2002 Awardee for Public Service

#### **Removing Leprosy and Its Stigma**

For her lifelong dedication to eradicating leprosy and its stigma in Pakistan and for other loving gifts to her adopted country.

**Cynthia Maung**

*Burma*

2002 Awardee for Community Leadership

**Caring for the Uprooted**

For her fearless response to the urgent medical needs of thousands of refugees and displaced persons along the Thailand-Burma border.

**Bharat Koirala**

*Nepal*

2002 Awardee for Journalism, Literature, and Creative Communication Arts

**Democratizing Information**

For his development of professional journalism in Nepal and unleashing the democratizing powers of a free press.

**Sukho Choi** (Venerable Pomnyun Snim)

*Korea*

2002 Awardee for Peace and International Understanding

**Appealing for Reconciliation**

For his compassionate attention to the human cost of Korea's bitter division and his hopeful appeal for reconciliation.

**Sandeep Pandey**

*India*

2002 Awardee for Emergent Leadership

**Leading by Example**

For the empowering example of his commitment to the transformation of India's poor.

**2002 Program for Asian Projects**

**A.T. Ariyaratne** (1969 awardee), for support of his project "Impacting Poverty through Community Empowerment in Matale District, Sri Lanka."

**Chandi P. Bhatt** (1982 awardee), for support of his project "Eco-Restoration of Barren Village Land" in the Himalayan foothills.

**John Vincent Daly** (1986 awardee), for support of his project "Utilizing Street Vending as a Job for Low-Income Strata in Urban Korea."

**Angela Gomes** (1999 awardee), for support of her project "Development Program for Female Physically Handicapped and Street Children in Jessore, Bangladesh."

**International Institute of Rural Reconstruction** (1986 awardee), as a contribution to its project "Strengthening Local Capacities for Community-Based Integrated Watershed Management in the Bicol Region, Philippines."

**Lakshmi C. Jain** (1989 awardee), for support of his project "Towards Self-Governing and Self-Contained Villages: Preconditions for the Assured Eradication of Poverty."

**Wu Qing** (2001 awardee), for support of her project "Assisting Rural Female School Dropouts with Life Skills" in Beijing, China.

**Sima Samar** (1994 awardee), for support of her project to reopen schools in Bamyán District, Afghanistan.

**K.V. Subbanna** (1991 awardee), for support of his project "Incorporating Arts and Culture in Education" in Kerala, India.

**Bayanihan Folk Dance Institute** (1965 awardee), as a contribution to its research project to document native theater and dance traditions in the Philippines.

**Yuan Longping** (2001 awardee), for support of his project "Extending Hybrid Rice Technologies to Asia."

**In addition, the following grants were made to the Ramon Magsaysay Award Foundation in 2002:**

**RAMON MAGSAYSAY AWARD FOUNDATION**

*Manila, Philippines*

\$150,000 as a contribution to the stipends for the 2002 Ramon Magsaysay Awards.

\$31,000 for documentation and dissemination of information about the recipients of the Ramon Magsaysay Awards.

\$25,000 for support of the "Issues and Trends in Asian Development" seminar, to take place in Beijing, China, in October 2003.



## Staff Grantmaking Fund

Inaugurated in 2002, the Staff Grantmaking Fund (SGF) provides the entire RBF staff with the opportunity to be grantmakers and thus directly experience the core work of the foundation. Grants from the \$100,000 fund are consistent with the overall mission of the RBF and receive identical due diligence, with final decision-making authority resting with the president of the RBF. Participation in the SGF is voluntary and, to ensure inclusion, the thematic focus rotates each year. All decisions of participating staff are provided to the entire staff of the RBF.

Conceived during a staff retreat held in July 2001, the SGF's inaugural year was dedicated to responses to the tragic events of September 11th. A committee consisting of participating staff conducted extensive research and deliberated on issues that would constitute the SGF grantmaking focus. As part of the RBF's institutional response to September 11th, the SGF has reflected the values and beliefs of individual staff members, with grantmaking aimed at organizations located in the New York City metropolitan area that have assisted in the relief of victims of the tragedy. In keeping with the RBF's traditional style, the SGF sought opportunities to assist experienced and reputable community institutions and maximize its impact through partnerships with organizations providing direct assistance as well as those seeking systemic effect or to improve overall efficiency.

SGF grantmaking focused on four areas: mental health, economic suffering, immigrant groups, and coordinating relief and recovery.

### **Mental Health**

Many thousands of Americans have manifested symptoms of psychological trauma in different ways and have benefited from professional psychological counseling. In particular, support for mental-health programs within existing communities of support and programs that target youths are imperative for a full social recovery.

### **Economic Suffering**

Lost sources of income and the economic recession have forced many families to seek auxiliary support. Over the past year, the SGF has provided assistance to reputable, long-standing, community-based organizations that provide housing, food, job training and placement, and other assistance in times of need.

### **Immigrant Groups**

Immigrants have shouldered a disproportionate share of the economic burden brought about by the disaster because of linguistic, cultural, and legal barriers. Without knowledge of the bureaucratic system, job placement has become a crushing challenge, which in turn affects every facet of their lives, including the availability of money for rent, food, clothing, and medical assistance, to name only a few. Documented and undocumented immigrants are well served by community-based organizations, and it has been critically important to support those organizations that focus on the immigrant population as a whole, rather than just specific ethnic groups.

### **Coordinating Relief and Recovery**

The challenge of distributing the outpouring of charitable giving in the aftermath of the attacks—more than \$1.4 billion—in an equitable and efficient manner has been met with some success as well as much-publicized confusion. Support for the development of a central database and application center matching persons in need of help to organizations with resources to offer has helped to decrease the victims' stress while also preventing duplication of grants and potential fraud.

## Committee Members

Jacqueline Basile  
*Director, Human Resources (facilitator)*

Lydia Brown  
*Administrative Assistant*

Judy Clark  
*Associate Director, Pocantico Programs*

Grant Garrison  
*Special Assistant to the President*

Joan Landis  
*Administrative Assistant*

Jacklyn Lloyd  
*Office Manager*

Bridget Massay  
*Executive Assistant*

A. Heather Masters  
*Grants Manager*

Marjorie Messinger  
*Administrative Assistant*

Helen Morton  
*Administrative Assistant*

Robert Stone  
*Administrative Assistant*

## 2002 Staff Grantmaking Fund Grants

The president of the Fund authorized seven appropriations from the Staff Grantmaking Fund, with no single grant exceeding \$25,000.

### **BROOKLYN BUREAU OF COMMUNITY SERVICE**

*Brooklyn, NY* \$10,000

To support its community-based disaster relief center for persons left unemployed as a result of the tragedy. The Bureau has played a significant role in the provision of emergency relief and direct services to families affected by the World Trade Center disaster with up to \$2,000 in direct payments for rent; utility, medical, and food costs; trauma counseling; employment training; and job placement.

### **ELLISON YOUTH, INC.**

*New York, NY* \$17,750

To provide appropriate mental-health therapy to children dealing with fear, anxiety, and trauma resulting from the World Trade Center disaster. Ellison Youth, Inc., serves the predominantly low-income community of Bedford-Stuyvesant, Brooklyn. Since January 2002, Ellison Youth's "EYI Art Therapy Project" has treated 75 children of various ages. Support from the Fund allowed Ellison Youth to expand the program from two to four days per week.

### **FOOD FOR SURVIVAL, INC.**

*New York, NY* \$10,000

To help fortify its network of 1,200 community food programs citywide, which experienced a rise in demand for food relief in the aftermath of the World Trade Center disaster. The long-term focus of Food for Survival, which is the largest food bank and distributor of food and fresh produce in the country, is to address the dramatic increase in need resulting from greater unemployment and the subsequent drain on community services.

**INDEPENDENCE COMMUNITY FOUNDATION**

*New York, NY* \$5,000

To supplement existing grants for low-income families directly affected by the World Trade Center tragedy, particularly in the areas of school tuition, job training, and housing. The Independence 9/11 Fund was established with an initial contribution of \$100,000 from the Independence Community Foundation, which also agreed to match all contributions made by bank employees and directors.

**MANHATTAN YOUTH RECREATION AND RESOURCES, INC.**

*New York, NY* \$22,250

To support the downtown community center teen project of the only youth and family agency located in lower Manhattan, which has seen steady growth in its residential population over the past decade. Founded in 1986, Manhattan Youth operates innovative after-school programs for over 1,000 children of working families from diverse economic backgrounds and cultures and offers all of its programs with a sliding-scale fee to ensure children can participate regardless of ability to pay. This grant includes \$10,000 toward a weekend staff position and \$12,250 toward rent for the community center, located on Warren Street, just two blocks from the World Trade Center. While funding for both purposes was needed before September 11th, damages resulting from the disaster diverted designated funds from these needs to emergency expenses; RBF funding will replace some of the diverted funds.

**NATIONAL HOSPICE AND PALLIATIVE CARE ORGANIZATION**

*Alexandria, VA* \$10,000

To support short-term bereavement counseling for individuals coping with grief related to the attacks on the World Trade Center. The three organizations currently providing services, Hospice Care Network of Long Island, the Supportive Care Program of St. Vincent's Hospital-Manhattan, and the Visiting Nurse Service of New York, share the funding. The National Hospice and Palliative Care Organization represents hospice and care programs and professionals in the U.S.

**NEW JERSEY HOSPICE ORGANIZATION**

*Scotch Plains, NJ* \$10,000

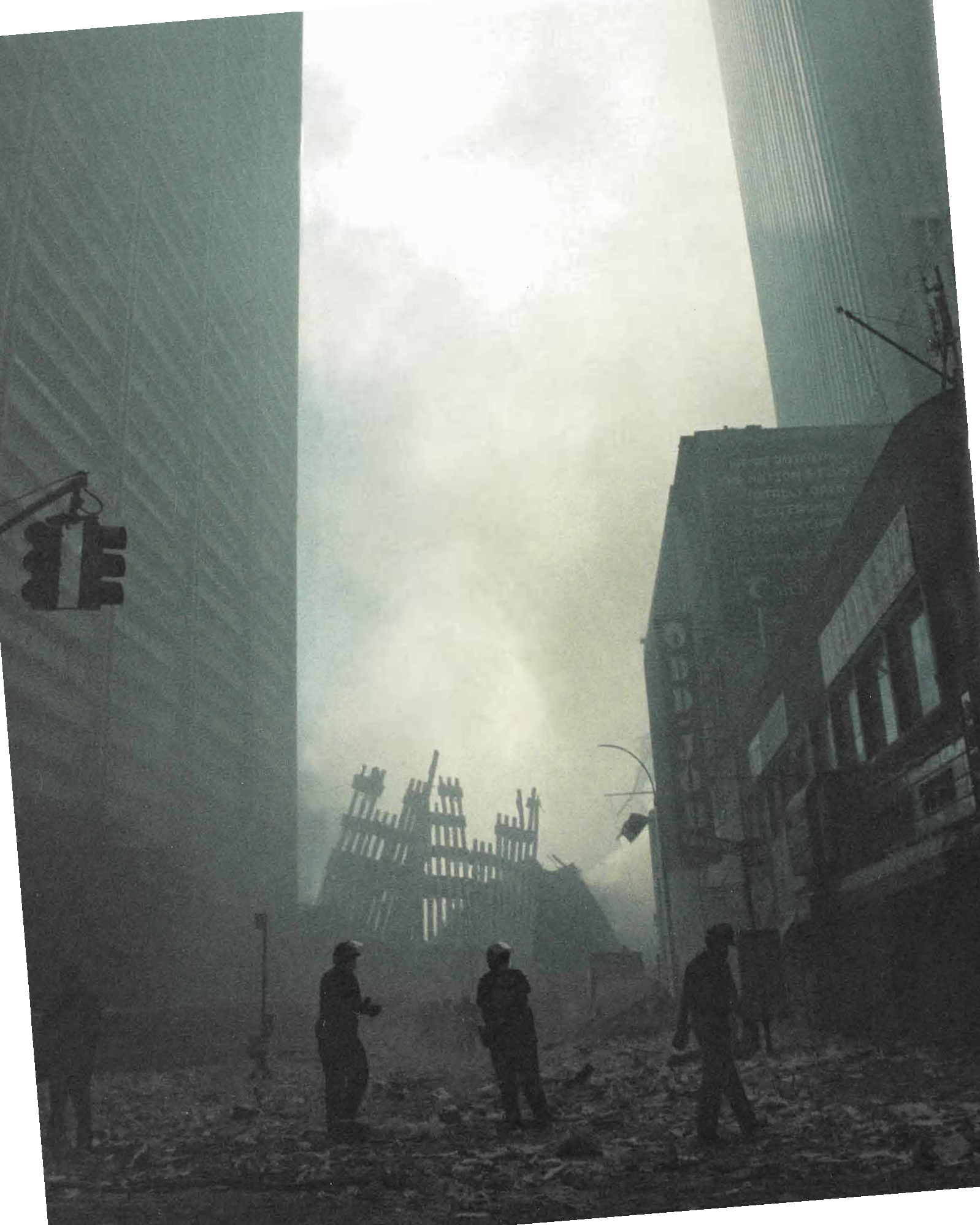
To support short-term bereavement counseling for individuals coping with grief related to the attacks on the World Trade Center, particularly as the first anniversary of the attacks approached. The New Jersey Hospice Organization is a nonprofit educational organization.

**UNION SETTLEMENT ASSOCIATION**

*New York, NY* \$15,000

To establish an Immigrant Emergency Fund (IEF) to provide financial assistance to those immigrants who are suffering as a result of the slumping economy subsequent to September 11th, as well as those more directly affected by the loss of a loved one. A community-based organization founded in 1895 and located in East Harlem, Union Settlement Association serves a large number of documented and undocumented immigrants, some of whom may be fearful of approaching other organizations for assistance.







## September 11th Grantmaking Initiative

At its meeting and annual retreat one month after the terrorist attacks of September 11, 2001, the RBF board of trustees authorized a special appropriation of up to \$1 million, to be drawn directly from the RBF's Principal Fund, for grantmaking in response to the terrible losses and profound challenges facing New York City, the United States, and the world. Grants made under this authority were approved by the president of the RBF, Stephen Heintz, in consultation with board chair Steven C. Rockefeller.

Through the collaborative efforts of a team of RBF staff members, grantmaking opportunities were identified in three areas: relief, the recovery of New York City, and strategic responses at the national and international levels. These areas reflected the RBF's intention to be responsive to the immediate funding needs created by September 11th while remaining sensitive to the reality that much of the impact and many of the implications of those events would unfold over time. These areas of focus are also consistent with the Fund's ongoing program interests in revitalizing New York City's neighborhoods and public spaces and in enhancing global security.

The guidelines for grants made under the special appropriation were as follows:

### Relief

To support efforts that ensure access to and effective management of relief funds. Special attention was focused on assisting groups—such as immigrants and non-English-speaking communities—that might fall through the cracks of even fully funded relief initiatives.

### Recovery

To ensure that civic and community-based organizations have a place at the table and are prepared to participate in discussions and decision making about the visioning and rebuilding of New York City as a premier global city. In addition, special consideration was given to assisting the recovery of the City's arts community, which was devastated by the attacks.

### Strategic Responses

To promote national and international policy responses to September 11th that are consistent with the RBF's values and mission. While a focus on the United States' role in and understanding of the world is already part of the Fund's new Peace and Security program, the special appropriation gave staff an opportunity to react quickly and flexibly to certain needs that fell outside current geographic or programmatic guidelines.

## September 11th Grantmaking Initiative Grants

### Recovery

#### AMERICA SPEAKS, INC.

*Washington, DC* \$30,000

For its "Listening to the City II" (or "The Citizen Summit") meeting in July 2002, which brought together 5,000 people to evaluate and react to specific ideas and plans for the rebuilding and economic recovery of Lower Manhattan. The use of innovative facilitation techniques and the latest and most effective technologies captured and counted all participants' ideas and priorities. "Listening to the City II" focused a range of communities and interests on the common goal of rebuilding Lower Manhattan, built broad public support for the rebuilding process, and sent a strong message to the City's government and other decision makers about the public's expectations and engagement in the rebuilding process.

#### CENTER FOR ECONOMIC AND ENVIRONMENTAL PARTNERSHIP, INC.

*Albany, NY* \$40,000

For the convening, planning, and running of a "High-Performance Buildings Initiative." The Initiative aims to advance high-performance building (also referred to as "smart" or "green" building) into mainstream real estate development, construction, and management in New York City. The Initiative identifies and addresses the practical issues that impede opportunities for green building through a broad-based, multistakeholder process that will engender incremental change and wider acceptance and commitment to green building.

**GLOBAL KIDS, INC.**

*New York, NY* \$15,000

To help Global Kids prepare a group of teenagers to participate in the "Listening to the City II" event in July 2002. The first "Listening to the City" forum, held on February 7, 2002, was a great success, but the representation of youth was only 2 percent. With support from the Fund and in cooperation with Rebuild Downtown Our Town (R.Dot), the Civic Alliance to Rebuild Downtown New York, and the Partnership for After School Education, Global Kids recruited and trained New York City young people to become informed and active participants in the development and implementation of plans for rebuilding Lower Manhattan. Through this project, Global Kids provided opportunities for participants to examine proposals for the downtown site and meet with individuals and groups that have taken the lead in developing ideas and civic forums.

**MUNICIPAL ART SOCIETY OF NEW YORK**

*New York, NY* \$50,000

For "Imagine New York," a project that works to ensure that individuals who feel they have a stake in the future of the World Trade Center site—survivors, families of those who perished, rescue workers, local residents, students, business owners, and the broader public affected by the devastation—have their ideas heard in a formal manner. Municipal Art Society is conducting workshops that reflect and imagine what this site has come to mean to them and should become for future generations. In addition, it was expected that "Imagine New York's" early outreach efforts would help strengthen the representation of a broad section of the City's citizens in "Listening to the City II."

**NEW YORK UNIVERSITY**

*New York, NY* \$75,000

For a series of "Conversations with the City," which bring together a broad cross-section of those affected by the tragedies of September 11th, including community members, civic groups, business and labor leaders, and interested members of the public. The first "Conversation with the City" took place on February 7, 2002, when over 700 community members from throughout the metropolitan region

joined with experts and regional leaders to discuss the vision and principles that should inform the rebuilding process.

**PRATT INSTITUTE**

*New York, NY* \$50,000

For the Pratt Institute's Center for Community and Environmental Development (PICCED), which has been working on five fronts to bring communities into the regional decision-making process, serve as the community outreach arm and link among the civic organizations and coalitions participating in "Listening to the City II," keep neighborhood groups informed, advocate for equitable policies and allocation of resources, and bring social- and environmental-justice perspectives to the rebuilding of Lower Manhattan. PICCED's staff continues to participate in numerous citywide and regionwide planning discussions to ensure that community-based organizations, housing developers, and labor and environmental advocates are also included.

**THE REGIONAL PLAN ASSOCIATION**

*New York, NY* \$300,000

For the Civic Alliance to Rebuild Downtown New York, which is developing strategies for the development of Lower Manhattan in the aftermath of the September 11th terrorist attacks. The Civic Alliance is a coalition of more than 85 business, community, and environmental groups representing a cross-section of New York City and the region that is providing a broad umbrella for civic planning and advocacy efforts in support of the rebuilding of downtown New York. Staffed by the Regional Plan Association, working groups of the Civic Alliance are researching issues, conducting roundtable discussions, and developing proposals around transportation, urban design, economic development, memorials, regulatory issues, public amenities, green building and sustainable systems, and social-justice considerations. Their work will ultimately be communicated to the Lower Manhattan Development Corporation and other key decision makers for incorporation into a final report to be published by Regional Plan Association and Civic Alliance members.

**Strategic Responses**

**CHANNEL THIRTEEN/WNET**

*New York, NY* \$50,000

For "Wide Angle," a new, international public affairs documentary series directed by Stephen Segaller, director of news and public affairs at WNET. The program seeks to extend PBS's reach to the international scene and American audiences' understanding of a broad range of "front page" international events and issues. Ten weekly, timely, international, single-subject, one-hour, prime-time documentary programs cover such issues as business trends, racial politics, migration trends, and natural-resource issues, bringing them to life through character-driven narratives without filtering by correspondents, think-tank analysts, or veteran journalists.

**NATIONAL PUBLIC RADIO**

*Washington, DC* \$50,000

For general support to assist with unbudgeted expenses of approximately \$1 million incurred between September 11th and the end of 2001. NPR reaches more than 16.6 million listeners in the U.S. each week, and initial research has indicated that the events of September 11th have caused that number to double in some markets. Since NPR's research indicates that stations generally retain almost all of the new audiences gained as a result of a significant news event, it is vital that NPR continue to provide informative coverage and programming.

**CENTER FOR MEDIA AND PUBLIC AFFAIRS**

*Washington, DC* \$75,000

For a content analysis of American media coverage of international news after the terrorist attacks of September 11th. The analysis is providing a snapshot of media coverage at a turning point in America's global role, as well as exploring shifts in the scope and character of international news before and after the immediate post-September 11th period. The analysis will also be used to stimulate future thinking about our place in the world community and provide a better understanding of the information to which ordinary Americans are exposed.

**NEW SCHOOL UNIVERSITY**

*New York, NY* \$125,000

For a project of the World Policy Institute at the New School University entitled "Dialogues—Islamic World, the United States, and the West." "Dialogues" is bringing together voices from various religious, intellectual, economic, and political sectors of Western and Islamic societies to identify and discuss major themes of misunderstanding and capture and advocate potential solutions. The goal is that these dialogues lead to greater understanding and positive change not only at the international level but also at the local and community levels. The dialogues, which took place at two conferences between May 2002 and April 2003, involved 50 participants from the religious, intellectual, economic, and political communities in Western and Islamic societies.







## Sustainable Resource Use

The following are the 2002 Sustainable Resource Use program guidelines. These strategies governed the RBF's grantmaking prior to the introduction of the new Sustainable Development guidelines in 2003.

### GOAL

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

### STRATEGIES

#### Global

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 rain forests 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 and international trade and business, and on 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.

#### United States

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.

#### East Asia

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.

#### Central and Eastern Europe

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 regions where the Fund is engaged in Sustainable Resource Use grantmaking, it seeks to integrate activities across geographic areas to promote maximum synergy.

### 2002 Sustainable Resource Use Grants

#### Global and United States

##### ALASKA MARINE CONSERVATION COUNCIL

Anchorage, AK \$100,000 over 2 years

To fishery management reform efforts in the North Pacific.

##### AMERICAN CONSERVATION ASSOCIATION, INC.

New York, NY \$25,000

To its "Save a Barrel" campaign, which appeals to individual households to reduce greenhouse gas emissions.

##### AMERICAN COUNCIL FOR RENEWABLE ENERGY

Washington, DC \$25,000

To a kick-off conference for this organization, which aims to become the umbrella organization for renewable energy interests in the U.S.

**AMERICAN LITTORAL SOCIETY**

*Highlands, NJ* \$250,000 over 2 years  
To its project the Marine Fish Conservation Network, which acts as a national clearinghouse for fisheries management reform efforts.

**AMERICAN LITTORAL SOCIETY**

*Highlands, NJ* \$100,000  
For a new Fisheries Management Council program coordinator.

**AMERICAN LITTORAL SOCIETY**

*Highlands, NJ* \$50,000 over 2 years  
To its Reefkeeper International project for fisheries management reform work in the South Atlantic, Caribbean, and Gulf of Mexico.

**CAPE COD COMMERCIAL HOOK FISHERMEN'S ASSOCIATION**

*North Chatham, MA* \$100,000 over 2 years  
To its Fisheries Reform Campaign in New England.

**CENTER FOR CLEAN AIR POLICY**

*Washington, DC* \$10,000  
For analysis and modeling of the impact of a mandated carbon cap combined with a package of renewable energy and energy-efficient policies on the electricity sector.

**CENTER FOR PUBLIC INTEREST RESEARCH, INC.**

*Boston, MA* \$50,000  
To its New England Climate Action Project, which works to reduce greenhouse gas emissions.

**CERTIFIED FOREST PRODUCTS COUNCIL**

*Beaverton, OR* \$200,000 over 2 years  
For general support of the organization, which works to build corporate demand for FSC-certified forest products.

**CONSERVATION LAW FOUNDATION**

*Boston, MA* \$100,000 over 2 years  
For its fisheries management reform efforts in New England.

**ECOTRUST CANADA**

*Vancouver, Canada* \$2,500  
For expenses related to the participation of a member of its staff in a field trip of the Carpathian Foundation.

**ENVIRONMENTAL ADVOCATES OF NEW YORK**

*Albany, NY* \$50,000  
To increase public interest in New York State's Climate Action Plan.

**ENVIRONMENTAL MEDIA SERVICES**

*Washington, DC* \$3,000  
For its media efforts on behalf of the Ark of Hope.

**GULF RESTORATION NETWORK**

*New Orleans, LA* \$70,000 over 2 years  
To its fisheries management reform efforts in the Gulf of Mexico.

**HAWAII AUDUBON SOCIETY**

*Honolulu, HI* \$120,000 over 2 years  
For its fisheries management reform efforts in the western Pacific.

**INSTITUTE FOR POLICY STUDIES**

*Washington, DC* \$25,000  
To its project the Chesapeake Climate Action Network, to build public support in Maryland for a state greenhouse gas action plan.

**INTERNATIONAL COUNCIL FOR LOCAL ENVIRONMENTAL INITIATIVES U.S.A., INC.**

*Berkeley, CA* \$50,000  
For its efforts to encourage more cities and counties to adopt greenhouse gas reduction plans.

**ISAR, INC.**

*Washington, DC* \$150,000 over 2 years  
For support of its "Living Seas" campaign.

**NEW ENGLAND AQUARIUM CORPORATION**

*Boston, MA* \$60,000 over 2 years  
For its New England Fishing Communities Organizing Project.

**OCEAN CONSERVANCY, INC.**

*Washington, DC* \$60,000 over 2 years  
For its work coordinating fisheries management reform efforts in the Pacific.

**OCEANA, INC.**

*Washington, DC* \$100,000  
For three related marine conservation projects: to monitor two national ocean commissions, to analyze proposals to establish ownership rights within fisheries, and to analyze proposals for restricting and changing the use of destructive trawling gear.

**PACIFIC ENVIRONMENT AND RESOURCES CENTER**

*Oakland, CA* \$315,000 over 2 years  
To support its work on protecting the environment in the Russian Far East.

**PACIFIC MARINE CONSERVATION COUNCIL**

*Astoria, OR* \$100,000 over 2 years  
For its fisheries management reform efforts in the Pacific.

**PINCHOT INSTITUTE FOR CONSERVATION**

*Washington, DC* \$30,000  
To its pilot Forest Stewardship Council certification assessment of Idaho forest lands owned and managed by the Potlatch Corporation.

**PROJECT UNDERGROUND**

*Berkeley, CA* \$5,000  
To support the publication of an updated version of its 1998 report "Drilling to the Ends of the Earth."

**RAINFOREST ALLIANCE, INC.**

*New York, NY* \$50,000  
For its efforts to address several critical challenges related to the future growth of the Forest Stewardship Council in the U.S.

**SAN FRANCISCO FOUNDATION  
COMMUNITY INITIATIVE FUNDS**

*San Francisco, CA* \$9,000  
To support its project the Democracy Center in its work to promote global education and organizing related to the issue of water privatization, and to advance policy and project lending transparency at the World Bank.

**STRATEGIES FOR THE GLOBAL ENVIRONMENT, INC.**

*Arlington, VA* \$25,000  
For its project the Pew Oceans Commission, as support for a report on the establishment and operation of a nationwide network of marine reserves in U.S. waters.

**TEXAS FUND FOR ENERGY AND ENVIRONMENTAL EDUCATION**

*Austin, TX* \$10,000  
For a scholarship fund to ensure broader NGO participation at the 2002 "Empowering Democracy" conference.

**TIDES CENTER**

*San Francisco, CA* \$50,000  
For its "Vote Solar" initiative in California, to encourage cities to develop solar-energy initiatives.

**TIDES CENTER**

*San Francisco, CA* \$50,000  
To the efforts of its Regeneration Project, which seeks to encourage places of worship and members of their congregations to reduce greenhouse gas emissions.

**TIDES CANADA FOUNDATION**

*Vancouver, Canada* \$100,000 over 2 years  
For the next phase of its work on conservation of the Great Bear Rain Forest in British Columbia.

**East Asia****AGRARIAN REFORM CONSORTIUM**

*Bandung, Indonesia* \$25,000  
For its work on implementation of the 2001 Indonesian Agrarian Reform law.

**BANK INFORMATION CENTER**

*Washington, DC* \$120,000 over 2 years  
For its work on multilateral development bank reform in Asia.

**CENTER FOR COMMUNITY DEVELOPMENT STUDIES**

*Kunming, China* \$180,000 over 3 years  
For support of its work on property rights and land tenure in southern China.



**CHIANG MAI UNIVERSITY**

*Chiang Mai, Thailand* \$15,000  
For the conference "Politics of the Commons."

**CHINESE UNIVERSITY OF HONG KONG**

*Hong Kong, China* \$20,000  
For planning and facilitating a four-day "urban ecological design charrette" in Guangzhou City, China.

**CHINESE UNIVERSITY OF HONG KONG**

*Hong Kong, China* \$20,000  
To its School of Architecture's hosting and reporting of an Ecological Design Charrette in the inner-city district of Yuexiu, in Guangzhou City, China.

**EAST-WEST CENTER FOUNDATION**

*Honolulu, HI* \$30,000  
For its work on the ethical and methodological dimensions of using spatial information to support resource tenure claims.

**GLOBAL WITNESS TRUST**

*London, United Kingdom* \$100,000 over 2 years  
For its work on reform of the Cambodian forestry sector.

**HUMAN RIGHTS IN CHINA, INC.**

*New York, NY* \$25,000  
For general support for its Hong Kong research office.

**INDONESIAN FORUM ON GLOBALIZATION**

*Surakarta, Indonesia* \$60,000  
For its work on water sector issues in Indonesia.

**JALA FOUNDATION**

*Medan, Indonesia* \$75,000 over 2 years  
For its work in combating destructive fishing practices in Indonesia.

**MEKONG WATCH JAPAN**

*Tokyo, Japan* \$120,000 over 2 years  
For its work promoting sustainable development in the Mekong basin.

**OXFAM AMERICA**

*Boston, MA* \$80,000 over 2 years  
To its OXFAM Mekong initiative, for its advocacy work for sustainable development in the Mekong basin.

**OXFAM GREAT BRITAIN**

*Oxford, United Kingdom* \$90,000 over 3 years  
For its Non-Timber Forest Products project in Rattanakiri, Cambodia.

**PESTICIDE ECO-ALTERNATIVES CENTER YUNNAN****THOUGHTFUL ACTION**

*Kunming, China* \$89,000  
For its work on reducing pesticide use in Southern China.

**SOUTH CHINA AGRICULTURAL UNIVERSITY**

*Guangzhou City, China* \$158,000 over 3 years  
For its project Cooperative Program on Community-Supported Organic Agriculture on Degraded Slope Lands in South China.

**SOUTHEAST ASIA RIVERS NETWORK—THAILAND****CHAPTER**

*Muang, Thailand* \$90,000 over 2 years  
For its Southeast Asia Rivers Network project.

**TAMBUYOG DEVELOPMENT CENTER**

*Diliman Quezon City, Philippines* \$100,000 over 2 years  
For its Sustainable Water Areas Management Project.

**UNIVERSITY OF SYDNEY**

*Sydney, Australia* \$140,000 over 2 years  
For its Australian Mekong Resource Centre, which provides information about the Mekong region.

**Central and Eastern Europe****A ROCHA—CHRISTIANS IN CONSERVATION**

*Husinec, Czech Republic* \$25,000  
To help launch the nature protection and sustainable development programs of A Rocha in the Czech Republic.

**FOUNDATION FOR A CIVIL SOCIETY, LTD.**

*New York, NY* \$10,000  
For its Czech flood relief program.

**FOUNDATION ICPPC—INTERNATIONAL COALITION TO  
PROTECT THE POLISH COUNTRYSIDE**

*Stryszow, Poland* \$75,000 over 2 years

For general support.

**GERMAN MARSHALL FUND OF THE U.S.**

*Washington, DC* \$210,000 over 2 years

To fund the core costs of the Romanian Environmental Partnership.

**SUPPORT OFFICE FOR THE MOVEMENT OF SOCIAL  
INITIATIVES ASSOCIATION—BORIS ASSOCIATION**

*Warsaw, Poland* \$50,000 over 2 years

For its Local Activities Centers program and for its reserve fund.





## Global Security

The following are the 2002 Global Security program guidelines. These strategies governed the RBF's grantmaking prior to the introduction of the new Peace and Security guidelines in 2003.

### 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 a 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 multiethnic 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.

## 2002 Global Security Grants

### Constituency Building

#### AMERICAN JEWISH COMMITTEE

*New York, NY* \$10,000  
For its Harold W. Rosenthal Fellowship in International Relations.

#### ASPEN INSTITUTE, INC.

*Washington, DC* \$200,000  
For its project the Global Interdependence Initiative, a long-term collaborative effort to build stronger public constituencies for cooperative international engagement.

#### ASPEN INSTITUTE, INC.

*Washington, DC* \$50,000  
For its project the Global Interdependence Initiative.

#### BROOKINGS INSTITUTION

*Washington, DC* \$25,000  
For its project entitled "American Foreign Policy in an Age of Globalization."

#### CENTER FOR POLICY ALTERNATIVES

*Washington, DC* \$200,000 over 2 years  
For the Eleanor Roosevelt Global Leadership Institute, a nonpartisan, geographically representative network of state-elected officials with a transnational perspective.

#### CIRCLE FOUNDATION, INC.

*Washington, DC* \$125,000 over 2 years  
For a project entitled "Improving Policymakers' Understanding of U.S. Public Opinion on America's Role in the Post-September 11th World."

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

*Washington, DC* \$8,500  
For its public and policymaker education efforts to advance fair and accountable U.S. trade policies.

#### FRAMEWORKS INSTITUTE

*Washington, DC* \$250,000  
For the development of communications materials that are based on FrameWorks' research for the Global Interdependence Initiative.

#### GLOBAL JUSTICE, INC.

*Brooklyn, NY* \$25,000  
For its Student Campaign for Child Survival.

#### LINK MEDIA, INC.

*San Rafael, CA* \$5,000  
To provide videotaping of an RBF-supported conference, "Clash of Civilizations or Clash of Perceptions," in Granada, Spain.

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

*New York, NY* \$100,000  
For its public-education project the Global Health Initiative.

### Transparency and Inclusive Participation

#### CAB INTERNATIONAL

*Wallingford, United Kingdom* \$84,000 over 2 years  
For its work on harmonizing provisions of the rules of the World Trade Organization with the Cartagena Biosafety Protocol.

#### CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW

*Washington, DC* \$150,000 over 2 years  
To support capacity building for Southern countries and civil society groups seeking more transparent, democratic, and balanced international trade policymaking.

#### CORPORATION FOR ENTERPRISE DEVELOPMENT

*Washington, DC* \$100,000 over 2 years  
For its joint project with Georgetown University entitled Local Governance and Trade.

#### ECOLOGISTS LINKED FOR ORGANIZING GRASSROOTS INITIATIVES AND ACTION

*Middlebury, VT* \$10,000  
For a strategic assessment of work to reform standard-setting processes.

**FRIENDS OF THE EARTH—JAPAN**

*Tokyo, Japan* \$200,000 over 2 years  
For the work of its Export Credit Agency Reform Campaign.

**FRIENDS OF WORLD FEDERATION OF UNITED NATIONS ASSOCIATIONS, INC.**

*New York, NY* \$25,000  
For an annual progress report to the UN Secretary-General on the role of civil society in implementing the United Nations Millennium Declaration.

**GEORGETOWN UNIVERSITY**

*Washington, DC* \$200,000 over 2 years  
For its project Local Governance and Trade, a joint project with the Corporation for Enterprise Development.

**GLOBAL LEGISLATORS ORGANIZATION FOR A BALANCED ENVIRONMENT U.S.A.**

*Washington, DC* \$200,000 over 2 years  
For its work on the reform of export credit agencies.

**INSTITUTE FOR AGRICULTURE AND TRADE POLICY**

*Minneapolis, MN* \$150,000 over 2 years  
To support information exchange and capacity building for Southern governments and civil society groups seeking more transparent, democratic, and balanced international trade policymaking.

**INSTITUTE FOR POLICY STUDIES**

*Washington, DC* \$150,000 over 2 years  
For its work on export credit agencies.

**INTERNATIONAL PEACE ACADEMY, INC.**

*New York, NY* \$25,000  
For its project entitled "Making States Work: State Failure and the Crisis of Governance."

**NATIONAL ENVIRONMENTAL TRUST**

*Washington, DC* \$300,000 over 2 years  
For two complementary projects: creating a positive vision for U.S. trade policymaking, and developing a communications strategy that can effectively highlight areas of concern about current trade policymaking.

**PUBLIC CITIZEN FOUNDATION, INC.**

*Washington, DC* \$100,000 over 2 years  
For efforts to reform standard-setting processes.

**ROCKEFELLER FAMILY FUND**

*New York, NY* \$60,000 over 2 years  
For the Funders Network on Trade and Globalization project of the Environmental Grantmakers Association.

**THIRD WORLD NETWORK**

*Penang, Malaysia* \$300,000 over 2 years  
For its work to support developing-country contributions to the multilateral trading system.

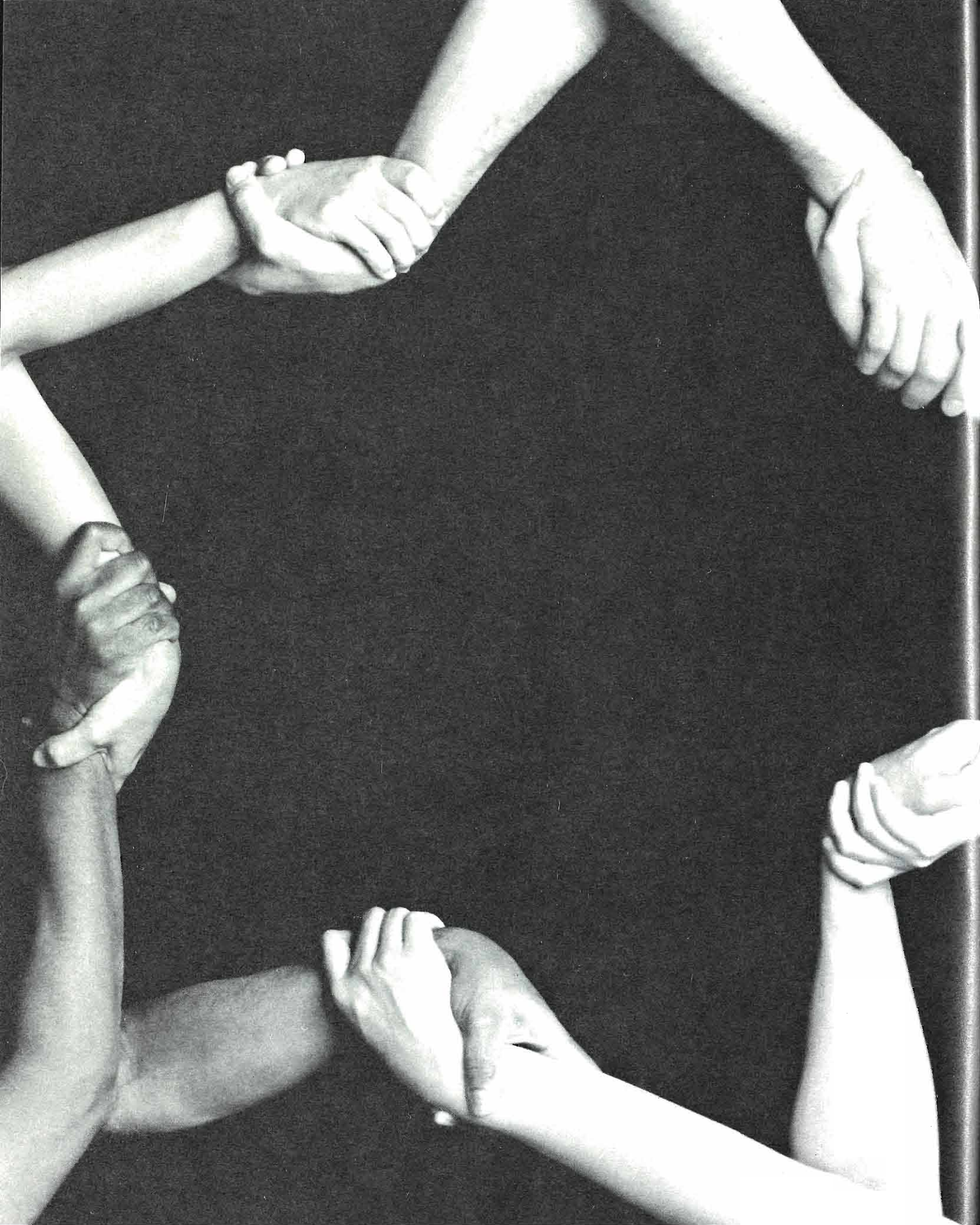
**UNITED NATIONS**

*New York, NY* \$100,000  
To the United Nations Development Programme's Trade and Sustainable Human Development project.

**Other****PLOUGHSHARES FUND, INC.**

*San Francisco, CA* \$20,000  
To support the activities of the Peace and Security Funders Group, a network of foundations and other funders that share an interest in international peace and security.





## Nonprofit Sector

The following are the 2002 Nonprofit Sector program guidelines. Beginning in 2003, the Fund's interest in strengthening the nonprofit sector will be addressed as part of its new Democratic Practice program.

### 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.

## 2002 Nonprofit Sector Grants

### **Development of Resources**

#### **CIVIC EXCHANGE LIMITED**

*Hong Kong, China* \$40,000  
For its work on improving the quality of public consultations for urban development in southern China.

#### **COUNCIL ON FOUNDATIONS, INC.**

*Washington, DC* \$15,000  
For a project to examine the needs and potential of the nonprofit sector infrastructure organizations.

#### **DEMOCRACY PROJECT**

*New York, NY* \$30,000  
For general support for 2003.

#### **EARTH SHARE**

*Washington, DC* \$80,000 over 2 years  
As a contribution to the implementation of the partnerships between Earth Share and its affiliated state and regional environmental federations.

#### **NATIONAL CENTER ON NONPROFIT ENTERPRISE, INC.**

*Arlington, VA* \$150,000 over 3 years  
For general support during the implementation of the Center's plan for growth and long-term stability.

#### **NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS**

*Washington, DC* \$2,500  
For costs related to funders' briefings held in Chicago, New York City, and San Francisco in 2002.

#### **NATIONAL EXECUTIVE SERVICE CORPS**

*New York, NY* \$25,000  
To plan and implement the revitalization of its Affiliates Network.

#### **PUBLIC MEDIA CENTER**

*San Francisco, CA* \$66,000 over 2 years  
For its China Development Brief project, a publication that focuses on development issues in the nonprofit sector in China.

**TECHROCKS**

*Philadelphia, PA* \$50,000  
For general support.

**WILLIAM J. BRENNAN, JR., CENTER FOR JUSTICE, INC.**

*New York, NY* \$25,000  
For its Dobbins Litigation and Public Education project.

**Accountability**

**CENTER FOR EFFECTIVE PHILANTHROPY, INC.**

*Cambridge, MA* \$40,000  
For general support for 2003.

**MARYLAND ASSOCIATION OF NONPROFIT ORGANIZATIONS, INC.**

*Baltimore, MD* \$35,000  
For continued dissemination and replication of its "Standards for Excellence: An Ethics and Accountability Code for the Nonprofit Sector."

**Increased Understanding**

**FOUNDATION CENTER**

*New York, NY* \$25,000  
For its project "The Philanthropic Response to 9/11: Creating the Record and Telling the Story."

**NATIONAL COMMITTEE FOR RESPONSIVE PHILANTHROPY**

*Washington, DC* \$12,000  
To revisit and update its conservative foundations research.

**REGIONAL PLAN ASSOCIATION, INC.**

*New York, NY* \$16,000  
For costs related to the production of the "Listening to the City" report.

**Membership**

**COUNCIL ON FOUNDATIONS, INC.**

*Washington, DC* \$39,600  
For general support in 2003.

**FOUNDATION CENTER**

*New York, NY* \$60,000 over 2 years  
For general support in 2003 and 2004.

**INDEPENDENT SECTOR**

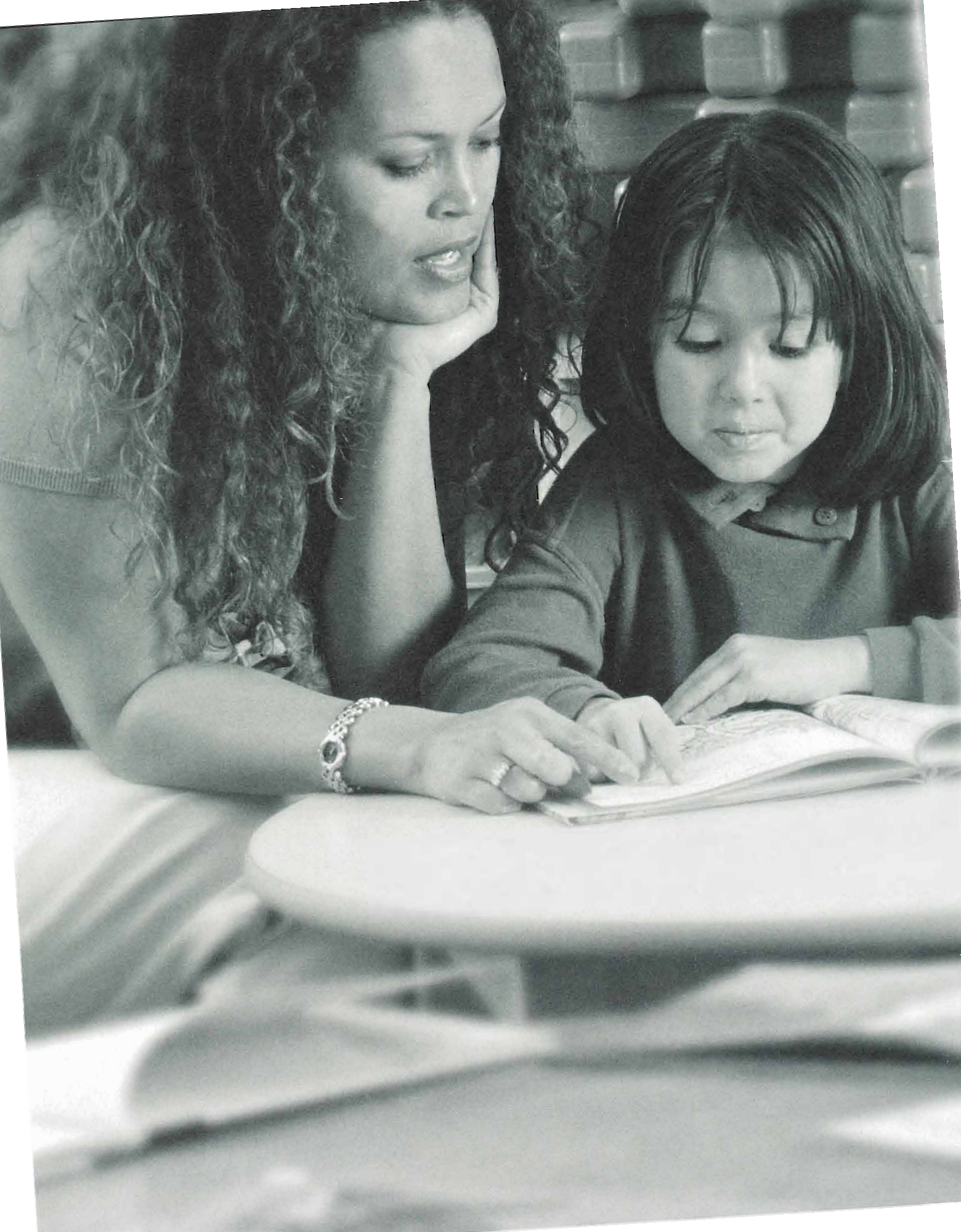
*Washington, DC* \$12,200  
For general support in 2003.

**NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS**

*New York, NY* \$12,450  
For general support in 2003.









# Education

The following goals and strategies governed the RBF's Education grantmaking in 2002. The Fund has decided to exit from this field during 2003; however, the RBF will continue its Fellowships for Students of Color Entering the Teaching Profession, as part of its new Charles E. Culpeper Human Advancement program.

## 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 the 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 by

- Enhancing existing programs and increasing access to high-quality early learning opportunities; and
- 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 teachers of color in the United States public-education system.

## STRATEGIES

- Helping 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.
- On a limited basis, identifying and supporting other opportunities that offer special promise for strengthening U.S. education in ways that complement the specific goals of the education program.

## 2002 Education Grants

### National Strategies

#### ACTION AGAINST CRIME AND VIOLENCE

##### EDUCATION FUND

*Washington, DC* \$55,000  
For its Early Childhood Initiative.

##### CONNECTICUT PUBLIC BROADCASTING, INC.

*Hartford, CT* \$7,500  
As a contribution to a planning meeting for a communications campaign to generate support from parents and policymakers for primary prevention strategies to benefit young children in Connecticut.

##### EARLY CHILDHOOD INITIATIVE, INC.

*Miami, FL* \$50,000  
For general support.

##### EDUCATION TRUST, INC.

*Washington, DC* \$50,000  
For a new division that will implement a national communications campaign to promote the expansion of federal investments in high-quality early education, and to support advocacy campaigns in six states.



**EVERY CHILD MATTERS EDUCATION FUND**

*Washington, DC* \$50,000  
For general support.

**INSTITUTE FOR CIVIL SOCIETY, INC.**

*Newton Centre, MA* \$100,000  
For a project of its Early Childhood Funders Collaborative to strengthen state-based early childhood care and education programs.

**JUMPSTART FOR YOUNG CHILDREN, INC.**

*Boston, MA* \$50,000  
For general support.

**READING IS FUNDAMENTAL, INC.**

*Washington, DC* \$100,000  
For the first phase of its Care to Read program.

**UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL**

*Chapel Hill, NC* \$28,750  
To fund a study of family predictors of early childhood outcomes, which will be linked to a national study of pre-kindergarten experiences.

**YALE UNIVERSITY**

*New Haven, CT* \$67,000  
To its Bush Center in Child Development and Social Policy, for the development of a language and literacy component for its School of the 21st Century program.

**Strategies for New York City**

**AMERICAN GROUP PSYCHOTHERAPY ASSOCIATION, INC.**

*New York, NY* \$75,000  
For its Filial Training project.

**BANK STREET COLLEGE OF EDUCATION**

*New York, NY* \$50,000 over 2 years  
For planning and implementation of a program to train mentors for new teachers in community-based and Board of Education-sponsored early care and education programs in New York City.

**FOUNDATIONS, INC.**

*Moorestown, NJ* \$100,000  
For a new after-school program tailored to pre-kindergartners in several schools in New York City.

**FUND FOR PUBLIC SCHOOLS, INC.**

*Brooklyn, NY* \$101,000  
For an effort to give special attention to pre-K programs during the New York City Board of Education's Principal's Institute.

**LEARNING LEADERS, INC.**

*New York, NY* \$50,000  
To support the Pre-Kindergarten Family Literacy Project, which trains parents to engage in literacy activities with their children and to then become literacy volunteers in New York City public pre-K programs.

**LOCAL INITIATIVES SUPPORT CORPORATION**

*New York, NY* \$100,000  
For its Community Investment Collaborative for Kids, to assist in the accreditation of five early childhood centers in New York City.

**RESEARCH FOUNDATION OF THE CITY UNIVERSITY**

**OF NEW YORK**  
*New York, NY* \$50,000  
For a pre-K intervention program for Hispanic immigrant children of its Graduate Center's Research Institute for the Study of Language in Urban Society.

**WILDLIFE CONSERVATION SOCIETY**

*Bronx, NY* \$100,000  
For its Wild Achievements: Wildlife Integrated for Language Development and Achievement program.

**Membership**

**GRANTMAKERS FOR EDUCATION**

*Portland, OR* \$500  
For RBF membership in 2002.

## Education: Fellowships for Students of Color Entering the Teaching Profession

In 1992, the Rockefeller Brothers Fund launched Fellowships for Students of Color Entering the Teaching Profession to help close the gap between the increasing number of students of color in public schools and the proportionately smaller number of teachers of color. Fellows receive financial assistance and mentoring as they complete college, attend graduate school, and during their first three years of teaching. Today, the program continues to attract outstanding students of color with a strong commitment to teaching in K-12 public school classrooms in the United States.

Undergraduate students of color in their junior year in arts and science programs at participating institutions may apply for fellowships through their universities. Every year, 25 RBF Fellows are eligible for grants totaling up to \$22,100. Fellowships provide funds for educational projects completed during the summer after students' junior year, for graduate study, and for assistance with loan repayments during the first three years of teaching. Each candidate is expected to identify a mentor who is a member of the faculty or staff at his or her undergraduate institution to oversee the summer project and provide guidance and advice during the graduate school application process. RBF Fellows are expected to move continuously through their senior year of undergraduate studies, one or two years of full-time graduate study, and certification before obtaining a teaching position in a public school.

Participating institutions may nominate up to three students by December 31 of each year. RBF Fellows are selected in March based on qualities that indicate their potential to become exceptional teachers—including excellent academic performance, strong written and oral communication skills, and a deep commitment to education and public service.

During the first summer of their participation in the program, RBF Fellows and their mentors attend a workshop sponsored by the RBF. Fellows are also

brought together occasionally to get to know each other, learn more about the teaching profession, and offer encouragement and support to those who follow them in the program.

In addition to its primary goal of increasing the number of outstanding teachers of color in public education, the program intends to increase awareness on liberal arts campuses about the importance and potential rewards of teaching in public schools and encourage RBF Fellows to serve in those schools most in need of excellent teachers of color. The program also aims to retain teachers of color and help them become leaders who will serve as agents for positive change in the schools.

Twenty-five colleges and universities were selected to participate in the 2002 RBF Fellowship program based on the overall quality of the institution's undergraduate program, its record of commitment to the education of minorities, and its stated goal of improving teaching in the public schools.

### **The institutions selected to participate in the program in 2002 were:**

Amherst College  
*Amherst, MA*

Brown University  
*Providence, RI*

City University of New York—Queens College  
*Flushing, NY*

Dartmouth College  
*Hanover, NH*

Duke University  
*Durham, NC*

Emory University  
*Atlanta, GA*

Howard University  
*Washington, DC*

Macalester College  
*Saint Paul, MN*

Montana State University  
*Bozeman, MT*

Mount St. Mary's College  
*Los Angeles, CA*

Oberlin College  
*Oberlin, OH*

Pace University  
*New York, NY*

Pomona College  
*Claremont, CA*

Princeton University  
*Princeton, NJ*

Southwest Texas State University  
*San Marcos, TX*

Spelman College  
*Atlanta, GA*

Swarthmore College  
*Swarthmore, PA*

Tulane University  
*New Orleans, LA*

University of California, Riverside  
*Riverside, CA*

University of Michigan  
*Ann Arbor, MI*

University of Pennsylvania  
*Philadelphia, PA*

University of Texas at El Paso  
*El Paso, TX*

Wellesley College  
*Wellesley, MA*

Wesleyan University  
*Middletown, CT*

Williams College  
*Williamstown, MA*

**2002 Fellows**  
Charmelia Bond  
*University of Pennsylvania*

Travis Bristol  
*Amherst College*

Emily Chavez  
*Swarthmore College*

Spencer Chenier  
*Howard University*

Robert Cotto, Jr.  
*Dartmouth College*

Crystal Davenport-Harris  
*Princeton University*

Elyse Young Davis  
*Spelman College*

Araceli Garcia  
*Mount St. Mary's College*

Nancy Gomez  
*University of California, Riverside*

Lisa Jefferson  
*Southwest Texas State University*

Nikhil Laud  
*Brown University*

Celeste Lee  
*Emory University*

Veronica Leon  
*Mount St. Mary's College*

Jonathan Nguyen  
*University of Pennsylvania*

Lina Noreña  
*Pace University*

Jacquelin Old Coyote  
*Montana State University*

Patrece Reese  
*Southwest Texas State University*

Michelle Refuge  
*Emory University*

Stephanie Sierra  
*Southwest Texas State University*

Veronica Siordia  
*University of California, Riverside*

Katrina Spicer  
*Wellesley College*

Nii-Adzei Tetteh  
*University of Michigan, Ann Arbor*

Jason Torres-Rangel  
*Pomona College*

Kathy Xiong  
*Amherst College*

John Yi  
*Princeton University*



**2002 Mentors**

Michael Awkward  
*University of Pennsylvania*

Carla Bartlett  
*Mount St. Mary's College*

NancyLee Bergey  
*University of Pennsylvania*

Andrew Bocarsly  
*Princeton University*

Patricia Brock  
*Pace University*

Miguel Centeno  
*Princeton University*

Rhonda Cobham-Sander  
*Amherst College*

Roxane Cuellar  
*Southwest Texas State University*

Anani Dzidzienyo  
*Brown University*

Teresita Espinosa  
*Mount St. Mary's College*

Andrew Garrod  
*Dartmouth College*

Ann Hall  
*Southwest Texas State University*

Dorothy Hartley  
*University of California, Riverside*

Marilyn Irving  
*Howard University*

Lauren Leve  
*Wellesley College*

Judy McPherson  
*Spelman College*

Henry Meares  
*University of Michigan, Ann Arbor*

Alexandra New Holy  
*Montana State University*

Barry O'Connell  
*Amherst College*

Frank Ramos  
*University of California, Riverside*

Ann Renninger  
*Swarthmore College*

Vanessa Siddle Walker  
*Emory University*

Maria Torres  
*Pomona College*

Regina Werum  
*Emory University*



## New York City

The following are the 2002 New York City program guidelines. Beginning in 2003, the Fund's interest in New York City will be carried out through its RBF Pivotal Places: New York City program.

### 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.

## 2002 New York City Grants

### Public Education and Youth Development

#### COMMUNITY ACTION PROJECT, INC.

*Brooklyn, NY* \$10,000

For developing a university-community partnership program to train leaders and develop community capacity in neighborhoods of Brooklyn and Queens in collaboration with the Pacific Institute for Community Organizations and Central Brooklyn Churches.

#### CONCORD COMMUNITY DEVELOPMENT CORPORATION

*Brooklyn, NY* \$15,000

For a community leadership initiative, the Leadership in Neighborhoods program.

#### CORO EASTERN CENTER, INC.

*New York, NY* \$100,000

To implement a joint project with the Center for Excellence in New York City Governance to create a regular program of seminars, policy briefings, and meetings with diverse experts and leaders for City Council members and their staffs.

#### HARLEM EDUCATIONAL ACTIVITIES

*New York, NY* \$25,000

For the Harlem Educational Activities Fund, as a contribution to its Ten-Year Continuum program.

#### NEW YORK COMMUNITY TRUST

*New York, NY* \$200,000 over 2 years

For its Donors' Education Collaborative.

### Neighborhoods and Public Spaces

#### BROOKLYN ACADEMY LOCAL DEVELOPMENT CORPORATION

*Brooklyn, NY* \$50,000

To support community outreach in connection with planning for the Brooklyn Cultural District.

#### BROOKLYN BRIDGE PARK COALITION, INC.

*Brooklyn, NY* \$90,000 over 2 years

For its efforts to maintain and expand political, financial, and community support for the Brooklyn Bridge Park.



**CITY PARKS FOUNDATION**

*New York, NY* \$45,000  
 For its Partnerships for Parks initiative, which works to encourage community support for and involvement in New York City's parks.

**COOPER UNION FOR THE ADVANCEMENT OF SCIENCE AND ART**

*New York, NY* \$65,000  
 To support community engagement programs related to the redevelopment of the Cooper Square area.

**CONFERENCE BOARD, INC.**

*New York, NY* \$120,000 over 2 years  
 For the Promoting Community Tourism in New York City project of the Conference Board's Business Enterprises for Sustainable Travel initiative.

**GREATER JAMAICA DEVELOPMENT CORPORATION**

*Jamaica, NY* \$125,000 over 2 years  
 To develop the Neighborhood Brownfields Pilot—Reclaiming Jamaica's Brownfields.

**MUNICIPAL ART SOCIETY OF NEW YORK**

*New York, NY* \$50,000  
 For its Metropolitan Waterfront Alliance project, a network of organizations and individuals dedicated to helping New York and New Jersey reclaim and reconnect their harbors, rivers, and estuaries.

**NEW YORK COMMUNITY TRUST**

*New York, NY* \$100,000  
 For its Neighborhood 2000 Fund.

**REGIONAL PLAN ASSOCIATION, INC.**

*New York, NY* \$300,000 over 2 years  
 For its Campaign for Regional Leadership project.

**REGIONAL PLAN ASSOCIATION, INC.**

*New York, NY* \$60,000  
 For its Civic Alliance to Rebuild Downtown initiative.

**ST. MARK'S HISTORIC LANDMARK FUND**

*New York, NY* \$90,000 over 2 years  
 For its Neighborhood Preservation Center.

**Community Leadership****CITIZENS UNION FOUNDATION OF THE CITY OF NEW YORK**

*New York, NY* \$25,000  
 For the *Gotham Gazette* online daily newspaper.

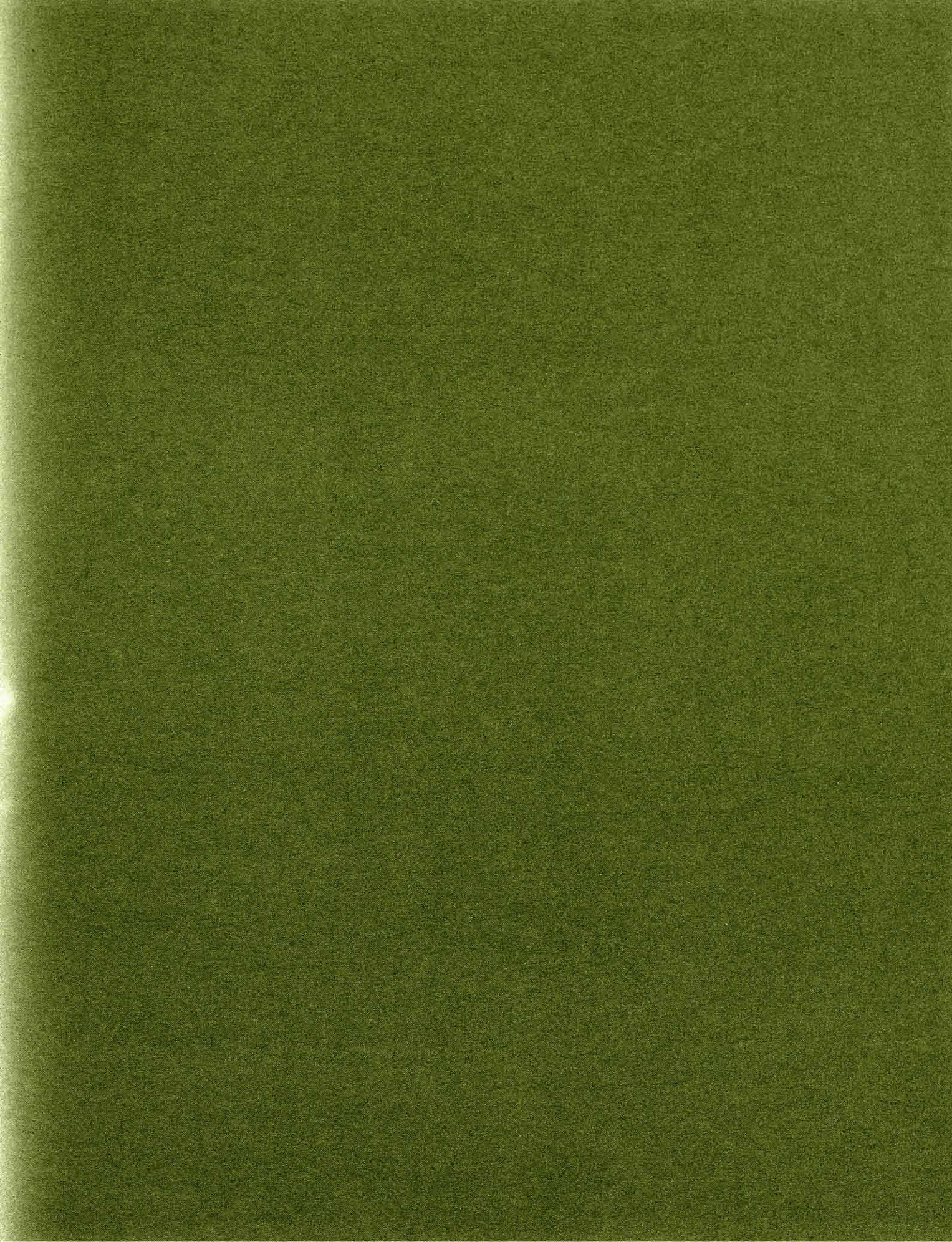
**PARKS COUNCIL, INC.**

*New York, NY* \$75,000  
 To strengthen its capacity to lead citywide advocacy efforts for improved and more equitable delivery of parks and recreational services.

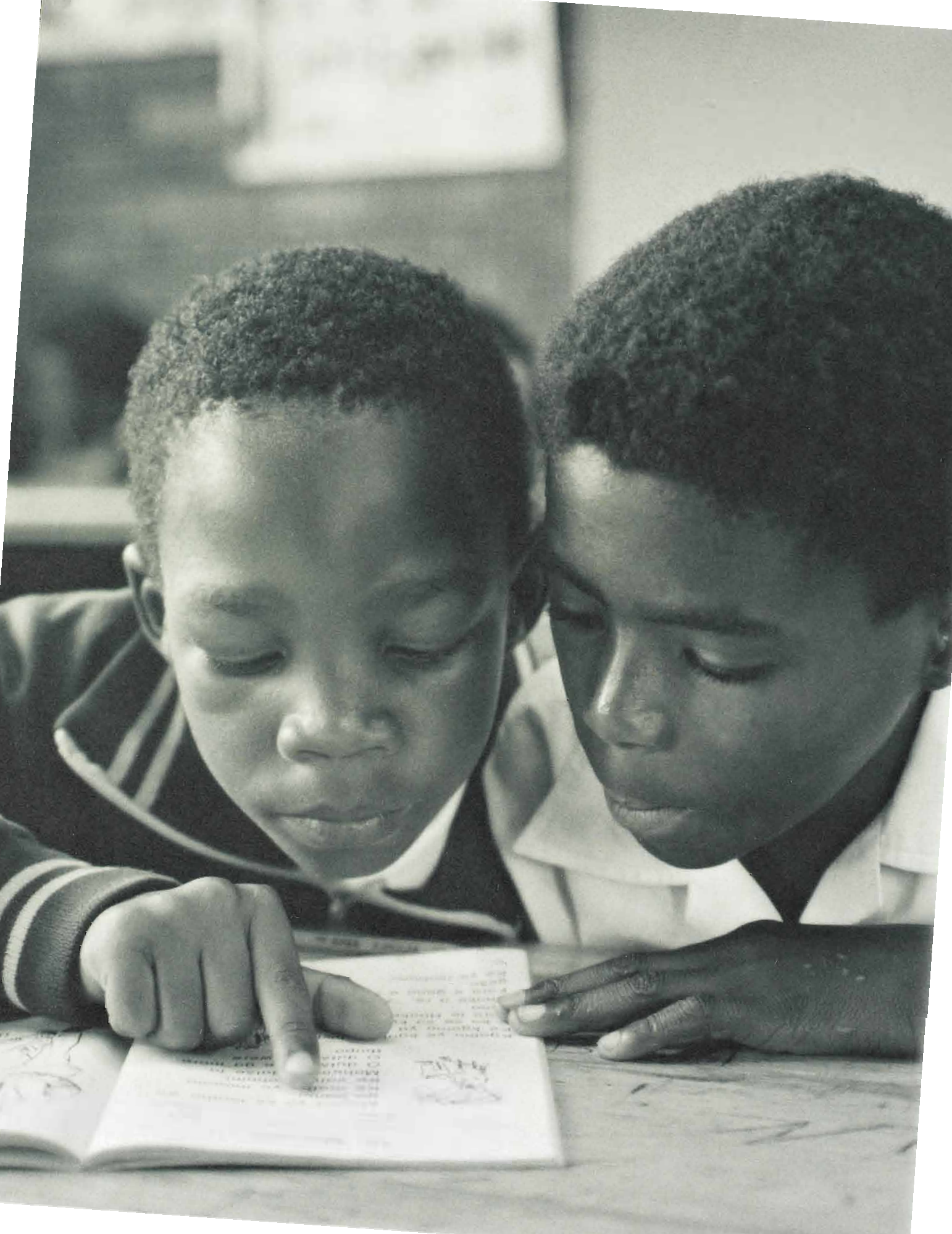
**RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK**

*New York, NY* \$75,000  
 To implement the Leadership Training Institute for Community Organizations program at Queens College.











## South Africa

The following are the 2002 South Africa program guidelines. Beginning in 2003, the Fund's interest in South Africa will be carried out through its RBF Pivotal Places: South Africa program.

The South Africa Program of the Rockefeller Brothers Fund addresses two of the most pressing challenges in South Africa today: the need to improve the quality and accessibility of basic education for children and adults, and the need to assist orphans and vulnerable children as a result of the HIV/AIDS pandemic.

### GOAL 1

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

### STRATEGIES

#### **Promising Models**

Supporting the introduction and evaluation of promising basic education models.

#### **Teacher Development**

Advancing the development of primary school teachers.

#### **Institutional Capacity Building**

Strengthening the institutional capacity of nonprofit organizations, university programs, and government agencies in the field of basic education, which may include:

- Encouraging documentation, reflection upon, and dissemination of lessons learned; and
- 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 bases.

#### **HIV/AIDS**

Assisting nonprofit organizations with basic education projects to integrate a concern for HIV/AIDS within their work.

### GOAL 2

In response to the HIV/AIDS pandemic in South Africa, the Rockefeller Brothers Fund endeavors to assist orphans and vulnerable children in achieving their full potential as individuals and as constructive members of society.

### STRATEGIES

#### **Promising Models**

Facilitating the introduction and evaluation of innovative models of care, education, and support for orphans and vulnerable children.

#### **Institutional Capacity Building**

Strengthening the institutional capacity of nonprofit organizations, university programs, and government agencies working with orphans and vulnerable children, which may include:

- Encouraging the documentation, reflection upon, and dissemination of lessons learned;
- Facilitating cross-sectoral linkages and collaboration among nonprofit organizations, universities, and government agencies; and
- Developing the capacity of nonprofit organizations for effective advocacy.

### Social Science Research

Supporting targeted social science research that will improve the understanding and effectiveness of work related to orphans and vulnerable children.

### Child Abuse

Assisting efforts, particularly by caregivers and teachers, to stop violence and sexual abuse of orphans and vulnerable children.

## 2002 South Africa Grants

### Basic Education

#### *Promising Models*

#### **ADULT BASIC EDUCATION DEVELOPMENT SERVICES TRUST**

*Cape Town, South Africa* \$46,000 over 2 years  
For its project Linking Learning to Livelihoods.

#### **FAMILY LITERACY PROJECT**

*Durban, South Africa* \$52,000 over 2 years  
To help expand the impact of the Family Literacy Project with community-based literacy projects in KwaZulu-Natal.

#### **UNIVERSITY OF ULSTER**

*Coleraine, Ireland* \$67,000 over 3 years  
For its project in Emmaus, KwaZulu-Natal, to link home and school in early childhood education.

#### *Teacher Development*

#### **UNIVERSITY OF NATAL**

*Durban, South Africa* \$120,000 over 2 years  
For a project of its School of Education, Training, and Development to develop a program for rapid teacher training.

#### *Financial Self-Sufficiency*

#### **CAPE EDUCATIONAL TRUST**

*Glosderry, South Africa* \$80,000 over 2 years  
For the Early Learning Resource Unit's sustainability project.

### Orphans and Vulnerable Children

#### *Promising Models*

#### **CATHOLIC ARCHDIOCESE OF DURBAN AIDS CARE**

#### **COMMISSION**

*KwaZulu-Natal, South Africa* \$76,000 over 2 years  
For its Sinosizo Project to develop a model program to assist orphans and vulnerable children in KwaZulu-Natal and to strengthen the project's institutional capacity.

#### **UNIVERSITY OF WITWATERSRAND FOUNDATION**

*Johannesburg, South Africa* \$80,000 over 2 years  
For its project to facilitate adoption and health care for orphaned children in Gauteng.

#### *Institutional Capacity Building*

#### **CHILDREN IN DISTRESS NETWORK**

*Pietermaritzburg, South Africa* \$50,000 over 2 years  
For its capacity-building project.

#### **CHILDREN'S RIGHTS CENTRE**

*Durban, South Africa* \$100,000 over 2 years  
For its Alliance for Children's Entitlement to Social Security (ACCESS) project.

#### **UNIVERSITY OF NATAL**

*Durban, South Africa* \$52,000 over 2 years  
For the Orphans Project of its HIV/AIDS Networking Centre.

#### *Social Science Research*

#### **UNIVERSITY OF CAPE TOWN**

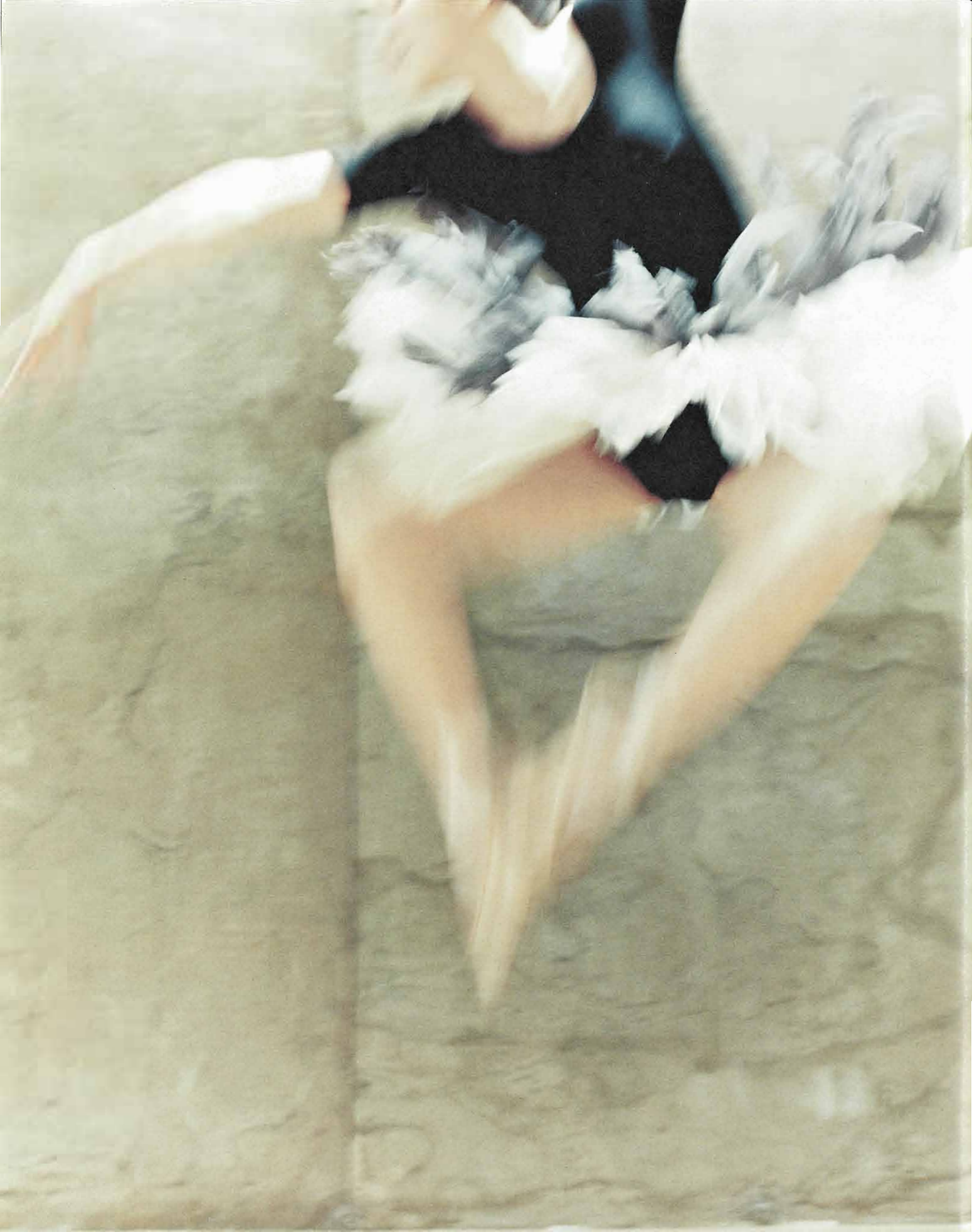
*Cape Town, South Africa* \$22,000  
For the development of national policy guidelines for health and social service provision for orphans and children at risk of becoming orphans.

#### **UNIVERSITY OF NATAL**

*Durban, South Africa* \$40,000 over 2 years  
To the Geographic Information System Project of its Health, Economics, and HIV/AIDS Research Division, which is intended to assist orphans and vulnerable children.









## Charles E. Culpeper Arts and Culture

The following are the 2002 Charles E. Culpeper Arts and Culture program guidelines. Beginning in 2003, these goals and strategies will be pursued under the new Charles E. Culpeper Human Advancement program guidelines as well as under the RBF Pivotal Places: New York City program.

In supporting arts and culture, the RBF is inspired by a conviction that art offers beauty, invites discovery, stimulates reflection, and generates self-knowledge. Engagement with the arts and culture promotes deeper understanding among diverse communities of human experience and aspirations.

The RBF Charles E. Culpeper Arts and Culture Program supports arts and cultural organizations in New York City—the Fund’s home. New York is a beacon for excellence in the arts and an incubator for artistic creativity and cultural vitality. Support for arts and culture complements the Fund’s other strategies for community building in New York City. The program is named after Charles E. Culpeper, to honor the legacy of his foundation and its outstanding contributions to this field. (The Culpeper Foundation merged with the RBF in July 1999.)

### GOAL 1

To foster an environment in which artists can flourish.

### STRATEGY

#### Supporting Artists and the Creative Process

The RBF encourages artistic excellence by providing grants to organizations that support individual artists and the creative process, provide infrastructure to sustain the artistic life, and offer additional opportunities to artists for developing skills complementary to their creative talents. *NOTE: Standard RBF letter of inquiry process does not apply. Proposals are accepted throughout the year.*

### GOAL 2

To help sustain and advance small and midsize cultural organizations, particularly those that are community-based and/or culturally specific.

### STRATEGIES

#### Supporting Core Operations

The RBF provides exemplary small and midsize organizations with nonrenewable, two-year general operating grants of up to \$50,000 per year, as a source of stable funding and added vitality in the immediate term. *NOTE: Standard RBF letter of inquiry process does not apply. Proposals are accepted each year from January 15 through March 15, for consideration in the same calendar year.*

#### Strengthening Long-Term Financial Viability

The RBF provides Charles E. Culpeper Endowment grants and cash reserve grants of up to \$250,000 to organizations that demonstrate the potential for long-term leadership and excellence in the presentation of creative work to the broadest possible audiences. *NOTE: Standard RBF letter of inquiry process does not apply. Proposals are accepted each year from January 15 through March 15, for consideration in the same calendar year.*

#### Enhancing Institutional Leadership

The RBF provides competitive awards to arts and cultural organizations for innovative, team-based leadership conferences designed to strengthen long-range organizational management and governance. Through the Charles E. Culpeper Leadership Program, the Fund’s Pocantico Conference Center will host representatives from the selected organizations (including senior management, artistic leadership, and board members) for conferences lasting one to two days on issues of institutional advancement. Each selected organization will receive a grant of up to \$15,000 to cover the costs of the leadership conference, including the participation of professional consultants, advisers, or facilitators. *NOTE: Standard*



RBF letter of inquiry process does not apply. Proposals are accepted throughout the year.

Following completion of a leadership conference, the Fund may make an additional award of up to \$25,000 to support the participating organization's efforts to implement certain aspects of what was learned through the conference.

As a contribution to the field, the RBF will disseminate periodic reports summarizing the collective learning from these conferences and sharing the organizational improvements of participating institutions.

## 2002 Arts and Culture Grants

### Supporting Artists and the Creative Process

#### ARTS INTERNATIONAL, INC.

New York, NY \$100,000 over 2 years  
To support the creative and professional development of New York City-based artists through international touring.

#### PREMIERE COMMISSION, INC.

New York, NY \$15,000  
For its work in commissioning and premiering the new music of emerging composers.

#### STUDIO MUSEUM IN HARLEM, INC.

New York, NY \$100,000 over 2 years  
For its Artists-in-Residence program.

### Supporting Core Operations

#### ADOBE THEATRE COMPANY, INC.

New York, NY \$15,000  
For general operating support.

#### AMIGOS DEL MUSEO DEL BARRIO, INC.

New York, NY \$70,000 over 2 years  
For general operating support.

#### ART IN GENERAL, INC.

New York, NY \$50,000  
For general operating support.

#### ASIAN AMERICAN WRITERS WORKSHOP, INC.

New York, NY \$50,000 over 2 years  
For general operating support.

#### BROOKLYN PHILHARMONIC SYMPHONY ORCHESTRA, INC.

Brooklyn, NY \$70,000 over 2 years  
For general operating support.

#### CITY LORE, INC.: THE NEW YORK CENTER FOR URBAN FOLK CULTURE

New York, NY \$25,000  
For general operating support.

#### FOUNDATION FOR DANCE PROMOTION

New York, NY \$100,000 over 2 years  
For general operating support.

#### KINGS MAJESTIC CORPORATION

Brooklyn, NY \$60,000 over 2 years  
For general operating support.

#### MUSE FILM AND TELEVISION

New York, NY \$50,000 over 2 years  
For general operating support.

#### MUSEUM OF CHINESE IN THE AMERICAS

New York, NY \$70,000 over 2 years  
For general operating support.

#### PARSONS DANCE FOUNDATION, INC.

New York, NY \$50,000  
For general operating support.

#### ST. ANN CENTER FOR RESTORATION AND THE ARTS, INC.

Brooklyn, NY \$70,000 over 2 years  
For general operating support.

#### SNUG HARBOR CULTURAL CENTER

Staten Island, NY \$50,000 over 2 years  
To the Newhouse Center for Contemporary Art.

#### TARGET MARGIN THEATER, INC.

Brooklyn, NY \$15,000  
For general operating support.

**TECTONIC THEATER PROJECT, INC.**

*New York, NY* \$15,000  
 For general operating support.

**THALIA SPANISH THEATRE, INC.**

*Sunnyside, NY* \$70,000 over 2 years  
 For general operating support.

**VISUAL ARTS RESEARCH AND RESOURCE CENTER****RELATING TO THE CARIBBEAN**

*New York, NY* \$70,000 over 2 years  
 For general operating support.

**WOMENS PROJECT AND PRODUCTIONS, INC.**

*New York, NY* \$70,000 over 2 years  
 For general operating support.

**WORKING THEATRE COMPANY, INC.**

*New York, NY* \$15,000  
 For general operating support.

**WORKS AND PROCESS, INC.**

*New York, NY* \$35,000  
 For general operating support.

**Strengthening Long-Term Financial Viability****AMERICAN SYMPHONY ORCHESTRA, INC.**

*New York, NY* \$150,000 over 2 years  
 To its endowment in the name of Charles E. Culpeper.

**CENTER FOR TRADITIONAL MUSIC AND DANCE, INC.**

*New York, NY* \$150,000 over 2 years  
 To its New York Cultural Heritage Fund in the name of Charles E. Culpeper.

**CREATIVE CAPITAL FOUNDATION**

*New York, NY* \$250,000 over 2 years  
 To its endowment in the name of Charles E. Culpeper.

**Enhancing Institutional Leadership****ARTS & BUSINESS COUNCIL, INC.**

*New York, NY* \$15,000  
 For the costs of its Leadership Conference at the Pocantico Conference Center.

**ARTS & BUSINESS COUNCIL, INC.**

*New York, NY* \$25,000  
 To enable the creation of a finance officer position.

**JAMAICA CENTER FOR ARTS & LEARNING, INC.**

*Jamaica, NY* \$15,000  
 For general support.

**JAMAICA CENTER FOR ARTS & LEARNING, INC.**

*Jamaica, NY* \$25,000  
 For the development of a strategic plan.

**Other****CUBAN ARTISTS FUND, INC.**

*New York, NY* \$10,000  
 Towards the publication of a report on its conference "U.S./Cuba Cultural Exchanges in the New Millennium," held at the Pocantico Conference Center.

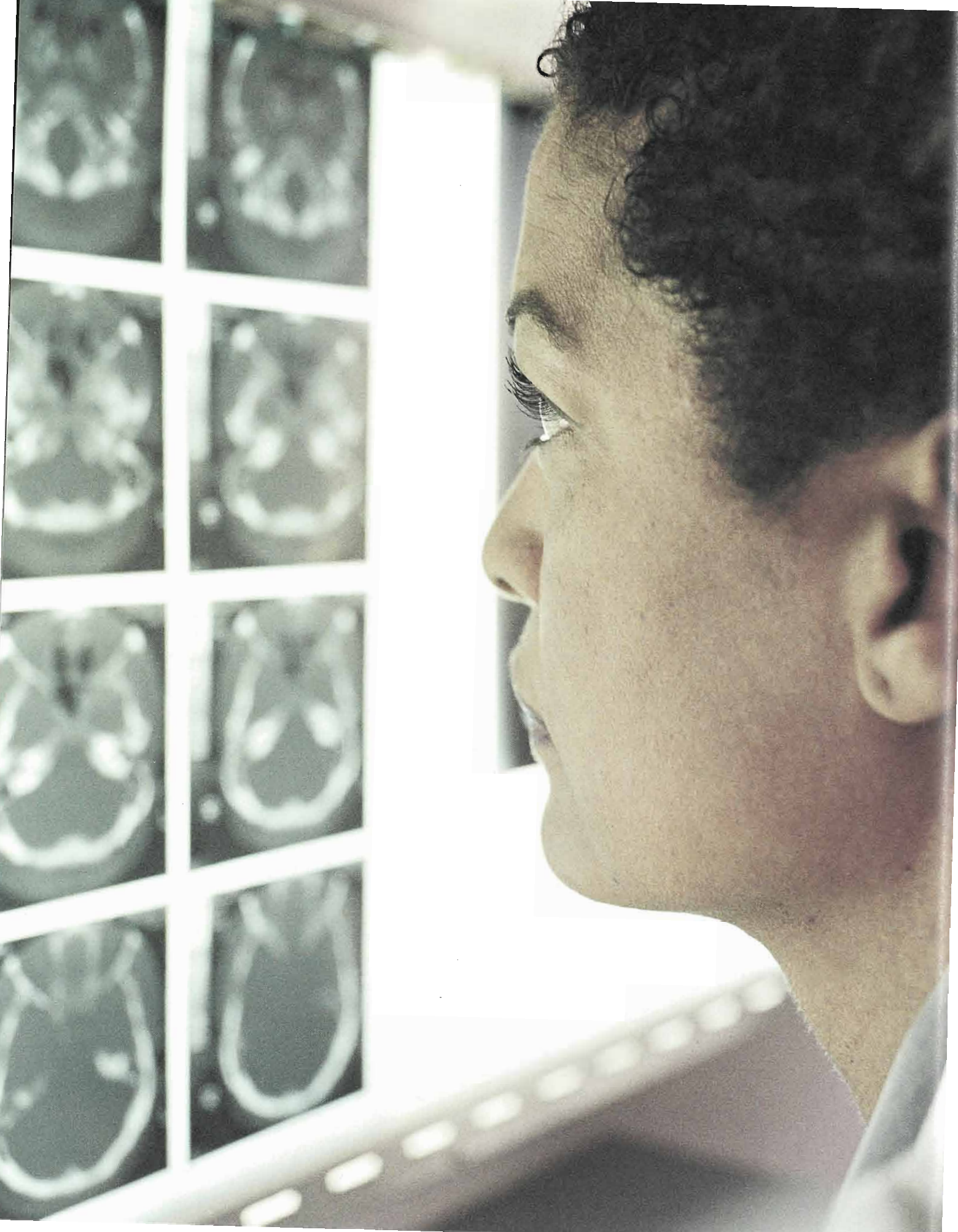
**GRANTMAKERS IN THE ARTS**

*Seattle, WA* \$1,000  
 For general operating support.

**NATIONAL TRUST FOR HISTORIC PRESERVATION IN THE UNITED STATES**

*Washington, DC* \$150,000 over 3 years  
 To its Associate Sites program.







## Health

Beginning in 2003, the Fund will no longer maintain a separate grants program in the field of health, although we will address certain very specific health concerns within the framework of other programs.

### The Charles E. Culpeper Medical Science Program

#### GOAL

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 Charles E. Culpeper Biomedical Pilot Initiative

#### GOAL

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.

## 2002 Health Grants

### Scholarships in Medical Science Program

#### COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF

*New York, NY* \$324,000 over 3 years  
To the research of C. Daniel Salzman, MD, PhD, concerning the neural mechanisms that underlie emotional behavior.

#### HARVARD COLLEGE, PRESIDENT AND FELLOWS OF

*Boston, MA* \$324,000 over 3 years  
To the research of Evan D. Rosen, MD, PhD, concerning fat cell gene expression.

#### JOHNS HOPKINS UNIVERSITY

*Baltimore, MD* \$324,000 over 3 years  
To the research of Guo-li Ming, MD, PhD, concerning repair and regeneration of axons following injury or damage to the central nervous system.

#### WASHINGTON UNIVERSITY

*St. Louis, MO* \$324,000 over 3 years  
To the research of Russell Van Gelder, MD, PhD, concerning an important light-sensing system in the eye.

### Biomedical Pilot Initiative

#### CLEVELAND CLINIC FOUNDATION

*Cleveland, OH* \$25,000  
To support the research of Shuvo Roy, PhD, entitled "Growth of Connective Tissue Progenitor Cells on Microtextured Surfaces for Enhanced Bone Tissue."

#### COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF

*New York, NY* \$24,948  
To support the research of Stanislav Zakharenko, MD, PhD, entitled "Learning and Memory in the Striatum: Presynaptic Mechanisms."

#### COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF

*New York, NY* \$14,015  
For the research of Marija Dokmanovic, entitled "Identification of Novel Genes and Pathways in Type 2 Diabetes Using ENU Mutagenesis in Mice."

#### GEORGIA TECH RESEARCH CORPORATION

*Atlanta, GA* \$25,000  
For the research of J. Carson Meredith, PhD, entitled "Combinatorial Characterization of Cell-Polymer Interactions: Effects of Chemistry, Microstructure, and Roughness."

**JOHNS HOPKINS UNIVERSITY**

*Baltimore, MD* \$25,000  
To support the research of Kevin J. Yarema, PhD, entitled "Applications of Glycosylation Engineering in Stem Cell Research."

**LEGACY EMANUEL HOSPITAL AND HEALTH CENTER**

*Portland, OR* \$25,000  
To support the research of Carol D. Farr, PhD, entitled "A Novel Approach to the Identification of Ligands that Can Regulate Metabotropic Glutamate Receptors: Panning a Phage Display Peptide Library."

**MIRIAM HOSPITAL**

*Providence, RI* \$25,000  
To support the research of Bharat Ramratnam, MD, entitled "Engineering Mucosal Resistance to Cryptosporidiosis."

**MONTANA STATE UNIVERSITY**

*Bozeman, MT* \$25,000  
To support the research of Mark E. Shirtliff, PhD, entitled "Discovery and Testing of Biofilm Proteins as Vaccines."

**TUFTS COLLEGE, TRUSTEES OF**

*Medford, MA* \$24,994  
For the research of Susan Harris, DSc, entitled "Genetic Determinants of Vitamin D Status: The Framingham Study."

**UNIVERSITY OF CALIFORNIA, REGENTS OF**

*La Jolla, CA* \$24,964  
To support the research of Abdul I. Barakat, PhD, entitled "Regulation of Vascular Endothelial Cell Wound Healing by Fluid Mechanical Shear Stress."

**UNIVERSITY OF ILLINOIS, BOARD OF TRUSTEES OF**

*Chicago, IL* \$25,000  
For the research of Richard A. Gemeinhart, PhD, entitled "Microscale Defined Molecular Gradients for Determination of Cellular Activity."

**UNIVERSITY OF MASSACHUSETTS**

*Worcester, MA* \$25,000  
To support the research of Craig C. Mello, PhD, entitled "C. elegans RNAi Pathways Genes as Tools for Targeted Gene Silencing in Vertebrate Cells."

**UNIVERSITY OF MIAMI**

*Miami, FL* \$25,000  
To support the research of Danislov Spassov, MS, entitled "Pumilio Genes and Self-Renewal Hematopoietic Stem Cells."

**UNIVERSITY OF MIAMI**

*Miami, FL* \$25,000  
To support the research of Richard Voellmy, PhD, entitled "A Novel Approach to the Prevention of Chemotherapy-Induced Hair Loss."

**UNIVERSITY OF PENNSYLVANIA, TRUSTEES OF**

*Philadelphia, PA* \$24,969  
To support the research of David M. Eckmann, MD, PhD, entitled "Bubble and Drop Adhesion to a Biomimetic Glycocalyx."

**UNIVERSITY OF WASHINGTON**

*Seattle, WA* \$24,871  
To support the research of Blake Hannaford, PhD, entitled "Exploration of Opportunities in Telemedicine for Surgery: Access for Rural Areas."

**WALTER LINK FOUNDATION, INC.**

*Sarasota, FL* \$25,000  
For its Global Academy's Genome Institute.

**YALE UNIVERSITY**

*New Haven, CT* \$25,000  
To support the research of Priscilla S. Dannies, PhD, entitled "Reversible Aggregation of Prohormones in Cells as an Important Step in Secretory Granule Formation."







## Special Concern: The Balkans

The following are the 2002 Special Concern: The Balkans program guidelines. Beginning in 2003, the Fund's interest in the Balkans will be carried out through its RBF Pivotal Places: Serbia and Montenegro program.

In December 2001, the trustees of the Rockefeller Brothers Fund approved a three-year program for the Balkans as a Special Concern. During this period, modest resources were targeted for work in three mutually reinforcing areas. In 2002, given budgetary constraints, the geographic focus was on Serbia and Montenegro, and the RBF made a limited number of grants in the following areas:

### Building Democratic Capacity

The RBF has explored opportunities to improve democratic governance, promote a deeper understanding of the role of nongovernmental organizations in democratic society, and create conditions for effective relationships between government and civil society institutions.

### Grappling with Questions of National Identity & Challenges of Ethnic Reconciliation

The RBF has advanced efforts to grapple with issues of identity and nationality, as a prerequisite for ethnic and national reconciliation and an essential foundation for the further consolidation of democracy.

### Developing Sustainable Communities

The RBF has sought opportunities to help build sustainable communities with a focus on promoting environmental sustainability, local-community economic development, transparent and inclusive decision making, and the growth of indigenous philanthropy.

## 2002 Special Concern: The Balkans Grants

### Building Democratic Capacity

#### BALKAN COMMUNITY INITIATIVES FUND

*London, United Kingdom* \$100,000 over 2 years

For its community-based small grants program in Serbia, Montenegro, and Kosovo.

#### JOHNS HOPKINS UNIVERSITY—PAUL H. NITZE SCHOOL OF ADVANCED INTERNATIONAL STUDIES

*Washington, DC* \$35,000

Towards a law reform program focusing on Serbia and Montenegro at the Center for Constitutional Studies and Democratic Development of the Bologna Center of its Paul H. Nitze School of Advanced International Studies.

#### PEOPLE'S PARLIAMENT

*Leskovas, Serbia* \$25,000 over 2 years

For general operating support.

### National Identity and Ethnic Reconciliation

#### CENTER FOR REGIONALISM

*Novi Sad, Serbia* \$50,000 over 2 years

For general budgetary purposes.

#### CENTRE FOR MULTICULTURAL EDUCATION

*Presevo, Serbia* \$6,000

For a children's interethnic music program.

#### FILM VIDEO ARTS, INC.

*New York, NY* \$25,000

For the postproduction costs of *A Normal Life*, a film about Kosovo's youth population.

#### FOUNDATION FOR A CIVIL SOCIETY, LTD.

*New York, NY* \$15,000

For a young visual artists award program in Serbia.

#### INTERNATIONAL CENTER FOR TRANSITIONAL JUSTICE

*New York, NY* \$60,000

As a contribution to its Balkans Program.

**PROJECT ON ETHNIC RELATIONS, INC.**

*Princeton, NJ* \$42,500  
 To its Serbian and Montenegrin programs.

**RADIO TELEVISION B 92**

*Belgrade, Serbia* \$50,000 over 2 years  
 For its project the Documentation Center of Wars,  
 1991-1999.

**Developing Sustainable Communities****GREEN NETWORK OF VOJVODINA**

*Novi Sad, Serbia* \$96,000 over 2 years  
 For general operating support.

**INSTITUTE FOR SUSTAINABLE COMMUNITIES**

*Montpelier, VT* \$50,000 over 2 years  
 To its community and youth action project in Serbia.

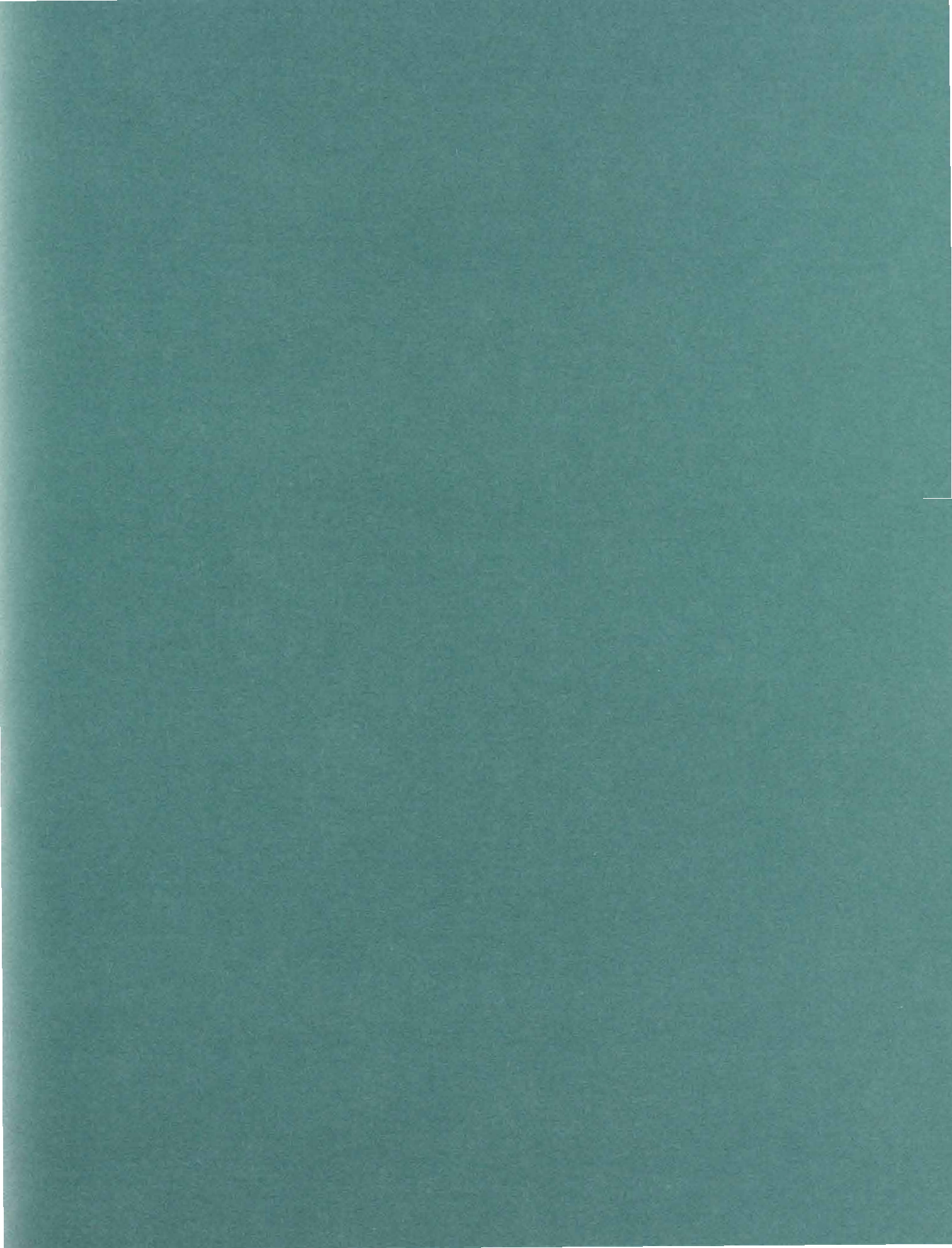
**UNITED NATIONS**

*New York, NY* \$52,000  
 For two projects of the United Nations Development  
 Programme in Montenegro to promote an "ecological  
 state."

**UNITED NATIONS**

*New York, NY* \$25,000  
 To support a high-level expert mission to Montenegro  
 to advance efforts to create an "ecological state."









## Pocantico Programs

Located 20 miles north of Manhattan in the Pocantico Historic Area—the heart of the Rockefeller family estate in Westchester County, New York—the Pocantico Conference Center is situated on 86 acres of gardens and woodlands overlooking the Hudson River. The historic area, leased by the Fund from the National Trust for Historic Preservation in 1991, includes the estate's original Coach Barn (which has been converted into a fully equipped meeting facility) and Kykuit, the home of John D. Rockefeller, as well as the surrounding formal gardens and sculpture collections.

### GOALS

- 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 through a program of public visitation; and
- 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.

### **Pocantico Conference Center**

Since its opening in April 1994, the Pocantico Conference Center has both complemented and extended the impact of the Fund's grantmaking programs. 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; and
- The demonstrated added value of having the Pocantico Conference Center as the site of the meeting.

### **Public Access**

In leasing the Pocantico Historic Area from the National Trust for Historic Preservation, the RBF assumed the responsibility of providing public access to the property. To enable the public to visit the Historic Area, the Fund has contracted with Historic Hudson Valley, a nonprofit organization that owns and interprets five sites in the Hudson River Valley. Tours are conducted between late April and early November. In 2002, more than 42,000 visitors toured Kykuit, its galleries and gardens, and the carriage and automobile collections in the Coach Barn.

### **Stewardship**

The RBF's stewardship of the Pocantico Historic Area includes overseeing the maintenance, care, conservation, and restoration of the historic buildings, gardens, and works of art at Kykuit. In 2002, a variety of projects were undertaken. The roof was replaced on the Orangerie (1908–1909), the six skylights were replicated, and all the wood surfaces in the building were repainted. In the Coach Barn, the tower clock (1914) was cleaned and restored; a workshop for cleaning and polishing the collection



of tack was set up; and, after training by an objects conservator, the ongoing conservation is under way. In addition, an educational manual on the carriage collection was completed. In the gardens, special projects included a historical study of the plantings of the Italian Garden and mapping the current planting scheme in the Brook Garden. An intern from the professional program at the New York Botanical Garden tended the Japanese Garden throughout the spring and summer and updated the map of the plantings for comparison with the historical plan.

By the end of 2002, the Pocantico Conference Center had hosted 420 meetings since its initial opening in 1994. In total, these meetings brought approximately 11,400 people through the gates of Pocantico. 2002 marks the Conference Center's second most active year to date, with a total of 65 meetings (just one less than the record high of 1999). Of these, 20 were convened or coconvened by RBF program staff and 23 were meetings convened by outside organizations that have previously held meetings at Pocantico.

Conferences addressed a wide range of topics and either had a direct relationship to the current program interests of the Fund or focused on emerging interests, such as democratic practice.

## 2002 Pocantico Conferences

### FROM RESEARCH TO ACTION: SHAPING THE POLICY ENVIRONMENT FOR PRESERVATION

January 6–8, 2002

*Sponsored by the Rockefeller Brothers Fund and the Pew Charitable Trusts*

The second "Research, Policy, and Historic Preservation" meeting built on work done at Pocantico in May 2001. The first meeting identified the importance of better data and specified particular topics that need further research. The most recent meeting brought preservation practitioners, academics, foundation executives, and government officials together to focus on four pressing policy areas: federal stewardship, collections and intangible heritage,

transportation and preservation, and local and regional partnerships around specific heritage areas. The meeting also helped to define several areas for follow-up activities, including a public-information campaign about heritage needs; greater involvement of decision makers, government, and business leaders as well as allies from other movements in preservation discussions; and analysis and evaluation of existing preservation legislation. Participants also agreed on the importance of continuing to interact, finding a shared focus for preservation concerns, and identifying opportunities for both research and action.

### DĒMOS BOARD OF TRUSTEES RETREAT

January 11–13, 2002

*Sponsored by the Rockefeller Brothers Fund*

Members of the board of Dēmos: A Network of Ideas and Action and key programmatic staff held an organizational retreat convened by Stephen Heintz, current board member and past president; Charles Halpern, current board chair; and current Dēmos president Miles Rapoport. The meeting's agenda included detailed discussion of the organization's guiding vision and values statement, hopes for the next five years, and the role board and staff members can play to move the organization forward. Discussions centered particularly on how to balance Dēmos's ambitious dual goals of serving as a generator of new ideas and as an advocacy organization that moves ideas into practice.

### THE AFRICA GRANTMAKERS' AFFINITY GROUP RETREAT

January 14–16, 2002

*Sponsored by the individual conferees and the Africa Grantmakers' Affinity Group*

The second annual retreat of the Africa Grantmakers' Affinity Group (AGAG) enabled representatives from 23 U.S. foundations to develop strategies to support its mission of promoting increased and more effective grantmaking in Africa. AGAG is the first Africa-wide affinity group of the Council on Foundations. In addition to sessions on AGAG's organizational development, the agenda included discussions of the impact of September 11th on grantmaking in Africa, capacity building for

African NGOs, mainstreaming gender, and HIV/AIDS.

#### **FOUNDATION ACCOUNTABILITY AND EFFECTIVENESS**

January 24–26, 2002

*Sponsored by the Rockefeller Brothers Fund  
(Nonprofit Sector budget)*

The Aspen Institute Nonprofit Sector Strategy Group, a leadership forum addressing the most pressing issues facing the nonprofit sector, convened a meeting of nonprofit business, government, and academic leaders to discuss foundation accountability and effectiveness. Participants included Mark Dowie, independent journalist; David Eisner, AOL Time Warner Foundation; Barry Gaberman, Ford Foundation; Frances Hesselbein, Peter Drucker Foundation; David Jones, Community Service Society of New York; Adam Meyerson, Philanthropy Roundtable; Kenneth Montague, Maryland House of Delegates; Dorothy Ridings, Council on Foundations; and Tae Yoo, Cisco Systems. The featured dinner speaker was the attorney general of New York State, Eliot Spitzer, who spoke about the status of the charitable sector post-September 11th. Participants examined four topics: the different roles that foundations play in society, foundation accountability, foundation effectiveness, and grantor-grantee relations.

#### **STRATEGIES FOR SUCCESS: FINANCIAL STABILITY FOR PRESERVATION NONPROFITS IN UNSTABLE TIMES**

February 5–6, 2002

*Sponsored by the National Trust for Historic Preservation, the Preservation League of New York State, and the New York State Council on the Arts*

Twenty-four people from 20 local and regional preservation organizations across New York State, including three National Trust historic sites, came together to analyze the economic environment and philanthropic climate following September 11th and to strengthen their current and potential collaborations. Keynote speaker Anthony Wood, executive director of the Ittleson Foundation, and forum trainers Barbara L. Ciconte and Shirley Ferguson Jenks

provided strategies and techniques for financial growth, and all participants set six-month goals to improve fundraising in their organizations.

#### **COLLEGE OF THE ATLANTIC BOARD OF TRUSTEES RETREAT**

February 8–10, 2002

*Sponsored by the College of the Atlantic*

Since 1968, College of the Atlantic (COA) has pioneered interdisciplinary studies in human ecology and served as a laboratory for progressive teaching and learning, with a strong institutional commitment to service. At its first-ever retreat, COA's board of trustees focused on the College's vision and mission and clarified the role of the trustees and the president and the overall governance of the institution. Moderated by Sandy Hughes of Boardsource (a nonprofit consulting firm), the retreat underscored the critical fiscal stresses facing the institution. The trustees also reaffirmed their commitment to the education of young leaders and the development of new programs in environmental governance as human ecology continues to advance as a recognized paradigm for understanding and meeting the world's environmental challenges.

#### **CARNEGIE COUNCIL ON ETHICS AND INTERNATIONAL AFFAIRS MEETING ON HISTORICAL COMMISSIONS**

February 15–16, 2002

*Sponsored by the Rockefeller Brothers Fund*

A meeting of historians and specialists in transitional justice was convened to discuss a new project which will bring historians into the process of reckoning with the past through historical commissions composed of historians and other writers and scholars from opposing sides of historical conflicts. Lili Cole, of the Carnegie Council on Ethics and International Affairs, and Elazar Barkan, of Claremont Graduate University, hosted the meeting, at which several key questions were discussed, including: What will be the role of mediators, or outsiders, in the commissions? What is the role of historians in public life, particularly in policy-making? How should we address the problem of disparities in wealth, power, academic training,



protection for freedom of speech, and access to archives between states or ethnic groups involved in the project? Can history be value-neutral? What should be the outcomes and products of the project? The level of commitment and support generated for the project included the possibility of future partnerships.

**GOVERNANCE, CIVIL SOCIETY, PHILANTHROPY,  
AND COMMUNITY DEVELOPMENT**

February 23–28, 2002

*Sponsored by the Ford Foundation*

Three interlocking meetings attended by Ford Foundation program officers from New York and 14 overseas offices enabled critical reflection on the foundation's work in governance, civil society, philanthropy, and community development as well as discussions about future directions. Convened by Michael Edwards, the Foundation's director for governance and civil society, the five-day retreat began with a three-day meeting of that team and included seminars on the changing role of the state, civil and political society, and civil society and ethnic conflict. For the next two days, members of the Ford Foundation Philanthropy Learning Group met to evaluate the progress of work in these crucial areas and determine an agenda for the future. The final day was dedicated to discussions that fostered collaborations between staff working in the separate fields of community development and civil society.

**MOVING TOWARDS SUSTAINABILITY IN THE U.S.:  
FROM INDICATORS TO ACTION**

March 10–13, 2002

*Sponsored by the Rockefeller Brothers Fund (Sustainable Resource Use budget and Pocantico Conferences)*

Thirty professionals from industry, nonprofit organizations, academia, and federal, state, and local government came together to discuss establishing a system of sustainability measures for the U.S. The Sustainability Institute, the International Sustainability Indicators Network, and the Interagency Working Group on Sustainable Development Indicators cosponsored the meeting,

in conjunction with the RBF, in order to develop consensus and lay the groundwork for the eventual acceptance and use of sustainability indicators by the broadest possible U.S. audience. Meeting participants are developing a consensus statement based on the outcomes of the meeting and have committed to moving ahead with this effort.

**SEPTEMBER 11TH AND AFGHANISTAN:  
NEXT STEPS FOR THE NGO COMMUNITY**

March 15–17, 2002

*Sponsored by the Rockefeller Brothers Fund*

Presidents and senior staff of the major international relief and development organizations met to focus on the implications of September 11th for their organizations and to plan their postwar relief and rehabilitation strategies for Afghanistan. While these organizations play a major role in providing emergency assistance in the current Afghan refugee crisis and in overall responses to poverty alleviation, the organizations have been so involved in their own responses that they had not had time before this meeting to share experiences and develop common strategies. Participants included leaders from CARE, International Medical Corps, International Rescue Committee, Mercy Corps, OXFAM, Plan International, Save the Children, World Concern, and World Vision. Together, these organizations manage more than 60 percent of all worldwide resources from NGOs in Europe, Canada, and the U.S. currently devoted to relief and development.

**BRIDGING THE DIVIDE BETWEEN GLOBAL WARMING  
AND BIODIVERSITY**

March 18–20, 2002

*Sponsored by the Rockefeller Brothers Fund (Sustainable Resource Use budget) and the Kendall Foundation*

Twenty-three funders and activists gathered to discuss the connections—and the divide—between global warming, energy policy, wilderness, and biodiversity. The workshop addressed some of the largest threats facing wildlife and sensitive wilderness areas in North America, including oil and gas exploration, the energy policies that drive it, and the



impact of the use of fossil fuels on global warming. Participants explored how the climate change and wilderness advocacy communities could work together to mitigate these pressing problems.

#### **LEADERSHIP SEMINAR ON DEMOCRACY AND TRADE**

March 22–24, 2002

*Sponsored by the Rockefeller Brothers Fund  
(Global Security budget)*

Public officials from 13 states and cities and four government associations participated in a seminar that addressed the potential impact of international trade agreements on state and local governing authority and identified specific roles that local officials can play in the global trade debate. Participants indicated their desire to share information about the economic opportunities that globalization presents to the communities they represent, while also safeguarding the legislative and administrative prerogatives which state and local governments enjoy in the U.S. federal system. The Harrison Institute for Public Law at Georgetown University, which organized the seminar, pledged to assist these officials in their efforts to stay in touch with and learn from one another and to develop educational materials on trade policy for use by state and local lawmakers. The Corporation for Enterprise Development, a seminar cosponsor and presenter, will also assist with educational materials and help workers and communities respond to the challenges presented by global competition.

#### **LAUNCHING A CONVERSATION ABOUT TRADE POLICYMAKING REFORM**

April 2–3, 2002

*Sponsored by the National Environmental Trust  
and the Ford Foundation*

A small but diverse group of advocates working on trade and globalization issues gathered to discuss a variety of proposals for how different advocacy communities could work together more effectively to reform trade policymaking in the U.S. Participants exchanged a number of ideas and agreed to try to synthesize them into a coordinated effort.

#### **EARTH CHARTER ETHICS SEMINAR**

April 5–7, 2002

*Sponsored by the Rockefeller Brothers Fund*

An Earth Charter Ethics seminar, involving scholars in ethics, university educators, and leaders of the Earth Charter Initiative from four continents, was convened by Dieter Hessel, director of the Program on Ecology, Justice, and Faith (Princeton, NJ) and Richard Clugston, executive director of the Center for Respect of Life and Environment. The conference served to clarify and elaborate the global ethic of the Earth Charter, which was drafted at Pocantico in the late 1990s, to examine the roots, emphases, and trajectory of this earth ethic, and to encourage the ethical use of its four sets of principles in education and civil society.

#### **CONFERENCE ON GLOBALIZATION AND EDUCATION**

April 11–13, 2002

*Sponsored by Harvard University's David Rockefeller  
Center for Latin American Studies*

A group of economists, directors of international nonprofit organizations, education professors, academic administrators, foundation executives, and technology experts gathered to exchange ideas about globalization and education. President Lawrence Summers of Harvard University opened the conference with remarks about the future of globalization, and distinguished psychologist Jerome Bruner reflected on his own 40-year involvement in national and international education. The conference was divided into five sessions during which several themes emerged. From these, conference coconveners Howard Gardner and Marcelo Suárez-Orozco hope to build a longer-term project that makes precollegiate educational themes central to discussions of globalization, immigration, and cultural relations.

**POCANTICO FORUM: PERFORMING ARTS IN BALI—  
LOCAL CULTURE/GLOBAL CULTURE**

April 16, 2002

*Sponsored by the Rockefeller Brothers Fund*

Approximately 100 guests from the local community attended the fifth annual series of free lectures, the Pocantico Forum, which provides information on a wide range of issues and topics that reflect the broad program objectives of the RBF. The Carriage Room of the Coach Barn was transformed into a theater-in-the-round for the spring forum, which was orchestrated and moderated by Ralph Samuelson, the director of the Asian Cultural Council. Guests took part in a conversation and performance with Ron Jenkins, the chairman of the theater department at Wesleyan University, and delighted in performances by I Nyoman Catra and Desak Made Suarti Laksmi, both of the National College of the Arts in Bali, Indonesia, and two of Bali's foremost performing artists in the fields of masked dance/theater and music. Having studied and taught in the U.S., they discussed and demonstrated ways in which their encounters with Western arts have inspired them to rethink the performance traditions of Asia.

**BOARDNETUSA COMMUNITY RETREAT**

April 24–26, 2002

*Sponsored by the Rockefeller Brothers Fund  
(Nonprofit Sector budget)*

The staff of boardnetUSA and 30 leaders from its nonprofit community and candidate-sponsoring organizations gathered to develop a three-year plan and a strategic vision of how this network of organizations should operate together. Launched in 2001 by the Volunteer Consulting Group, a 34-year old nonprofit organization whose mission is to strengthen the leadership capabilities of nonprofit governing boards, boardnetUSA is an interactive website that is transforming the way new leaders are identified and guided into nonprofit board service. Its goal is also to foster a more open and democratic process for nonprofit boards to fill their diverse leadership needs.

**HEALING ENERGY AND HEALING INTENTION RESEARCH  
PHILANTHROPIST MEETING**

May 1–3, 2002

*Sponsored by the Laurance S. Rockefeller Fund  
and the Samueli Institute*

Seventeen philanthropists gathered at a meeting of Healing Energy and Healing Intention Research, jointly sponsored by the Laurance S. Rockefeller Fund and the Samueli Institute for Information Biology. The meeting focused on how to stimulate and support research on healing energy and intention in mainstream clinical and scientific medicine. The participants, representing both foundations and individual philanthropists, engaged in dialogue with seven speakers who presented information on the past and current state of the science, the current levels of support and funding needs for research, common obstacles to moving these areas forward, and particular programs and projects that can be considered for support.

**LAND TRUST LEADERS' RETREAT**

May 6–8, 2002

*Sponsored by the Rockefeller Brothers Fund and the  
Land Trust Alliance*

At the invitation of the Land Trust Alliance, 18 leaders of the largest land trusts in the U.S. came together to accomplish three stated goals: to build a sense of community and create a network that can provide support and a forum for discussion of key issues, to determine their common interests in matters of public policy, and to define the perspective of the group on strategic issues facing land conservation in the near and mid-term future.

**UN SECURITY COUNCIL RETREAT**

May 10–11, 2002

*Sponsored by the Rockefeller Brothers Fund*

The Secretary-General of the United Nations convened 15 representatives of UN Security Council member states for their fourth annual retreat. Following the practice of previous retreats, the participants spoke informally and candidly in their

individual, rather than national, capacities. The meeting proceeded according to a three-point agenda: "Responsibilities of the Security Council," "Responsibility to Protect" (introduced by special guests Hon. Gareth Evans and Ambassador Mohamed Sahnoun), and "Capacities, Working Methods, and Procedures of the Security Council." The discussions led to a deeper understanding of the responsibilities the international community should undertake when states fail to protect their own citizens.

#### **JOURNALISTS TALK ABOUT DEVELOPMENT**

May 13–14, 2002

*Sponsored by the Institute for Urban Design*

A meeting convened by the Institute for Urban Design, with support from the Lincoln Institute of Land Policy, Cambridge, MA, brought together 24 participants, including 16 journalists from newspapers around the U.S., to examine contemporary design issues and concerns. The program focused on specific case studies: City Heights, San Diego; a Lakewood, Colorado, shopping mall conversion; campus redevelopment at the University of Pennsylvania; and Times Square, New York.

#### **NEW DIRECTIONS FOR U.S. GLOBAL ENGAGEMENT**

May 15–17, 2002

*Sponsored by the Rockefeller Brothers Fund (Global Security budget) and the Carnegie Corporation*

A group of 36 international scholars, policy analysts, and senior foundation officials gathered to examine the implications for U.S. global policy and behavior of the changes in the international landscape resulting from September 11th. The RBF and Carnegie believe that the current concept of America's role in the world does not represent an adequate framework within which to address changing security threats and the challenges of global interdependence. The symposium provided an opportunity for frank and open discussion of the current content, style, and tone of U.S. global engagement—what's working and what is not—and for an exploration of the alternative values, interests, and strategies that might more appropriately guide American understanding of and

action in the world. For the RBF, this meeting was also a first step in the direction proposed for the Fund's revised Peace and Security program at the March 2002 board meeting.

#### **NONPROFIT ACADEMIC CENTERS COUNCIL RETREAT**

May 21–23, 2002

*Sponsored by the Rockefeller Brothers Fund (Nonprofit Sector budget)*

The members of the Nonprofit Academic Centers Council (NACC) and directors of nonprofit management and philanthropic studies programs from the U.S. and Canada gathered to consider the contributions that these programs make to their universities, their communities, and the nonprofit sector. Participants agreed to develop a case for support from NACC and its member institutions based on three premises: how programs enhance their home colleges and universities by attracting new students, fostering multidisciplinary approaches, and engaging their universities with the community; how nonprofit management and philanthropic studies programs improve their communities through research on the nonprofit sector issues; and how members of the NACC have enhanced the understanding, awareness, and expertise of the nonprofit sector.

#### **SESAME WORKSHOP GLOBAL SUMMIT:**

##### **PROMOTING RESPECT AND UNDERSTANDING FOR CHILDREN THROUGH MEDIA**

May 28–30, 2002

*Sponsored by the Rockefeller Brothers Fund (Education budget)*

Thirty-five representatives of nonprofit organizations, international institutions, broadcasting organizations, and governments, as well as producers, writers, researchers, and educators, met to formulate an agenda for creating media content focused on helping children become productive citizens of an increasingly diverse and complex world. Participants discussed how children acquire prejudice and how the media can help break down stereotypes, open doors, and bridge divides. As part of an initiative dubbed "Passport to Peace: Using



Media to Give Children a Chance,” they developed an action plan to respond to the need for television and interactive programming to help children foster respect and understanding. They also signed a proclamation at the close of the meeting indicating their intention to prioritize this goal in their work.

**SECOND MEETING OF THE ASIA SOCIETY-  
NATIONAL INSTITUTE OF ADVANCED STUDIES  
IN BANGALORE (NIAS) DIALOGUE**

June 9–12, 2002

*Sponsored by the Asia Society–NIAS*

Established in late 2001, the Asia Society–NIAS seeks practical ways to articulate and promote common interests between the U.S. and India. Many of the individual participants at this second meeting have worked in government service and are familiar with the major issues facing the two countries. Their objective was to translate some of the general consensus from the first meeting (in Bangalore in early 2002) into more specific proposals for action in the following areas: India’s needs for natural gas, collaboration in satellite and in counterterrorism technologies, and more effective approaches to regional security.

**PLACE MATTERS LANDMARKS COMMITTEE MEETING**

June 13, 2002

*Sponsored by the Rockefeller Brothers Fund*

Place Matters, an initiative of City Lore and the Municipal Art Society, convened its Landmarks and Public Policy Committee to discuss the draft of its forthcoming publication on landmarking places of historical and cultural significance. The 12-member committee of professional preservationists, planners, historians, lawyers, and writers, who have all been actively involved in New York City’s historic-preservation movement, addressed the challenges posed by sites that are important for their associations with history or culture, and which, more often than not, are architecturally undistinguished. The committee’s position paper will offer recommendations to the preservation community, as well as the New York City Landmarks

Preservation Commission, on how to better protect such sites.

**ELEVENTH U.S.-CHINA DIALOGUE**

June 14–16, 2002

*Sponsored by the National Committee on U.S.-  
China Relations*

Eleven Chinese and 13 Americans met to examine the core national interests of both countries, how these interests are reflected in policy, what each side finds incomprehensible or troubling about the other, and what steps could be taken to improve the bilateral relationship. The meeting also touched on a number of security issues that were raised by the terrorist attacks of September 11th and subsequent events. Begun in 1984, the Dialogue is a joint project of the National Committee on U.S.-China Relations and the Chinese People’s Institute of Foreign Affairs. Meetings are convened in alternate countries every 14 to 18 months.

**RETHINKING MACROECONOMICS**

June 20–23, 2002

*Sponsored by the Rockefeller Brothers Fund and the  
Global Development and Environment Institute of  
Tufts University*

This conference was the first step toward the creation of a new, college-level, introductory macroeconomics textbook that will be the companion to the Institute’s *Microeconomics in Context*, published in 2002. Together, these texts will develop the contextual economics approach, which analyzes economic issues within the physical contexts of environment and technology and the social/psychological contexts of human motivations, culture, social norms, history, politics, and institutions. The macro text will be built around some exemplary case studies chosen from among the 11 papers presented at the conference, which will also be published as a book, *New Thinking in Macroeconomics*. This text will illustrate basic (but often contentious) macroeconomic principles, including international capital flows, the role of the Federal Reserve Board in the U.S., the European

welfare-state model, the housing market, and homelessness, as well as tensions between environmental constraints and humanitarian and other motivations for growth.

#### ACCOUNTABILITY IN THE PESTICIDE INDUSTRY

June 25–27, 2002

*Sponsored by the Rockefeller Brothers Fund (Southeast Asia program budget)*

A group of pesticide campaign activists, members of the socially responsible investment community, liability lawyers, an expert on Securities and Exchange Commission filings and procedures, an observer from the UN Food and Agriculture Organization, and three RBF staff members met to address issues of accountability in the pesticide industry. With a focus on the potential use of the leverage provided by financial markets to change corporate practices in the agrochemical sector, the group looked at trends in product liability suits; increased market penetration of organic foods and integrated pest management products; regulatory trends away from pesticide use, particularly in the European Union; improving supply chain management; and issues pertaining to management quality and corporate reputation. The group also considered outreach to various actors in the financial community to advance legal precedent, increase funding to pest management alternatives, and advance social and environmental reporting. The proceedings of this meeting have been published as *Pocantico Paper No. 5: Accountability in the Pesticide Industry*, which was also shared and discussed at the meeting of the Environmental Grantmakers Association.

#### GLOBAL DIMENSIONS FOR DEMOCRACY EDUCATION: FOLLOW-UP TO SEPTEMBER 11TH

June 28–30, 2002

*Sponsored by the Rockefeller Brothers Fund (Global Security budget) and the American Forum for Global Education*

Thirty civic and democracy-education professionals met to develop a blueprint for the improvement of democracy education in schools around the world. Meeting participants considered topics ranging from

research and organization to electronic networking and the imperative of working cooperatively, especially since September 11th. While that tragic event provided the impetus for some new funding opportunities in the field, it has also underscored the need for democracy education. Specific recommendations were made in the areas of curriculum and practice, research, advocacy, and organizational development.

#### ENVIRONMENTAL HEALTH GRANTMAKERS RETREAT

July 1–2, 2002

*Sponsored by the Bauman Foundation, the Beldon Fund, and the Homeland Foundation*

Participants in the environmental health funders retreat shared grantmaking goals and strategies, began to map their funding, and identified opportunities for additional future strategic and collaborative activities.

#### NATIONAL COMMITTEE FOR THE HISTORY OF ART (NCHA)

July 12, 2002

*Sponsored by the Rockefeller Brothers Fund*

Meeting participants undertook a vigorous and searching examination of the committee's mission and the means toward fulfillment of its goals, and they looked ahead to future activities. Two types of projects garnered enthusiasm: financial support to enable younger scholars and colleagues of senior professors to accompany invited speakers to specialized conferences here and abroad, and the active pursuit of opportunities to enhance projects originated by a museum, university, or research institute. The meeting also underscored the need to increase awareness of NCHA's existence and mission, initially through the College Art Association's annual conference.

#### CAPACITY BUILDING AND THE STATE OF BLACK PHILANTHROPY

July 14–16, 2002

*Sponsored by the National Black United Fund*

The National Black United Fund (NBUF) board of directors and staff convened to discuss the state of

Black philanthropy and strategies for implementing the final elements of its strategic plan. Organizational development specialists Clara Axam and Jerry Harris helped the board define elements of the strategic plan to position the organization to respond to the needs of the Black community in the 21st century, including building affiliate capacity; implications for governance, communications, program, and fund development; and key policy and administrative actions that could strengthen and expand the network of NBUF affiliates.

**2002 ROOSEVELT FELLOWSHIP CLASS:  
THREE-DAY DOMESTIC RETREAT OF THE ELEANOR  
ROOSEVELT GLOBAL LEADERSHIP INSTITUTE'S  
FIVE-MONTH PROGRAM**

July 19–22, 2002

*Sponsored by the Rockefeller Brothers Fund  
(Global Security budget)*

The Center for Policy Alternatives program convened 14 state legislators from around the country to help expand state legislators' perspectives on global issues. As part of a yearlong program that includes a distance-learning segment and a study tour overseas, this program included focused discussions on cross-cultural skills, effective communications that link constituents to global issues, trade and local governance, and Chile as a case study of economic and social development in the Americas. At the end of the retreat, participants identified community-contact projects in their districts.

**SIXTH ANNUAL CULTURAL POLICY LEADERSHIP MEETING**

July 24–27, 2002

*Sponsored by the Pew Charitable Trusts and  
the Kenan Institute for the Arts*

Officers from several foundations that work in the area of cultural policy, scholars, leaders of national nonprofit cultural organizations and associations, and individuals who work with local, state, and the federal government gathered for the Sixth Annual Summer Cultural Policy Meeting to discuss art and culture in the changing economy. Field reports focused on preservation and heritage; art, technology and intellectual property; cultural indicators and new

methods for measuring and evaluating the impact of art on communities; and support structures for artists and creative enterprises. Professor Richard Florida of Carnegie Mellon University, Professor Susan Christopherson of Cornell University, and Beate Becker, project director of the New England region's Creative Economy Initiative, presented their work on the creative work force and the changing labor market conditions for artists and new-media workers. Professor Allen Scott of UCLA, Professor Sharon Zukin of Brooklyn College, Phil Psilos of the National Governor's Association, and Dan Henderson of the Louisiana Department of Economic Development discussed the relationship between creative activity and urban/regional economic development, highlighting the unique ways in which creative enterprises cluster in geographically defined locations.

**NATIONAL PEACE CORPS ASSOCIATION RETREAT**

August 2–4, 2002

*Sponsored by the National Peace Corps Association*

Twenty board and seven staff members met to ponder the mission of the organization and its potential and priorities for the next five years. The retreat was facilitated by Jerr Boschee, founder of the Institute for Social Entrepreneurs, a member of the NPCA Advisory Council and a former Peace Corps volunteer in India. An exercise designed to define the group's expectations for the weekend led to the consensus that it was important to further clarify the organization's goals and mission. Participants also explored community education, community service and action, membership services, and fundraising. Other ideas that emerged included the need for more synthesis among programs and the need for improved communications with the membership and groups and also with the wider audience of potential members and supporters.



**AUTHORS' CONFERENCE: THE WAR WORTH FIGHTING:  
A CONVERSATION ABOUT THE VALUES OF LIBERAL  
DEMOCRACY AND LIVING UP TO THEM**

August 7–8, 2002

*Sponsored by the Rockefeller Brothers Fund*

The editor and eight contributors to a forthcoming anthology of essays met to discuss the book's key themes: democracy, the war on terror, and liberal internationalism. The writers convened in order to present their essays, which cover such topics as secularism, globalization, humanitarian intervention, and domestic politics, and to engage in discussions to help develop each other's thinking. As a result, each writer came away with a richer, clearer sense of the project, and the book emerged as a more unified whole than would have otherwise been possible.

**NONPROFIT INFRASTRUCTURE ORGANIZATIONS:  
CHALLENGES AND OPPORTUNITIES**

September 8–9, 2002

*Sponsored by the Rockefeller Brothers Fund  
(Nonprofit Sector budget)*

Herman A. (Art) Taylor, president and chief executive officer of the Better Business Bureau (BBB) Wise Giving Alliance, convened a meeting of leaders of major nonprofit infrastructure organizations, including the Council on Foundations, the Forum of Regional Associations of Grantmakers, the Foundation Center, GuideStar, Independent Sector, the National Center for Charitable Statistics at the Urban Institute, the National Center for Family Philanthropy, National Center for Responsive Philanthropy, Nonprofit Sector Research Fund at the Aspen Institute, OMB Watch, and the Wise Giving Alliance. The meeting helped participants explore unmet needs and future challenges for infrastructure organizations, especially in the context of new and emerging trends in the landscape of philanthropy, nonprofit action, and public problem solving. It also helped determine interest in and potential for collective efforts among infrastructure organizations to tackle some of the most critical challenges recognized by the group. This was perhaps the first time that a conversation of this kind took place among a group this large; however, the group

also expressly stated the need to draw on other voices for any continuing action.

**UNLOCKING THE POTENTIAL OF INNER-CITY YOUTH:  
CHRISTODORA'S STRATEGIC-PLANNING RETREAT**

September 21, 2002

*Sponsored by the Rockefeller Brothers Fund*

Trustees, staff members, program alumni, and outside experts spent the day helping set goals and priorities for Christodora's service to New York City's youths and their families. Testimonials from program alumni revealed the tremendously positive effects of this century-old program, which helps inner-city youths recognize and pursue their potential through direct experience in nature. The retreat reaffirmed Christodora's focus on ensuring the quality of the child's experience in the program. In addition, experts from the Center for Educational Innovation provided insight into the current state of education in New York City middle schools and highlighted innovative approaches to classroom education that can support the experience Christodora offers.

**CONNECTICUT CLIMATE CHANGE ACTION  
PLAN SUMMIT**

October 2–4, 2002

*Sponsored by the Rockefeller Brothers Fund and  
the Emily Hall Tremain Foundation*

Following the creation of a regional Climate Change Action Plan, a result of the New England Governors and Eastern Canadian Premiers resolution concerning energy and the environment, a two-day summit to address Connecticut's response to the plan was convened. Invited by a committee of commissioners and chairmen from the environment, public utility, transportation, and economic development authorities, 26 participants from 13 different state agencies, from revenue services to public works, initiated a coordinated interagency response to regional climate change.

**THE ROLE OF PHILANTHROPY IN POSTWAR****U.S.-JAPAN RELATIONS**

October 12–13, 2002

*Sponsored by the Rockefeller Brothers Fund*

As part of a multiyear study of the critical role of philanthropy in postwar U.S.-Japan relations, 24 leaders and analysts in the fields of philanthropy and U.S.-Japan relations came together to share their experiences and discuss philanthropy's contribution to the evolution of this bilateral relationship. After World War II, a dramatic change in perceptions and values enabled two bitter foes, Japan and the U.S., to become the closest of allies. This transformation was made possible only by the often overlooked activities of foundations and individual philanthropists. This study, conducted by the Japan Center for International Exchange (JCIE), is an attempt to draw broader contemporary lessons from this experience. Workshop participants, many of them key actors in postwar U.S.-Japan philanthropy, offered insights into the motivations of grantmakers, debated the degree to which funding decisions coincided with official foreign policy during the period 1945–1975, and discussed the long-term impact of philanthropic activities on the bilateral relationship. At this first workshop of the project, the JCIE research team was able to test its preliminary hypotheses and gain numerous important insights that will help it focus its future study and analysis of this timely issue.

**NEXT STEPS IN THE STRUGGLE TO IMPROVE THE QUALITY OF EDUCATION FOR THE CHILDREN OF NEW YORK STATE**

October 15–16, 2002

*Sponsored by Alliance for Quality Education*

On October 15–16, 2002, the Alliance for Quality Education (AQE), a statewide education advocacy coalition of 200 groups, held a retreat to diagram the next steps in its campaign to improve the quality of education for New York State's children. The main accomplishments of the meeting included restructuring the organizational framework to increase the participation of AQE's 200 endorsing groups and laying the groundwork for AQE's media message for 2003.

**JAMAICA CENTER FOR ARTS & LEARNING**

October 17–18, 2002

*Sponsored by Jamaica Center for Arts & Learning, with a grant from the Rockefeller Brothers Fund*

This strategic-planning retreat brought board and staff members of the Jamaica Center for Arts & Learning (JCAL) together to determine and examine their current organizational status and identify the new strategies, systems, and processes needed to strengthen organizational management and governance in the short and long term. The retreat revealed that, as an organization in transition with new executive leadership and a newly expanded and engaged board of directors, JCAL has two critical short-term needs: a strategic plan that can be shared across all levels of the organization and effectively communicated to stakeholders, including funders, audiences/users, the press, local businesses, and community members; and an organization development and change management process that will lead to the desired transformation of JCAL's culture through improved systems, operating structures, and leadership and management at all levels.

**ARTS & BUSINESS COUNCIL STRATEGIC PLANNING RETREAT**

October 22–23, 2002

*Sponsored by Arts & Business Council, Inc., with a grant from the Rockefeller Brothers Fund*

At a time when nonprofit arts groups of all sizes are struggling to respond to the changing economy and decreasing contributions, the board and staff of the Arts & Business Council—whose mission is to stimulate partnerships between arts and business that strengthen both sectors and the communities they serve—convened to review the draft of a new strategic plan to guide the organization through the next three to five years. The conference addressed core strategic questions that will affect the leadership and management of the organization for years to come, and by extension, the Council's service to the entire nonprofit arts community. Several key decisions were made, including the need to expand national programs while maintaining services in the New York

metropolitan area to help build capacity for more arts groups; improving services to the business side of its constituency so that it understands the benefits of partnering with the arts sector; implementing a revised organizational structure for national affiliates; and improving governance, administrative infrastructure, and financial oversight.

#### **HIGH-PERFORMANCE BUILDING OPPORTUNITIES FOR LOWER MANHATTAN**

October 28–29, 2002

*Sponsored by the Rockefeller Brothers Fund*

Earth Day New York, in conjunction with the U.S. Department of Energy and New York New Visions, invited top green building professionals to explore high-performance building and infrastructure opportunities for Lower Manhattan. The objectives of the meeting were to define what sustainable development would look like for Lower Manhattan and to provide a higher level of detail on high-performance options for consideration and study by the Lower Manhattan Development Corp., the Port Authority, and others. The meeting developed specific recommendations around issues such as building and district infrastructure, energy, HVAC, indoor environmental quality, lighting, materials, water, and waste. This first iteration will be presented to key decision makers and continually improved and expanded upon.

#### **TRANSITIONAL JUSTICE PROGRAM STRATEGIES**

November 3–5, 2002

*Sponsored by the Rockefeller Brothers Fund*

Sixteen staff members of the 18-month-old International Center for Transitional Justice (ICTJ) reviewed the philosophy, objectives, and strategies of the organization with regard to assisting countries pursuing accountability for mass atrocities or human rights abuses. The participants discussed the ICTJ's conception of justice, its understanding of reconciliation, and how the organization should relate to transitions to democracy. They reviewed the organization's work on accountability and criminal justice, truth commissions, and other

truth-seeking initiatives, as well as reparations, memory, and institutional reform to prevent the recurrence of violations. Organizational issues discussed included the role of the ICTJ in carrying out or stimulating strategic research, the international character of the organization, and the extent to which it should engage in advocacy in addition to its prime mission of in-country assistance. The retreat reaffirmed and deepened the staff's commitment to a holistic approach to transitional justice, as well as the need to assist countries in developing strategies that recognize the interrelations between the different measures they may take to address the legacy of past abuse.

#### **U.S.-JAPAN EXCHANGE ON WOMEN IN PUBLIC POLICY**

November 6–8, 2002

*Sponsored by Japan Society and Center for Policy Alternatives*

Thirty Japanese and American local elected officials and leaders of nonprofit organizations came together for a two-day retreat at the beginning of a ten-day exchange program to discuss women's leadership in public policy and how elected officials and leaders of nonprofit organizations can work together to achieve common goals. The meeting, part of a three-year project, focused on two key social policy issues: domestic violence and elder care. It also helped prepare the Japanese women for the remainder of their visit, during which they met with the constituencies of local elected officials in Atlanta, GA; Tampa, FL; and Washington, DC.

#### **POCANTICO FORUM: MR. ROCKEFELLER'S ROADS**

November 7, 2002

*Sponsored by the Rockefeller Brothers Fund*

Approximately 110 guests from the local community attended the sixth program of this annual series of free lectures for a talk given by Ann R. Roberts, daughter of Nelson A. Rockefeller and author of *Mr. Rockefeller's Roads: The Untold Story of Acadia's Carriage Roads and Their Creator*. Guests were also treated to a slide presentation depicting the history and topography of the carriage trails in Acadia



National Park on Mount Desert Island, ME, which were inspired by Ms. Roberts's grandfather, John D. Rockefeller, Jr. 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 RBF.

**ENHANCING THE PHILANTHROPIC INFRASTRUCTURE:  
A NATIONAL DIALOGUE ON DONOR EDUCATION**

November 11–12, 2002

*Sponsored by the Rockefeller Brothers Fund  
and New Visions*

New Visions, a nonprofit philanthropic research and development organization, convened 30 national philanthropic support organizations, community foundations, philanthropy advisory groups, foundation officers, and researchers to examine core cross-cutting issues of the donor education field and envision how the philanthropic infrastructure in the U.S. could develop over the next 10 to 20 years. The gathering was part of the Donor Education Initiative (DEI), which is mapping and analyzing the emerging field of donor education in the U.S. and globally.

**ACUMEN FUND ANNUAL INVESTORS' GATHERING**

November 14–15, 2002

*Sponsored by Acumen Fund*

Eighteen Acumen Fund partners attended a meeting that sought to provide the Fund's philanthropic investors with an update on progress since its inception, as well as the challenges anticipated in the coming year. The meeting, the first of its kind, provided participants with detailed briefings on Acumen Fund's philanthropic portfolios and on the current status of portfolio investments. Discussions about the development of performance measures and enhancing the network of Acumen Fund partners were facilitated by representatives from McKinsey & Co., a strategic management consulting firm.

**RIVERKEEPER BOARD RETREAT**

November 20–21, 2002

*Sponsored by the Rockefeller Brothers Fund*

Riverkeeper, Inc., an independent, member-supported, not-for-profit environmental group, convened its first retreat for its board of directors and staff to discuss how best to use science, law, and public education to empower communities and provide them with the tools to defend their natural resources. Founded in 1966, Riverkeeper's mission is to protect the environmental, recreational, and commercial integrity of the Hudson River and its tributaries and to safeguard the drinking water supplies of New York City and Westchester County. Given the challenges of water pollution, fish kills, and the lack of public access, the group succeeded in identifying the key priorities and strategies necessary to protect the Hudson River Valley, including exposing the polluters, agencies, and elected officials who are despoiling our waterways or neglecting their public-trust responsibilities and influencing national legislation and policymaking. Discussions were led by Executive Director Alex Matthiessen and Chief Prosecuting Attorney Robert F. Kennedy, Jr. Guest speakers included Pete Seeger, Tom Whyatt, and Fran Dunwell.

**STATE FAILURE AND THE CRISIS OF GOVERNANCE:**

**MAKING STATES WORK**

November 22–24, 2002

*Sponsored by the International Peace Academy (IPA)*

This informal seminar brought together a select group of scholars, senior representatives, UN ambassadors, and others to examine the contemporary phenomenon of state failure and its implications. Co-organized by the Carr Center for Human Rights Policy, Harvard University, IPA, and the United Nations University in Tokyo, the meeting focused on advancing research and policy development on different forms of engagement with weak states that become the subject of international concern. The exchange that took place at this meeting will form the basis of an edited volume on the subject that is likely to be published in early 2004.

**CIVIL SOCIETY INFRASTRUCTURE FUNDERS  
GROUP RETREAT**

December 2–3, 2002

*Sponsored by the Rockefeller Brothers Fund  
(Nonprofit Sector budget)*

Representatives of several major foundations gathered to discuss the potential impact of the withdrawal of funders such as Atlantic Philanthropies and Packard from the field of national infrastructure, share information about what national infrastructure groups they are funding, and explore ways they could work together to bring new funders into building national and regional nonprofit infrastructure. Nonprofit infrastructure organizations are critical in establishing an environment that can facilitate the sector as a whole in meeting the pressing needs facing our society. Over the past decade, the goal of these formal and informal meetings has evolved from information sharing and providing opportunities to better understand one another's grantmaking strategies and priorities to joint actions, including partnerships on grants to GuideStar and the Independent Sector Electronic Data Initiative for Nonprofits (EDIN) effort. A major outcome of the meeting was a decision to ask the national nonprofit infrastructure partner organizations (who had their own Pocantico meeting in September) to meet jointly with the funders to focus on developing shared understanding of challenges in the field and, potentially, a shared set of strategies to address challenges collectively identified.

**FUNDERS NETWORK ON TRADE AND GLOBALIZATION  
RETREAT**

December 4–6, 2002

*Sponsored by Environmental Grantmakers Association*

This three-day retreat of the Funders Network on Trade and Globalization (FNTG) was the culmination of a recent strategic review process that provided a clear set of goals and activities to guide the network over the next few years. On the second day of the retreat, the steering committee, which was able to set new directions and specific objectives for its programs, was joined for the morning and afternoon by more than 20 foundation officers and

representatives of civil society organizations working on trade and other globalization issues. Together, the participants were able to reflect on and analyze the evolving nature and forms of globalization and the most suitable role and activities for a network such as FNTG.

**FOUNDATION AND PUBLIC CHARTER SCHOOLS**

December 12–13, 2002

*Sponsored by the Clark Foundation and  
the Tiger Foundation*

The leading funders of New York City public charter schools and representatives from major intermediary organizations, chartering agencies, and the New York City Department of Education met in order to delve deeply into the critical managerial, financial, and legal issues facing charter schools and to address how foundations exacerbate or can alleviate those challenges. The goals of the meeting were to help ensure the effective utilization of limited philanthropic dollars, increase the stability of public charter schools, and permit them to focus on the education of their inner-city students. Twenty-five individuals participated in sessions that addressed finances, facilities, governance, and management. By the end of the conference, eight specific outcomes and tasks were identified, which are now being carried out.

**MEETINGS THAT MATTER**

December 15–16, 2002

*Sponsored by the Pew Charitable Trusts*

The final meeting of a three-year cultural policy project called Meetings that Matter enabled a group of policy-wise arts professionals to receive the project's results and advise as to its dissemination. The multiyear project, with primary funding from the Pew Charitable Trusts and support from the Kenan Institute for the Arts and the Blumenthal Foundation as well as the RBF, examined the role of convenings in the formation of policy in arts and culture in three parts: by continuing and strengthening yearly invitational meetings of key cultural policy leaders; by mounting, at Pocantico, a set

of model meetings intended to advance policy in cultural preservation; and by sponsoring a formal research assessment of the annual meetings of significant arts organizations to measure their policy intentions and results. This final meeting, positioned at the end of the project, focused on the usefulness of the research product both to the academy and to practitioners in the arts and culture.

Participants and researchers at the meeting stressed practical ways such convenings can enrich the advancement of cultural policy in the early stages of its development.

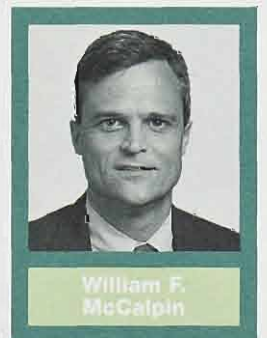






## Executive Vice President's Report

For a third consecutive year, the Rockefeller Brothers Fund's investment returns in 2002 were not sufficient to finance the foundation's grant and administrative expenditures. In fact, in line with the experience of most foundations and endowments, returns for the year were negative. Unfavorable investment performance, coupled with spending to satisfy legal requirements, drove the market value of the Fund's investment assets down sharply, from \$662,000,000 at the beginning of the year to \$572,000,000 on December 31. • For the year, the Fund's total investment return was -7.40 percent. Depending on the universe of foundations and endowments used for comparative purposes, this was marginally better than or slightly below the mean return for similar institutions. • The heaviest drag on overall performance was investments in U.S. stocks, which account for approximately 40 percent of the total RBF portfolio. Here the foundation's managers, as a group, delivered returns that were roughly in line with the 20+ percent decline in broad market indices such as the Wilshire 5000. Another 40 percent of the portfolio is invested in other types of equity securities, consisting of international stocks, marketable equity alternatives (sometimes referred to as hedge funds), and private investments.



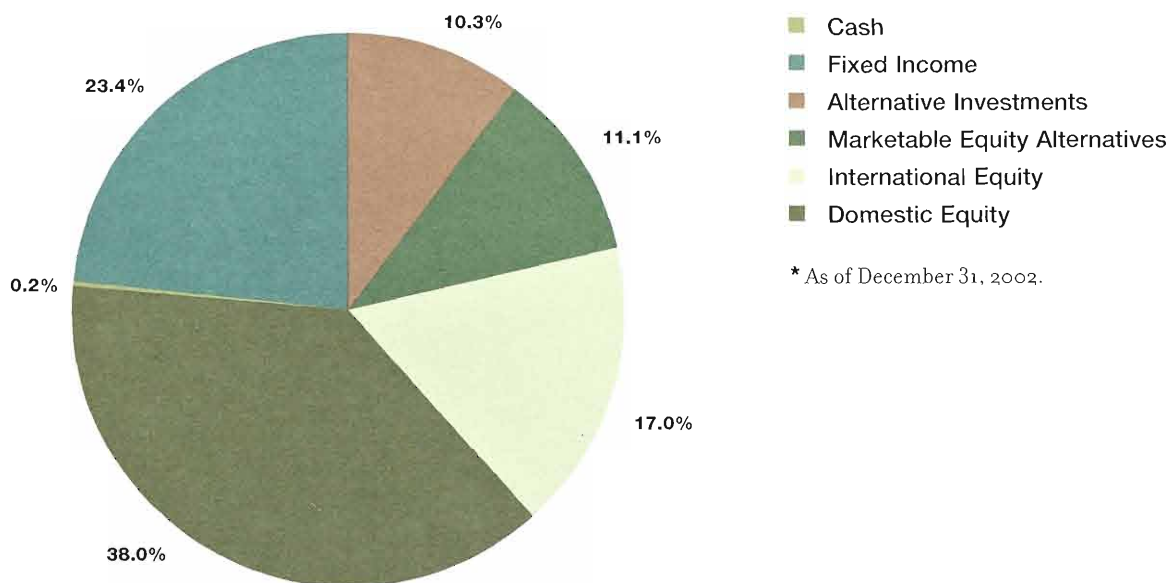
This diversification of the Fund's equity exposure yielded benefits in 2002, since returns from these other categories were either positive or considerably less negative than those of the broad U.S. stock market. Finally, fixed-income investments delivered unusually favorable returns of better than 10 percent; however, only slightly more than 20 percent of the foundation's total portfolio is allocated to this asset class.

Facing such a difficult investment environment, particularly after steep market declines in June and July, the Fund focused special attention on administrative spending in 2002. Several actions were taken during the year to scale back actual expenditures from what had been budgeted and, more fundamentally, to alter the profile of administrative spending for future years. In the latter category, the Fund confronted difficult decisions about staffing, since personnel-related costs account for approximately two-thirds of the total administrative budget. As a consequence, total full-time equivalent staff declined from 49.5 in January to 41.5 at year-end.

In contrast to administrative spending, the Fund maintained and even increased its grant expenditures as the year progressed. The increase resulted from a decision in early 2002 to allocate an additional \$500,000 to special RBF grantmaking in New York City that addressed needs arising from the tragic events of September 11, 2001. Grants paid in 2002 totaled \$22,917,000, compared with \$25,631,000 in 2001. The initial grants budget for 2002 was set at a level approximately 13 percent below what was spent on grants in 2001 due to contraction of the Fund's investment portfolio through 2001.

This pattern of grant and administrative expenditures produced a spending rate of 5.57 percent in 2002. There are various ways to calculate spending rates. The one used here expresses the sum of all types of spending (i.e., taxes and investment-related expenditures plus grants, direct charitable activity, and program and general management) as a percentage of the beginning-of-the-year market value of investment assets. Excluding taxes and investment-related costs, the spending rate in 2002 was 5.08 percent. If these

### RBF Asset Allocation\*



\* As of December 31, 2002.



figures were calculated alternatively as a percentage of the average market value of assets for the year, they would be materially higher due to declines in the portfolio through the year.

While making the adjustments required to respond to a more challenging external environment, the Fund continued to focus attention last year on internal organizational development priorities. The centerpiece of this effort was the design and introduction of a performance management system that was shaped by conversations involving staff across the organization. This system will surely evolve as we work with it in the years ahead, but it equips us with new tools to enhance the impact of the Fund's philanthropy.

During 2002, the RBF also completed a program of special capital spending on the Pocantico property in Tarrytown, New York, that commenced in 2001. The property is owned by the National Trust for Historic Preservation and leased to the Fund. The renewal will ensure that Pocantico remains for many years to come a well-maintained historic site for public visitation, as well as a welcoming retreat for productive dialogue on important public policy concerns. The conference center that the RBF operates at Pocantico hosted 65 conferences and meetings in 2002, its second most active year since opening in 1994.

Finally, in March of last year, the RBF welcomed Rockefeller Philanthropy Advisors (RPA) to our suite of offices. RPA is an independent, nonprofit philanthropic service organization that assists individuals, families, foundations, and trusts with their grantmaking in the U.S. and abroad. With the RBF, the Asian Cultural Council, the Rockefeller Family Fund, and now RPA, we have in one location a dynamic and, we think, unique combination of professional philanthropic practice that ranges from individual giving and donor-advised funds to endowed foundation grantmaking. We have only just begun to explore the possibilities for creative collaboration among these organizations that co-location offers. Taking additional steps in this direction is a high near-term priority.

2002 was thus a difficult and painful year due to decisions that had to be made to adjust to a changed economic environment. At the same time, it was also a year of innovation, renewal, and new possibility. In many respects, the organization has been reset to match its reduced resource base and to achieve alignment with the new program architecture that is described elsewhere in this report. We look ahead with the hope that investment returns will move closer to long-term historical averages and with the confidence that the Fund is now well positioned to proceed with implementing its refined and sharpened philanthropic strategy.



William F. McCalpin

*Executive Vice President and Chief Operating Officer*

## 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, 2002 and the changes in their net assets and their cash flows for the year 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 audit. The prior year summarized comparative information has been derived from the Fund's 2001 financial statements and, in our report dated May 14, 2002, we expressed an unqualified opinion on those financial statements. We conducted our audit 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 audit provides a reasonable basis for our opinion. • Our audit was made for the purpose of forming an opinion on the basic financial statements taken as a whole. The schedule of functional expenses (Exhibit I) is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

PricewaterhouseCoopers LLP  
New York, New York  
May 21, 2003

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

December 31, 2002 with Summarized Financial Information for the Year Ended December 31, 2001

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	2002 RBF Funds	2001 RBF Funds
<b>ASSETS</b>							
Cash	\$2,202,420	\$1,051	\$-	\$-	\$-	\$2,203,471	\$617,060
Accounts receivable	530,213	-	-	-	-	530,213	254,706
Contributions receivable	-	-	-	-	-	-	-
Interest and dividends receivable	1,281,226	166,800	-	11,313	10,361	1,469,700	2,553,820
Due from brokers and dealers	14,171,948	1,557,619	48,848	98,950	90,299	15,967,664	697,831
Investments, at market value	530,853,477	51,224,269	-	3,345,838	3,057,441	588,481,025	665,821,273
Program-related investments:							
Program mortgage loans	2,198,000	-	-	-	-	2,198,000	2,340,000
Real estate	510,000	-	-	-	-	510,000	510,000
Prepaid expenses	1,123,683	-	-	-	-	1,123,683	1,003,001
Fixed assets, net	2,536,718	7,563,202	-	-	-	10,099,920	10,666,692
Interfund	<831,750>	<833,987>	2,149,617	<332,649>	<151,231>	-	-
Total assets	<u>\$554,575,935</u>	<u>\$59,678,954</u>	<u>\$2,198,465</u>	<u>\$3,123,452</u>	<u>\$3,006,870</u>	<u>\$622,583,676</u>	<u>\$684,464,383</u>



## COMBINED STATEMENTS OF FINANCIAL POSITION

(continued)

	2002 Asian Cultural Council, Inc.	2001 Asian Cultural Council, Inc.	Combined Total 2002	Combined Total 2001
<b>ASSETS</b>				
Cash	\$342,626	\$343,964	\$2,546,097	\$961,024
Accounts receivable	90,402	95,523	620,615	350,229
Contributions receivable	272,025	1,484,600	272,025	1,484,600
Interest and dividends receivable	137,718	136,457	1,607,418	2,690,277
Due from brokers and dealers	965,343	-	16,933,007	697,831
Investments, at market value	28,363,025	37,401,894	616,844,050	703,223,167
Program-related investments:				
Program mortgage loans	-	-	2,198,000	2,340,000
Real estate	-	-	510,000	510,000
Prepaid expenses	1,378	-	1,125,061	1,003,001
Fixed assets, net	30,645	34,925	10,130,565	10,701,617
Interfund	-	-	-	-
Total assets	<u>\$30,203,162</u>	<u>\$39,497,363</u>	<u>\$652,786,838</u>	<u>\$723,961,746</u>

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

December 31, 2002 with Summarized Financial Information for the Year Ended December 31, 2001

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	2002 RBF Funds	2001 RBF Funds
<b>LIABILITIES AND NET ASSETS</b>							
Liabilities:							
Grants payable	\$15,111,693	\$100,000	\$-	\$31,000	\$135,000	\$15,377,693	\$20,312,049
Due to brokers and dealers	29,328,600	3,056,837	473,294	187,523	176,510	33,222,764	10,073,057
Accounts payable and accrued liabilities	2,438,344	26,305	4,138	1,575	1,522	2,471,884	2,474,857
Deferred taxes payable	-	-	-	-	-	-	10,853
<b>Total liabilities</b>	<b>46,878,637</b>	<b>3,183,142</b>	<b>477,432</b>	<b>220,098</b>	<b>313,032</b>	<b>51,072,341</b>	<b>32,870,816</b>
Comments							
Net assets:							
Unrestricted	507,697,298	56,495,812	1,721,033	2,903,354	2,693,838	571,511,335	651,593,567
Temporarily Restricted	-	-	-	-	-	-	-
Permanently Restricted	-	-	-	-	-	-	-
<b>Net assets:</b>	<b>507,697,298</b>	<b>56,495,812</b>	<b>1,721,033</b>	<b>2,903,354</b>	<b>2,693,838</b>	<b>571,511,335</b>	<b>651,593,567</b>
<b>Total liabilities and net assets</b>	<b>\$554,575,935</b>	<b>\$59,678,954</b>	<b>\$2,198,465</b>	<b>\$3,123,452</b>	<b>\$3,006,870</b>	<b>\$622,583,676</b>	<b>\$684,464,383</b>

## COMBINED STATEMENTS OF FINANCIAL POSITION

(continued)

	2002 Asian Cultural Council, Inc.	2001 Asian Cultural Council, Inc.	Combined Total 2002	Combined Total 2001
<b>LIABILITIES AND NET ASSETS</b>				
Liabilities:				
Grants payable	\$606,579	\$821,722	\$15,984,272	\$21,133,771
Due to brokers and dealers	946,541	-	34,169,305	10,073,057
Accounts payable and accrued liabilities	630,964	775,568	3,102,848	3,250,425
Deferred taxes payable	-	-	-	10,853
Total liabilities	2,184,084	1,597,290	53,256,425	34,468,106
Commitments				
Net assets:				
Unrestricted	12,867,882	19,990,256	584,379,217	671,583,823
Temporarily Restricted	319,283	3,077,904	319,283	3,077,904
Permanently Restricted	14,831,913	14,831,913	14,831,913	14,831,913
Net assets:	28,019,078	37,900,073	599,530,413	689,493,640
Total liabilities and net assets	\$30,203,162	\$39,497,363	\$652,786,838	\$723,961,746



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

December 31, 2002 with Summarized Financial Information for the Year Ended December 31, 2001

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	2002 RBF Funds	2001 RBF Funds
<b>REVENUES</b>							
Dividend income	\$4,899,626	\$468,483	\$19,044	\$28,294	\$26,662	\$5,442,109	\$4,839,242
Interest income	5,160,528	487,462	19,815	29,440	27,742	5,724,987	9,699,887
Other income	653,046	5,736	233	346	326	659,687	140,373
Contributions	10,000	-	283,544	-	-	293,544	282,834
	10,723,200	961,681	322,636	58,080	54,730	12,120,327	14,962,336
<b>EXPENSES</b>							
Functional expenses (Exhibit I):							
Direct charitable activities	1,239,333	2,777,748	-	-	-	4,017,081	3,696,148
Program and grant management	20,884,881	150,000	-	221,918	202,037	21,458,836	29,417,687
Investment management	3,313,852	371,798	11,095	16,485	15,533	3,728,763	4,074,699
General management	3,332,565	507,187	-	-	-	3,839,752	2,710,872
	28,770,631	3,806,733	11,095	238,403	217,570	33,044,432	39,899,406
(Deficiency)/Excess of revenues over expenses	<\$18,047,431>	<\$2,845,052>	\$311,541	<\$180,323>	<\$162,840>	<\$20,924,105>	<\$24,937,070>

## COMBINED STATEMENTS OF ACTIVITIES

(continued)

	2002 Asian Cultural Council, Inc.	2001 Asian Cultural Council, Inc.	Combined Total 2002	Combined Total 2001
<b>REVENUES</b>				
Dividend income	\$215,270	\$322,678	\$5,657,379	\$5,161,920
Interest income	501,004	426,645	6,225,991	10,126,532
Other income	104,473	66,924	764,160	207,297
Contributions	1,280,551	3,434,457	1,574,095	3,717,291
	<u>2,101,298</u>	<u>4,250,704</u>	<u>14,221,625</u>	<u>19,213,040</u>
<b>EXPENSES</b>				
Functional expenses (Exhibit I):				
Direct charitable activities	–	–	4,017,081	3,696,148
Program and grant management	3,170,099	3,142,182	24,628,935	32,559,869
Investment management	240,046	286,495	3,968,809	4,361,194
General management	749,707	571,869	4,589,459	3,282,741
	<u>4,159,852</u>	<u>4,000,546</u>	<u>37,204,284</u>	<u>43,899,952</u>
Deficiency of revenues over expenses	<\$2,058,554>	\$250,158	<\$22,982,659>	<\$ 24,686,912>

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

December 31, 2002 with Summarized Financial Information for the Year Ended December 31, 2001

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	2002 RBF Funds	2001 RBF Funds
<b>GAIN ON INVESTMENTS</b>							
Net realized (loss) gain from securities sales	<\$36,417,146>	<\$3,482,746>	<\$141,575>	<\$210,340>	<\$198,205>	<\$40,450,012>	<\$24,502,865>
Net change in unrealized (loss) gain on investments	<16,842,916>	<1,610,769>	<65,479>	<97,281>	<91,670>	<18,708,115>	<25,070,793>
	<53,260,062>	<5,093,515>	<207,054>	<307,621>	<289,875>	<59,158,127>	<49,573,658>
Change in net assets:							
Unrestricted	<71,307,493>	<7,938,567>	104,487	<487,944>	<452,715>	<80,082,232>	<74,510,728>
Temporarily restricted	-	-	-	-	-	-	-
Permanently restricted	-	-	-	-	-	-	-
Total change in net assets	<71,307,493>	<7,938,567>	104,487	<487,944>	<452,715>	<80,082,232>	<74,510,728>
<b>NET ASSETS</b> beginning of year	579,004,791	64,434,379	1,616,546	3,391,298	3,146,553	651,593,567	726,104,295
<b>NET ASSETS</b> end of year	\$507,697,298	\$56,495,812	\$1,721,033	\$2,903,354	\$2,693,838	\$571,511,335	\$651,593,567



## COMBINED STATEMENTS OF ACTIVITIES

(continued)

	2002 Asian Cultural Council, Inc.	2001 Asian Cultural Council, Inc.	Combined Total 2002	Combined Total 2001
<b>GAIN ON INVESTMENTS</b>				
Net realized (loss) gain from securities sales	<\$3,183,318>	<\$739,771>	<\$43,633,330>	<\$25,242,636>
Net change in unrealized gain on investments	<4,639,123>	<3,720,406>	<23,347,238>	<28,791,199>
	<7,822,441>	<4,460,177>	<66,980,568>	<54,033,835>
Change in net assets:				
Unrestricted	<7,122,374>	<4,667,099>	<87,204,606>	<79,177,827>
Temporarily restricted	<2,758,621>	<1,542,920>	<2,758,621>	<1,542,920>
Permanently restricted	-	2,000,000	-	2,000,000
Total change in net assets	<9,880,995>	<4,210,019>	<89,963,227>	<78,720,747>
<b>NET ASSETS</b> beginning of year	37,900,073	42,110,092	689,493,640	768,214,387
<b>NET ASSETS</b> end of year	\$28,019,078	\$37,900,073	\$599,530,413	\$689,493,640

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

December 31, 2002 with Summarized Financial Information for the Year Ended December 31, 2001

<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>	<b>Total 2002 All Funds</b>	<b>Total 2001 All Funds</b>
Change in net assets	<\$89,963,227>	<\$78,720,747>
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Net realized and unrealized (gain) or loss on investments	66,980,568	54,033,835
Depreciation	1,260,148	1,126,167
Interest and dividends restricted for endowment	<189,813>	<146,118>
(Increase) decrease in accounts receivable	<270,386>	<263,582>
(Increase) decrease in contributions receivable	1,212,575	<1,378,925>
(Increase) decrease in interest and dividends receivable	1,082,859	359,979
(Increase) decrease due from brokers and dealers	<16,235,176>	2,515,359
(Increase) decrease in prepaid expenses	<122,060>	648,241
Increase (decrease) in grants payable	<5,149,499>	<5,519>
Increase (decrease) in due to brokers and dealers	24,096,248	4,832,685
Increase (decrease) in accounts payable and accrued liabilities	<147,577>	430,644
Increase (decrease) in deferred taxes payable	<10,853>	<364,417>
Net cash provided by (used in) operating activities	<17,456,193>	<16,932,398>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>		
Proceeds from sales of investments	756,057,343	988,751,049
Purchases of investments	<736,658,794>	<971,089,961>
Reductions of program-related investment	142,000	142,000
Purchases of fixed assets	<689,096>	<739,089>
Net cash provided by (used in) investing activities	18,851,453	17,063,999
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>		
Interest and dividends restricted for endowment	189,813	146,118
Net cash provided by financing activities	189,813	146,118
Net increase (decrease) in cash	1,585,073	277,719
Cash at beginning of year	961,024	683,305
Cash at end of year	\$2,546,097	\$961,024

## 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, cash and cash equivalents. In addition, four members of Culpeper's Board of Trustees were elected to the Fund's Board of Trustees. The Fund's principal purpose is to make grants to local, national, and overseas philanthropic organizations. The Fund also provides fellowships for students of color 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 from inception in 1987 for special projects which exemplify the spirit of the Ramon Magsaysay Awards and Asian program concerns of the 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 statements of financial position and related statements of activities and of cash flows, and the schedule of functional expenses, as of December 31, 2002 and 2001, 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. The financial statements include certain prior-year summarized comparative information in total but not by fund type. Such information does not include sufficient detail to constitute a presentation in conformity with generally accepted accounting principles. Accordingly, such information should be read in conjunction with the Fund's financial statements for the year ended December 31, 2001, from which the summarized information was derived.

**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, 2002 and 2001, approximately \$127,330,000 and \$80,970,000, respectively, of the Fund's investments in limited partnerships were recorded at fair value as determined by the funds' 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, 2002 will be paid as follows

**2003:** \$11,148,012 **2004:** \$3,275,660 **2005:** \$1,461,000 **2006:** \$52,800 **2007:** \$46,800 **Total:** \$15,984,272

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 \$9,875,000 and \$8,780,000, respectively, at December 31, 2002 and 2001.

**Expenses:** The Fund and ACC report expenses on a functional basis, with all expenses charged either to a particular program or supporting service. Direct charitable activities and program and grant management comprise the Fund and ACC's program related expenses and investment management and general management comprise the supporting activity expenses. 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.

### 3. Investments

Investments at December 31, 2002 and 2001 are summarized as follows:

	December 31, 2002			December 31, 2001	
	Cost	Unrealized Appreciation/ (Depreciation)	Market	Cost	Market
Short-term investments	\$23,396,017	\$0	\$23,396,017	\$32,677,719	\$32,677,719
Stocks	324,526,115	5,100,486	329,626,601	392,258,167	421,170,161
Bonds	84,788,842	4,955,051	89,743,893	139,747,449	139,205,212
Limited partnerships	189,822,462	<15,743,673>	174,078,789	120,881,980	110,180,994
Foreign currency fluctuations	-	<1,250>	<1,250>	-	<10,919>
	<u>\$622,533,436</u>	<u>&lt;\$5,689,386&gt;</u>	<u>\$616,844,050</u>	<u>\$685,565,315</u>	<u>\$703,223,167</u>

The cost of investments in each fund at December 31, 2002 and 2001 is as follows:

	December 31, 2002	December 31, 2001
Principal Fund	\$532,625,442	\$585,510,833
Pocantico Fund	55,022,796	60,148,854
Ramon Magsaysay Award Foundation Fund	3,442,844	3,762,049
Asian Projects Fund	3,204,932	3,506,412
Pocantico II Fund	-	-
Asian Cultural Council, Inc.	28,237,422	32,637,167
	<u>\$622,533,436</u>	<u>\$685,565,315</u>

Through a certain investment manager, the Fund purchases and sells warrants, exchange-traded options and financial futures contracts. The Fund's exposure to these instruments totaled approximately \$10,300,000 and \$3,500,000, respectively, at December 31, 2002 and 2001.

As a result of its investing strategies, the Fund is a party to a variety of financial instruments. These financial instruments may include fixed income, and foreign currency futures and options contracts, foreign currency forwards, and interest rate cap and floor contracts. Much of the Fund's off-balance-sheet exposure represents strategies that are designed to reduce the interest rate and market risk inherent in portions of the Fund's investment program. Changes in the market values of these financial instruments are recognized currently in the Statement of Activities.

Financial instruments such as those described above involve, to varying degrees, elements of market risk and credit risk in excess of the amounts recorded on the balance sheet. Market risk represents the potential loss the Fund faces due to the decrease in the value of financial instruments. Credit risk represents the maximum potential loss the Fund faces due to possible non-performance by obligors and counterparties of the terms of their contracts.

Management does not anticipate that losses, if any, resulting from its market or credit risks would materially affect the financial position and operations of the Fund.

#### 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 2002.

#### 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 following table sets forth the plan's funded status and amounts recognized in the financial statements at December 31, 2002 and 2001 and for the years then ended:

Actuarial present value of benefit obligations:	2002	2001
Accumulated benefit obligation	\$5,557,096	\$4,534,226
Projected benefit obligation for services rendered to date	\$7,340,285	\$6,058,194
Plan assets at fair value	4,409,502	5,100,497
Funded status	<2,930,783>	<957,697>
Unrecognized prior service cost	367,197	267,789
Unrecognized net loss from past experience different from that assumed and effects of changes in assumptions	3,399,135	1,391,653
Unamortized transitional net asset	<98,991>	<118,790>
Prepaid pension cost included in prepaid expenses	\$736,558	\$582,995
Net pension cost included the following components:		
Service cost-benefits earned during period	\$433,528	\$434,434
Interest cost on projected benefit obligation	438,324	407,851
Actual return on plan assets	<457,939>	<452,437>
Net amortization and deferral	55,819	19,157
Net periodic pension cost	\$469,732	\$409,005

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 6.75 percent and 3.5 percent in 2002 and 7.25 percent and 4.0 percent in 2001, respectively. The expected long-term rate of return on assets was 8.5 percent in 2002 and 9.0 percent in 2001.

## 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, 2002 and 2001:

	<b>2002</b>	<b>2001</b>
Accumulated postretirement benefit obligation ("APBO")	\$2,165,530	\$1,759,551
Unrecognized net gain	<207,306>	61,982
Accrued postretirement benefit cost	\$1,958,224	\$1,821,533

The net periodic postretirement benefit cost included the following components:

	<b>2002</b>	<b>2001</b>
Service retirement cost	\$132,879	\$103,358
Interest cost	138,270	118,855
Amortization of unrecognized gain	<5,886>	<14,478>
Net periodic postretirement benefit cost	\$265,263	\$207,735

Actual retiree premiums paid by the Fund and ACC during 2002 and 2001 amounted to \$129,000 and \$117,000, respectively.

The discount rate assumed in determining the APBO was 6.75 percent in 2002 and 7.25 percent in 2001. The medical cost trend rates assumed were 10.0 percent and declining to 6.0 percent over a five-year period for 2002 and 2001. 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 \$407,000 and \$65,000 in 2002 and \$320,000 and \$48,000 in 2001, respectively.

## 7. Related party transactions

The Fund paid Rockefeller and Co., Inc., fees of approximately \$52,000 in 2002 and \$45,000 in 2001, respectively, for the management of the Fund's qualified pension plans and other services. The Fund was reimbursed approximately \$333,000 in 2002 and \$313,000 in 2001, for the fair value of certain expenses, including accounting and occupancy, by the Rockefeller Family Fund, Inc. The Fund was also reimbursed \$541,000 and \$8,000 in 2002 and \$539,000 and \$12,000 in 2001 for the fair value of certain expenses, including accounting and occupancy, by ACC and the David Rockefeller Fund, respectively. The Fund received reimbursement for the fair value of certain expenses, including accounting, occupancy, capital expenditures and employee benefits, in 2002 in the amount of \$1,145,000 from Rockefeller Philanthropy Advisors.

The Fund paid fees of approximately \$1,150,000 in both 2002 and 2001 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 2002, the Fund expects to qualify for the lower tax rate and provided for excise taxes at the rate of 1 percent. For 2001, 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

2003: \$1,911,000	2004-2008: \$9,484,000	2009-2012: \$7,062,000
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On January 1, 1998, the Fund entered into a new lease agreement and relocated its offices in June 1998. The terms of the leases for the Fund's offices expire in December, 2012 with one five-year renewal option. Portions of this additional space have been subleased through 2012. 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 2002 and 2001, these costs aggregated approximately \$1,623,000 and \$1,645,000, 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.

Pursuant to its limited partnership agreements, the Fund is committed to contribute approximately \$52,000,000 as of December 31, 2002, in additional capital over the next five years. Unpaid commitments at December 31, 2001, were \$62,000,000.

## 10. Asian Cultural Council, Inc.

Summarized financial results of the Asian Cultural Council, Inc. for the years ended December 31, 2002 and 2001 are presented below:

	2002			2001				
	Unrestricted	Temporarily restricted	Permanently restricted	Total	Unrestricted	Temporarily restricted	Permanently restricted	Total
Net assets, beginning of year	\$19,990,256	\$3,077,904	\$14,831,913	\$37,900,073	\$24,657,355	\$4,620,824	\$12,831,913	\$42,110,092
Total support and revenue	<4,567,463>	<1,153,680>	-	<5,721,143>	<2,311,314>	101,841	2,000,000	<209,473>
Net assets released from restriction	1,604,941	<1,604,941>	-	-	1,644,761	<1,644,761>	-	-
Program expenses	<3,362,136>	-	-	<3,362,136>	<3,379,973>	-	-	<3,379,973>
General management expenses	<797,716>	-	-	<797,716>	<620,573>	-	-	<620,573>
Change in net assets	<7,122,374>	<2,758,621>	-	<9,880,995>	<4,667,099>	<1,542,920>	2,000,000	<4,210,019>
Net assets, end of year	\$12,867,882	\$319,283	\$14,831,913	\$28,019,078	\$19,990,256	\$3,077,904	\$14,831,913	\$37,900,073

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, 2002 with Summarized Financial Information for the Year Ended December 31, 2001

### Direct Charitable Activities

	General Programs	Pocantico Fund	Subtotal	Program and Grant Management	Investment Management	General Management	2002 RBF Funds	2001 RBF Funds
<b>SALARIES AND EMPLOYEE BENEFITS</b>								
Salaries	\$367,939	\$316,052	\$683,991	\$1,393,803	\$188,188	\$1,353,020	\$3,619,002	\$3,458,201
Employee benefits	162,062	123,854	285,916	613,914	81,624	588,237	1,569,691	1,412,074
	530,001	439,906	969,907	2,007,717	269,812	1,941,257	5,188,693	4,870,275
<b>OTHER EXPENSES</b>								
Grants awarded	-	-	-	17,897,576	-	-	17,897,576	25,480,447
Fellowship and leadership-program expenses	179,429	-	179,429	-	-	-	179,429	271,978
Federal excise and other taxes	-	-	-	-	-	237,331	237,331	<371,902>
Consultants' fees	-	1,096	1,096	224,220	17,917	68,064	311,297	295,117
Investment services	-	-	-	-	3,249,413	-	3,249,413	3,593,417
Legal, audit and professional fees	-	9,304	9,304	12,277	9,010	147,214	177,805	224,696
Travel	54,189	16,903	71,092	264,081	8,983	39,881	384,037	441,365
Rent and electricity	101,761	-	101,761	534,247	61,784	513,653	1,211,445	990,004
Program conferences and events	260,351	-	260,351	-	-	-	260,351	260,814
Facilities maintenance and operations	-	1,623,173	1,623,173	-	-	-	1,623,173	1,645,482
Telephone, facsimile and internet	6,762	16,285	23,047	35,501	5,532	40,194	104,274	122,353
General office expenses	72,761	93,691	166,452	296,675	35,047	309,096	807,270	777,901
Publications	-	-	-	7,629	-	156,105	163,734	182,008
Fundraising expenses	-	-	-	-	-	-	-	-
Depreciation and amortization	34,079	577,390	611,469	178,913	71,265	386,957	1,248,604	1,115,451
	\$1,239,333	\$2,777,748	\$4,017,081	\$21,458,836	\$3,728,763	\$3,839,752	\$33,044,432	\$39,899,406

## EXHIBIT I: SCHEDULE OF FUNCTIONAL EXPENSES

(continued)

	2002 Asian Cultural Council, Inc.	2001 Asian Cultural Council, Inc.	Combined Total 2002	Combined Total 2001
<b>SALARIES AND EMPLOYEE BENEFITS</b>				
Salaries	\$741,576	\$699,056	\$4,360,578	\$4,157,257
Employee benefits	366,863	286,882	1,936,554	1,698,956
	1,108,439	985,938	6,297,132	5,856,213
<b>OTHER EXPENSES</b>				
Grants awarded	1,626,453	1,809,044	19,524,029	27,289,491
Fellowship and leadership program expenses	-	-	179,429	271,978
Federal excise and other taxes	37,965	22,201	275,296	<349,701>
Consultants' fees	194,847	194,060	506,144	489,177
Investment services	240,046	286,495	3,489,459	3,879,912
Legal, audit and professional fees	213,863	183,357	391,668	408,053
Travel	77,377	60,720	461,414	502,085
Rent and electricity	192,387	189,082	1,403,832	1,179,086
Program conferences and events	174,905	53,867	435,256	314,681
Facilities maintenance and operations	25,874	12,803	1,649,047	1,658,285
Telephone, facsimile and internet	20,540	16,897	124,814	139,250
General office expenses	141,053	145,049	948,323	922,950
Publications	29,028	24,189	192,762	206,197
Fundraising expenses	65,531	6,128	65,531	6,128
Depreciation and amortization	11,544	10,716	1,260,148	1,126,167
	<u>\$4,159,852</u>	<u>\$4,000,546</u>	<u>\$37,204,284</u>	<u>\$43,899,952</u>



## 2002 RBF Staff

Cynthia Altman  
Curator

Miriam Añeses  
Director, Fellows Program

Jacqueline S. Basile  
Director, Human Resources

Harry Bates, Jr.  
Mailroom Coordinator

Lydia R. Brown  
Administrative Assistant

Judy A. Clark  
Associate Director, Pocantico  
Programs

Regina F. Creegan  
Administrator, Pocantico  
Programs

Leah A. D'Angelo  
Assistant Comptroller

Aimée S. Ducey  
Curatorial Assistant

Sarah M. Eisinger<sup>1</sup>  
Program Associate

Ernestine Faulkner  
Kitchen Coordinator

Grant Garrison  
Special Assistant to the President

Charles L. Granquist  
Director, Pocantico Programs

Stephen B. Heintz  
President

Leona Hewitt  
Receptionist

Linda E. Jacobs<sup>2</sup>  
Vice President

Teresa Jeanpierre  
Administrative Assistant

Cathryn Jones  
Human Resources Associate

Anisa Kamadoli  
Communications Officer

Joan Landis<sup>3</sup>  
Administrative Assistant

Julie A. Lesser  
Administrative Assistant

Priscilla Lewis  
Program Officer

Jacklyn A. Lloyd  
Office Manager

Rey D. Maldonado<sup>4</sup>  
Information Technologies  
Assistant

Bridget Massay  
Executive Assistant

A. Heather Masters  
Grants Manager

Josephine Mathes<sup>5</sup>  
Information Technologies  
Associate

William F. McCalpin  
Executive Vice President and  
Chief Operating Officer

Marjorie Messinger  
Administrative Assistant

Kimberly A. Miller  
Assistant Director, Operations,  
Pocantico Programs

Maria I. Monteiro  
Housekeeper

William S. Moody  
Program Officer

Helen Morton  
Administrative Assistant

Nancy L. Muirhead  
Assistant Secretary and Program  
Officer

Gary W. Nickerson  
Director, Information  
Technologies

Michael F. Northrop  
Program Officer

Mary Ellen Obias<sup>6</sup>  
Program Associate

Nelita O'Connor  
Financial Coordinator

Elida D. Reyes  
Head Housekeeper

Mark Rice<sup>7</sup>  
Accountant

Annette U. Rickel<sup>8</sup>  
Program Officer

Peter W. Riggs  
Program Officer

Ben Rodriguez-Cubeñas  
Program Officer

Barbara Schaubert<sup>9</sup>  
Accounts Administrator

Benjamin R. Shute, Jr.  
Secretary and Program Officer

Robert Stone  
Administrative Assistant

Joan E. Sullivant  
Records Administrator

Charisse Turner<sup>9</sup>  
Accountant

Megan Waples<sup>10</sup>  
Program Associate

Geraldine F. Watson  
Comptroller

Boris A. Wessely  
Treasurer

The RBF gratefully acknowledges those staff members who departed in 2002 for their years of service to the Fund.

<sup>1</sup> Until July 19, 2002

<sup>2</sup> Until October 31, 2002

<sup>3</sup> Until October 31, 2002

<sup>4</sup> Until March 12, 2002

<sup>5</sup> As of September 16, 2002

<sup>6</sup> Until August 31, 2002

<sup>7</sup> As of January 2, 2002

<sup>8</sup> Until December 31, 2002

<sup>9</sup> As of September 30, 2002

<sup>10</sup> Until July 12, 2002



