



ROCKEFELLER BROTHERS FUND
Annual Report 1999





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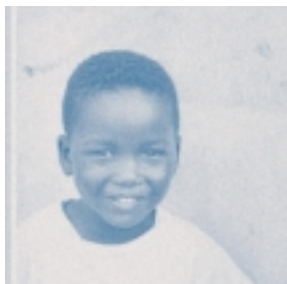
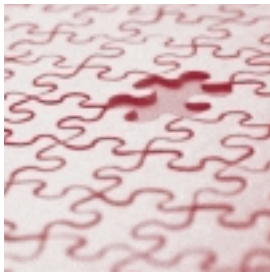
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THE ROCKEFELLER BROTHERS FUND**

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A Message from the Chair

At the Rockefeller Brothers Fund, 1999 will be remembered first and foremost as the year of the merger with the Charles E. Culpeper Foundation (CECF). In the reflections on the year that follow, attention focuses on this development and on the process of program review at the RBF, which has intensified with the merger. In addition, this space includes a brief account of Colin Campbell's presidency, since 1999 was his last full year at the Fund. On August 1, 2000, he assumed the responsibilities of president of the Colonial Williamsburg Foundation.

After a year of careful planning, the merger of the RBF and the Culpeper Foundation became official on July 1, 1999. It was agreed that the merged foundations would operate under the name of the

Rockefeller Brothers Fund. Four CECF trustees, Hunter Lewis, James Moltz, John Morning, and Dr. Tadataka Yamada, were elected to the RBF board of trustees. In addition, four CECF staff members joined the RBF. Linda Jacobs was appointed vice president of the Fund, and Boris Wessely became the Fund's new treasurer. At the time of the merger, the RBF endowment was \$472 million, and the Culpeper endowment was \$212 million. Under the guidance of the RBF Finance Committee, the portfolios of the two foundations have been fully integrated. By year's end, the RBF endowment had grown to \$777 million.

With substantial new financial resources in hand and the need to integrate the RBF and CECF grant programs, the RBF trustees created a Strategic Review Committee charged with systematically evaluating the RBF and CECF grant programs and making recommendations for the future. The trustees have approached the review process with a concern for continuity with the past as well as with openness to change and innovation. The larger goals and purposes of RBF grantmaking and the geographical focus of the Fund's international work will be carefully studied. The RBF's mission statement will be revised to reflect new challenges and developments. It is anticipated that the review process will take roughly two years to complete and should conclude by the end of 2001.

The Strategic Review Committee turned its attention first to the education programs of the RBF and former Culpeper Foundation. By December 1999 a consensus had been reached that the RBF should resume its very successful program of Fellowships for Minority Undergraduates Entering the Teaching Profession, further develop its programs in early childhood education with a primary emphasis on New York City, and provide support to selected educational institutions with programs that complement these



Steven C. Rockefeller

concerns. A decision was made to phase out the existing programs in undergraduate higher education that have focused primarily on foreign language teaching, environmental studies, and the use of technology in teaching and research.

Program review is an ongoing activity at the RBF. During the years 1997 and 1998, the Fund undertook a lengthy study of how best to promote global security in a post-Cold War world, leading to the design of a new Global Security program. The trustees formally launched the new program in the spring of 1999. Following a year-long review in 1998, they also adopted early in 1999 a revised set of guidelines for the Fund's South Africa program in early childhood development and basic education. During 1999 the Fund commissioned an outside analysis and evaluation of grants totaling \$1.7 million made between 1993 and 1999 in support of the conservation of marine biological resources in the United States. The study found that RBF grantmaking, coupled with RBF staff leadership in the field, had effectively promoted significant reform in fisheries management. In accord with the recommendations of the study report, the trustees voted to continue grantmaking in this critical area for at least another two to three years.

After a decade of grantmaking designed to promote a rebirth of civil society and sustainable development in the Czech Republic, Hungary, Poland, and Slovakia, the Fund began an assessment of its accomplishments and of future challenges in the region. In this connection, in December 1999 the trustees approved a special \$3 million grant payable over five years to the German Marshall Fund of the United States as the RBF contribution to the newly established Trust for Civil Society in Central and Eastern Europe. William S. Moody, an RBF program officer, played the leading role in conceiving and organizing the new Trust. It is anticipated that the Trust, which has been designed as a \$75 million, ten-year fund, will consolidate the progress made in developing a strong nonprofit sector in Central and Eastern Europe and help to advance ongoing efforts to promote the growth of civil society. The Ford Foundation, Open Society Institute, C.S. Mott Foundation, and German Marshall Fund are among those collaborating with the RBF on this project.

The trustees continue to follow closely the ongoing development of the program at the RBF Pocantico Conference Center that opened in 1994. The Center has proven to be a very valuable resource that has significantly enhanced the Fund's capacity to promote dialogue, collaboration, and strategic social change. From 1998 to 1999, there was approximately a 40 percent increase in the number of conferences hosted by the Center, which for the first time operated at close to its full capacity in 1999. During the year, 1,574 men and women from dozens of countries participated in 66 conferences. Roughly a third of these conferences were funded by the RBF, and 15 percent were convened by RBF staff.

Colin Campbell's departure from the RBF after 12 years as president provides an opportunity to reflect on a remarkable chapter in the history of the Fund. At Colin's last board meeting in June 2000, the trustees formally recognized and expressed their deep appreciation for his exceptional leadership and many outstanding contributions. What follows is largely adapted from a tribute that was read on that occasion.

• • •

After having served as the president of Wesleyan University for 18 years, Colin G. Campbell was appointed the president and a trustee of the RBF in 1988. The 12 years of Colin's presidency have been a period of extraordinary growth and development at the Fund. The RBF has been transformed from a relatively small foundation with an endowment of \$240 million into a complex organization that by mid-2000 had an \$800 million endowment and embraced within its framework a historic property, an international conference center, and three other funds (the Asian Cultural Council, Rockefeller Family Fund, and DR Fund). The annual program budget in 1988 was \$7.9 million; by mid-2000 it had risen to over \$30 million.



RBF Trustees Front row (left to right): Neva Goodwin, Steven Rockefeller, Colin Campbell, Abby O'Neill, David Rockefeller, Jr. Back Row (left to right): James Moltz, Hunter Lewis, Tadataka Yamada, Catherine Broderick, Richard Chasin, William Luers (Advisory Trustee), John Morning, Richard Parsons, Joseph Pierson, Peggy Dulany, David Callard, Jessica Einhorn. Not present: Robert Oxnam, Edmond Villani, Frank Wisner.

Recognizing that we live in an increasingly interdependent world, Colin has been an articulate proponent of collaboration and the building of partnerships among organizations and across all boundaries of discipline, culture, nationality, and region. At the RBF he has implemented this philosophy with foresight and creative imagination. Not only has he actively pursued partnerships with other foundations in order to leverage the Fund's grantmaking, he has also linked the RBF with other Rockefeller family-related institutions.

During his first year, Colin worked out an arrangement whereby the Asian Cultural Council (ACC) became affiliated with the RBF. This provided ACC with a much-needed secure base of support that enabled it to continue its programs, increase its fundraising, and build its capacity as an institution. The new link between the RBF and ACC marked a return of the Fund to the field of the arts after almost twenty years.

The most dramatic achievement of Colin's early years at the RBF was the negotiation of an agreement involving David Rockefeller, Laurance Rockefeller, the National Trust for Historical Preservation, and the RBF concerning the Rockefeller family Pocantico Estate and Historic Area in Westchester County, outside New York City. This agreement, reached in 1991, brought to a happy conclusion over a decade of efforts to find a way to realize Governor Nelson A. Rockefeller's wish to preserve Kykuit, the Pocantico home of John D. Rockefeller Senior and Junior as well as the Governor, and make it available to the public. It made possible the creation of the RBF Pocantico Conference Center, which has significantly strengthened the Fund's convening power. The 1991 agreement also established a relationship among the Rockefeller family, the National Trust, and the RBF that has made possible the future preservation of the entire Pocantico Estate in a way that will benefit the public and further enhance the resources available to the Pocantico Conference Center.

Colin's last years at the RBF involved another extraordinary development. A trustee of the Charles E. Culpeper Foundation since 1977 and later vice chair of that board, Colin encouraged and facilitated the successful merger of the Culpeper Foundation with the RBF, which has been described above. The merger has strengthened the board and staff of the RBF and significantly enlarged its financial resources and program capacity.

Colin came to the RBF in part because of a growing personal interest in international affairs. Under his leadership, the Fund's long commitment to building a just, sustainable, and peaceful global society has been strengthened and developed in important ways. A good example is the two-year Project on World

Security, which led to creation of the Fund's innovative new Global Security program. The Fund's programs in Central and Eastern Europe and in global Sustainable Resource Use have benefited greatly from Colin's guidance. In addition, he has developed relationships with the leadership of major transnational organizations, including the United Nations and The World Bank, making possible both collaboration and a constructive dialogue on progressive change.

As president of the RBF, Colin worked to strengthen the nonprofit sector, renewing a long-standing commitment of the Fund. RBF grantmaking in support of civil society and the nonprofit sector in the United States and abroad has been expanded. Colin has chaired or served as a trustee of a number of major nonprofit organizations, including the Council on Foundations, the Colonial Williamsburg Foundation, PBS, the Winrock International Institute of Agricultural Development, and the New-York Historical Society. He has made special efforts to heighten the sense of public accountability in foundations and other nonprofit organizations and to develop mechanisms that ensure it. Leaders and institutions in the nonprofit sector have come increasingly to seek out his wise counsel.

Colin's thinking and philanthropic work have been consistently shaped by his passionate interest in education as fundamental to the building of democratic societies and a responsible citizenry. This is reflected in his service as vice chair of the Central European University in Budapest, his leadership in raising funds for the University of Cape Town, and his commitment to Colonial Williamsburg. It is reflected in a variety of programs, including the RBF's Minority Fellows Program, the Fund's efforts to improve early education in the United States and South Africa, and the Global Interdependence Initiative, which is a long-range effort to build stronger constituencies in the United States for cooperative international engagement.

For trustees and staff, Colin made the RBF an immensely exciting place to be. His leadership style combined broad vision, a clear sense of direction, and a collaborative approach. He attracted an exceptionally talented program staff to the RBF and encouraged them to take independent initiative and to be creative in ways consistent with the Fund's overall objectives. He encouraged an engaged board and promoted a lively and productive dialogue between trustees and staff. All those associated with the Fund came to rely on his great energy, calm presence, gentle sense of humor, sound judgment, and caring. He leaves an institution with far greater capacity and even greater promise than the one he joined in 1988. His leadership has been of the highest quality.



Just as this annual report was being completed, the trustees unanimously elected Stephen B. Heintz as the new president of the Rockefeller Brothers Fund. His broad experience working with the nonprofit sector, business, and government in both the U.S. and internationally and his deep commitment to the goals of the RBF ensure that the Fund will continue to have exceptional leadership. We are very happy to welcome Stephen Heintz to the Fund.

The RBF has entered a time of transition and new opportunity at a critical moment in human history. Working closely with our new president, the trustees must complete the process of reviewing and defining the mission and program objectives of the Fund, taking into consideration the traditions of the RBF and CECF, the increased resources available, and the needs and challenges of the many communities—from local to global—that the RBF exists to serve. I wish to thank the entire staff for their dedication and outstanding contributions during this period of growth and change. I also want to express my deep appreciation for the commitment and creative leadership of my colleagues on the board of trustees.

Steven C. Rockefeller
Chair

President's Report

In his Chairman's Report, Steven Rockefeller has admirably summarized key developments at the Rockefeller Brothers Fund in 1999. It was an exciting and productive year and, as Steven has suggested, a time for setting the stage for a highly promising future for the Fund.

Merging the RBF and the Charles E. Culpeper Foundation, while an extraordinary opportunity, could have been a daunting challenge for trustees and staff alike. But everyone involved, particularly Linda Jacobs and Boris Wessely from Culpeper and William McCalpin, Benjamin Shute, Jr., Priscilla Lewis, and Geraldine Watson from the Fund, was thoroughly committed to making the process as seamless and smooth as possible. Their hard work and good will were essential ingredients for success.

So was the active and supportive engagement of the Culpeper trustees who joined the Fund's board—Hunter Lewis, John Morning, James Moltz, and Tadataka Yamada—and the RBF trustees led by Steven Rockefeller.

The strategic review process that each organization had anticipated undertaking in any event, even before the merger became a reality, is being carried out in an atmosphere of mutual respect and in a collaborative spirit; the process has been well paced and thoughtful. I am confident that, when this review is completed late in 2001, a coherent and forward-looking set of programs will be in place. These programs will continue to reflect the traditions, priorities, and values of both foundations and, at the same time, will take into account the rapid pace of societal change as well as the emerging needs and opportunities to which a philanthropy of the stature and with the aspirations of the merged entity should be responsive. It is also important that these programs reflect the fresh thinking of new Fund leadership.

What may be most remarkable about "the year of the merger" is the fact that, despite inevitable distractions, the Fund was able to continue with grantmaking that was responsible, effective, and fully in keeping with the RBF's qualitative and creative standards. In addition, we continued to press forward with important RBF-led initiatives and collaborations. The program essays that follow reflect this accomplishment and are a testimony to the resourcefulness and determination of the Fund's program staff and their deep commitment to the Fund's mission.

Given the opportunities and obligations arising from the merger, and in light of the enormous satisfaction I have gained from working with such able and generous-spirited trustee and staff colleagues, my decision earlier this year to step down as president of the Fund to assume the chief executive's role at the Colonial



Colin G. Campbell

Williamsburg was surely not an easy one to make. It would have been a privilege and a joy—as it has been for the past 12 years—to help lead the RBF into a promising and exciting new era. I will greatly miss the camaraderie and intellectual stimulation of working with such fine and committed people. And I will miss the interaction with grantees across the globe who have taught me so much and whose achievements, with Fund support, have been a source of pride and satisfaction.

Fortunately, my work at Colonial Williamsburg will permit me to engage broad themes that are also among the continuing priorities of the Fund:

- Enhancing the quality of American elementary and secondary education, with, of course, a sharp focus on the teaching of early American history; this specificity contrasts with but is fully consistent with the Fund's broader commitment to enhancing education by improving teacher quality, in particular by attracting talented minorities to the teaching profession;
- Encouraging better understanding of and participation in the democratic process, not only in this country but also in regions such as Central and Eastern Europe and South Africa, where the Fund has supported the strengthening of democratic institutions during challenging times of transition;
- Playing a leadership role in the evolution of the nonprofit sector by advancing best practices in management, using technology to support institutional processes, and adhering to high standards of governance and accountability—all areas where the Fund has been an important catalyst and contributor;
- Developing cultural exhibitions and outreach programs that are accessible to diverse audiences; this had been a distinguishing feature of the Charles E. Culpeper arts and culture program and has continued to be a focus of the Fund since the merger; and
- Furthering historic preservation values, values that are central to the Fund's stewardship of the Pocantico Historic Area and that so fundamentally influenced John D. Rockefeller, Jr., in the restoration at Colonial Williamsburg.

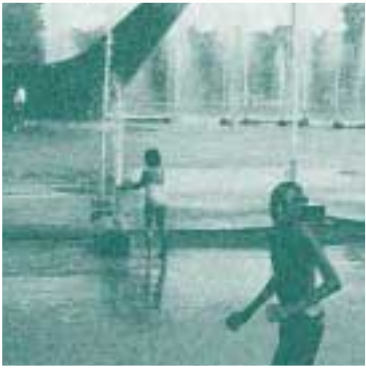
Although the Colonial Williamsburg Foundation does not have an explicit environmental agenda, there will be heightened sensitivity about environmental issues during my tenure there, since my own sensitivity has been informed and heightened by the Fund's truly extraordinary work in this area.

I am grateful beyond measure for the privilege of having been so deeply involved in Rockefeller philanthropy and so closely associated with three generations of the Rockefeller family since joining the Fund in 1988. My working relationship with three superb chairmen—David Rockefeller, Jr., Abby O'Neill, and Steven Rockefeller—has been particularly rewarding.

Looking ahead, I believe the Fund has found just the right person to assume leadership responsibility for this very special organization. Stephen B. Heintz has had a remarkable career, domestically and internationally, that has equipped him well to guide the evolving programs of the Fund. His values, which are so in keeping with those that have been the hallmark of the Rockefeller Brothers Fund for many years—values that are rooted in an unshakable commitment to democratic ideals, to peace, to justice, to sustainability—and his energetic commitment to everything he undertakes surely bode well for the future of the Fund. It is a future I will watch with continuing interest, respect, and affection.

Colin G. Campbell
President

ABOUT THE ROCKEFELLER BROTHERS FUND





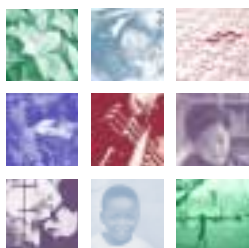
Ezra Stoller © Esio

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

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

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

About the Rockefeller Brothers Fund



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

Today, the Fund's major objective is to promote the well-being of all people through support of efforts in the United States and abroad that contribute ideas, develop leaders, and encourage institutions in the transition to global interdependence. Its grantmaking aims to counter world trends of resource depletion, conflict, protectionism, and isolation, which now threaten to move humankind everywhere further away from cooperation, equitable trade and economic development, stability, and conservation.

This basic theme of interdependence presupposes a global outlook and, hence, internationally oriented activity. While attention is focused on locally based problems and grantees, this is in the context of global concerns and not simply national ones. The Fund does not have the capacity to pursue its program theme in all parts of the world simultaneously and, therefore, projects are concentrated from time to time in different geographic regions. At present those regions include the United States, East and Southeast Asia, Central and Eastern Europe, and South Africa.

ASSETS AND PHILANTHROPIC EXPENDITURES

The Fund's assets at the end of 1999 were \$795,991,600 and its 408 grant payments for the year amounted to \$20,020,941. Since 1940, the Fund has disbursed a total of \$493,805,451 in grants.* In addition, during 1999 the Fund expended approximately \$3.7 million on direct charitable activities — philanthropic activities carried out directly by the Fund itself. These included:

- conferences held at the Pocantico Conference Center of the Rockefeller Brothers Fund, which complement and extend the reach of the Fund's grantmaking;
- preservation and public visitation programs at the Pocantico Historic Area (site of the conference center), a section of the Rockefeller family estate that was donated

* Financial data are also provided in this report for the Fund-affiliated Asian Cultural Council (described on pages 19–20).

PHILANTHROPIC EXPENDITURES 1999

GRANT PAYMENTS MADE IN 1999

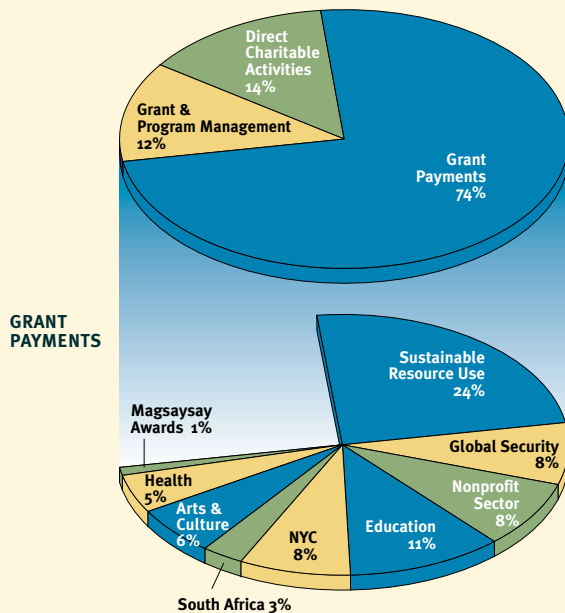
Sustainable Resource Use	\$6,569,075
Global Security	1,890,000
Nonprofit Sector	2,287,775
Education	3,020,241
New York City	2,138,101
South Africa	775,400
Arts and Culture	1,633,250
Health	1,254,010
Ramon Magsaysay Awards	253,089
Asian Cultural Council	200,000

SUBTOTAL: GRANT PAYMENTS \$20,020,941

Payments Matching Employee Contributions	\$24,432
Grant & Program Management	3,401,326
Direct Charitable Activities*	3,684,169

TOTAL PHILANTHROPIC EXPENDITURES \$27,130,868

TOTAL PHILANTHROPIC EXPENDITURES



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

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 Fellowship Program for Minority Students Entering the Teaching Profession and the related Program for Educational Leadership, which support a cohort of approximately 150 outstanding young minority men and women 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 \$3.4 million. In sum, the Fund's philanthropic expenditures in 1999 were \$27,130,868, as displayed in the charts above.

GRANTMAKING PROGRAMS

The Fund makes grants in eight areas (please refer to the program summaries that follow on pages 23–85 for formal grantmaking guidelines and additional details).



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

particular attention to sustainable agriculture, coastal management, and integrated watershed planning as well as to the social and environmental effects of this region's integration into the global economy.

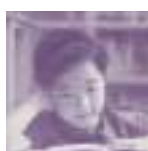


Global Security — The Fund seeks to contribute to the emergence of a more just, sustainable, and peaceful world by improving the cooperative management of transnational threats and challenges. Strategies include building strong domestic constituencies for cooperative international engagement; promoting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

The Fund's other program interests are:



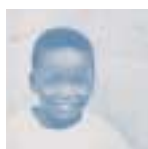
Nonprofit Sector — The goal of this program is to promote the health and vitality of the nonprofit sector, both nationally and internationally, by assisting in the development of the financial, human, and structural resources necessary to the sector; by encouraging greater accountability within the sector;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



Education — The RBF's Education program is currently under review. The trustees of the Fund have, however, approved three areas of focus for the Education program going forward: (1) Resumption in spring 2001 of the Rockefeller Brothers Fund Fellowship Program for Minority Students Entering the Teaching Profession, designed to help talented minority undergraduate students enter careers in teaching. Fellowship candidates must attend and be nominated by one of the two dozen colleges and universities that participate in this program. The RBF expects to resume this program with the admission of a new class of Fellows in spring 2001. Approximately 25 fellowships will be awarded to college students, primarily juniors, who are majoring in the liberal arts or sciences. For further information, please visit the Fund's website. (2) Grantmaking aimed at improving early childhood education and care, particularly in the Fund's home city of New York. (3) Grantmaking that addresses other educational priorities that complement the Fund's interests in supporting minority teachers and more effective early childhood education and care.



New York City — The New York City program is designed to strengthen and enhance civil society in the Fund's home base by supporting efforts to build civic engagement and capacity in communities. Particular emphasis is placed on encouraging the development of constituencies for public education and fostering responsible citizenship among youth; assisting neighborhood-based projects that encourage respect and care for the physical and natural environment and that develop or reclaim public space; and supporting creative civic participation and inclusive public discourse, promoting accountability of institutions vested with the public trust, and forging a common sense of purpose within communities.



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



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



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

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

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

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

Operational Touchstones — Four operational “touchstones” are key considerations in the development of all grants. These relate to the Fund’s approach to its substantive concerns and are not specific areas of interest in and of themselves. The touchstones are:

EDUCATION — of key individuals, special target groups, and the general public.

LEADERSHIP — the identification and encouragement of a new generation of leaders, national and international; assisting contact among leaders and the development of leadership networks around specific areas of Fund program interest.

LEVERAGE — using combinations of trustees and staff as well as related organizations to work toward common goals in mutually supportive ways.

SYNERGY — developing clusters of interrelated projects so as to have an impact beyond the sum of the parts.

OTHER PROGRAMS



Pocantico Programs — The Fund’s Pocantico programs are based in the Pocantico Historic Area, the heart of the Rockefeller family estate in Westchester County, New York, and were established when the Fund leased the area from the National Trust for Historic Preservation in 1991. The Pocantico Conference Center is the key component of these programs; it extends the reach of the RBF’s grantmaking through conferences and meetings that address central concerns of the Fund. In addition, the Pocantico programs provide public access to the Historic Area and carry out maintenance, restoration, and conservation projects in the area on behalf of the National Trust. (For Conference Center guidelines and additional program details, please see pages 89–98.)



The Ramon Magsaysay Award Foundation — The RBF provides significant support to the Ramon Magsaysay Award Foundation (see pages 101–102), which grants the annual Ramon Magsaysay Awards. These awards, named after the former president of the Philippines, were established with the encouragement of the Fund’s trustees in the late 1950s.

HOW TO APPLY FOR A GRANT

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

A grantee must also be engaged in work that fits generally within the Fund’s guidelines, as described in this annual report. In addition, please note the following general and geographic restrictions.

General Restrictions: The Fund does not support building projects or land acquisition. Neither, as a general rule, does the Fund make grants to individuals; nor does it support research, graduate study, or the writing of books or dissertations by individuals.

Geographic Restrictions: The Fund’s Sustainable Resource Use and Global Security programs focus on North America; Central and Eastern Europe (Poland, the Czech Republic, Hungary, and Slovakia only, except for occasional cross-border or regional projects that involve one or more of these countries); and East and Southeast Asia. The Sustainable Resource Use program also includes the Russian Far East; the Global Security program also includes Southern Africa. The Nonprofit Sector program focuses primarily on the United States, with some attention to Central and Eastern Europe and East and Southeast Asia as well. The Arts and Culture, Health, and Education programs are active only in the United States. Geographic restrictions for the New York City and South Africa programs are self-evident.

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

THE GRANTMAKING PROCESS

A preliminary letter of inquiry is recommended for an initial approach to the Fund. Such a letter, which need not be more than two or three pages in length, should include a succinct description of the project or organization for which support is being sought and its relationship to the Fund’s program, information about the principal staff members involved, a synopsis of the budget, and an indication of the amount requested from the Fund. Letters of inquiry should be addressed to Benjamin R. Shute, Jr., Secretary, at the offices of the Fund. There are no application forms and the review of inquiries is ongoing throughout the year, except for the Charles E. Culpeper Scholarships in Medical Science (for Medical Scholarship application forms and information on deadlines please visit the Fund’s website at www.rbf.org).

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

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

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

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

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

ADDITIONAL INFORMATION

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

Annual Reports: anreport@rbf.org

Guidelines: guidelines@rbf.org

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

The Rockefeller Brothers Fund submits grants information on a regular basis to the Foundation Center for inclusion in its publications, including *The Foundation Grants Index Quarterly* and *The Foundation 1000*. Foundation Center grants data are also available online via DIALOG. The Foundation Center maintains reference libraries in New York, New York; Washington, D.C.; Atlanta, Georgia; Cleveland, Ohio; and San Francisco, California; and Cooperating Collections in more than 200 locations nationwide provide a core collection of Foundation Center publications. Information about the location of Cooperating Collections can be obtained from the Foundation Center by calling 1-800-424-9836 (toll-free). The Foundation Center website, www.fdncenter.org, contains additional information about Foundation Center materials and services.

ASIAN CULTURAL COUNCIL

The Asian Cultural Council (ACC), a publicly supported operating foundation affiliated with the Rockefeller Brothers Fund, supports cultural exchange in the visual and performing arts between the United States and the countries of Asia. The primary focus of the ACC's grant program is on individual fellowship awards to artists, scholars, and specialists from Asia for research, study, and creative work in the United States. Grants are also made to Americans pursuing similar activities in Asia, to Asian and American cultural institutions involved in exchange projects, and to activities that encourage regional dialogue and cooperation among artists and scholars in Asia.

The ACC's grant program was established by John D. Rockefeller 3rd in 1963 as part of The JDR 3rd Fund. Nearly 3,500 individuals from throughout Asia and the United States have received fellowship support since that time, forming an extensive alumni network that constitutes a valuable resource for the Council's program and helps make the ACC one of the most important and effective cultural organizations active in the Asian-Pacific region.

A special feature of the ACC's grant program is the professional, individually tailored assistance offered to grantees in helping them fully realize their goals and objectives. ACC grants thus include not only fellowship funds but also a wide range of support services for the artists and scholars who receive these awards. This unique approach to grantmaking is made possible through the financial support of a variety of endowment donors and annual contributors in the United States and in Asia, including foundations, corporations, individuals, and government agencies.

A majority of the Council's grants are made through a series of named programs that have been established with funds restricted for specific purposes. Examples include the Ford Foundation Fellowship Program, which supports research and study in the traditional arts of Asia; the Starr Foundation Fellowship Program, which awards fellowships to contemporary visual artists from Asia; and country-specific programs funded by local donors in Japan, Hong Kong, and Taiwan. Until recently, budgetary constraints meant that additional grants awarded each year through unrestricted funds constituted only a modest portion of the ACC's program; in 1999, however, the funding available for unrestricted grants more than doubled as a result of a generous endowment gift made by an anonymous donor in late 1997. Through this newly strengthened capacity in unrestricted grantmaking, the ACC is now able to respond to the many deserving grant applications that do not fall within the limits of the various restricted grant programs.

During 1999, ACC staff and trustees continued their discussion with grantees across Asia, looking further at some of the themes and questions that had arisen during the Council's 35th anniversary conference, held in Manila in October 1998. The conversations have reaffirmed the Council's commitment to the importance of supporting talented individuals through international exchange programs, yet they are also leading the Council to consider several issues of special relevance to future grantmaking strategies in Asia. These include:



Akira Matsui, a Noh actor from Japan, performs at the Walker Art Center in *Forgiveness*, a theater piece involving artists from Asia and the United States, produced by the Asia Society.

- linking a focus on individual grantmaking to the development of a strong institutional support system for the arts in Asia;
- balancing the geographic range of grants by increasing activity in Southeast Asian countries that have not been strongly represented in the ACC's program;
- increasing support for regional exchange and collaboration among cultural institutions, artists, and scholars in Asia;
- assisting artists and arts institutions in Asia in strategically strengthening local communities as they adapt to the changes and pressures associated with globalization;
- supporting newly emerging fields of study in Asia, including arts management, criticism, and the relationship between art and technology.

During 1999, the ACC appropriated a total of \$2,820,840 for grants and grant-related expenses to support 146 fellowships and project awards. Artists and scholars from Bhutan, Cambodia, China, Hong Kong, India, Indonesia, Japan, Korea, Laos, the Philippines, Thailand, Vietnam, and the United States received grants during the year. Of

special interest in 1999 were the strengthening of the Cambodian Artists Mentorship Program, supported in collaboration with the Rockefeller Foundation, to help introduce a new B.A. degree curriculum at the Royal University of Fine Arts in Phnom Penh; programs to support the fields of arts and cultural management in Indonesia, developed in collaboration with the Ford Foundation; the establishment of residency programs for creative artists from Asia at several artist-in-residence communities in the United States; and the planning for cooperative grant programs among the Council's three field offices in Tokyo, Hong Kong, and Taipei.

The ACC's grant program, with its emphasis on individual fellowships coupled with professional support services to grantees, has

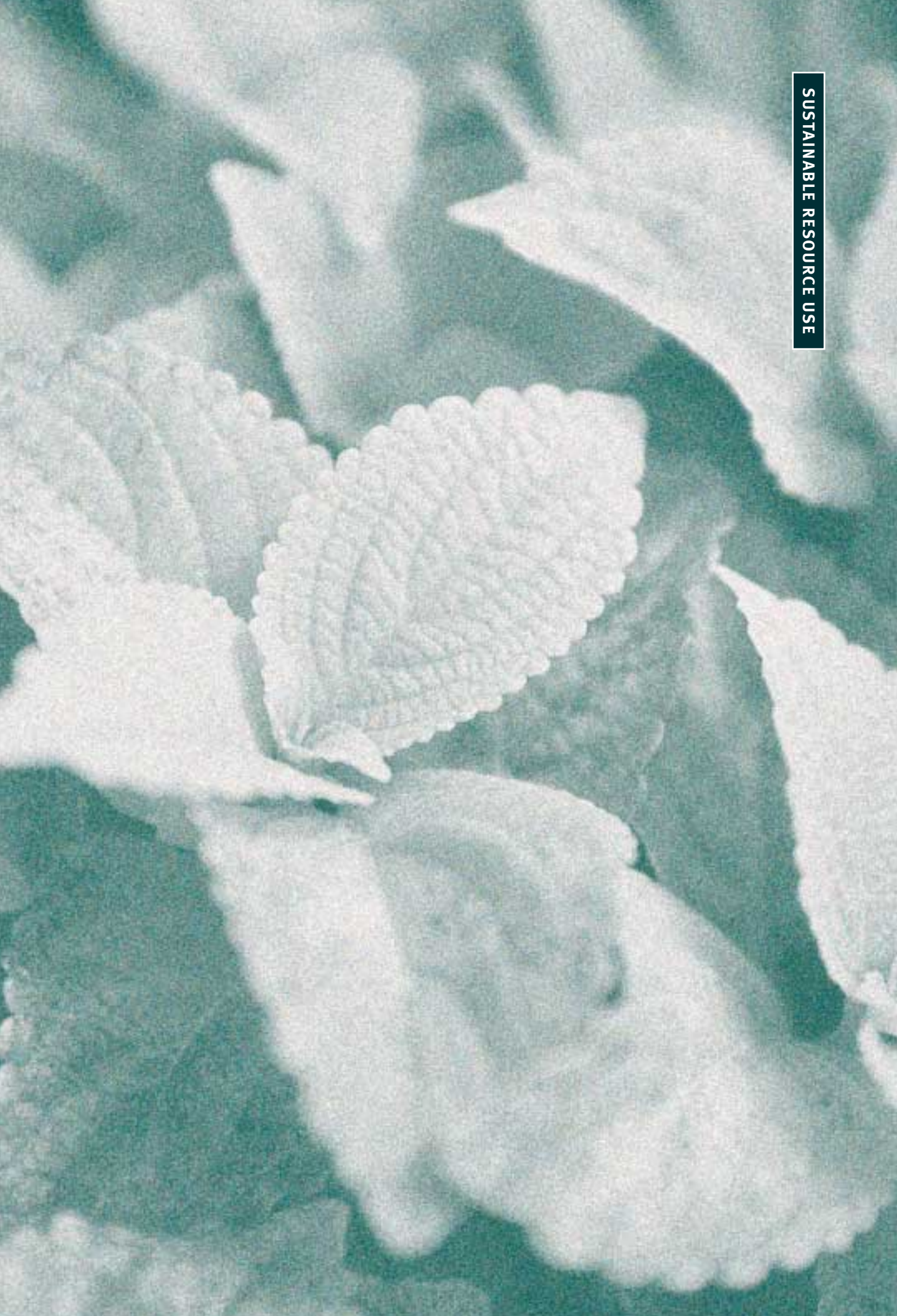
proven to be a particularly effective means of supporting the growth of a healthy arts sector in Asia and encouraging international cooperation and understanding. Because the needs are great and support from local and international sources is limited, however, it is crucial for the ACC to work in close partnership with other granting agencies and with individual artists and institutions in the communities being served. In this respect, the ACC's affiliation with the RBF brings a special strength and vitality to the Council's work in Asia.

The Rockefeller Brothers Fund made a grant of \$200,000 to the Asian Cultural Council in 1999 for general operating expenses.

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



Shih-Sheng Peng, a filmmaker from Taiwan, prepares to document activities at the Temple of Mercy and Charity, a Buddhist temple of the Da-chen Taiwanese community in Queens, New York.





PROGRAM GUIDELINES

GOAL

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

STRATEGIES

AT THE GLOBAL LEVEL, by advancing international discussions on climate change and biodiversity preservation, and by supporting and publicizing practical, cost-effective models that can contribute to international agreements on these issues. In the area of climate change, by focusing on utility-based energy efficiency, renewable energy, transportation, and green taxes. In the area of biodiversity, by utilizing an ecosystem approach with special emphasis in the terrestrial context on temperate rainforests and in the marine context on fishery and coastal zone management. In the area of related economic concerns, by focusing on the impacts of economics, international trade and business, and the role of multilateral financial and grantmaking institutions, especially as they affect climate and biodiversity. The Fund's primary geographic areas of grant activity—United States, Central and Eastern Europe, and East Asia—inform the Fund's global strategy.

WITHIN THE UNITED STATES, by supporting model programs that further the Fund's global strategies, and by broadening and deepening the national environmental constituency and reinforcing its ability to act effectively.

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

IN EAST ASIA, by 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 Asia's integration into the global economy.

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

Sustainable Resource Use



The RBF pursues the goal of sound environmental stewardship by working at the intersection of ecological, economic, and cultural concerns in the United States and Canada, East Asia, and Central and Eastern Europe. Most of the Sustainable Resource Use grants awarded in 1999 were for efforts to curb greenhouse gas emissions, safeguard forest and marine resources, and help citizens, businesses, nongovernmental organizations (NGOs), and local governments rejuvenate communities threatened by environmental neglect or by unsustainable approaches to transportation and land-use planning.

CURBING GREENHOUSE GAS EMISSIONS

The Third Conference of the Parties to the United Nations Framework Convention on Climate Change, held in 1997 in Kyoto, Japan, established national targets for cuts in the levels of greenhouse gases, such as carbon dioxide, that are emitted by the combustion of fossil fuels. Under the terms of the agreement, by the year 2010 the United States must reduce its greenhouse gas emissions by 7 percent from 1990 levels. This U.S. commitment, however, does not become legally binding until the Senate ratifies the Kyoto Protocol. Critics of the Protocol have recently shifted their focus from arguing that climate change is not occurring (the majority of Americans now understand that it is) to arguing that domestic greenhouse gas reductions cannot be achieved without severely disrupting the U.S. economy. As a result, although numerous cost-effective options for reducing emissions are in fact available, the U.S. public is confused about the economic feasibility of strategies for addressing climate change. In 1999 the Fund supported eight efforts to promote and spread the word about several emissions reduction options, which, taken together, offer a preliminary road map for helping the United States move toward its Kyoto target.

One highly promising emissions reduction policy is to clean up or replace the nation's aging coal-fired energy plants. According to Pace University's Clean Air Task Force, if just half of these plants were upgraded or retired, the United States could meet more than a third of its Kyoto commitment. A grant to Pace University is enabling the Task Force to educate the public about this potential.

Two other steps could, if adopted in combination, according to the American Council for an Energy Efficient Economy, reduce emissions by more than 10 percent of the Kyoto target: cogeneration, which reclaims the heat wasted in generating systems, and improved energy-efficiency standards for home appliances. The council is creating an alliance of conservation groups, local governments, and businesses to promote both strategies.

Automobiles and trucks account for about a third of all U.S. greenhouse gas emissions, a percentage that is rising as Americans are driving more frequently, and for longer distances, in vehicles that are less and less fuel-efficient. By increasing the average fuel efficiency of the nation's cars to 45 miles a gallon, and that of its minivans, sport utility vehicles, and light trucks to 38 mpg, the United States could cut its

emissions by an estimated 20 percent of the Kyoto commitment. The Rockefeller Family Fund's Technology Project is carrying out an Internet-based "green car" campaign to educate consumers about fuel-efficient vehicles.

Two grants are supporting efforts to enhance the role of the U.S. business sector in cutting domestic emissions. Through its new Center for Energy and Climate Solutions, the Global Environment and Technology Foundation is presenting industrial and commercial operations around the country with several emissions reduction strategies that make economic sense. And the Green Building Fund, a consortium of business and conservation groups, is responding to estimates that reducing commercial buildings' energy use by 20 percent could produce emissions reductions equal to 10 percent of the Kyoto target. Given the widely differing circumstances of tens of thousands of commercial buildings throughout the United States, the fund is studying whether it is feasible to pursue this opportunity for emissions reduction in a systematic way.

Regional and local efforts to help achieve the Kyoto target are at the heart of two projects. Under its Northeast Climate Initiative, Tufts University is encouraging businesses, hospitals, churches, universities, and other civil society groups and corporations across New England to commit voluntarily to a range of emissions reduction measures. Meanwhile, more than 60 cities and counties are participating in the International Council for Local Environmental Initiatives' U.S. Cities for Climate Protection initiative. Under this program, they are committing to such strategies as retrofitting municipal buildings with energy-efficient technology, instituting recycling and composting programs that reduce methane emissions from landfills, and upgrading incandescent traffic signals. These cities have already made commitments that amount to 10 percent of the Kyoto target.

Finally, a grant to Island Press, a division of the Center for Resource Economics, will facilitate the publication of two books that articulate compelling economic arguments for reductions in greenhouse gas emissions. One book will present case studies of companies' successes in cutting emissions profitably; the other will document policies that can minimize, or even eliminate, the potentially adverse economic impacts of emissions reductions.

PROTECTING TERRESTRIAL AND MARINE BIODIVERSITY

Rapid deforestation—the result of clearcutting and other mass-volume logging techniques—poses a direct threat to both terrestrial and aquatic species and habitats around the world. At the same time, because forests absorb significant amounts of carbon dioxide, deforestation exacerbates global warming. For several years the Fund has been supporting an array of practices known as sustainable forest management. Instead of focusing solely on the commodity wood values of a forest, sustainable forestry practices are designed to conserve critical wildlife habitat, watershed health, soils, and the long-term viability of timber-dependent communities. Two market-related strategies have been identified that could advance the development of a sustainable forest products industry: expanding the *supply* of sustainably harvested wood, and informing consumers about the availability of such products in order to promote *demand* for them.

To expand the supply of sustainably harvested wood, regionally appropriate standards for defining a sustainable forest must be set and a reliable process established for certifying that particular forests meet those standards. In 1993 a cross-section of foresters, environmentalists, companies, and communities formed an independent body, the Forest Stewardship Council (FSC), to objectively evaluate and accredit regional forest management systems around the world. The council has drawn up principles for sound logging practices and has begun awarding its approval, or certification, to timber companies whose operations meet these criteria.

SUSTAINABLE RESOURCE USE

Since 1998, the RBF has devoted significant attention to protecting the pristine northern coastal region of British Columbia (BC) from industrial logging. This coast is home to 25 percent of the world’s remaining coastal temperate rainforest lands and to the rarest and most biologically productive terrestrial ecosystems within temperate latitudes.

With RBF support and encouragement, environmental groups in British Columbia have made the coast their primary conservation objective. RBF grantees have used a variety of tactics to promote

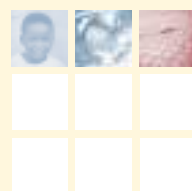


Home Depot recently announced its commitment to purchasing sustainably forested wood products.

conservation of the BC coast. They have initiated litigation to develop new legal precedents on the rights of First Nations tribes to determine the fate of their traditional lands. They have also worked with First Nations tribes along the coast to build community-based consensus on the need for sustainable development models as alternatives to industrial logging. In addition, RBF grantees have stimulated market pressure by encouraging companies in the U.S. and Europe that purchase BC forest products to demand dramatically reformed forestry practices. RBF grantees have also developed media campaigns to educate BC’s public about the coast—a place few of them have seen. As a result of these and other efforts, in 1999 Home Depot declared that it would no longer buy wood products from BC’s old-growth forests and that henceforth it would require products from sustainably managed forests. Ikea followed suit a few months later, and several other large suppliers of building materials have made similar pronouncements since then.



A temporary moratorium on industrial logging in the northern coastal region of British Columbia has given RBF grantees and other conservation advocates a critical opportunity to work with First Nations tribes, government officials, and representatives of the forest industry to ensure the protection of rare temperate rainforest lands.



CROSS-REFERENCE: Promoting sustainable and responsible use of natural resources requires the involvement of environmental groups, industries, government agencies, and individual citizens and consumers. The growing need for such collaborative problem solving also informs the Fund’s thinking about its Nonprofit Sector and Global Security programs.

Largely as a result of public education and advocacy by environmental groups, U.S. consumers' demand for sustainably managed forest products has surged in the past few years. In response, a growing number of retailers of home-building products—including Home Depot, the world's largest retail chain—have expressed an interest in buying their wood only from certified forests. Worldwide, the demand for certified wood products is increasing rapidly.

One area where forest conservation is particularly crucial is in British Columbia, along Canada's west coast, where the remaining stands of rare, old-growth forest and remarkable terrestrial diversity are threatened by the expansion of industrial forestry and clear-cut logging. Here, too, as a result of rising demand from Home Depot and other large commercial buyers, growing numbers of forest products companies are seeking to become certified. In response, the Forest Stewardship Council B.C., a project of the Tides Foundation, is defining regional certification standards that companies and conservation groups alike can support, while Ecotrust Canada is working with indigenous tribal communities and environmentally sensitive entrepreneurs to create sustainable economic alternatives to industrial logging along the coast. On the demand side, the Sierra Club of Western Canada is educating the public about logging activities and is building interest in the sustainable management of British Columbia's forests.

Complementing its work on behalf of endangered rainforests, the Fund pursues protection of the world's marine biodiversity. In the United States, the focus has been on bringing a conservation voice to the national fisheries management system. This system, under which eight regional councils devise plans for the responsible use of these resources and the National Marine Fisheries Service maintains oversight, relied until recently on short-term, bottom-line thinking. Now, however, biological concerns are assuming a higher priority, and a shift is occurring toward long-term conservation-minded stewardship. This changing attitude—as well as reductions in catch levels and protection for critical marine habitats—is largely the result of efforts by a network of groups, funded by a series of 1999 grants, working in all eight management council regions.

Safeguarding marine resources is also central to Sustainable Resource Use grantmaking in Asia, although the strategies employed are different. In 1999, the Fund continued to focus on building coastal management capacity in the government and nongovernmental sectors in both the Philippines and Indonesia, through grants to ICLARM (the International Center for Living Aquatic Resources/Management) and the Bogor Agricultural University, respectively. Through grants to the Muslim Scholars Association, Telapak Foundation, and JALA Foundation, the RBF expanded its support for efforts to halt destructive fishing practices in the region, such as dynamite fishing, the use of cyanide in the live reef fish trade, and inshore trawling.

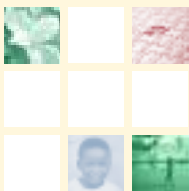
The RBF also has a major program interest in the sustainable development of the Mekong River basin, whose biodiversity is second only to that of the Amazon. Mekong River fisheries are a vital source of protein and income for communities along the length of the river, but this resource is under severe pressure. The development of hydropower dams and irrigation facilities is wreaking havoc on fish migrations; pesticide runoff and other pollutants are harming fish stock replenishment; and the increasing number of commercial fishing operations is causing localized overfishing. Large-scale resettlement of communities and families is undermining the community-based resource management systems that have for centuries governed access to forests and fields as well as to fish. Yet secure access to natural resources is key to sound stewardship of the Mekong and its watershed. The 1999 meeting of the Asia Resource Tenure Network, a group of young scholar-activists, addressed these issues and highlighted ways of providing communities with access to, control over, and options for more sustainable management of, their marine and terrestrial resources. The RBF grant that funded this meeting, made to the National University of Laos, is also

COMMUNITY REVITALIZATION

In recent years the Fund's sustainable resource use grantmaking in Central and Eastern Europe (CEE) has increasingly focused on supporting indigenous efforts to reverse trends of automobile dependency, mass transit deterioration, mega-mall construction, and other manifestations of what Americans now call "sprawl." These trends are contributing to the undermining of local economies and to the destruction of natural and built environments throughout the region. It is expected that the large amounts of pre-accession funding from the European Union that are now becoming available in CEE will accelerate such trends in the years immediately ahead. To help in this arena, the RBF is working to strengthen the growing number of citizens' groups that recognize the danger of sprawl and seek instead to promote community revitalization—the design and implementation of a shared vision for the development of neighborhoods, villages, and towns. Since 1996, the RBF has made grants to a group of NGOs—including the U.S.-based Institute for Transportation and Development Policy, the Clean Air Action Group (Hungary), Prague Mothers (Czech Republic), and the Green Federation (Poland)—for initiatives that integrate real estate, transportation, and natural resources planning to make communities in CEE more livable. These initiatives are beginning to have positive effects, helping local citizens work with municipal officials and sometimes with local business enterprises to prepare compelling assessments of proposed land development and transportation projects and to offer appealing and persuasive bottom-up alternatives to the large-scale, top-down, and often "imported" development plans that are having such negative financial, social, and ecological impacts in the region.

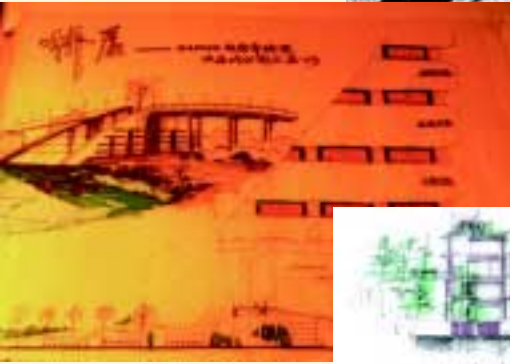
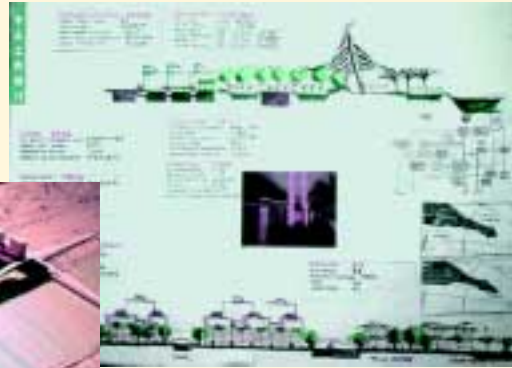
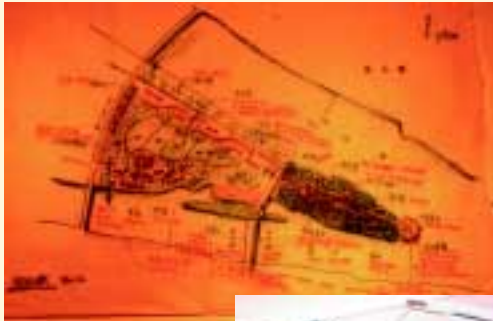


Despite powerful trends toward commercialization and sprawl, RBF grantees in Central and Eastern Europe are helping communities protect and build sustainable economies around their natural resources and cultural heritage.



CROSS-REFERENCE: Promoting change "from the bottom up" by building the organizational and advocacy capacities of community-based groups is a strategy employed in several RBF grantmaking programs, including Sustainable Resource Use, New York City, Nonprofit Sector, and South Africa.





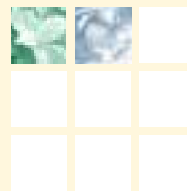
Charette participants (above) and sample design submissions.

GUANGDONG PROVINCE DESIGN CHARETTES



Over the past few years, a number of Chinese provinces have experienced extraordinary rates of economic growth, with problematic and well as beneficial consequences. Guangdong Province, for example, now finds itself facing an entirely new set of air quality, food security, and housing challenges as a result of its economic expansion. To help address these challenges, the RBF made a grant in March 1999 to the Chinese University of Hong Kong (CUHK) for a collaborative effort by the CUHK, the American Institute of Architects' Environment Committee, the Zhongshan County

Government (in Guangdong), the Chinese Ministry of Construction, members of the Hong Kong Legislative Council, and property developers from both Hong Kong and Guangdong to convene a series of workshops—"design charettes"—to upgrade the sustainability, attractiveness, convenience, and energy efficiency of residential and commercial building design in Guangdong Province. The "design charette" is a team-based, iterative approach to architectural planning which takes an interdisciplinary and functional approach to design instead of the "signature building" approach often taken by developers and architects themselves. Charettes are increasingly used by landscape ecologists and municipal planners as a tool for exploring and understanding aesthetic values or "sense of place."



CROSS-REFERENCE: The increased cross-border flow of goods and investments associated with economic globalization has helped to spur the rapid pace of change in Guangdong

Province. Economic integration is a focus of the RBF's Global Security program, one strategy of which seeks to address the challenge of economic integration by supporting efforts to understand, adjust to, and steer that process, with an emphasis on approaches that serve of the goals of justice, sustainable development,

supporting the creation of environmental research projects in collaboration with other universities in the Mekong region.

TRANSFORMING COMMUNITIES

In Central and Eastern Europe, the major environmental challenge is to counter intense market-driven pressures for resource exploitation and commercial development. However, the special circumstances of the region—long years of top-down decision making and mutual suspicion among the various sectors of society and a legacy of fragmentation—have created obstacles to the development of sustainable resource use initiatives.

In pursuing the goal of environmental protection in the region, the RBF has been supporting three cross-disciplinary, comprehensive, and complementary grassroots approaches. They are *community revitalization* (the design and implementation of a common vision for neighborhoods, villages, and towns), *sustainable land stewardship* (the pursuit of rural economic development in conjunction with biodiversity protection and maintenance of traditional connections to the land), and *balanced transportation planning* (attention to the maintenance and enhancement of low-pollution, energy-efficient railroads and other public transit systems, as well as to roads and highways). Under all three approaches, diverse stakeholders and interest groups, including business people, municipal officials, environmentalists, historic preservationists, and youth leaders, come together to identify common goals and pursue strategies to benefit their communities and safeguard their physical and cultural heritage.

A timely and independent assessment of these three approaches in the region is the current focus of a project of the Conservation Fund, which is examining efforts by nonprofit and public agencies, working in cooperation with local businesses, to promote sustainable conservation strategies. In addition to reviewing grassroots planning and action in Poland, the Czech Republic, Slovakia, and Hungary, the assessment will produce case studies of community-based civic engagement and cross-sectoral cooperation.

The three approaches are also at the heart of a model of grassroots cooperation undertaken by Prague Mothers and more than 30 other citizens' groups in response to a master land-use plan for the city that was prepared by city engineers and other experts without input from community representatives and that features the construction of multilane highways and the rezoning of areas to accommodate the development of malls. With a grant from the Fund, this coalition is strengthening its analysis of the city's plan and educating municipal officials and the public about an alternative approach and the merits of sustainably oriented planning.

Elsewhere in Central and Eastern Europe, several community organizing groups, two of them in Slovakia, received RBF support in 1999 to continue their work. A-projekt brings together citizens in villages and rural areas to formulate common goals and to design and implement comprehensive sustainable economic development projects, while Citizens Action-Center for Community Organizing trains community groups in grassroots organizing in individual neighborhoods and encourages greater cooperation and networking. In Poland, the Support Office for the Movement of Social Initiatives Association, known as BORIS, is a service center for government agencies and NGOs that is encouraging local citizens of all ages and from all segments of society to work together to identify, analyze, and solve local community challenges, which typically include environmental problems. Support is also going to the European Centre for Ecological Agriculture and Tourism, which preserves Poland's rural cultural and natural resources and promotes sustainable farming. The center is working with small farmers to help them devise a range of income-generating alternatives to agricultural production, including ecologically oriented tourism and food processing.

A keystone of the Sustainable Resource Use program in the region is the Environmental Partnership for Central Europe, launched in 1990 by the RBF, the German Marshall Fund of the United States, the Charles Steward Mott Foundation, and other funders to nurture community-based efforts in Poland, the Czech Republic, Slovakia, and Hungary. The partnership, which provides small grants, technical assistance and training, and independent policy analysis for NGOs and municipal governments, has comprised four offices that have become independent foundations in each of the countries. Under a 1999 grant to the fund, the partnership model is being adapted to Romania, where growing numbers of citizens are seeking better ways to solve environmental problems and are ready to be more actively engaged in the problem-solving process.

SUSTAINABLE RESOURCE USE • 1999 GRANTS

GLOBAL

AMERICAN LITTORAL SOCIETY

Sandy Hook-Highlands, New Jersey \$50,000 over 2 years

For its Reefkeeper International project, which centers on overfishing and habitat protection in the Caribbean.

ECOTRUST CANADA

Vancouver, Canada \$200,000 over 2 years

For efforts to foster a conservation-based economy along the north coast of British Columbia, which holds the world's largest undisturbed tract of coastal temperate rainforest.

FOREST STEWARDSHIP COUNCIL

Oaxaca, Mexico \$100,000 over 2 years

General support to strengthen FSC International, which is at the center of a growing network of organizations that accredit on-the-ground certification of sustainable forestry practices around the globe.

SIERRA CLUB OF WESTERN CANADA FOUNDATION

Victoria, Canada \$125,000 total

\$75,000 toward an outreach project to educate British Columbians about the endangered status of their coastal temperate rainforests.

\$50,000 for its efforts to support the development of sustainable forest management standards in British Columbia.

WILD SALMON CENTER

Edmonds, Washington \$38,000

For its Pacific Rim Salmon Project.

TIDES CENTER

San Francisco, California \$60,000 over 2 years

For its project, Asia Pacific Environmental Exchange, which aims to improve the economic literacy of environmental and development-related Asian NGOs.

EAST ASIA

BOGOR AGRICULTURAL UNIVERSITY

Bogor, Indonesia \$50,000

For the planning phase of a national training course on integrated coastal management in Indonesia.

CENTER FOR RESOURCE SOLUTIONS

San Francisco, California \$20,000

For its International Project for Sustainable Energy Paths, to work with the Chinese Ministry of Foreign Affairs on climate policy and new energy options.

CHINESE UNIVERSITY OF HONG KONG

Hong Kong, China \$50,000

For a series of urban architecture workshops to upgrade the sustainability and energy efficiency of residential and commercial building design in the Guangdong Province.

COUNCIL ON RENEWABLE ENERGY IN THE MEKONG

Phitsanulok, Thailand \$40,000

Renewed general support for the organization, which is an indigenous source of information on renewable energy in the Mekong River basin region.

CULTURE AND ENVIRONMENT PRESERVATION ASSOCIATION

Phnom Penh, Cambodia \$20,000

For general support of the association, which is Cambodia's first indigenous NGO focused on environmental issues.

DUTA AWAM FOUNDATION

Solo, Indonesia \$25,000

Toward its project to monitor the World Bank's Integrated Swamps Development Project.

FOCUS ON THE GLOBAL SOUTH

Bangkok, Thailand \$255,000 total

\$15,000 for an international conference, "Economic Sovereignty in a Globalizing World," to discuss a new international financial architecture.

\$240,000 over 3 years for support of its Micro-Macro Linkages Program work in the Mekong River basin.

GLOBAL WITNESS

London, United Kingdom \$20,000

For investigations of illegal logging in Cambodia.

HARIBON FOUNDATION FOR THE CONSERVATION OF NATURAL RESOURCES

Quezon City, Philippines \$6,000

For its work on behalf of community-based marine protected areas in the Philippines.

INSTITUTE FOR DEVELOPMENT ANTHROPOLOGY

Binghamton, New York \$11,000

For a set of training seminars on the social dimensions of hydrological change in the lower Mekong River basin.

INSTITUTE FOR FOOD AND DEVELOPMENT POLICY

Oakland, California \$35,000

For a South-to-South development initiative to promote organic agricultural systems in Laos, drawing on the experience and expertise of Cuba.

INTERNATIONAL CENTER FOR LIVING AQUATIC RESOURCES MANAGEMENT

Los Banos, Philippines \$30,000

For support of Indonesia's coastal management training efforts, and for outreach to Malaysia on future regional collaboration in coastal management training.

INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION

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

For new approaches to energy-sector development in Southeast Asia.

INTERNATIONAL INSTITUTE FOR RURAL RECONSTRUCTION

New York, New York \$20,000

In support of the strategic planning process for the institute, which is dedicated to improving the quality of lives of the rural poor in developing countries through rural reconstruction—a sustainable, integrated, people-centered development strategy generated through practical field experiences.

INTERNATIONAL RIVERS NETWORK

Berkeley, California \$180,000 over 3 years

For continued support of its Mekong Program, which examines impacts of resettlement programs and hydrodevelopment on biodiversity, food security, resource tenure, and human rights.

ISAR

Washington, D.C./Vladivostok, Russia \$42,000

For a media outreach and public education initiative on marine issues in the Russian Far East.

JALA FOUNDATION

Medan, Indonesia \$50,000 over 2 years

For support of its work on integrated coastal management in Sumatra.

KHAO KWAN FOUNDATION

Suphanburi, Thailand \$90,000 over 3 years

For its Organic Competency Project, which is designed to promote sustainable agriculture in Thailand.

LAJNAH KAJIAN PENGEMBANGAN SDM

Lakpesdam, Thailand \$18,300

For the anti-destructive fishing program of its Working Group on Human Resource Development.

MUSLIM SCHOLARS ASSOCIATION

Jakarta, Indonesia \$18,300

Toward workshops to address the problems of destructive fishing and introduce coastal management precepts to Muslim community leaders in Indonesia.

NATIONAL UNIVERSITY OF LAOS

Vientiane, Laos \$100,000 over 2 years

For training and scholarship support to the university and for the fourth meeting of the Asia Resource Tenure Network, to address local, national, and transboundary resource tenure issues in the Mekong River basin that have an impact on watershed and land resource tenure.

NAUTILUS OF AMERICA

Berkeley, California \$80,000 over 2 years

For its project, Environmental Scenarios After the Asian Crisis, which uses scenario building to think broadly and creatively about Asia's environmental future.

NORTHERN DEVELOPMENT FOUNDATION

Chaing Mai, Thailand \$30,000

For the Southeast Asia Rivers Network, which will develop a regional network on hydrodevelopment, resettlement, and river management issues.

PACIFIC ENVIRONMENT AND RESOURCES CENTER

Oakland, California \$120,000

For efforts to build the capacity of environmental NGOs in the Russian Far East.

PESTICIDE ACTION NETWORK**NORTH AMERICA REGIONAL CENTER**

San Francisco, California \$100,000 over 2 years

For a survey of the impacts of private sector and World Bank lending on pesticide-use patterns in rural China.

TIDES CENTER

San Francisco, California \$50,000

For its project, Environmental Media Services, which is undertaking a media education program in China on the threat of global warming and on advances in sustainable energy and transportation systems.

WETLANDS INTERNATIONAL-ASIA PACIFIC

Petaling Jaya, Malaysia \$20,000

For the planning phase of a program of coastal zone management, mangrove rehabilitation, and shrimp industry reform in Surat Thani province, Thailand.

YUNNAN ACADEMY OF SOCIAL SCIENCES

Kunming, China \$50,000 over 2 years

For efforts by the academy's Institute of Rural Economy to develop community consultation mechanisms regarding resource access and land tenure rights in southwest China.

YUNNAN INSTITUTE OF GEOGRAPHY

Kunming, China \$15,000

For support of an international symposium, "Towards the Cooperative Utilization and Coordinated Management of International Rivers."

CENTRAL AND EASTERN EUROPE**A-PROJEKT**

Liptovsky, Slovakia \$120,000 over 3 years

For general support to strengthen the organization, which strives to increase civic engagement in the sustainable economic development of local communities in the Liptov region.

THE CONSERVATION FUND

Arlington, Virginia \$20,000

For a report on integrative community-based approaches to encouraging the healthy and environmentally sound transformation of countries in Central and Eastern Europe.

ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE – CZECH OFFICE

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

For a collaborative transportation reform program to formulate a strategic vision for transportation planning in the Czech Republic that emphasizes sustainability.

EUROPEAN CENTRE FOR ECOLOGICAL AGRICULTURE AND TOURISM – POLAND

Stryszow, Poland \$50,000 over 3 years

For efforts to help rural people remain on small farms in Poland by strengthening the socioeconomic position of farmers whose practices are ecologically sound.

GERMAN MARSHALL FUND OF THE U.S.

Washington, D.C. \$217,500 over 3 years

To launch an Environmental Partnership program in Romania, which will make small grants to local NGOs for projects that engage local people in solving community and environmental problems.

GLYNWOOD CENTER

Cold Spring, New York \$17,500

To help defray costs of a training program for senior managers of national parks in Central and Eastern Europe.

PRAGUE MOTHERS

Prague, Czech Republic \$20,000

Toward its project, SOS Prague.

UNITED STATES

ALASKA CONSERVATION FOUNDATION

Anchorage, Alaska \$100,000
Toward improved communications and fundraising capacities for the foundation.

ALASKA MARINE CONSERVATION COUNCIL

Anchorage, Alaska \$140,000 over 2 years
Toward its fisheries management reform project in the North Pacific region.

AMERICAN COUNCIL FOR AN ENERGY EFFICIENT ECONOMY

Washington, D.C. \$100,000 over 2 years
For efforts to reduce domestic greenhouse gas emissions by improving appliance standards and increasing reliance on cogeneration, which uses waste heat to produce energy.

AMERICAN LANDS ALLIANCE

Washington, D.C. \$220,000 total
\$20,000 for a study of the forest products industry in Chile (where one-fourth of the world's remaining temperate rainforest lands are found) in order to inform international initiatives seeking to protect coastal temperate rainforests.

\$200,000 over 2 years for its global temperate rainforest network and for efforts to educate forest conservation advocates about sustainable forestry.

AMERICAN OCEANS CAMPAIGN

Sandy Hook-Highlands, New Jersey \$160,000 over 2 years
For its project, the Marine Fish Conservation Network, which helps coordinate national strategy on fishery management reform.

CAPE COD COMMERCIAL HOOK FISHERMAN'S ASSOCIATION

West Chatham, Massachusetts \$70,000 over 2 years
For its fishery management reform project in New England.

CENTER FOR MARINE CONSERVATION

Washington, D.C. \$420,000 over 2 years
For its collaborative project on fishery management reform in the mid-Atlantic, South Atlantic, Gulf of Mexico, and Pacific regions.

CENTER FOR RESOURCE ECONOMICS

Washington, D.C. \$100,000 over 2 years
To support publication of two books that document the economic benefits of greenhouse gas emissions reductions.

CLEAN AIR – COOL PLANET

Portsmouth, New Hampshire \$100,000
For its Northeast Climate Initiative.

CLIMATE NEUTRAL NETWORK

Underwood, Washington \$25,000
For an innovative effort to mitigate greenhouse gas emissions.

CONSERVATION LAW FOUNDATION

Boston, Massachusetts \$100,000 over 2 years
For a collaborative project to reform fisheries management in New England.

CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY

San Francisco, California \$45,000 over 2 years
General support and for a project to assess threats to and strategies for conservation of biodiversity on private forest lands in the U.S.

EARTH DAY NETWORK

Seattle, Washington \$125,000
General support of its Earth Day 2000 campaign, to help detail practical and cost-effective opportunities for reducing greenhouse gas emissions.

GLOBAL ENVIRONMENT AND TECHNOLOGY FOUNDATION

Annandale, Virginia \$100,000 over 2 years
For its new Center for Energy and Climate Solutions, to help American industry profitably reduce greenhouse gas emissions.

GREEN BUILDING FUND

San Francisco, California \$14,000
For efforts to design a national strategy to reduce energy consumption in commercial buildings and thereby reduce greenhouse gas emissions.

GREEN SEAL

Washington, D.C. \$25,000
For a study of the links between consumer products manufacturing and biodiversity loss, which will allow the organization to identify specific products that merit its seal of approval.

GREEN HOUSE NETWORK

Lake Oswego, Oregon \$20,000
To promote college student engagement on global warming issues.

HAWAII AUDUBON SOCIETY

Honolulu, Hawaii \$120,000 over 2 years
For its fishery management reform project in the Western Pacific.

INTERNATIONAL COUNCIL FOR LOCAL ENVIRONMENTAL INITIATIVES USA

Berkeley, California \$100,000 over 2 years
To expand the impact of its Cities for Climate Protection program, which helps municipalities develop plans for cost-effective greenhouse gas reductions.

INTERNATIONAL FORUM ON GLOBALIZATION

San Francisco, California \$15,000
For a retreat, in collaboration with the American Lands Alliance and the Pacific Environment and Resources Center, to educate forest conservation advocates and NGO leaders about the environmental consequences of increased trade in forest products.

INTERSTATE RENEWABLE ENERGY COUNCIL

Latham, New York \$60,000 over 2 years
For continued support of efforts to create uniform pricing and interconnection standards for household and business-based renewable energy systems.

IZAAK WALTON LEAGUE OF AMERICA

Gaithersburg, Maryland \$80,000 over 2 years
For efforts to evaluate sustainable forest management practices on industrial forest lands in the U.S.

NATIONAL FISH AND WILDLIFE FOUNDATION

Washington, D.C. \$60,000 over 2 years

Toward the development of performance benchmarks for sustainable forestry.

NATURAL RESOURCES DEFENSE COUNCIL

New York, New York \$80,000 over 2 years

For the SeaWeb Salmon Aquaculture Clearinghouse project, which educates communities and decision makers about the harmful impacts of open-pen net salmon aquaculture.

NEW ENGLAND AQUARIUM CORPORATION

Boston, Massachusetts \$60,000 over 2 years

For its New England Fishing Communities Organizing Project.

OPEN SPACE INSTITUTE, INC.

New York, New York \$15,000

In support of the Northern Forest Conservation Policy Initiative, which is aimed at protecting 26 million acres of privately owned forest land in the northeastern United States.

PACE UNIVERSITY

New York, New York \$75,000

Toward the media and public education budget of its Clean Air Task Force, whose work focuses on cleaning up dirty power plants, which account for one-third of the country's annual greenhouse gas emissions.

PACIFIC MARINE CONSERVATION COUNCIL

Astoria, Oregon \$100,000 over 2 years

For fishery management reform work in the Pacific.

PEOPLE FOR PUGET SOUND

Seattle, Washington \$120,000 over 2 years

For an effort to design and implement a comprehensive system of marine protected areas in the northwest straits of Puget Sound.

PINCHOT INSTITUTE FOR CONSERVATION

Washington, D.C. \$35,000

For support of its work on state forest land certification.

POSITIVE FUTURES NETWORK

Bainbridge Island, Washington \$20,000

Toward publication of a special issue of its *YES!* magazine, devoted to global warming.**PUBLIC POLICY AND EDUCATION FUND OF NEW YORK, INC.**

New York, New York \$13,000

Toward a conference at Pocantico on park finance and the creation of new parkland.

ROCKEFELLER FAMILY FUND

New York, New York \$100,000 over 2 years

To launch its Technology Project's Internet-based effort to build consumer demand for more fuel-efficient automobiles.

SEAWEB

Washington, D.C. \$80,000

To the SeaWeb Salmon Aquaculture project.

SURFACE TRANSPORTATION POLICY PROJECT

Washington, D.C. \$100,000

Toward efforts to increase media coverage of transportation reform issues and options.

TIDES FOUNDATION

San Francisco, California \$50,000

For its Forest Stewardship Council of British Columbia initiative, which is working to define credible certification standards for sustainable forest management in British Columbia.

TRUSTEES OF TUFTS COLLEGE

Medford, Massachusetts \$100,000 over 2 years

For the Northeast Climate Initiative, to encourage regionwide adoption of cost-effective measures to reduce greenhouse gas emissions.





PROGRAM GUIDELINES

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 (North America, East Asia, Central and Eastern Europe, and southern Africa), the Fund will pursue four mutually reinforcing strategies.

STRATEGIES

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

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

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

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

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

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

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

IMPLEMENTATION: Grantmaking is expected to focus initially on two such challenges. The first is the global trade in small arms; strategies for managing this threat will necessarily differ from those employed in traditional arms control regimes. The second is the penetration of criminal networks into state structures and transnational business activity, a threat whose extent and consequences are not yet fully understood and whose curtailment exceeds the capacity and mandate of existing institutional arrangements.

Global Security



The challenge of promoting world harmony is a complex and formidable one in today's rapidly changing, increasingly interdependent world. Through its grantmaking, the RBF supports efforts to improve the cooperative management of transnational threats to global stability, sustainable economic growth, and equitable human development. The Fund's program thus combines an emphasis on improving the means and processes by which transnational problems are addressed (what are sometimes called "governance" issues) with an emphasis on serving certain mutually reinforcing goals or ends—justice, sustainable development, and peace.

The Global Security program strategy of constituency building, for example, seeks to enable the U.S. to make more effective contributions to international problem solving (governance) by improving public and policymaker understanding of the ethical as well as the practical implications of global interdependence. The strategy of increasing the transparency and inclusiveness of transnational decision making also combines an interest in improving governance with an interest in justice, and in promoting economic, social, and military stability by incorporating into policymaking processes the perspectives of those whose lives and livelihoods are profoundly affected by the resulting policies. These interests are also embodied in the strategy of addressing challenges of economic integration, where a focus on the decision making dynamics of specific regions is combined with a focus on steering the process of integration toward culturally and environmentally appropriate outcomes.

Most of the Global Security grants awarded in 1999 went to advance the first two of these strategies.

CONSTITUENCY BUILDING

Recognizing that the United States has an essential role to play in the cooperative management of transnational threats and challenges, the Fund supports projects that help policymakers and the general public in this country to "think internationally," to see connections among global issues and between global and local affairs, and to appreciate the need for sustained U.S. involvement in solving global problems. At the heart of this strategy is the Fund's support for the Global Interdependence Initiative, a long-range project based at the Aspen Institute. The initiative brings together representatives of foundations, environmental and humanitarian NGOs, multilateral agencies, and business and labor groups in a cross-sectoral, cross-thematic attempt to strengthen U.S. public and political constituencies for an approach to international engagement that is more cooperative, generous, and balanced in its commitment to the goals of military security, economic well-being, and social and environmental stewardship.

Public radio—a high percentage of whose listeners hold leadership positions in their communities and workplaces—represents a potentially powerful medium for informing the public about global concerns and related policy challenges. One of the programs that comes closest to realizing this potential is *The World*, the only daily national radio news program in this country to focus exclusively on international

ABOUT THE GLOBAL INTERDEPENDENCE INITIATIVE

The Global Interdependence Initiative is a ten-year cross-sectoral effort to design and deploy new ways of communicating about global issues to the American public and policymakers. It seeks to devise a framework of themes and messages that will raise the salience of global concerns; activate the public's latent support for international cooperation; and promote the acceptance, by public and policymakers alike, of a broader definition of foreign policy—a definition that includes sustainable human development objectives as well as military security and economic prosperity. In creating such a framework, the initiative also hopes to enable a wide variety of citizens' groups to advance specific global causes (whether it be ecosystem protection or human rights, women's and children's health or nuclear disarmament, fair labor practices or support for the United Nations) within a coherent and

Rockefeller Foundation, and an anonymous donor. The Benton Foundation also played an important role in the development of this project. At the heart of the initiative is a Working Group of environmental and humanitarian NGOs, business and labor groups, and other organizations whose leaders are both providing guidance to the initiative and learning lessons from it that might be applied to their own outreach efforts. In its first year, the initiative commissioned extensive strategic communications research, under the direction of the FrameWorks Institute, with the goal of better understanding what Americans currently believe about global issues and about the U.S. role in the world, why Americans believe what they do, and how to communicate more effectively with the American public about international problems and approaches to their



David Skaggs (left) and Princeton Lyman (right), former and present Executive Directors of the Global Interdependence Initiative, with the RBF's Colin G. Campbell (president) and Priscilla Lewis (program officer), at the Pocantico Conference Center.



Axel Aubrun, Joseph Grady, and Margaret Bostrom (FrameWorks Institute).



Susan Nall Bales, president of FrameWorks Institute.

powerful worldview according to which international cooperation and investment in social and environmental stewardship are natural, appropriate responses to global problems.

Planned with extensive RBF involvement during 1997-1998 and formally launched at the Aspen Institute in January 1999, the initiative is currently funded by the RBF, the Ford Foundation, Carnegie Corporation, the John D. and Catherine T. MacArthur Foundation, the

solution. While the results of this research are still unfolding, several initial findings are worthy of note. For example:

1. The public cares about the “global interdependence” issues of human development and environmental stewardship; in fact, the public's model of the world and America's role in it is defined as much by social and moral values as by considerations of narrow self-interest.

2. The public does not know whom or what to blame for the global problems about which it is concerned, nor does it know whom to hold accountable for their resolution; these limitations in public understanding are reflections of the episodic, crisis-driven nature of media coverage of international affairs — the world as “global mayhem.” More of this kind of attention to global issues should not necessarily be sought or welcomed by advocates for international causes, since the only action that can result from global mayhem is charity for victims (“fixing the person”), not systemic efforts to prevent problems and promote well-being (fixing the condition).

reminding people of *local* environmental issues and initiatives. Talking about the environment also seems to be a particularly effective way of priming people to think in terms of *cooperative* approaches to global problem solving.

Early applications of these and other research findings to the communications efforts of selected Working Group members should be possible by fall 2000, with a full set of communications recommendations and tools ready for use by Working Group members and other initiative partners in early 2001.



Working Group member Peter Bell (CARE).



Jessica Mathews (Carnegie Endowment for International Peace) and Melissa Berman (The Conference Board), Working Group members.



William Luers (United Nations Association) and Frank Tugwell (Winrock International), at rear, with Lois Barber (EarthAction) in foreground, all members of the Working Group.

3. It is not necessarily the case that linking global issues to domestic issues is the best way to raise the salience of international concerns in people’s minds, despite the apparent logic of that suggestion. A new survey undertaken by the research team suggests that talking first about the *global* environment, for example, is a far more effective way of “priming” people to assert the importance and urgency of all sorts of international issues (including environmental problems) than is



CROSS-REFERENCE: Constituency building is a strategy employed in several RBF program areas (and indeed, education of both leaders and publics is one of the “touchstones” of the Fund’s grantmaking). In New York City, for example, attention is focused on

building constituencies for the improvement of public schools; under the Sustainable Resource Use program heading, increased public support for efforts to mitigate climate change is a goal. The Arts and Culture program seeks to build greater public understanding and appreciation of a wide range of traditional and contemporary art forms.

events. Under a 1999 grant, Public Radio International, which produces *The World* jointly with WGBH-Boston and BBC World Service, is building staff capacity to design and produce programs that cross content areas, link local concerns with global ones, and explore the broad implications of global interdependence.

The World is a marked exception to the rule in media coverage of global issues. Especially on network television, international news occupies a small and declining share of programming. In the absence of sustained media attention to world affairs, interested members of the public as well as policymakers and their advisors are turning increasingly to the Internet. This technology benefits NGOs, not only by providing them with a channel to reach new audiences directly but also by offering them access to new forms of journalism that build on the knowledge and networks of NGO sources and provide a platform for voices from developing countries. OneWorld Online Ltd., based in the United Kingdom, publishes online information on global issues. Its “supersite” (at www.oneworld.org) is an Internet portal that encompasses the sites of 350 NGO partners and is accessed from over 120 countries. More than just an aggregator of information, the site organizes and annotates resources, offers reporting and commentaries, and publishes the work of independent writers. With RBF support, the Benton Foundation is helping to create a separate OneWorld U.S. service that will provide a gateway to NGO websites and independent reporting that addresses humanitarian, environmental, and development issues of concern to U.S. audiences.

The media (including new media) are not the public’s only source of information about global issues; community-based and national opinion leaders can play a role as well in building constituencies for cooperative international engagement. At a time when global and local concerns increasingly intersect, and as distinctions between “foreign” and “domestic” become less clear, state officials also represent an important source of leadership and influence on attitudes towards international engagement. States are becoming increasingly active on the international front, endorsing global norms and addressing cross-cutting issues including trade, immigration, labor, the environment, and public health. The Center for Policy Alternatives, a nonpartisan public policy and leadership development organization, received RBF funding in 1999 to launch the Eleanor Roosevelt Global Leadership Institute. Through interactive instruction, dialogue, and retreats, state elected officials participating in the institute will acquire an understanding of global interdependence and its impacts on people’s daily lives and local neighborhoods. Through state-level policy debates and through outreach to other opinion leaders at the state and national level, they also will be encouraged to devise and present visions for integrating global and domestic agendas. The ultimate aim is to create a cohort of state leaders with a transnational perspective and a commitment to global stewardship and cooperative international engagement.

Given the growing sensitivity of local and regional communities to international developments and the corresponding potential for local or regional developments to dramatically affect world events, it is particularly unfortunate that so many members of the American public view U.S. foreign policy as an esoteric concern, the business of experts residing along the Boston-Washington corridor. California and the other western states, for example—a region whose demographics, economy, and public policy concerns already embody the emerging realities of an interdependent world—have until recently lacked significant institutions that might help organize and shape the region’s responses to world affairs. Now, however, appreciation of the need for such institutions is growing, and several organizations are working to inform and provide a forum for citizens interested in bringing their voices to bear on deliberations about international engagement. One such organization is the Pacific Council on International Policy, which helps civil society and corporate leaders throughout the western United States, in partnership with their peers from around the Pacific rim, understand and respond to global challenges. With RBF funding,

the council is expanding its membership, sharing the results of its activities, extending its constituency-building reach, and contributing western perspectives to regional, national, and international debates.

TRANSPARENCY AND INCLUSIVE PARTICIPATION

The World Trade Organization (WTO), created in 1994 as the successor to the General Agreement on Tariffs and Trade, is one of the world's most influential global policymaking institutions – and, its critics contend, one of the least transparent. During the months leading up to the WTO's Third Ministerial-level meeting in Seattle in 1999, a variety of development, labor, consumer, and environmental NGOs made the case for dramatic reforms of the global trading system and rules of the WTO. In addition to arguing that free trade must be coupled with consumer and environmental protections, they faulted the WTO's decision-making and dispute-resolution systems for being neither open nor responsive to the concerns of civil society. In Seattle the criticisms came to a head as roughly 700 organizations and 50,000 people staged protests that temporarily shut down the meeting.

While interpretations of events in Seattle vary widely, it is possible that the absence of progress in trade negotiations at the Ministerial meeting actually represented a kind of progress – toward a reassessment and discussion of some “first principles” of global governance, including the principles of transparency and inclusive participation and the goals of equity and sustainability that those principles serve. With this possibility in mind, the RBF began to develop several related strands of grantmaking that are intended, over time, to contribute to an assessment of the current system of governance for global trade, investment, and market liberalization; to assist in the development of a more positive vision of global governance that achieves greater coherence among economic, social, and environmental objectives; to build greater public understanding of global governance issues; and to support the effective participation of developing-country NGOs in global governance.

Four Global Security grants made in 1999 took initial steps in these directions. Grants were awarded to the World Affairs Council, for logistical support to the hundreds of NGO representatives from around the world who attended the WTO meeting in Seattle, and to the Tides Center, for efforts to help groups that are troubled by the narrowly defined and nontransparent nature of current trade negotiations to devise effective messages to communicate those concerns to the public and policymakers. A grant was also made to the Foundation for International Environmental Law and Development for efforts to develop options to ensure the incorporation within WTO deliberations of a full range of views on economic, social, and environmental issues. One suggestion, for example, is that a neutral body might be commissioned to assess the individual and cumulative non-trade impacts of all WTO actions on sustainable development. Finally, a grant to the Center for International Environmental Law is expected to help that organization create a conceptual and practical framework for a more representative WTO.

GLOBAL SECURITY • 1999 GRANTS

CONSTITUENCY BUILDING

ASPEN INSTITUTE

Washington, D.C. \$100,000 total

\$75,000 for its project, A Women's Lens on Global Issues, designed to test the hypothesis that women can become an influential new constituency for cooperative international engagement.

\$25,000 toward its new Democracy & Citizenship Program, which aims to improve civil dialogue and productivity in legislative bodies.

BENTON FOUNDATION

Washington, D.C. \$70,000

Toward the planning process for bringing *oneworld.org*—a “supersite” that organizes and annotates information resources and seeks to educate users about global issues—to the U.S.

CENTER FOR POLICY ALTERNATIVES

Washington, D.C. \$75,000

Toward planning the Eleanor Roosevelt Global Leadership Institute for state elected officials, which aims to develop a nonpartisan, geographically representative network of state elected leaders with a commitment to global stewardship and cooperative international engagement.

NEW AMERICA FOUNDATION

Washington, D.C. \$25,000

General support of its efforts to reshape public debate by promoting outstanding individuals and ideas that transcend the conventional political spectrum.

NEW SCHOOL UNIVERSITY

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

For the College Media Initiative of the UN Project at the university's World Policy Institute, which will expose student journalists to the work of the United Nations and NGOs.

OVERSEAS DEVELOPMENT COUNCIL

Washington, D.C. \$75,000

Toward the “American National Interests in Multilateral Engagement: A Bipartisan Dialogue” project.

PACIFIC COUNCIL ON INTERNATIONAL POLICY

Los Angeles, California \$225,000 over 3 years

For efforts to extend the council's constituency-building outreach and contribute western U.S. perspectives to regional, national, and international debates.

PUBLIC RADIO INTERNATIONAL INC.

Minneapolis, Minnesota \$260,000 over 2 years

To enlarge the staff and production capacity of *The World*, radio's only daily national news program designed specifically to deliver global news to Americans, so that it can explore the broad implications of global interdependence.

UNITED NATIONS ASSOCIATION OF THE UNITED STATES OF AMERICA

New York, New York \$50,000

A planning grant for an effort to coordinate nationwide public education activities and chapter capacity building around a central theme.

WORLD GAME INSTITUTE

Philadelphia, Pennsylvania \$100,000

To support the organizational transition of the institute, which works to identify, define, and solve global socioeconomic and environmental problems.

TRANSPARENCY AND INCLUSIVE PARTICIPATION

AMERICAN UNIVERSITY IN BULGARIA

Washington, D.C. \$7,000

For its conference, “Nationalism and Peace in the Balkans,” on the ideals of tolerance and peaceful coexistence among the youth of Europe.

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE

Washington, D.C. \$180,000

Renewed support for its project, Transparency and Transnational Governance, which evaluates the pros and cons of transparency's role in helping the world cope with challenges that do not lend themselves to resolution by traditional governance mechanisms.

CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW

San Francisco, California \$100,000 over 2 years

As a contribution toward a two-year project to develop a theoretical and practical framework for creating a more representative World Trade Organization.

CONFLICT MANAGEMENT GROUP

Cambridge, Massachusetts \$25,000

To help establish a Rapid Response Fund, designed to enable a prompt response to crises.

EASTWEST INSTITUTE

New York, New York \$25,000

Toward its ongoing activities to help the front-line states in southeastern Europe achieve consensus around a plan for humanitarian assistance, reconstruction, and regional cooperation and development.

FORDHAM UNIVERSITY

New York, New York \$25,000

Toward the Joseph R. Crowley Program in International Human Rights at Fordham Law School.

FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW AND DEVELOPMENT

London, United Kingdom \$20,000

Toward efforts to develop institutional reform options for the November 1999 World Trade Organization Ministerial agenda.

HARVARD UNIVERSITY

Cambridge, Massachusetts \$25,000

For an examination of foreign policy challenges in the Korean peninsula, to be conducted under the auspices of the university's Asia Center.

INSTITUTE FOR AGRICULTURE AND TRADE POLICY

Minneapolis, Minnesota \$225,000 total

\$200,000 over 2 years to support greater civil society participation in global standard-setting efforts.

\$25,000 for a project to educate state and local officials about the consequences of World Trade Organization negotiations for local governance.

INTERNATIONAL UNION FOR THE CONSERVATION OF NATURE AND NATURAL RESOURCES

Gland, Switzerland \$50,000

For general support of its project, the World Commission on Dams, which is attempting to set a new standards for transparency and inclusiveness in international policymaking, allowing a wide range of people the opportunity to present their views on past and future performance of large dams.

MASSACHUSETTS INSTITUTE OF TECHNOLOGY

Cambridge, Massachusetts \$25,000

For the "Mapping the Global Corporations" project of its Global History Initiative.

TIDES CENTER

San Francisco, California \$50,000

To its Environmental Media Services, for media outreach before and during the World Trade Organization Ministerial meeting in November 1999.

WORLD AFFAIRS COUNCIL

Seattle, Washington \$30,000

Toward efforts to provide logistical support for civil society representatives attending the November 1999 World Trade Organization Ministerial meeting.

EMERGING TRANSNATIONAL CONCERNS**GLOBAL WITNESS TRUST**

London, England \$150,000 over 2 years total

\$100,000 for its Angola Project and \$50,000 for its Cambodia Project, both of which educate the public about the links among environmental exploitation, conflict, and human rights crises.

TUFTS COLLEGE, TRUSTEES OF

Medford, Massachusetts \$5,000

For a workshop on legitimate industries that attract substantial pools of capital but have overall negative social consequences.

ECONOMIC INTEGRATION**GLOBAL ENVIRONMENT AND TRADE STUDY**

New Haven, Connecticut \$15,000

Toward a four-part breakfast series planned for the Seattle WTO ministerial.

INSTITUTE FOR HUMAN SCIENCES

Vienna, Austria \$300,000 over 3 years

For the institute's program, the Social Costs of Economic Transformation in Central Europe.

INSTITUTE FOR INTERNATIONAL ECONOMICS

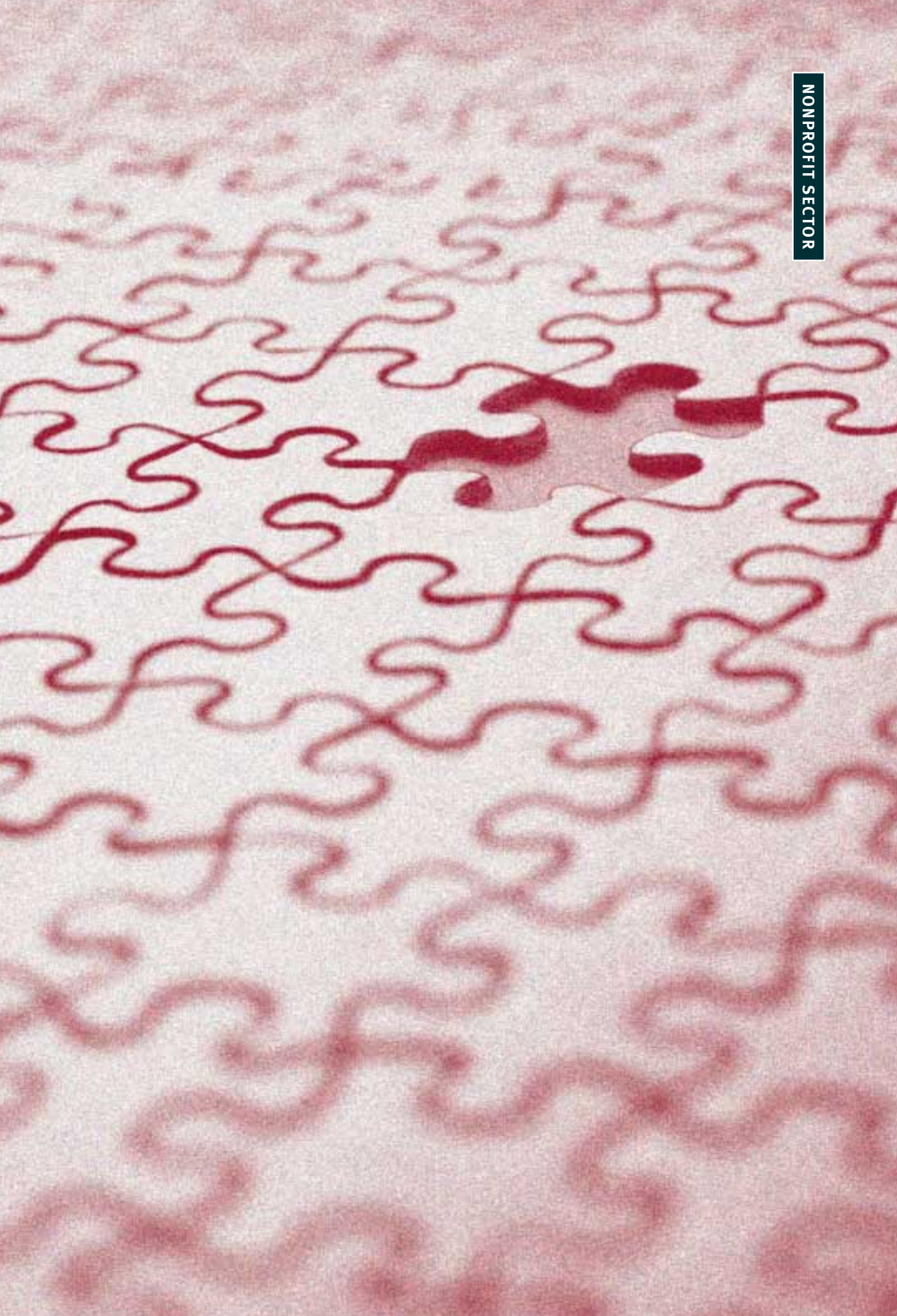
Washington, D.C. \$250,000 over 3 years

For three related projects on the policy and institutional implications for Asia of its financial crisis.

OTHER**PLOUGHSHARES FUND**

San Francisco, California \$50,000 over 2 years

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 concerns.





PROGRAM GUIDELINES

GOAL

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

STRATEGIES

DEVELOPMENT OF RESOURCES: Assisting in the development of the financial, human, and structural resources necessary to the nonprofit sector, with special attention to promoting the growth of philanthropy.

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

INCREASED UNDERSTANDING: Promoting increased understanding of the nonprofit sector and of nonprofit organizations and the diverse roles they play in society, with special attention to reaching both the general public and individuals actually engaged in nonprofit endeavors, and to fostering communication and networking among nonprofit organizations, internationally as well as domestically.

Nonprofit Sector



The global nonprofit sector — sometimes called the charitable sector or the third sector, sometimes subsumed under the heading of civil society, and sometimes equated with nongovernmental organizations, or NGOs — comprises a wide array of not-for-profit entities. Educational, scientific, religious, and cultural institutions, health and social welfare agencies, grassroots associations, grantmaking foundations: these private, voluntary organizations deliver services, address citizens' spiritual and creative needs, advocate for social change, promote democratic values, and encourage altruism. All are committed in some way to serving the general welfare.

Many U.S. foundations support nonprofit organizations, but the RBF is among the few with a specific grantmaking program dedicated to promoting the health and vitality of the sector itself, especially in regions where the Fund is active (primarily the United States, Central and Eastern Europe, and East Asia). In 1999, through grants awarded in the U.S. and in Central and Eastern Europe, the Fund supported efforts to encourage charitable giving, help nonprofits address their financial and organizational challenges and collaborate with one another, and promote adherence to the legal, financial, and ethical standards that govern nonprofit practice.

RESPONDING TO A CHANGING CONTEXT

One of the most noteworthy recent developments in the U.S. nonprofit sector is the emergence of newly wealthy entrepreneurs, a growing number of whom are turning their attention to philanthropy. Despite much discussion and speculation about these actual and potential donors, there is little rigorous information about them, or about the philanthropic advisory services they are receiving or would like to receive. The Philanthropic Initiative, which designs and manages charitable giving programs for individuals, foundations, and corporations, is launching a research effort to fill this void. The project — which includes a survey of independent and community foundations, regional associations of grantmakers, and private banks and interviews with selected philanthropic leaders, independent philanthropy consultants, and donors — will result in an inventory of information that identifies the new players and their needs, as well as philanthropic services now available.

Paralleling this growth in actual and potential donors is an upsurge in the number of nonprofit groups that are seeking charitable support, a growth that has intensified the pressure on nonprofits to manage their operations more effectively and efficiently and has fueled a demand for strategic consulting services. This demand is unlikely to be met by the existing universe of available consultants, which consists of two broad categories. Firms and individual practitioners that serve nonprofit groups understand and are committed to the sector, but the scale of their operations tends to be relatively small and the scope of their operations narrow. In contrast, most large consulting firms are committed to a broad range of for-profit industries and are too expensive for nonprofits to engage on a full-fee basis. Because their work

IMPROVING ETHICAL STANDARDS AND ACCOUNTABILITY



Rushworth M. Kidder

The rapidly changing dynamics of the nonprofit sector—including new opportunities and expectations for cooperation with business and government—are raising new ethical questions for nonprofit boards and staff members. In addition to confronting the standard questions that arise in any organizational context (questions pertaining to hiring, layoffs, harassment, gender equity, regulatory reporting, and so forth), nonprofits face a host of questions that are particularly acute in their sector, including those having to do with conflicts of interest, nepotism, the importance of transparency and accountability, and the need to balance financial viability with

commitment to mission and ensure fairness in the delivery of services. Meanwhile, says Rushworth M. Kidder, founder and president of the Institute for Global Ethics (a 1999 RBF grantee) the public has high expectations for the conduct of the nonprofit sector—higher than for the conduct of for-profit organizations or the government.



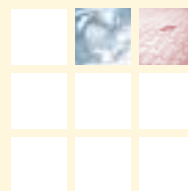
Along with other sectors of society, nonprofit groups have in recent years become increasingly sensitive to questions of right and wrong. Yet according to Kidder, few nonprofits have the tools necessary for understanding, and thinking clearly about, ethics.



As a result, they tend not to appreciate the full range of situations that could rightly be called “ethical”—and mistakenly believe that they operate in an arena where ethics has little or no role to play.

While, for example, nonprofits are familiar with “right versus wrong” challenges (where people are urged to depart from their core values and do something unethical), they may not see that “right versus right” challenges (where two core values come into conflict and produce wrenching choices) are also ethical. As an example of a “right versus right” challenge, imagine a foundation that must choose between selling underdeveloped property into a booming real estate market, thereby earning high returns for its endowments and increasing its capacity to fund important work, or foregoing financial gain in consideration of local environmental concerns. Hard choices, as Kidder says, do not necessary involve professional codes or criminal laws: ethics may be involved “even when an organization has done nothing wrong.”

The institute is a nonpartisan organization dedicated to promoting what it calls “ethical fitness” through public discourse and practical action. With RBF support, it will help nonprofit staff members sort through subtle ethical issues and ask themselves—and decide—what their moral obligation is in specific situations. The institute’s project, *Ethical Decision Making: A Training and Consulting Program for Nonprofits*, is developing a CD-ROM-based interactive training program (sample online pages shown above), a seminar series, consulting services, and an evaluation tool to reinforce the accountability of nonprofit boards and managers for the ethical climate of their organizations. The institute is also designing a marketing strategy to bring the project to the attention of nonprofit leaders and journalists across the country.



CROSS-REFERENCE: Norms of transparency and accountability also play a prominent role in the Fund’s Global Security program, where one strand of grantmaking focuses

on increasing the openness and inclusiveness of transnational decision making processes that have widespread impact on people’s lives and livelihoods as well as on the integrity of the natural environment.

with nonprofits is typically *ad hoc* or *pro bono*, they tend not to take on large projects or invest in accumulating nonprofit experience and knowledge that might be applied to other nonprofit groups. To meet the demand for high-quality, relevant, affordable consulting, Bain & Company, an international strategic consulting firm, has launched the Bridge Group (itself a nonprofit organization), which will provide services exclusively to nonprofit groups. The new firm will supplement its consulting with efforts to disseminate its experience to the nonprofit sector as a whole, thus creating an impact beyond its clients and exemplifying the public service values of the organizations it plans to assist.

New policies affecting the nonprofit sector are also emerging, notably the devolution of power and responsibility from the federal government to states and communities, one result of which is that many local nonprofit service providers must deal directly with government agencies and become more familiar with government processes. Meanwhile, the privatization and outsourcing of government services is forcing local nonprofits to learn new contracting and management skills. And certain policymakers—some motivated by ideology, others by concerns about accountability—are challenging the work of nonprofits by proposing restrictions on nonprofit lobbying, the elimination of tax-exempt status, or the reduction of tax-based incentives for charitable giving. This new environment heightens the value of the nation's 41 state and regional associations of nonprofit groups, which not only help members address their strategic and organizational challenges but also offer a voice for nonprofit interests at state and local levels. The National Council of Nonprofit Associations, an umbrella group, received RBF funding in 1999 to strengthen these associations and encourage the development of new ones.

The National Council of Nonprofit Associations is but one of a growing number of “infrastructure” organizations that serve philanthropy and the nonprofit sector. Jointly with the council, Independent Sector—a coalition of more than 600 foundations, national nonprofits, and corporations with major giving programs—is launching the Building Capacity for Public Policy program. This initiative will assist the efforts of state and local nonprofit coalitions to formulate an agenda for nonprofit groups across the nation regarding tax policy, advocacy rights, accountability, and citizens' participation in democratic decision making.

This country's new context for nonprofit activities has also highlighted a wide range of ethical issues, which include conflicts of interest, the fulfillment of donors' intent, and competition with for-profit entities. In addition, certain specialized nonprofits—universities and scientific organizations that pursue genetic research, museums that acquire culturally sensitive objects, for example—face their own ethical questions. Yet few sources of relevant and effective ethics training, tools, or resources exist for the nonprofit sector. This need is being addressed by the Institute for Global Ethics, which is working with Independent Sector, the National Council of Nonprofit Associations, and the National Center for Nonprofit Boards on the development of a training and consulting program on ethical decision making for board members and staff of nonprofit groups. From its survey of ethical attitudes and activities among nonprofits, the institute will design interactive learning opportunities and disseminate results broadly.

Ethical concerns are also integral to the work of the National Charities Information Bureau, which evaluates approximately 400 national charities according to its standards in the area of governance, policy, program, reporting, and fiscal management. The standards are disseminated through publications, media coverage, responses to telephone inquiries, and a website, whose users are the fastest-growing segment of the bureau's audience. RBF funds are supporting the development of a second-generation website that will increase to 600 the number of charities analyzed and help nonprofits improve their practices and help the public understand how charities actually function.

Foreign private and public support has played a crucial role in nurturing the NGOs in Central and Eastern Europe that have contributed to rebuilding civil society since the fall of the Berlin Wall in 1989. In recent years, however, several foreign funders have begun cutting back on their support for civil society in the region, and some have already ended their grant programs. With a focus primarily in the “Northern Tier” countries of the Czech Republic, Slovakia, Hungary, and Poland, the Fund is supporting efforts to identify and cultivate local funding sources and nurturing promising philanthropic models. But it is also helping NGOs develop their own long-term financial resources and strengthen their own institutional capacity.

Nurturing indigenous philanthropy is the focus of two RBF-funded projects in Slovakia. Grants to the Healthy City Foundation-Community Foundation of Banska Bystrica (now also active in the town of Zvolen) have supported the development of the community foundation model, a collection of funds contributed by individuals, corporations, other charitable organizations, and government agencies to benefit a specific geographic area. The foundation is creating databases of donors and volunteers and holding workshops for visitors from neighboring countries who are interested in establishing their own community foundations. The Community Association Sami-Sebe (“sami-sebe” means “by ourselves for ourselves” in Slovak) employs the community foundation model to mobilize community resources to improve the quality of life in Pezinok county. The association is launching two new programs—an effort to develop regional tourism, and an initiative to help members of the local Roma, or Gypsy, community improve their living conditions. RBF support will also be used for staff and board training and study visits, for publication of a quarterly community newsletter, and for expanded efforts to engage local young people in community and leadership development projects.

Two indigenous groups received 1999 funding for promising efforts to help NGOs develop, both organizationally and financially. The Environmental Partnership Foundation, Hungary provides grants, technical assistance, and leadership development activities for environmental nonprofits. Through its Integrated Organizational Development program, the foundation is working with a group of NGOs from various fields to formulate strategies for becoming sustainable. Lessons learned from the project will be disseminated through training sessions and a seminar, the publication of case studies, and the sharing of techniques with other training groups. The Children of Slovakia Foundation awards grants in support of children and youth programs related to community issues, poverty, and the environment. The RBF’s grant is supporting two projects: assistance to NGOs in evaluating their services and forging links with each other, and the identification and promotion of novel strategies to encourage charitable giving.

Two other RBF grantees also offer promising models for addressing the challenge of NGO self-sufficiency. The Budapest-based Nonprofit Enterprise and Self-Sustainability Team has been helping NGOs investigate the value of “self-financing strategies,” which derive income from sources such as membership dues, fees for services, and product sales to complement public and private donor funds. In collaboration with local partners in the Czech Republic, Slovakia, Hungary, and Slovenia, the team is documenting, evaluating, and publicizing 20 NGOs’ self-financing strategies. It is also launching pilot programs that provide products and services for supporting some of these strategies and creating a fund that will invest in NGO self-financing enterprises. In the Czech Republic, the Via Foundation for Local Initiatives is holding training seminars and consultations to help development directors of local NGOs build skills in communications, public relations, and marketing. The aim is to formulate fundraising techniques for dissemination in manuals and at NGO meetings and, ultimately, to stimulate individual charitable giving.

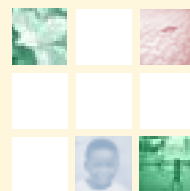


TRUST FOR CENTRAL & EASTERN EUROPE

In a unique partnership, the RBF has been joined by the Ford Foundation, the Open Society Institute, the Charles Stewart Mott Foundation, and the German Marshall Fund of the U.S. in establishing a \$75 million, ten-year Trust for Civil Society in Central and Eastern Europe to support the continued growth and institutional stability of indigenous nongovernmental organizations, which are facing many challenges in their efforts to increase their overall sustainability.

In December 1999 the RBF's board of trustees approved a commitment of \$3 million to the German Marshall Fund of the United States, as the RBF's contribution to the Trust for Civil Society in Central and Eastern Europe. The Trust will be active in Poland, the Czech Republic, Slovakia, and Hungary (the four northern tier countries in which the Fund itself has been making grants) as well as in Romania, Slovenia, and Bulgaria, and will help local people and institutions take strategic steps toward three mutually reinforcing and intersecting objectives:

- (1) creating a supportive legal, fiscal, and political environment for civil society;
- (2) strengthening the nonprofit sector by supporting organizational capacity building; and
- (3) enhancing the financial sustainability of the NGOs, by encouraging indigenous philanthropy, providing operational and strategic development assistance, and contributing to endowments of more mature organizations.



CROSS-REFERENCE: Building the capacity of citizens' organizations is a theme that cuts across several RBF grantmaking programs and geographic areas of interest. It is a key strategy of the Sustainable Resource Use program and a major objective of the New York City and South Africa programs.

NONPROFIT SECTOR • 1999 GRANTS

DEVELOPMENT OF RESOURCES

BRIDGE GROUP, INC.

Boston, Massachusetts \$450,000 over 3 years
Initial support for the group, a strategic consulting firm dedicated to serving the nonprofit sector.

CHILDREN OF SLOVAKIA

Bratislava, Slovakia \$90,000 over 2 years
For two projects that address the twin challenges of organizational and financial sustainability for NGOs serving youth and children in Slovakia.

CITIZENS ACTION — CENTER FOR COMMUNITY ORGANIZING

Banska Bystrica, Slovakia \$80,000 over 3 years
General support for the organization, which helps organize communities and promotes greater engagement by local people in community problem solving.

COMMUNITY ASSOCIATION SAMI-SEBE

Pezinok, Slovakia \$52,000 over 2 years
General support for the association, which works to address the lack of communication and cooperation among various segments of the community by bringing citizens together to solve local problems.

THE CONFERENCE BOARD

San Francisco, California \$25,000
For a report on the first meeting of the Asia Business Initiative, which brought together corporate leaders in Asia concerned about and involved in social issues.

THE CONGRESS OF NATIONAL BLACK CHURCHES, INC.

Washington, D.C. \$20,000
For support of its Second National Conference on Black Philanthropy, held in Oakland, California.

COUNCIL ON FOUNDATIONS

Washington, D.C. \$75,000 total
\$50,000 toward the work of its International Committee, which seeks to build the field of international grantmaking and promote responsible and effective philanthropy worldwide.
\$25,000 to increase the endowment and enhance the activities of the Robert W. Scrivner Award for Creative Grantmaking.

THE DEVELOPMENT SCHOOL

London, United Kingdom \$12,000
For a planning forum to design the first project of the school, whose mission is to build capacity for social development and transformation in Central and Eastern Europe through groups, communities, organizations, and social alliances.

DONORS FORUM, CZECH REPUBLIC

Prague, Czech Republic \$33,000
For a project to implement elements of a strategy for the development of the third sector in the Czech Republic.

ENVIRONMENTAL PARTNERSHIP FOUNDATION

Budapest, Hungary \$102,000 over 3 years
For the second phase of its Integrated Organizational Development project, which addresses the sustainability challenge that faces NGOs in Hungary.

EUROPEAN ROMA RIGHTS CENTER

Budapest, Hungary \$100,000 over 2 years
For enhancement of research and information services on the plight of the Roma (Gypsies), whose needs and problems relate to the RBF's concern with civil society strengthening in Central and Eastern Europe.

GERMAN MARSHALL FUND

Washington, D.C. \$3,000,000 over 4 years
For the project, the Trust for Civil Society in Central and Eastern Europe, a \$75 million, ten-year fund for civil society development in Central and Eastern Europe. The Trust will help local people and institutions take strategic steps toward these mutually reinforcing and intersecting objectives: (1) creating a supportive legal, fiscal, and political environment for civil society; (2) strengthening the nonprofit sector by supporting organizational capacity-building; and (3) enhancing the financial sustainability of the NGOs, by encouraging indigenous philanthropy, providing operational and strategic development assistance, and contributing to endowments of more mature organizations.

HEALTHY CITY FOUNDATION

Banska Bystrica, Slovakia \$100,000 over 2 years
General support to this community foundation, which promotes improved quality of life in Banksa Bystrica, Slovakia, and greater engagement by local people in community problem solving.

HUNGARIAN ASSOCIATION FOR COMMUNITY DEVELOPMENT

Budapest, Hungary \$100,000 over 2 years
To strengthen the association, which supports the community development field in Hungary.

INDEPENDENT SECTOR

Washington, D.C. \$90,000 over 3 years
For its Building Capacity for Public Policy program, which will help increase the ability of state- and local-level nonprofits to work effectively on nonprofit public policy issues.

INTERNATIONAL CENTER FOR NOT-FOR-PROFIT LAW

Washington, D.C. \$100,000 over 2 years
For continuation of its database, journal, and support for international grantmaking project, a resource for policymakers, scholars, funders, and NGOs seeking information on laws and regulations governing nonprofits in different countries.

NATIONAL CENTER ON NONPROFIT ENTERPRISE

Arlington, Virginia \$50,000
Toward planning and start-up costs for the organization, which will help nonprofits address economic questions.

NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS

Washington, D.C. \$50,000
For core operating expenses in 1999.

NEW AMERICA FOUNDATION

Washington, D.C. \$25,000

General support of its efforts to reshape public debate by promoting outstanding individuals and ideas that transcend the conventional political spectrum.

NONPROFIT ENTERPRISE AND SELF-SUSTAINABILITY TEAM

Budapest, Hungary \$100,000 over 2 years

For its Sustainable NGO Financing project in Central and Eastern Europe, which documents, supports, and evaluates nonprofit self-financing models in Central and Eastern Europe.

THE PHILANTHROPIC INITIATIVE

Boston, Massachusetts \$50,000

Toward a research project on new and emerging donors and their needs for information, training, and services.

PROJECT 180

New York, New York \$10,000

For an assessment of the past three years of the organization, which seeks to create models of nonprofit change that translate credibly into new ways of doing business.

SLOVAK ACADEMIC INFORMATION AGENCY – SERVICE CENTER FOR THE 3RD SECTOR

Bratislava, Slovakia \$10,000

As bridging support.

SUPPORT OFFICE FOR THE MOVEMENT OF SOCIAL INITIATIVES ASSOCIATION

Warsaw, Poland \$83,000 over 2 years

For a program of Local Activity Centers, which helps existing civic groups and NGOs in Poland increase the interest and participation of local residents in addressing local issues.

THE SYNERGOS INSTITUTE

New York, New York \$300,000 over 3 years

To support implementation of the recommendations contained in its strategic plan.

TIDES CENTER

Washington, D.C. \$10,000

To its Center for Y2K & Society, as a contribution to a re-grant fund that will help local nonprofits address the potential impacts of computer-related Y2K problems.

THE VIA FOUNDATION FOR LOCAL INITIATIVES

Prague, Czech Republic \$90,000 over 2 years

For its Development Directors Support program, which works to broaden the base of financial support for Czech NGOs by improving the communication skills of their directors.

VIRTUAL FOUNDATION — JAPAN

Tokyo, Japan \$100,000

General support to this effort, which serves to link interested student groups with grassroots environmental projects from around the world.

ACCOUNTABILITY**ASSOCIATION FOR THE FORUM OF NON-GOVERNMENTAL INITIATIVES**

Warsaw, Poland \$50,000

For an ethical standards project for the Polish third sector.

THE INSTITUTE FOR GLOBAL ETHICS

Camden, Maine \$175,000 over 2 years

For a training and consulting program on ethical decision making for nonprofit organizations.

NATIONAL CENTER FOR NONPROFIT BOARDS

Washington, D.C. \$150,000 over 3 years

General support for the center, which provides information and assistance to the members of nonprofit boards.

NATIONAL CHARITIES INFORMATION BUREAU

New York, New York \$100,000 over 2 years

Toward the development and operation of a second-generation website, which will make the bureau's evaluations of charities and other information about nonprofit organizations more widely and easily accessible.

INCREASED UNDERSTANDING**CHARITIES AID FOUNDATION**

Kent, United Kingdom \$10,000

To help with the publication expenses of its new quarterly magazine, *Alliance*.

CIVICUS: WORLD ALLIANCE FOR CITIZEN PARTICIPATION

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

General support to this international alliance, dedicated to strengthening citizen action and civil society throughout the world.

LONDON SCHOOL OF ECONOMICS AND POLITICAL SCIENCE

London, United Kingdom \$23,500

For a brainstorming session that will lay the groundwork for a new Global Civil Society Yearbook.

MEMBERSHIPS**COUNCIL ON FOUNDATIONS**

Washington, D.C. \$39,600

General support for 2000.

INDEPENDENT SECTOR

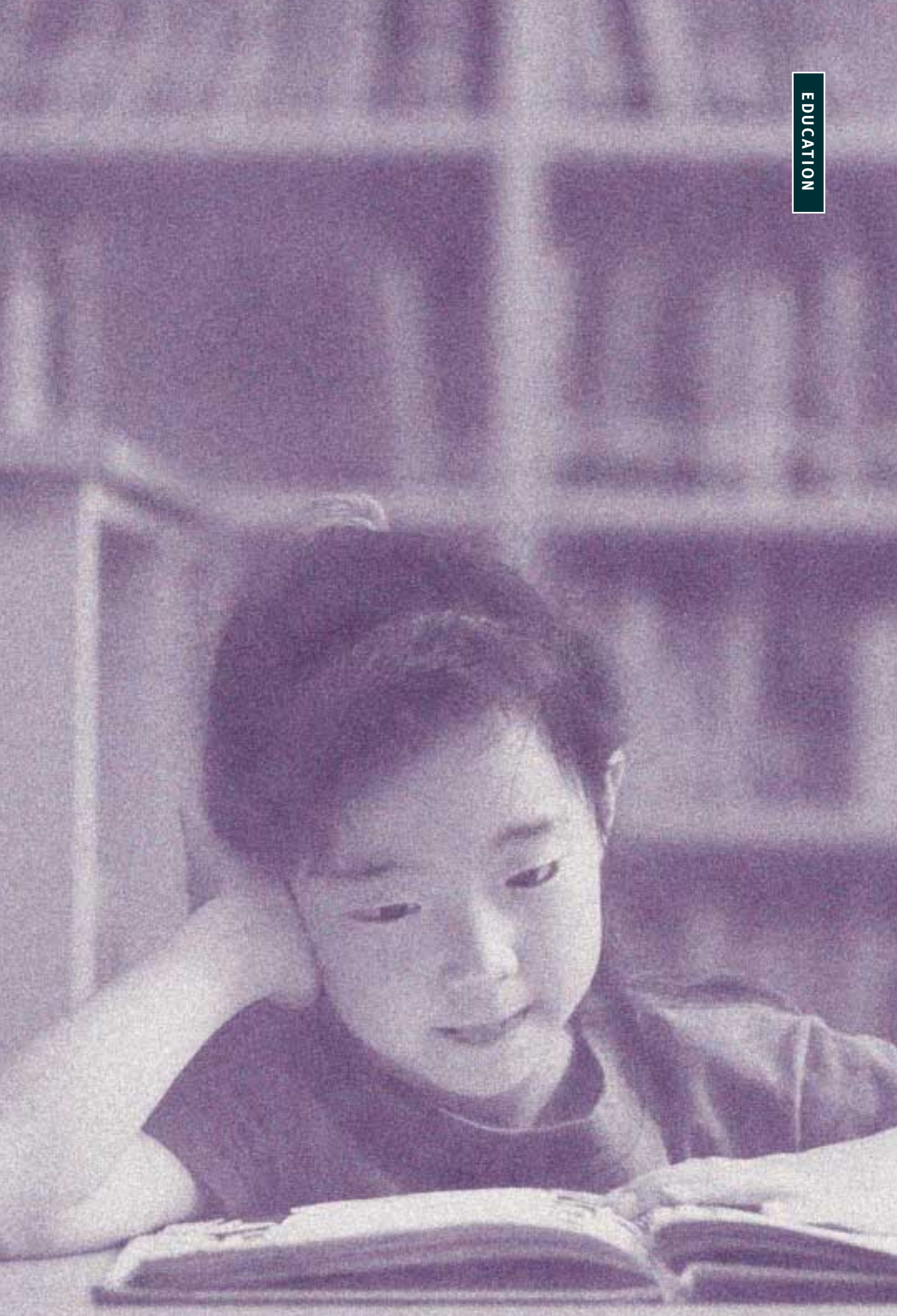
Washington, D.C. \$10,250

General support for 2000.

NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS

New York, New York \$10,000

General support for 2000.





PROGRAM GUIDELINES

The Rockefeller Brothers Fund is currently not accepting proposals in the area of Education, pending the development of new program guidelines. The trustees of the Fund have, however, approved three areas of focus for the RBF's Education program going forward:

(1) Resumption of the Rockefeller Brothers Fund Fellowship Program for Minority Students Entering the Teaching Profession, designed to help talented minority undergraduate students enter careers in teaching.

The RBF expects to resume this program with the admission of a new class of Fellows in spring 2001. Approximately 25 fellowships will be awarded to college students, primarily juniors, who are majoring in the liberal arts or sciences. Fellowship candidates must attend and be nominated by one of the two dozen colleges and universities that participate in this program (a list of participating institutions is posted on the Fund's website).

(2) Grantmaking aimed at improving early childhood education and care, particularly in the Fund's home city of New York.

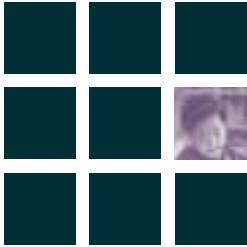
(3) Grantmaking that addresses other educational priorities that complement the Fund's interests in supporting minority teachers and more effective early childhood education and care.

The grants described in this annual report were made under a previous set of guidelines, as follows:

EDUCATIONAL LEADERSHIP: Through Rockefeller Brothers Fund Fellowships and related programs, supporting a cohort of outstanding minority college students — Fellowship recipients from 1992 through 1997 — as they undertake graduate teacher education, teach in public schools, and assume leadership positions in the field of public education.

UNDERGRADUATE EDUCATION: Supporting educational programs, primarily at private liberal arts institutions, in three areas — foreign language teaching and international studies (particularly programs that include a cultural emphasis and employ new technologies); environmental studies; and increasing the use of technology in teaching and research.

Education



In pursuit of the basic goal of improving student learning in the United States, the Fund in 1999 supported efforts to achieve two distinct objectives: developing educational leadership to meet the needs of an increasingly diverse public school population (a focus of the RBF's education grantmaking since the early 1990s), and providing college students with the interdisciplinary skills and intellectual tools that will help them better understand today's interconnected, complex world (a focus of education grantmaking at the Charles E. Culpeper Foundation, which merged with the Fund in mid-1999). This year of merger also saw the RBF conduct an internal review of its education grantmaking, one outcome of which was the decision to terminate its program of support for private undergraduate education, effective in 2000. The trustees of the Fund also approved several general areas of focus for the Education program going forward (see opposite page), but pending the formulation of specific new guidelines for grantmaking, the RBF is not currently accepting proposals in this field.

EDUCATIONAL LEADERSHIP

The enrollment of minority students in the nation's public schools is growing dramatically—a shift that is not, however, yet mirrored in the composition of the teaching force. As a result, many minority students attend schools where they rarely see teachers whose backgrounds are similar to theirs. And, all too frequently at such schools, they find that their own culture is neither valued nor acknowledged. To address this need, between 1992 and 1997 the Fund awarded 150 Fellowships for Minority Students Entering the Teaching Profession, which have enabled outstanding students from selected colleges of arts and sciences to pursue a graduate degree in education or a related field and to teach in a public school. The fellows recruited during the program's six years are dedicated young people from different backgrounds and from different parts of the country who have shown a strong potential for leadership.

Maximizing their potential is the aim of a follow-up effort launched in 1997: the RBF's Program for Educational Leadership. This three-year initiative is open to fellows who have completed their graduate studies and at least three continuous years of public school teaching or work in other areas of education. Under the program, the RBF helps participants acquire leadership skills and experience by working with them as they design "educational change projects," which entail new approaches to teaching and also address challenges outside the classroom — such as the need to increase parents' involvement in their children's education. The fellows are now implementing a wide range of projects, among them the provision of after-school computer training for low-income students, the use of local museums as educational settings for disadvantaged elementary school students, and a program for Latino parents that explains the importance of higher education. The 16 Leadership fellows named by the Fund in 1999 are, like those selected in 1997, characterized by idealism, energy, and commitment to positive change, qualities sorely needed in American education today. Also in 1999, the RBF held the eighth in a series of

summer workshops at which participants in both the Fellowship and the Leadership programs exchanged experiences with each other and furnished mutual support.

UNDERGRADUATE EDUCATION

Through the Education program inherited from the Culpeper Foundation, the RBF in 1999 supported undergraduate educational programs in foreign language and international studies; environmental studies programs; and programs using new instructional technologies across the undergraduate curriculum. One grant was made to the University of Puget Sound, which is engaged in a two-part effort to integrate technology into the foreign language and international studies curricula. The program consists of summer workshops in which faculty members are exploring the role of technology in teaching foreign languages and international studies and are designing technology-based curricula. It also features a new multimedia foreign language classroom-laboratory that enables faculty to use both instructional technology and traditional pedagogical methods and offers students access to self-paced activities in a variety of learning styles. Another two-part project is promoting the use of multimedia technologies to help students become better speakers, presenters, and debaters. Whitman College is holding workshops to help faculty analyze the use of discussion and debate in the classroom and develop skills in using computer software and other technologies that enhance oral communication. The Fund's grant also supports a mentoring program, in which recent Whitman graduates guide students as they study for oral exams and develop oral presentations— not only for their courses but also for an all-campus research symposium.

Environmental studies is a discipline that requires colleges and universities to bridge the gap between the cultures of science and the humanities, since it embraces not only chemistry, biology, and geology but also religion, history, economics, political science, and public policy. Gustavus Adolphus College's environmental studies major has in recent years grown faster than any of its academic departments. To help the college keep pace with this growth, the RBF awarded a grant to support new courses, faculty development workshops, stipends for student internships, and faculty-student research projects that use local sites and local issues to demonstrate the interdisciplinary nature of real-world environmental problems.



RBF Fellows Delvin Dinkins, Mireya Jimenez, Nhung “Cathy” Nguyen, and Lloyd Lee (left to right). From *Voices of Insight & Power* (Rockefeller Brothers Fund, 2000).

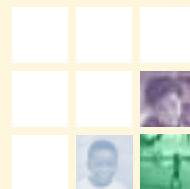


RBF FELLOWSHIP PROGRAM

The RBF Fellowship Program for Minority Students Entering the Teaching Profession, which was launched in 1992 and temporarily suspended in 1997 for evaluation, has benefited 150 students of education throughout the United States. These young men and women—recruited from such undergraduate institutions as Dartmouth, Pomona, Spelman, Howard, and the University of Pennsylvania—were provided with the financial assistance, personal support, and professional development opportunities they needed to become exceptional teachers. *Voices of Insight & Power*, a new RBF publication, offers vivid, direct accounts of the experiences of eight Fellows, exploring why they were drawn to teaching, how the fellowship program facilitated their careers in education, and how teaching has changed their lives and the lives of their students.

The RBF’s decision to focus on recruiting, training, and retaining minority teachers of the highest caliber was a response to the growing diversity of America’s student population. Although minority students are expected to represent more than 40 percent of the total school-age population by 2015, minority teachers represent just 13 percent of the current K–12 teaching force and 15.3 percent of new teachers entering the school system. Minority teachers provide important cultural identity for students of color, and infuse curricula and education policy with the concerns and perspectives of America’s increasingly heterogeneous society. Of the 150 participants in the Fund’s fellowship program, 122 (81 percent) are currently teaching—many in inner-city and rural school systems—or involved in some other education-related career, or are pursuing graduate degrees in education.

The RBF plans to resume the Fellowship Program for Minority Students Entering the Teaching Profession and a new class of Fellows will be admitted in Spring 2001.



CROSS-REFERENCE:
In the Fund’s New York City program, improving the quality of public education is treated as key to improving the quality of life in the city. In

South Africa, the RBF believes, improving the quality of basic education is key to that country’s economic development and its future as a democracy.

EDUCATION • 1999 GRANTS

FOREIGN LANGUAGE

UNIVERSITY OF PUGET SOUND

Tacoma, Washington \$260,361 over 3 years

To support the integration of technology into the foreign languages and international studies curricula.

TECHNOLOGY IN TEACHING AND RESEARCH

CLAREMONT MCKENNA COLLEGE

Claremont, California \$176,000 over 2 years

For the development of a teaching resource center to promote the use of technology in teaching and learning across the curriculum.

DICKINSON COLLEGE

Carlisle, Pennsylvania \$106,360 over 2 years

To support a faculty development program to foster the use of technology in the social sciences curriculum.

WHITMAN COLLEGE

Walla Walla, Washington \$280,000 over 2 years

For faculty development and student mentoring initiatives to promote the use of multimedia technologies in the teaching and learning of oral communication skills across the curriculum.

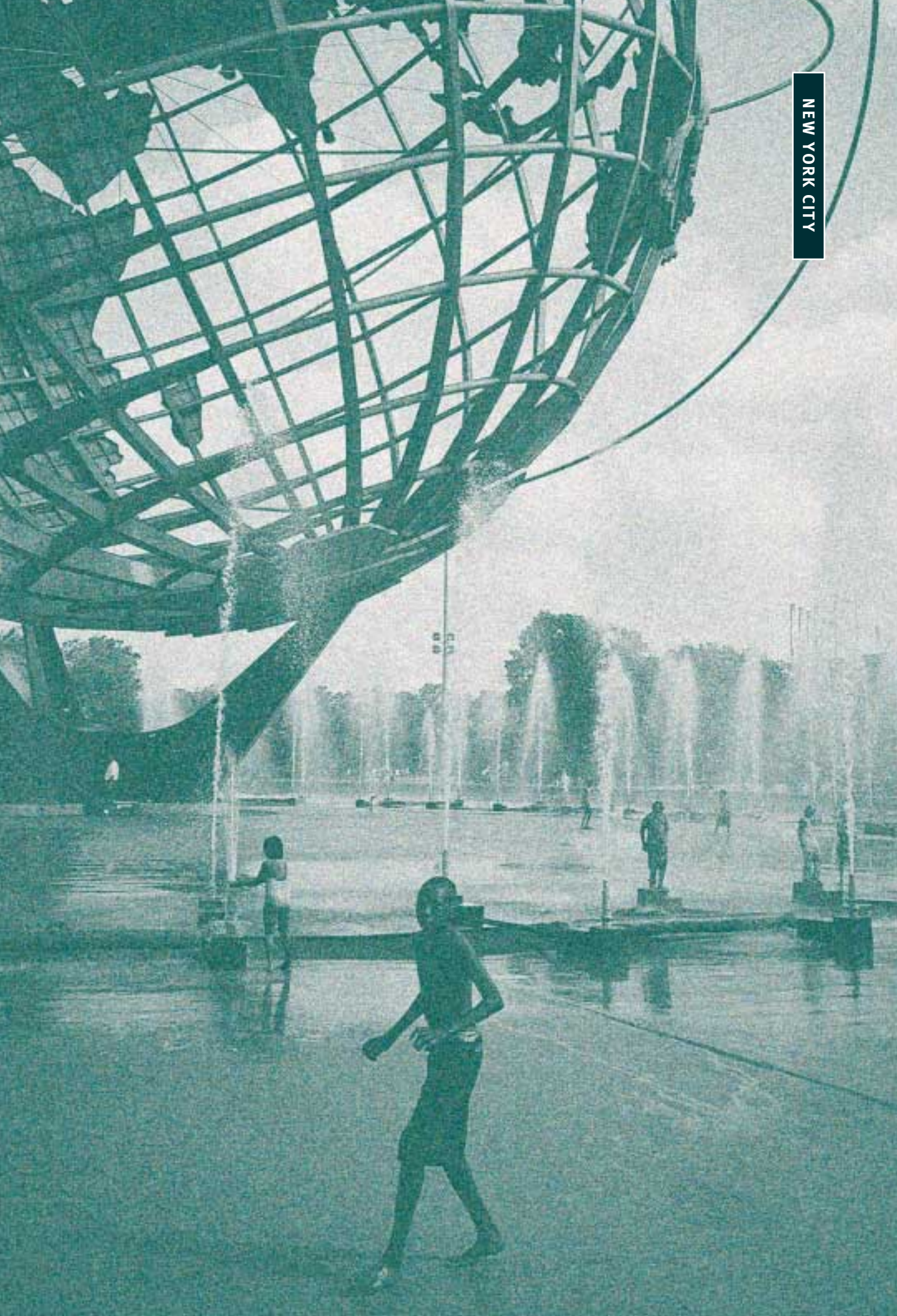
ENVIRONMENTAL STUDIES

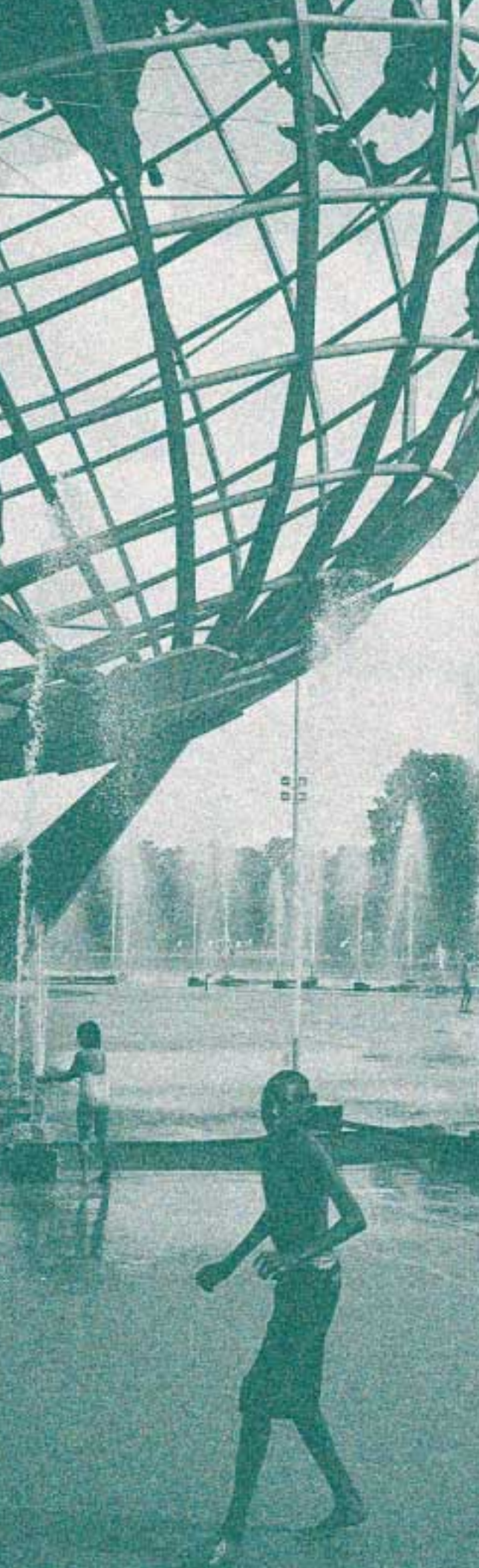
GUSTAVUS ADOLPHUS COLLEGE

Saint Peter, Minnesota \$194,000 over 3 years

To support the enhancement and expansion of its environmental studies program.

NEW YORK CITY





PROGRAM GUIDELINES

GOAL

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

STRATEGIES

SCHOOLS AND YOUTH: Encouraging the development of constituencies for public education, promoting civic responsibility for educational improvement, and fostering creative, responsible citizenship among youth.

NEIGHBORHOODS AND PUBLIC SPACES: Assisting neighborhood-based projects that encourage respect and care for the physical and natural environment and that develop or reclaim public space in order to enhance the security and the civic, spiritual, and community life and history of neighborhoods.

CIVIC PARTICIPATION: Supporting civic participation and inclusive public discourse, promoting accountability of institutions vested with the public trust, and forging a common sense of purpose within and among communities.

New York City



In pursuit of the goal of enhancing the quality of life in New York City, the RBF supports projects that help citizens acquire the skills and information they need if they are to take the lead in improving schools and revitalizing communities throughout the city. Most of the grants awarded under the New York City program in 1999 were for efforts to engage new constituencies in policy debates and decision-making processes that affect the lives of the city's young people—especially the students in its public schools—and that enhance the city's physical and natural environment.

REVITALIZING COMMUNITIES AND IMPROVING PUBLIC SCHOOLS

According to recent findings from opinion polls and academic research, young people view leadership in local, not national, terms; they see it as emanating from small groups of knowledgeable citizens rather than from traditional institutions or professionals; and they believe that the most effective leadership is collaborative and interpersonal rather than directive or charismatic. The Funder's Collaborative on Youth Organizing, based at the Jewish Fund for Justice, seeks to build on these values. In addition to awarding grants to community-based youth leadership projects across the country to help them strengthen their institutional capacity, the collaborative brings these projects to the attention of youth development funders, synthesizes information on them, and promotes networking by their staff members and youth leaders. A 1999 RBF grant is funding the start-up of the collaborative and its support of youth leadership groups in New York City.

Central to the quality of life in the city, and at the heart of the Fund's New York City grantmaking, is the quality of education received by its young people. Acknowledging the link between involved parents and better schools—engaged parents have the potential to hold teachers and administrators accountable on issues affecting their children's academic performance, and many parents who succeed in this respect pursue reforms of the larger system—the Fund supports parents' efforts to advocate effectively for their children. Such is a new objective of the Inner Force Economic Development Corporation, which promotes improvements in Brooklyn's public schools and helps the borough's young people work for constructive change in their communities. With an RBF grant for informational meetings and skills-building workshops and training sessions for parents, Inner Force is building a nucleus of informed adults who are pressing for a high-quality education for their children.

Recent years have witnessed several positive changes in New York City's public education system, notably the state legislature's enactment of governance laws for the schools that enlarged the role of parents, teachers, and principals in making school-based decisions. Under the new laws, management teams composed of parents, teachers, and school administrators must now be in place in every school to provide input on issues ranging from the allocation of the school's overall budget to the kinds of books to buy for the library. The Community Monitoring Project, launched in 1999 by Fordham University's National Center for

Schools and Communities, has received an RBF grant to respond to this development. The project focuses on making schools and districts in low-income neighborhoods more responsive and accountable to students' parents. Among other activities, it helps community groups monitor the implementation of the school-based management teams in schools and school districts where the need for these teams is greatest.

The Standards Keepers Project of the New York Urban League is holding forums for parents and other community residents to help them better understand what students are expected to learn and be able to do as a result of recent efforts to implement higher standards in the public schools. Among other topics, the forums address homework patterns, test scores, teachers' qualifications, and school report cards.

ENHANCING THE CITY'S PHYSICAL AND NATURAL ENVIRONMENT

The rapid pace of development throughout New York City poses challenges for those concerned with preserving and restoring its open spaces. Under the New York City program, the Fund is supporting community-led revitalization projects that provide the fresh vision and new thinking needed to plan for the city's physical future, while offering citizens valuable opportunities to build coalitions for improving the quality of life in their neighborhoods. Forging alliances among community stakeholders for the benefit of neighborhoods in northern Manhattan is one of the goals of the Audubon Partnership for Economic Development, a local development corporation. With RBF support, the partnership is integrating residents' housing, cultural, social, environmental, and open-space needs into a long-term, comprehensive, community-led plan that will guide the area's development.

In cities throughout the country, the cleanup and redevelopment of contaminated, abandoned commercial or industrial sites known as "brownfields" has helped to create jobs, revitalize depressed areas, enhance access to waterfront areas, restore open spaces, and provide room for business expansion and housing. Although nearly 20 percent of New York City's industrial land consists of these properties, the city has neither a clear regulatory framework nor incentives for the formation of private-public partnerships to clean them up. Two RBF grantees are addressing this need. The Housing Partnership Development Corporation operates a consensus-building brownfields project known as the Redevelopment of Contaminated Land Advocacy and Implementation (RECLAIM) initiative. The corporation and Environmental Defense (formerly the Environmental Defense Fund) are working with community groups in three New York City neighborhoods to devise strategies for brownfields cleanup and reuse that will constitute part of larger community revitalization efforts.

Another major focus of the Fund's New York City grantmaking in recent years is the greater New York/New Jersey metropolitan area's waterfront—a remarkable natural, cultural, recreational, and economic resource but one that is underutilized and often inaccessible to the public. Focusing on all sections of the waterfront as a single entity is the mission of the Metropolitan Waterfront Alliance, launched in late 1998 by the Municipal Art Society of New York and based on exploratory work supported earlier by the Fund. With new RBF funding, the alliance is building a constituency for the region's waterfront and creating links between local groups and city and regional waterfront development efforts.

The alliance complements the efforts of a variety of local organizations that received RBF funding in 1999. The Open Space Institute's Hudson River Park Alliance is advocating for and monitoring the construction of the Hudson River Park along Manhattan's West Side, while the Brooklyn Bridge Park Coalition is working with community groups and experts to create a vision and plans for a park along the downtown Brooklyn waterfront. Also in Brooklyn, the New York City Neighborhood Open Space Coalition—which serves as an informational resource to hundreds of community open- and green-space initiatives throughout the city—is devising a community visioning and consensus-building process for the creation



Participants in the RBF-supported Pocantico Roundtable for Consensus on Brownfields

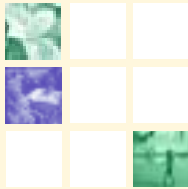
BROWNFIELDS REDEVELOPMENT

Brownfields — vacant industrial properties that are known or suspected to be contaminated — make up nearly 20 percent of the City’s industrial lands, located primarily along the waterfronts, in old commercial areas, and in poorer communities.

The redevelopment of these underutilized properties has been stymied by the absence of statewide program for brownfield reclamation. To help come up with a clear, statewide regulatory framework and incentives that will motivate the formation of private-public partnerships to clean up these sites, the RBF and several other funders—including the Joyce Mertz-Gilmore, Robert Sterling Clark, and Ford foundations as well as the New York Community Trust—have been supporting the New York City Partnership’s consensus building initiative on brownfields, known as the Redevelopment of Contaminated Land Advocacy and Implementation (RECLAIM) initiative. This initiative convened a series of meetings to bring together nearly 40 stakeholders from the state’s leading business, legal, environmental, and community groups, including representatives from the Empire State Development Corporation, Environmental Advocates, Citizens’ Environmental Coalition, and the Business Council of New York State. Participants in these meetings worked to identify obstacles, find common ground on divisive issues, and craft recommendations for a brownfields program for New York State. The meetings led up to a Roundtable for Consensus on Brownfields Summit, held at the RBF’s Pocantico Conference Center in December 1998. At a second Pocantico Summit in February 1999, agreement was reached on such issues as cleanup



standards and owner liability and the need to establish financial incentives for voluntary clean-ups and for community participation in the brownfields redevelopment process.



CROSS-REFERENCE: The Fund’s support of efforts to enhance the physical and natural environment of New York City echoes interests and grantmaking approaches—an emphasis on public-private partnerships and bottom-up planning, for example—that are characteristic of the Sustainable Resource Use program. Consensus building around brownfields issues has been aided significantly by the availability of the Pocantico Conference Center, which has proved to be an ideal setting for productive discussion among people representing diverse perspectives.

of recreational opportunities along a section of the waterfront. Northern Manhattan is the focus of efforts by two other grantees, the New York Restoration Project and the West Harlem Environmental Coalition (WE ACT), to devise community-based waterfront plans. Each of these local projects represents an effort by community residents to implement their own vision for restoring specific sections of the city's waterfront.

NEW YORK CITY • 1999 GRANTS

COMMUNITY LIFE

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

New York, New York \$100,000 over 2 years

For the Place Matters project, whose principal goal is to build broad-based public awareness about historically and culturally significant local places.

ENVIRONMENTAL DEFENSE

New York, New York \$100,000 over 2 years

Toward its Urban Brownfields Reclamation and Neighborhood Revitalization project, which is working to encourage the reclamation of brownfields in the context of community revitalization.

HOUSING PARTNERSHIP DEVELOPMENT CORPORATION

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

For its project focusing on redevelopment of brownfield sites in New York City.

NATIONAL COMMUNITY BUILDING NETWORK INC.

Oakland, California \$25,000

Toward the costs of its 1999 annual conference, held in Brooklyn, New York, giving New York City-based community-building organizations an opportunity to connect with similar organization in other parts of the country.

ST. MARK'S HISTORICAL LANDMARK FUND

New York, New York \$100,000 over 2 years

For the Neighborhood Preservation Center, whose goal is to advance the efforts of both new and established preservation groups across the five boroughs.

CIVIC PARTICIPATION

EAST SIDE HOUSE, INC.

Bronx, New York \$200,000 over 2 years

To support the second phase of the Bronx Cluster of Settlement Houses' Community Building project.

NEW YORK URBAN LEAGUE, INC.

New York, New York \$110,000 over 2 years

To help launch its Standards Keepers Project, aimed at informing parents and the community at large about what students are expected to learn and be able to do as a result of efforts to raise academic standards.

UNITED NEIGHBORHOOD HOUSES OF NEW YORK, INC.

New York, New York \$100,000 over 2 years

For civic engagement initiatives of its Community Building Committee, which helps strengthen the capacity of settlement houses to address key social and policy issues.

NEIGHBORHOODS AND PUBLIC SPACES

AUDUBON PARTNERSHIP FOR ECONOMIC DEVELOPMENT LOCAL DEVELOPMENT CORPORATION

New York, New York \$130,000 over 2 years

For its Northern Manhattan Comprehensive Revitalization and Urban Design Plan, a community-led effort to develop a plan for the area's growth and development.

BROOKLYN BRIDGE PARK COALITION

Brooklyn, New York \$100,000 over 2 years

To lead a community planning effort for the downtown Brooklyn waterfront.

COMMUNITY SERVICE SOCIETY OF NEW YORK

New York, New York \$150,000 over 2 years

For its Comprehensive Community Initiative in Bedford Stuyvesant, which fosters residents' involvement in and community capacity building for neighborhood revitalization.

FUND FOR THE CITY OF NEW YORK

New York, New York \$150,000 over 2 years

For its Cityscape Institute's streetscape improvement projects in Harlem and upper Manhattan.

MUNICIPAL ART SOCIETY OF NEW YORK

New York, New York \$200,000

To help launch the Metropolitan Waterfront Alliance, which works to coordinate and promote reclamation and redevelopment efforts along the region's waterfronts.

NEW YORK CITY NEIGHBORHOOD OPEN SPACE COALITION, INC.

New York, New York \$45,000

To support community open- and green-space initiatives.

NEW YORK RESTORATION PROJECT

New York, New York \$175,000 over 2 years

To develop an integrated community plan for the Harlem River corridor and surrounding parks.

NEW YORK URBAN LEAGUE

New York, New York \$110,000 over 2 years

To help launch its Standards Keepers Project, aimed at informing parents and the community at large about what students are expected to learn and be able to do as a result of efforts to raise academic standards.

OPEN SPACE INSTITUTE

New York, New York \$40,000

For its Hudson River Park Alliance's efforts to advocate for the construction of the Hudson River Park.

WEST HARLEM ENVIRONMENTAL ACTION

New York, New York \$150,000 over 2 years

To promote a community vision for development of the West Harlem waterfront.

SCHOOLS AND YOUTH**THE AFTER-SCHOOL CORPORATION**

New York, New York \$200,000 over 2 years
For its community-based after-school programs and parent involvement initiative.

EDUCATION DEVELOPMENT CENTER, INC.

Newton, Massachusetts \$150,000 over 2 years
For its Adult Literacy Media Alliance New York project, to enlarge its capacity and create video training programs dealing with such topics as parenting and civic participation.

FORDHAM UNIVERSITY

New York, New York \$150,000 over 2 years
As a contribution to the National Center for Schools and Communities for its Community Monitoring Project, which will help build the capacity of community-based organizations to monitor efforts by schools, school districts, and the New York City Board of Education to implement school-based management teams.

THE FUND FOR PUBLIC SCHOOLS, INC.

New York, New York \$15,000
In support of a conference to aid in planning for the implementation of new legislation relating to charter schools in New York City.

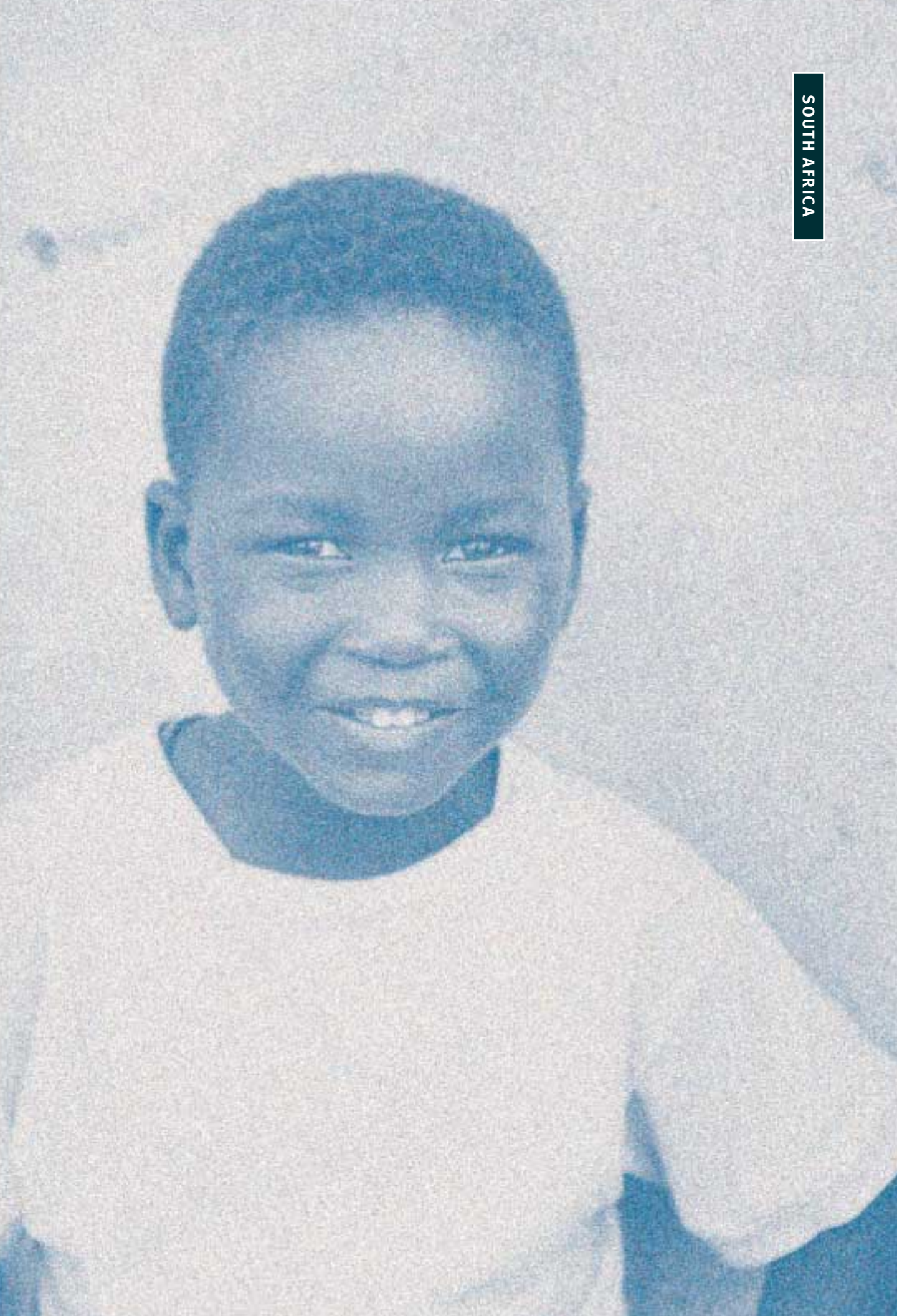
INNER FORCE ECONOMIC DEVELOPMENT CORP

Brooklyn, New York \$90,000 over 2 years
Toward a parent outreach and training project to provide parents with the skills needed to become effective advocates on behalf of their children.

JEWISH FUND FOR JUSTICE

New York, New York \$150,000
Toward the start-up phase and initial New York City grants of the Funder's Collaborative on Youth Organizing, which coordinates support for community-based youth development programs.

SOUTH AFRICA





PROGRAM GUIDELINES

GOAL

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

STRATEGIES

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

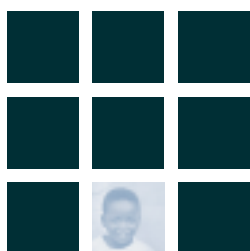
IN-SERVICE TEACHER DEVELOPMENT: Advancing in-service development of lower primary school teachers.

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

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

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

South Africa



Black South Africans were so disadvantaged under apartheid that, at the outset of the 21st century—six years after the nation’s landmark elections—ten million adults have less than nine years of formal schooling, which is the level used as a measure of functional literacy. Providing all children and adults with greater access to high-quality basic education is the key to a truly democratic nation, and the goal of the RBF’s South Africa program.

Under apartheid, numerous nongovernmental organizations (NGOs) challenged the existing education system by devising and delivering model educational and social services for black children and adults. Since the end of apartheid, many of these NGOs are still seeking to reform education in South Africa. Now, though, they are doing so from within the system, through policy work and other forms of partnership with the postapartheid government, typically with the new, nonracial national and provincial departments of education. The task for NGOs is twofold: to scale up and replicate some of their more promising model programs, and to become professional, self-sufficient organizations working in a new context. RBF grants awarded in 1999 were aimed at helping them meet these complex challenges.

EXPANDING MODEL PROGRAMS

Of the estimated 5.8 million black children under five in South Africa, fewer than a million are served by early childhood development centers. Many training and resource agencies are experimenting with alternatives to these centers, most commonly the provision of child care by parents, other relatives, and neighbors. In light of the nation’s widespread unemployment and poverty—and the limited prospects for enrolling additional children in center-based care—the strengthening and expansion of these alternatives is vital. One such model has been devised by the Learning for All Trust in Mpumalanga and the Northern Province. The program enlists women from the community (known as “barefoot early childhood development workers, or “Rehlahlilwe”) to help parents, relatives, neighbors, and other caregivers in rural areas provide a stimulating, educational environment for children. With RBF support, the trust is evaluating and expanding this effort and launching a program to help community leaders develop leadership, strategic planning, and fundraising skills. A similar initiative is the Grassroots Educare Trust’s Grassroots Alternative Special Program, or GRASP, which operates in the Western Cape. GRASP, which focuses on the children of unemployed parents in rural areas and informal settlements who cannot afford to send them to preschool, trains community workers to inform these parents and other caregivers about child development. A 1999 grant is enabling GRASP to expand to new areas of the province, to initiate home-based early childhood efforts, and to begin operating programs in health care clinics and soup kitchens.

A second type of model receiving RBF support adds skills content to literacy classes as a way of making them more relevant to adult learners’ lives. A pilot program operated by the Adult Basic Education

Development Services Trust integrates adult basic education for childcare workers, parents, and grandparents with training in one such skills area: early childhood development. RBF funds are supporting its implementation in three provinces. The program is expected to serve as a model for adapting literacy courses to other domains, including agriculture and health.

STRENGTHENING SELF-SUFFICIENCY AND COLLABORATION

Although community-based organizations and NGOs in South Africa have a crucial role to play in the delivery of adult basic education and training efforts, they often falter because of a lack of expertise in administration, management, or program and financial planning. These organizations need to develop skills not only in the field of adult basic education and training but also in strategic planning, program evaluation, fundraising, and community development. While a number of agencies have focused on training adult basic education teachers and improving the delivery of literacy services, it is only recently that some of them have begun providing NGOs with management training and organizational development support.

Among the agencies is the Natal Adult Basic Education Support Trust, which assists NGOs in the KwaZulu-Natal Province that offer adult literacy services. Under a 1999 grant, the trust is offering management courses and technical assistance to the project coordinators of these NGOs and other community-based organizations. Similarly, the Centre for Early Childhood Development works with NGOs in the field of basic education for children to help them upgrade staff members' professional skills. With RBF funds, the center is launching an organizational development program for these NGOs and continuing its management training course for early childhood leaders.

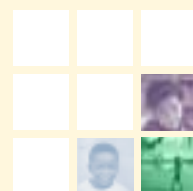
Three RBF grantees are creating partnerships with universities and government agencies in the field of basic education. GET INSET, a partnership between the D.G. Murray Trust (a private foundation), the Western Cape Department of Education, and four educational NGOs, has developed a model program that provides in-service teacher training and promotes provincial government/NGO collaboration for primary-school improvement. The training courses explore subjects including South Africa's new educational policies and new national curriculum. With a 1999 grant, the trust is continuing this training and assessing the impact of the overall program. RBF funds are also supporting an evaluation of Rhodes University's combined contact/distance in-service training program for primary school teachers. The program, known as "Phambili" (which means "forward" in Xhosa), operates in partnership with four NGOs in the Eastern Cape that focus on early childhood and primary education. Another agency, Olive Organizational Development and Training, which provides organizational development services to a variety of NGOs, is launching and evaluating a pilot project to build partnerships between three provincial education departments and NGOs in early childhood development and adult basic education and training. In addition, staff members are reflecting on the relationship-building process to determine which elements of a partnership are most likely to help it succeed.



ADULT BASIC EDUCATION AND SKILLS TRAINING

With the advent of a democratic government in South Africa, adult basic education and training (ABET) has become a development priority. Currently, however, most ABET programs do not integrate literacy and numeracy training with the practical skills training that is necessary to improve the quality of life for poor South Africans. In order to help improve these training programs, the RBF made grants in 1998 and again in 1999 to Adult Basic Education Development Services Trust (ABEDST) to develop and pilot an adult basic education and training course with early childhood development content. The majority of preschool children in South Africa are cared for by parents, relatives, and neighbors in informal custodial arrangements. Many of these caregivers are illiterate, and therefore not able to take advantage of early childhood development training activities. By integrating adult basic education with training in early childhood development, the hope is to create a program that improves literacy skills in African languages at the same time as it improves early childhood knowledge and parenting skills.

In 1997, the RBF made a grant to the University of Cape Town for a model program to promote literacy among adults in development projects. This grant helped advance literacy work in contexts other than formal classes. The program worked with two housing projects where illiterate residents were building their own homes. It linked literacy and numeracy training to such construction site demands as ordering supplies, measuring, and reading and writing invoices, minutes, and legal documents (see photos above).



CROSS-REFERENCE:
The Fund's Education program has focused on early childhood education in the United States. Educational improvement is also a priority of the New York City program.

SOUTH AFRICA • 1999 GRANTS

PROMISING MODELS

ADULT BASIC EDUCATION DEVELOPMENT SERVICES TRUST

Cape Town, South Africa \$86,000 over 2 years

For a joint project, with the Early Learning Resource Unit of the Cape Education Trust, to extend and evaluate a literacy course with early childhood development content.

GRASSROOTS EDUCARE TRUST

Cape Town, South Africa \$100,000 over 2 years

For the Grassroots Alternative Special Program, which provides early childhood services for children who are not in center-based care.

LEARNING FOR ALL TRUST

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

General support for evaluation and expansion of its home- and community-based models of early childhood development services, and for assistance with organization development.

INSTITUTIONAL CAPACITY BUILDING

BANK STREET COLLEGE OF EDUCATION

New York, New York \$34,500

For an internship program to build leadership capacity of senior trainers from four South African early childhood agencies.

CENTRE FOR EARLY CHILDHOOD DEVELOPMENT

Cape Town, South Africa \$150,000 over 3 years

For capacity-building programs in early childhood development.

FRIENDS OF THE NELSON MANDELA FOUNDATION

Seattle, Washington \$25,000

Toward the planning stages of the foundation.

NATAL ADULT BASIC EDUCATION SUPPORT TRUST

Durban, South Africa \$91,000 over 2 years

To increase the capacity of community-based organizations and NGOs in the KwaZulu-Natal province to establish and manage adult basic education and training projects.

NATIONAL SUMMIT ON AFRICA

Washington, D.C. \$50,000

To mobilize grassroots participation in a national summit entitled Dialogue and Celebration of Africa.

OLIVE ORGANIZATIONAL DEVELOPMENT AND TRAINING

Durban, South Africa \$60,000

To facilitate partnerships between provincial government and NGOs in the early childhood and adult basic education and training fields.

UNIVERSITY OF THE NORTH

Cape Town, South Africa \$100,000 over 2 years

For its Development Facilitation Training Institute for nonprofit leaders.

IN-SERVICE TEACHER DEVELOPMENT

BANK STREET COLLEGE OF EDUCATION

New York, New York \$2,400

To help defray immediate costs of its Center for Family Support's South Africa/United States Collaborative for Early Childhood Leadership Program.

THE D.G. MURRAY TRUST

Cape Town, South Africa \$120,000 over 2 years

For the GET INSET teacher development project in the Western Cape province, a partnership to develop a model for in-service teacher training and NGO/state collaboration for school development.

RHODES UNIVERISTY

East London, South Africa \$23,000

To evaluate the Phambili teacher development project, an in-service training course for primary school teachers in the Eastern Cape province.





PROGRAM GUIDELINES

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

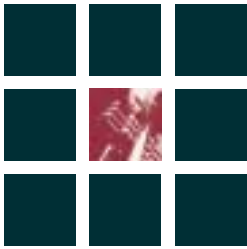
The Fund will address its goals through three initiatives, which are limited to the United States. These initiatives, although thematically connected, are not necessarily sequential. Applicants are encouraged to apply where appropriate to their level of development. The initiatives are as follows:

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

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

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

Arts and Culture



Of all the manifestations of America's extraordinarily diverse society, perhaps none is as striking as its range of art forms and cultural activities. For the arts and culture to receive the broad public support that is essential for their long-term health, they need to embrace all segments of society. Similarly, citizens must be given the educational tools that will help them understand and appreciate artistic diversity.

Under the Arts and Culture program, one of three program areas added to the Fund's agenda when the Charles E. Culpeper Foundation merged with the RBF, support is provided to organizations that are undertaking efforts to expand access to and educate and engage the public in artistic and cultural activities. Organizations that have demonstrated this capacity over time may be eligible for core support through the Charles E. Culpeper Endowments in Arts and Culture.

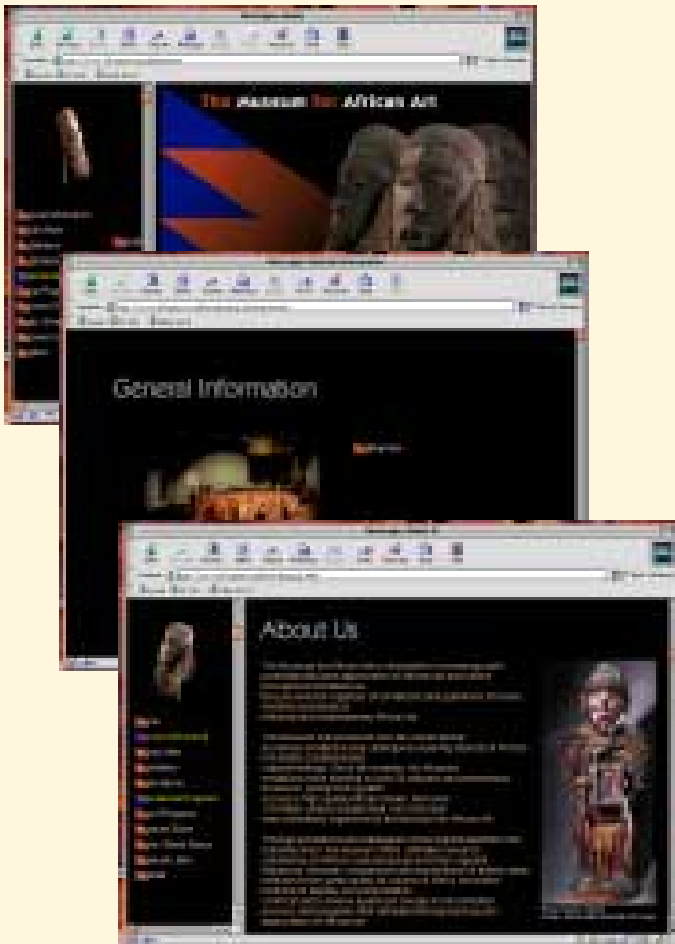
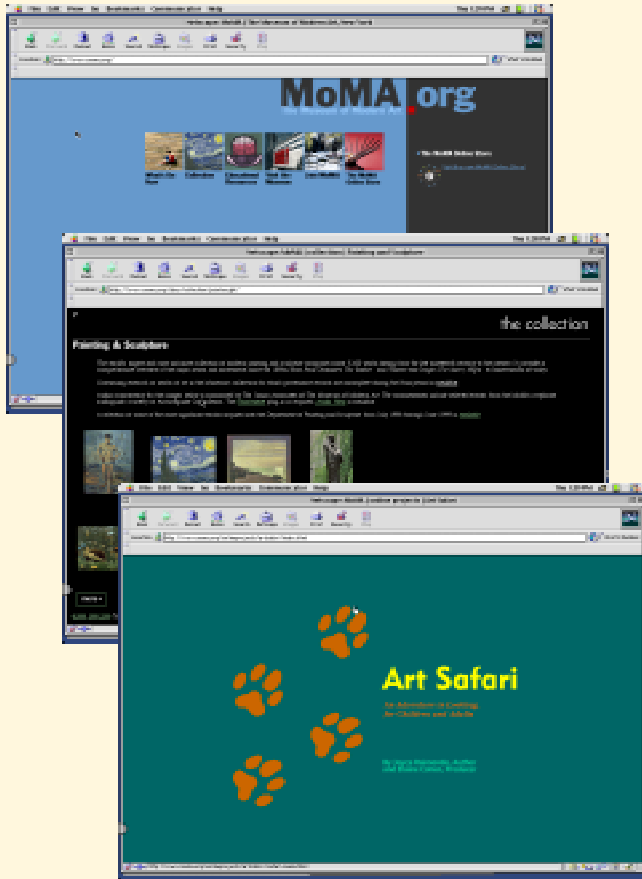
One area of the arts that is little understood, and even less appreciated, by the American public is contemporary art. The visual arts in particular have in recent years served as a flashpoint for controversy, prompting debates about the appropriateness of public support for the arts as well as the definition of art itself. Using media and information technologies to educate the public about contemporary art is the mission of Art 21, Inc., which is creating a four-year television series on contemporary visual artists in the United States. *Art for the Twenty-First Century*, to be broadcast by the Public Broadcasting Service beginning in 2001, will consist of four one-hour, prime-time broadcasts a year. Each program will be devoted to a particular theme and will profile several emerging or established visual artists. Material will also be created for posting on a related website, and a companion print volume will be produced by a commercial publisher. RBF funds are supporting the production of the first year's series of programs.

The nation's art museums have an important role to play in educating the public about culture and the arts. Yet most museums are anchored in physical facilities in major urban centers, and touring exhibitions are becoming prohibitively expensive; as a result, their collections tend to be seen only by limited audiences, and only a small portion of their collections may be on display at any given time. Now, however, museums can digitize visual images and place them on the Internet, thereby disseminating and interpreting their full collections to far more people. A grant to the Museum for African Art is supporting its development of a replicable Internet-based education program, *ArtLine*, to enhance the educational offerings that accompany the museum's in-house and touring exhibitions and make these exhibitions accessible to a broad online audience. As part of its efforts to create a model for other institutions, the museum will produce a guidebook to the Internet program and will offer suggestions for tailoring it to different collections and exhibitions. The Museum of Modern Art has mounted a 16-month exhibition series, titled *MoMA2000*, that surveys modern art from 1880 through the present. In conjunction with the exhibition, the museum is developing a "new media" initiative to provide a context for audiences to better understand and appreciate modern art. Online information created for *MoMA2000*—including a database of

information and images, an interactive component for children and families, and materials to be used in school programs—will remain available on the Internet after the expiration of the show.

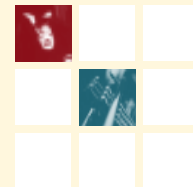
Many arts and cultural groups in the United States are seeking to help the public participate in and appreciate their activities, but their efforts tend to be frustrated by a lack of funding for their core operations. In response to this need, the RBF awards endowment grants to institutions that meet rigorous standards of excellence in arts and cultural programming, practice sound financial management, and show a long-term commitment to engaging and informing diverse audiences. Such a grant was awarded in 1999 to Dance Theatre Foundation, whose three components constitute a unique dance institution. The best known of these is the Alvin Ailey American Dance Theatre, which serves as a repository for the ballets of African American choreographer Alvin Ailey and presents the works of contemporary masters and emerging choreographers. Also operating under the auspices of the foundation are Ailey II, a separate performing company that develops young artists and new audiences, mainly in underserved communities, and the Ailey School, which offers classes in dance techniques, composition, history, and therapy. In addition, the foundation conducts a wide range of arts-in-education programs for students in New York City's public schools and for young people across the country.

National Public Radio, which produces and distributes news and cultural programming for some 600 nonprofit radio stations throughout the United States, attracts more than 14 million listeners each week, many in rural and culturally underserved communities, and over a million visitors each month to its website. An endowment grant to the NPR Foundation is supporting cultural programming that covers a broad spectrum of the performing, visual, and literary arts.



VIRTUAL EXHIBITIONS

Problems of overcrowding and space limitations often prevent museums and other art institutions from exhibiting their entire collections. Taking exhibitions on tour to escape some of these limitations has become extremely costly, and lenders are increasingly reluctant to provide works for touring because of the potential for damage. Today, new technologies offer promising solutions to these problems. Institutions can digitize visual images and place them on the Web, disseminating and interpreting their collections to significantly larger audiences. Free from the physical and time constraints that characterize museum exhibitions, websites can accommodate expanded audio and written interpretive materials, thereby enriching the exhibition experience by placing works of visual arts in a deeper historical, social, and cultural context. In 1999, the RBF made two grants—one to the Museum for African Art and one to the Museum of Modern Art—to help bring museum collections online.



CROSS-REFERENCE: Promoting the arts has long been a part of the Rockefeller family philanthropic tradition. The Asian Cultural Council, a publicly supported operating foundation affiliated with the RBF, was founded in 1963 by John D. Rockefeller 3rd to promote cultural exchange between the United States and the countries of Asia (see pp. 19–20 for more information). The RBF makes annual grants to the Asian Cultural Council toward its general operating expenses.

ARTS AND CULTURE • 1999 GRANTS

ART 21, INC.

New York, New York \$300,000 over 3 years

Toward the production of a television series focusing on contemporary American visual arts, entitled *Art for the Twenty-First Century*.

DANCE THEATRE FOUNDATION

New York, New York \$450,000 over 2 years

Toward a Charles E. Culpeper Endowment.

LOWER EAST SIDE TENEMENT MUSEUM

New York, New York \$60,000

Toward the development of a coalition of community-based organizations that will work to identify, interpret, and preserve historic sites on the Lower East Side of Manhattan.

MUSEUM FOR AFRICAN ART

New York, New York \$94,000

To help develop a replicable Internet-based education program, *ArtLine*, to enhance the museum's exhibitions and make them accessible to other institutions and a broad online audience.

MUSEUM OF MODERN ART

New York, New York \$150,000 over 2 years

Toward developing and marketing the Internet-based educational component of its exhibition surveying the history of modern art, *MoMA 2000*.

NATIONAL ENDOWMENT FOR THE HUMANITIES

Washington, D.C. \$25,000

For the planning phase of its Regional Humanities Centers Initiative, which will foster rediscovery of Americans' cultural roots and links to their cultures of origin.

NPR FOUNDATION

Washington, D.C. \$500,000 over 3 years

Toward a Charles E. Culpeper Endowment for support of cultural programming by National Public Radio.

THEATRE FOR A NEW AUDIENCE, INC.

New York, New York \$310,000 over 2 years

As a contribution toward a cash reserve fund to help stabilize its operations and plan effectively for the future.

VIVIAN BEAUMONT THEATER, INC.

New York, New York \$50,000

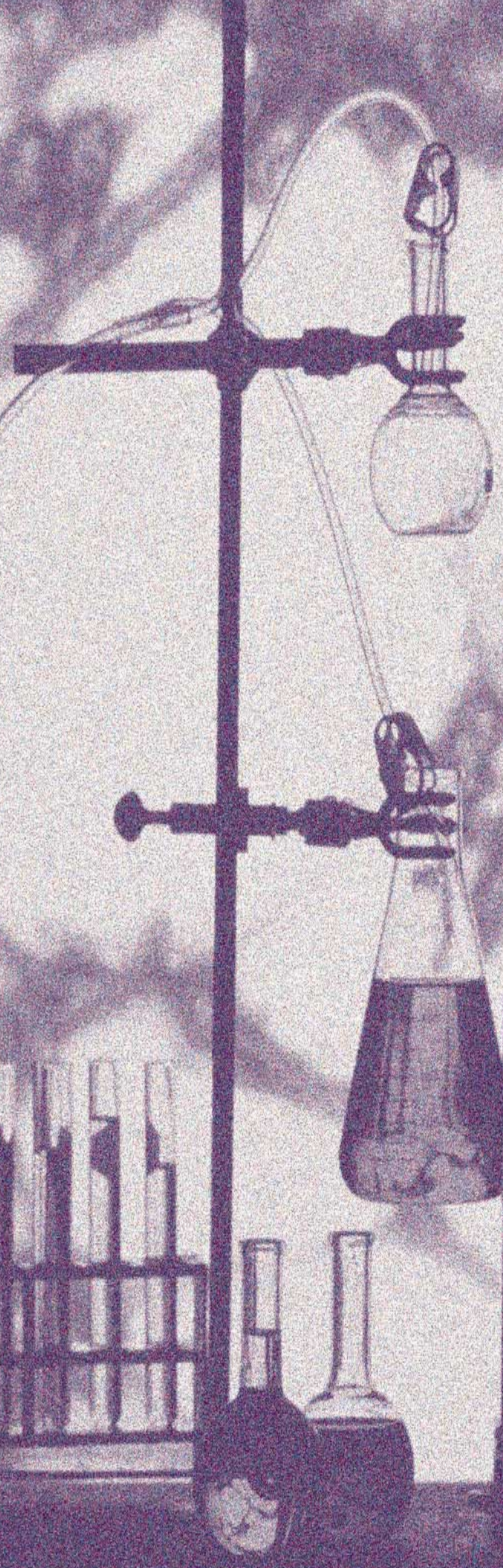
Toward symposia entitled "The Platform Series," which are open to the general public free of charge and engage artists in discussions with the audience about their work.

WORCESTER ART MUSEUM

Worcester, Massachusetts \$210,000 over 2 years

Toward programs designed to broaden and diversify the museum's constituency.





PROGRAM GUIDELINES

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

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

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

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

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

Health



Grantmaking under the Fund's Health program (a focus that was added to the guidelines when the Charles E. Culpeper Foundation merged with the RBF) supports biomedical research—with an emphasis on molecular genetics, molecular pharmacology, and bioengineering—as well as health services research, the study of social and ethical issues in health, and the improvement of American medical education. Since the merger in July 1999, grants have been awarded primarily through two initiatives: one promoting the advancement of individual careers in academic medicine; the other, the exploration of promising new ideas in research.

In principle, all physicians are scientists, in that they have at their command a broad body of biological and technical information and are knowledgeable about science as an intellectual instrument. The Charles E. Culpeper Scholarships in Medical Science program is directed at one group of physicians in particular. These professionals (also referred to by the RBF as “physician-scientists”) have received additional training in the conduct of science; are engaged in some kind of experimental work, whether it is basic science, medical research broadly defined, or patient-oriented clinical research; and are teaching medical students. Each year the program awards scholarships to four of them at a critical point in their career, enabling them to continue pursuing research while maintaining their clinical practice and teaching responsibilities. Underlying the scholarship program are two principles. First, there are unique roles in biomedical research for physician-scientists—roles that cannot be readily filled by basic scientists who lack medical training. Second, among physicians who teach, those who actually engage in scientific inquiry tend to be particularly effective in helping students acquire the skills needed to become lifelong learners.

The Charles E. Culpeper Biomedical Pilot Initiative takes as its focus the exploration of new, often untested, ideas in biomedical research. The program provides seed money to new and established investigators alike, helping them develop their research projects to the point where they might attract other sources of support. Among the 27 projects supported since the beginning of 1999, one is identifying a site in the eye for the administration of a drug that could treat and perhaps even prevent glaucoma. This progressive disorder leads to blindness in both eyes if left untreated; it is estimated to afflict more than 66 million people around the world. Another global public health problem is bacterial resistance to antibiotics, a major cause of which is their overuse—including their prescription for conditions like the common cold where they do little good. A 1999 grant is therefore funding the exploration of how physicians actually make the decision to prescribe antibiotics; the results will be used to devise simple educational interventions to reduce the inappropriate prescribing of these drugs.

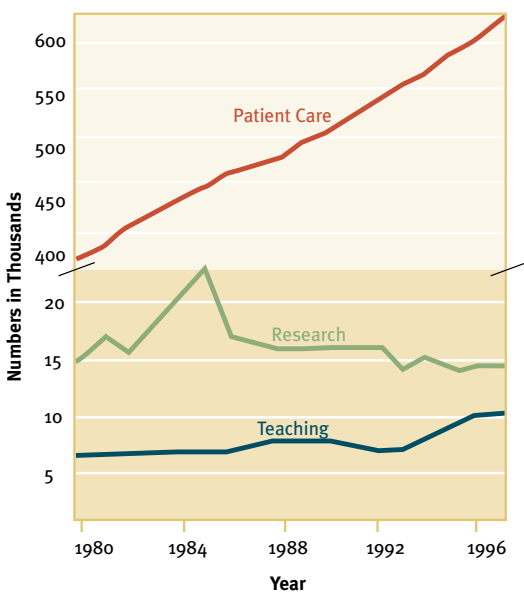
The **CHARLES E. CULPEPER SCHOLARSHIPS IN MEDICAL SCIENCE PROGRAM** is dedicated to supporting a unique group of young physicians: medical school faculty members who, in addition to their teaching and clinical responsibilities, also perform cutting-edge biomedical research. Such “physician-scientists” represent a critical resource for the field of medicine, contributing to progress in health research, improvements in health care, and excellence in medical education. Their research links basic science and clinical perspectives, “transforming clinical observations into testable research hypotheses and translating research findings into medical advances,” while their teaching reminds students “that the basis of medicine is science and that scientific rigor should apply to patient care as well as research.”*

Yet the number of physician-scientists appears to be declining, a trend that many in the medical research and education communities have noted with concern. Medical students graduating with increasing debt loads may be reluctant to pursue research and teaching careers that are less financially rewarding than private practice; and medical schools do not necessarily emphasize the value of research training or provide appropriate mentoring or role models for prospective physician-scientists. Research funding for MDs, while available from a few sources (notably the National Institutes of Health), is still too limited to encourage a substantial increase in the number of doctors attracted to the physician-scientist career path. The Culpeper Scholarships in Medical Science are designed to address at least some of these disincentives, by assisting and honoring gifted scientist scholars as they initiate their careers.

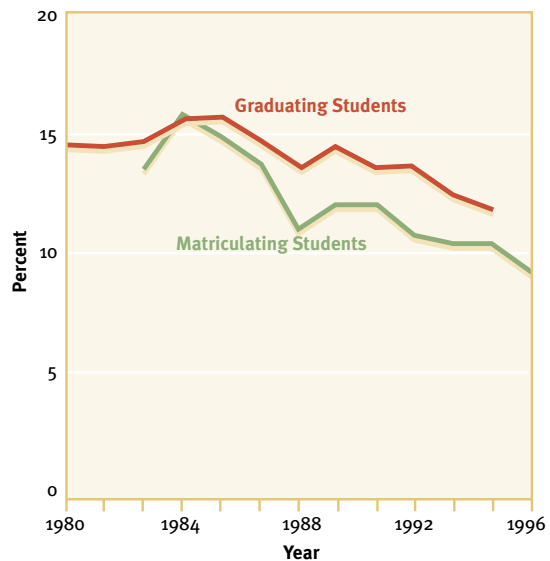


An annual dinner gives RBF trustees and staff the opportunity to meet recently selected scholars. Through informal presentations and a lively exchange of questions and answers, these exceptional teacher-physicians make the “hard science” of their research more accessible. Shown above are the scholars’ Class of 2000; Scientific Advisory Chair Gordon Gill, M.D. (lower right); and RBF trustee Richard Chasin (lower left).

U.S. PHYSICIANS BY MAJOR PROFESSIONAL ACTIVITY



PERCENTAGE OF MEDICAL STUDENTS WITH STRONG RESEARCH CAREER INTENTIONS



* “The Physician-Scientist: Career Issues and Challenges at the Year 2000,” by Tamara R. Zemlo, Howard H. Garrison, Nicola C. Partridge, and Timothy J. Ley, *The FASEB Journal* (Federation of American Societies for Experimental Biology), Volume 14: February 2000, pp. 221–230.

BIOMEDICAL PILOT PROJECTS

UNIVERSITY OF ARIZONA

Tucson, Arizona \$25,000
 To support the research of Alan J. Nighorn, PhD, entitled "Characterization of the Role of Eph Receptor Tyrosine Kinases in the Development of Insect Olfactory Systems."

CARNEGIE MELLON UNIVERSITY

Pittsburgh, Pennsylvania \$25,000
 To support the research of Robert F. Murphy, PhD, entitled "Development of an Automated Biomedical Imaging Experiment Interpreter."

DARTMOUTH COLLEGE

Hanover, New Hampshire \$25,000
 Toward the research of Steven N. Fiering, PhD, entitled "Production of Transgenic Mice with Controlled Copy Number and Integration Site by Utilizing the Flp and Cre Site Specific Recombinases."

DUKE UNIVERSITY

Durham, North Carolina \$25,000
 Toward the research of Michael A. Hauser, PhD, entitled "Analysis of a Strong Candidate Gene for Limb Girdle Muscular Dystrophy Type 1A."

MEMORIAL HOSPITAL

Pawtucket, Rhode Island \$25,000
 Toward the research of Roy M. Poses, MD, entitled "Project to Evaluate Practice Patterns: Antibiotic Prescribing."

OREGON HEALTH SCIENCES UNIVERSITY

Portland, Oregon \$25,000
 Toward the research of Mary Kelley, PhD, entitled "A Molecular Approach to Identify a Site for Novel Drug Intervention in Glaucoma."

PENNSYLVANIA STATE UNIVERSITY

University Park, Pennsylvania \$25,000
 Toward the research of Mary I. Frecker, PhD, entitled "Design of Integrated Actuator/End-Effectors for Minimally Invasive Surgery Using Piezoelectric Polymers."

PENNSYLVANIA STATE UNIVERSITY

University Park, Pennsylvania \$25,000
 Toward the research of Bernard Luscher, PhD, entitled "Functional Analysis GABA Receptor Interacting Proteins."

THE ROCKEFELLER UNIVERSITY

New York, New York \$24,416
 To support the research of Teruhiko Wakayama, PhD, entitled "Analysis of Factors Determining the Efficiency of Animal Cloning Using Adult Body Cells."

WASHINGTON UNIVERSITY

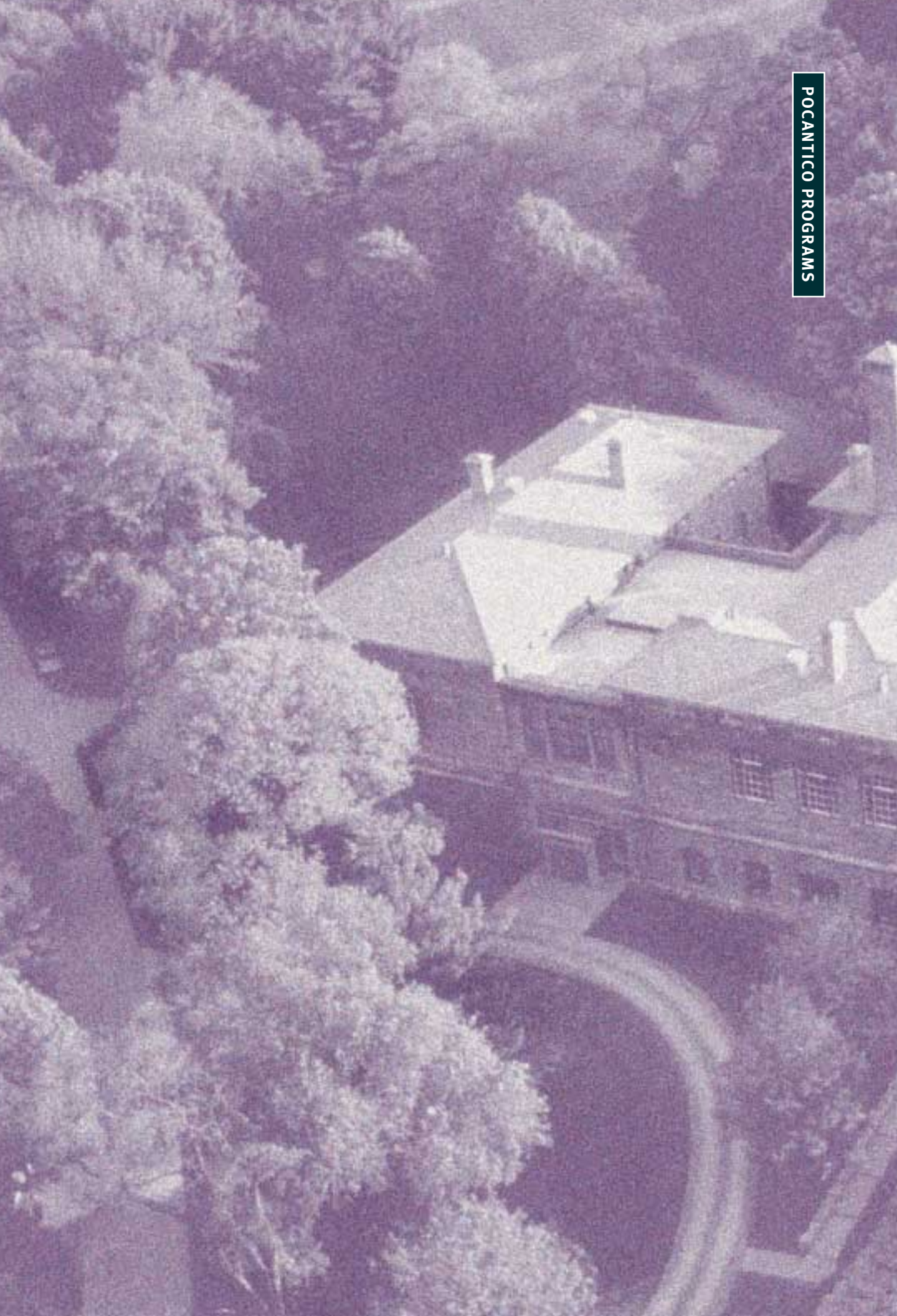
St. Louis, Missouri \$25,000
 Toward the research of Jean E. Schaffer, MD, entitled "Fatty Acid-Induced Apoptosis: A Potential Mechanism of Cell Death in Diabetes and Heart Failure."

RESEARCH

YALE UNIVERSITY

New Haven, Connecticut \$133,979 over 2 years
 To support the research of Robert Dorit, PhD, and Margaret Riley, PhD, entitled "In Vitro Generation of Novel Antimicrobials."

POCANTICO PROGRAMS





MISSION STATEMENT

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, the heart of the Rockefeller family estate in Westchester County, New York, through a program of public visitation;

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

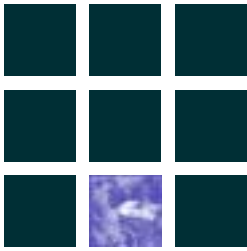
POCANTICO CONFERENCE CENTER

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

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

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

Pocantico Programs



Located 20 miles north of Manhattan in the Pocantico Historic Area—the heart of the Rockefeller Family estate in New York’s Westchester County—the Pocantico Conference Center of the Rockefeller Brothers Fund is situated on 86 acres of 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. The setting is quiet, gracious, and relatively secluded: ideal for small working groups and highly conducive to reflection and focused discussion.

POCANTICO CONFERENCES

Since it opened in 1994, the Pocantico Conference Center has hosted 245 meetings and 6,599 attendees. Meetings held at the Conference Center are of two types—Pocantico Conferences, which are usually designed and sponsored by the Fund or its grantees, and meetings that are hosted at Pocantico for other nonprofit organizations whose missions are compatible with the Fund’s. The content and format of meetings varies widely, but several common threads run through them: each meeting has had a direct relationship to a specific program interest of the Fund, and each has complemented the Fund’s grantmaking activities.

The wide range of topics addressed in the meetings held at the Conference Center serves to enrich the scope of the Fund’s activities and provide opportunities to engage critical issues by means other than grantmaking. Sixty-six meetings were held in the Conference Center in 1999 (an increase of 40 percent over 1998), making it the most active year yet. The increased activity was matched by a greater diversity of topics addressed, partly as a result of the merger of the Fund and the Culpeper Foundation, but also reflecting both the continuing emergence of new issues (in the area of global security, for example) and the persistence of many of the Fund’s central concerns.

As in previous years, meetings related to the environment and sustainable resource use were the most prevalent. These included discussions of broad initiatives, such as the drafting of an Earth Charter by the Earth Charter Commission and the Earth Council, and the Yale Center for Environmental Law and Policy’s meeting, “Toward a Global Environmental Organization,” as well as specific matters, such as the RBF-sponsored meeting on forests as carbon dioxide “sinks” and their role in climate change mitigation. The Fund-sponsored “Pocantico Roundtable for Consensus on Brownfields” highlighted issues surrounding the redevelopment of what are known as “brownfields” (contaminated, abandoned commercial or industrial sites) in the New York City area, while the American Architectural Foundation’s meeting on environmental design resources, and the U.S. Green Building Council’s meeting to refine its Green Building Rating

System, reflected a growing awareness of the need for sustainable design solutions and products in both the construction and the renovation of the nation's buildings.

Global security remained a dominant theme at Pocantico in 1999, and the challenging issues of the AIDS epidemic, refugee resettlement, nuclear non-proliferation, and an increasingly interdependent world economy continued to occupy a significant portion of the agenda. Of particular relevance to the last of these issues was the meeting at which the Bank Information Center and the National Wildlife Federation explored how to achieve greater transparency of international financial institutions, including ways of bringing about more effective consultation between civil society groups and these organizations. Recent developments in Iran made security considerations in that nation and the Middle East a particularly relevant topic: a meeting sponsored by the Rockefeller Foundation and New York University's Department of Politics brought together Iranian scholars and their counterparts in the Middle East and the West to exchange views about Iran's role in the region.

Education in two of the Fund's geographic areas of interest, New York City and South Africa, was once again a topic for discussion at the Conference Center. In keeping with its goal of improving the quality of education in New York City through fostering constituencies for public education and promoting civic responsibility for school reform, the Fund sponsored a retreat for scholars from New York University's Institute for Education and Social Policy to assess and chart new directions for research and policy studies in response to recent changes in the city's public education system. The South Africa program's interest in strengthening nonprofit organizations in the field of basic education was reflected in a meeting that marked the culmination of a month-long leadership development program organized by the Bank Street College of Education for nine South African trainers in early childhood development.

OTHER POCANTICO PROGRAMS

In leasing the Pocantico Historic Area from the National Trust for Historic Preservation, the RBF assumed the responsibility of maintaining the property and collections and providing public access to the property. To enable the public to visit the Historic Area, the Fund has contracted with Historic Hudson Valley, a not-for-profit that owns and interprets five sites in the Hudson River Valley. Tours are conducted between May 1 and October 31. In 1999, more than 44,000 visitors toured Kykuit and its galleries, gardens, and carriage and automobile collections.

In addition to maintaining the historic structures in its care, the RBF oversees the conservation of works of art in the collections as well as the historic fabric of the buildings and grounds. During 1999, the cedar bark roofs and cypress posts of two of the gates in the Japanese Garden were restored by carpenters from Nakamura Komuten, the Kyoto firm that originally built the teahouse and garden structures in 1964. The carpenters also restored details of the interior of the teahouse. As the final phase in a lengthy restoration of the Grotto, the eight icicle-shaped pale-blue glass lights that hang from the ceiling were reinforced and restored by a glass conservator, Jocelyne Prince. (Research revealed that these lights were made by Tiffany Furnaces after drawings by landscape architect William Welles Bosworth and models prepared by E. F. Caldwell & Co., suppliers of many lighting fixtures in Kykuit and the gardens.) Also during 1999, Tony Smith's *Cigarette*, a monumental sculpture on the eastern lawn, was repainted.

POCANTICO CONFERENCES • 1999

ROCKEFELLER FOUNDATION: “RACE, POLICY, AND PARTICIPATION”

January 13–14, 1999

Sponsored by the Rockefeller Foundation

With the aim of starting program planning for the new National Conversation on Race initiative on race, participation, and democracy, officers of the Rockefeller Foundation met with several grantees funded under the initiative, as well as with scholars, policy analysts, and practitioners from the fields of community building, labor, and civil rights. The conversations, which helped the grantees develop collaborative relationships with each other, were continued in a five-day residency at the Bellagio Conference Center.

EARTH CHARTER DRAFTING COMMITTEE MEETING

January 4–7, 1999

Sponsored by the Earth Charter Fund/Earth Council

On behalf of the Earth Charter Commission and the Earth Council, the Earth Charter Drafting Committee, chaired by Steven Rockefeller, convened a meeting of 15 representatives from around the world. In addition to considering how best to coordinate the Earth Charter and World Conservation Union Draft International Covenant on Environment and Development, participants made recommendations for a new draft of the Earth Charter. In February 1999 the resulting new document was submitted to the Earth Charter Commission, which subsequently issued a new draft Charter, called Benchmark Draft II. Both the Earth Charter and the World Conservation Union Covenant were submitted to the UN General Assembly in 2000.

THE BALTIC-AMERICAN PARTNERSHIP FUND

January 10–12, 1999

Sponsored by the Baltic-American Partnership Fund

The Baltic-American Partnership Fund (BAPF) was established by USAID and the Open Society to strengthen civil society in the Baltic states by continuing to support the development of democratic institutions there. At the BAPF's first meeting, chaired by RBF program officer William S. Moody, members of the BAPF board considered proposals submitted by the National Open Society Foundations (NOSFs) in Latvia, Lithuania, and Estonia. The meeting provided the first opportunity for dialogue between BAPF directors and the executive directors of the NOSFs who will be implementing BAPF programs. Participants engaged in a constructive dialogue about strategies to strengthen the institutional development and financial sustainability of NGOs in the Baltics. They also made administrative and financial decisions relevant to the organizational needs of the BAPF's U.S. office.

ENVIRONMENTAL GRANTMAKERS ASSOCIATION OPERATIONAL REVIEW RETREAT

January 18–20, 1999

Sponsored by the Environmental Grantmakers Association

The management committee of the Environmental Grantmakers' Association (EGA) met to clarify the association's priorities and goals, to plan specific activities to help meet these goals, and to assess the association's role and the challenges confronting it. After analyzing the EGA's organization, participants revised its mission, as follows: to provide the means for environmental grantmakers to connect with and

support one another, to learn about environmental issues and grantmaking, and to increase environmental funding. With this newly defined mission, management committee members decided to transfer responsibility from the committee to an executive director—a position offered to Sarah Hansen, EGA coordinator.

INTERNATIONAL AIDS VACCINE INITIATIVE: “U.S. CONSULTATION ON A GLOBAL AIDS VACCINE INITIATIVE”

January 31–February 2, 1999

Sponsored by the Rockefeller Brothers Fund

Convened by the RBF and the Alfred P. Sloan Foundation, a meeting of the International AIDS Vaccine Initiative engaged leaders from the philanthropic, industrial, and governmental sectors to explore new strategies for speeding the development of an AIDS vaccine for worldwide use. Participants reviewed



progress to date and suggested new intervention strategies. They also offered to support international efforts to accelerate AIDS vaccine research and development, which will entail greater participation by major governments and pharmaceutical companies.

POCANTICO ROUNDTABLE FOR CONSENSUS ON BROWNFIELDS

February 8–9, 1999

Sponsored by the Rockefeller Brothers Fund

The Pocantico Roundtable for Consensus on Brownfields, coordinated by the nonprofit New York City Partnership, comprises representatives from business, banking, municipalities, community-based organizations, and environmental groups, including those working for environmental justice. The Roundtable has been working since 1998 to develop a package of reforms and incentives that will encourage private investment and voluntary cleanup of New York's brownfield sites. At this, its second summit, members built on agreements reached at the December 1998 summit by negotiating issues regarding groundwater cleanup, statewide soil standards, the state's enforcement authority, liability, collaborative community planning and development strategies, and financial incentives.

INSTITUTE FOR EDUCATION AND SOCIAL POLICY

February 11–12, 1999

Sponsored by the Rockefeller Brothers Fund

In keeping with the New York City program's interests in fostering constituencies for public education and in promoting civic responsibility for school improvement, the Fund hosted a retreat for New York University's Institute for Education and Social Policy (IESP). Through policy studies, research, technical assistance, and evaluations, IESP works to strengthen public education in New York and other cities, nationally and abroad. Its diverse staff of researchers, scholars, trainers, and analysts works to help educators, parents, and community groups—many of them RBF grantees—improve local schools. In addition to assessing accomplishments and remaining problems, participants outlined new directions for research and policy studies in response to recently implemented policy changes affecting the city's public schools.

INTERNATIONAL RESCUE COMMITTEE: "DEVELOPING A TEAM APPROACH TO REFUGEE RESETTLEMENT"

February 27–March 2, 1999

Sponsored by the Rockefeller Brothers Fund

At a conference attended by its regional directors and headquarters staff, as well as government relations representatives and specialists in team building, refugee advocacy, conflict resolution, and mental health, the International Rescue Committee (IRC) focused on the challenges facing its Refugee Resettlement program. Participants emphasized the development of collaborative approaches to refugee resettlement and discussed community leadership, advocacy strategies, coalition building, and information sharing both inside and outside the IRC network.



DORIS DUKE CHARITABLE FOUNDATION

March 15–16, 1999

Sponsored by the Doris Duke Charitable Foundation

Staff members of the Doris Duke Charitable Foundation and the Conservation Fund discussed the future programmatic use of Duke Farms, the Foundation's 2,700-acre property located in Somerville, New Jersey. To guide the group as it identified possible uses for the estate, created a mission statement for the property, and devised a planning strategy, advisors

talked about their experiences in developing foundation-held property. The meeting, a precursor to an eight- to ten-month planning process involving the Foundation's trustees, produced a timetable to help staff identify tangible goals during that time.

UNITED NATIONS SENIOR MANAGEMENT GROUP RETREAT

March 19–21, 1999

Sponsored by the Rockefeller Brothers Fund

The goals of this retreat convened for the United Nations Secretary-General's Senior Management Group were to assess the first half of the Secretary-General's term in office and to establish a strategic direction for the remainder of his term. Participants—heads of departments, programs, and funds from New York, Geneva, Rome, and Nairobi—identified the major challenges facing the UN over the next three to five years, established a set of core objectives, and outlined a strategy for achieving them.

ACHIEVING KYOTO: OPPORTUNITIES FOR REDUCING GREENHOUSE GAS EMISSIONS

April 5–7, 1999

Sponsored by the Rockefeller Brothers Fund Global

Under the terms of the 1997 Kyoto Protocol on climate change, the United States must reduce its greenhouse gas emissions by around 550 million metric tons of carbon by the year 2010. At a meeting hosted by the RBF and the Energy Foundation, climate change experts reviewed various reductions opportunities that, taken together, would enable the U.S. to meet this goal without causing disruptions to the nation's economy.

THIRD MEETING OF THE TOKYO FORUM FOR NUCLEAR NON-PROLIFERATION

April 8–10, 1999

Sponsored by the Japan Institute for International Affairs and the Hiroshima Peace Institute in association with the Ministry of Foreign Affairs, Japan

The Tokyo Forum for Nuclear Non-Proliferation and Disarmament was initiated in response to recent nuclear testing by India and Pakistan. At this, the third meeting of the Forum, participants discussed nuclear weapons development in South Asia and elsewhere, international nonproliferation and disarmament, and related issues. They also made recommendations that were issued at a fourth and final meeting, held in Tokyo in July 1999. Recommendations resulting from that meeting will be issued to the international community.

PRIVATE LANDS: LAND TRUSTS AND CERTIFICATION

April 12–13, 1999

Sponsored by the Rockefeller Brothers Fund

The Doris Duke Charitable Foundation and the RBF convened 25 representatives of land trusts, the certification movement, and forest landowners to discuss the possibility developing a new tool for forest conservation that would combine conservation easements and forest certification. Such a tool would be useful for land owners who wish to continue earning an income from forest lands but also want to make sure their lands are never developed for other commercial uses. This tool is expected to have wide application in the working forests of New England.



**THE AMERICAN ARCHITECTURAL FOUNDATION:
“ENVIRONMENTAL DESIGN RESOURCES FOR
THE NEXT GENERATION”**

April 17–19, 1999

Sponsored by the Rockefeller Brothers Fund

As designers of the built environment, architects have both an opportunity and the responsibility to effect change. Such was the American Architectural Foundation’s premise as it convened a meeting of environmental scientists, community and urban planners, land-use experts, resource conservationists, health and human welfare advocates, and waste-management and recycling researchers. Discussions focused on the need to identify and assign priorities to environmental challenges, to quantify the many benefits of high-performance, sustainable design solutions, and to revise traditional design thinking through education, outreach, and marketing.

**1999 INTERNATIONAL PEACE ACADEMY NEW YORK
SEMINAR ON PEACEMAKING AND PEACEKEEPING**

May 10–13, 1999

Sponsored by the International Peace Academy

The International Peace Academy’s fourth annual New York seminar on Peacemaking and Peacekeeping took as its central theme “Partnership with the United Nations.” The roles of regional organizations, international financial institutions, governments, NGOs, and the media were examined through case studies of peace operations and conflict situations, presentations by eminent resource persons (including senior members of the UN Secretariat, key experts from the field, leading academics, senior representatives of international financial institutions, and journalists), and group discussions. Participants were drawn from the United Nations Secretariat, New York-based national missions to the United Nations, and the media.

**THE APPLIED RESEARCH & DEVELOPMENT,
INTERNATIONAL, INC.**

May 17–19, 1999

Sponsored by the Rockefeller Brothers Fund, the Ewing Marion Kauffman Foundation, and the Nathan Cummings Foundation

The Applied Research & Development International, Inc. convened leaders of the nonprofit sector infrastructure and youth development organizations to help develop a national demonstration plan to translate applied nonprofit management and leadership research findings in ways that can be readily understood and used by nonprofit managers and leaders. Youth development organization managers and leaders were chosen as the target market for the plan, which was subsequently circulated for comment and is now being disseminated and implemented.

CARBON SEQUESTRATION (“SINKS”) MEETING

May 26–27, 1999

Sponsored by the Rockefeller Brothers Fund

In pursuit of its Sustainable Resource Use program interests and in recognition that all forests are carbon dioxide “sinks”—that is, they absorb greenhouse gas emissions—the Fund hosted a meeting of forest conservation and climate-change advocates to discuss options for incorporating forest protection concerns into the implementation of the Kyoto Protocol. The aim was to help participants better understand the opportunities and risks of such an approach, and to explore areas of common ground for future collaboration.

**CARNEGIE COUNCIL ON ETHICS AND INTERNATIONAL
AFFAIRS: “ETHICS, ACTORS, AND THE EMERGING
GLOBAL ECONOMIC ARCHITECTURE”**

June 3–5, 1999

Sponsored by the Rockefeller Brothers Fund

To further its interests in global security, the Fund hosted a meeting led by the Carnegie Council on Ethics and International Affairs as part of its continuing project, Justice and the World Economy. The project is examining globalization’s major actors and institutions,

their values, and their effects on social and economic justice. Participants included representatives of the World Bank, the International Monetary Fund, the World Trade Organization, national governments, and multinational corporations.

SOUTH AFRICA/U.S. COLLABORATIVE FOR EARLY CHILDHOOD LEADERSHIP

June 30, 1999

Sponsored by the Rockefeller Brothers Fund

This conference, which reflected the South Africa program's interest in strengthening the institutional capacity of nonprofit organizations in basic education, marked the culmination of an RBF-funded one-month leadership development program organized by the Bank Street College of Education for nine South African early childhood development trainers. Program participants identified issues on which they might work together to strengthen early childhood organizations in South Africa and the U.S., devised strategies to deal with these issues, and considered ways of building on this collaboration.

DISARMAMENT AND INTERNATIONAL SECURITY AND THE UNITED NATIONS IN THE 21ST CENTURY

July 1–2, 1999

Sponsored by the United Nations Department for Disarmament Affairs

In conjunction with the convening of the United Nations Secretary-General's Advisory Board on Disarmament Matters, members of the Board from around the world met to forecast the outlines of disarmament and international security and the United Nations in the 21st century. In a private communication, the Board's chairman for 1999 submitted a summary of the meeting to the Secretary-General for inclusion in his report to the Millennium Summit meeting of the General Assembly in September 2000.



TRADE AND MULTILATERAL DEVELOPMENT BANK CROSS-FERTILIZATION WORKSHOP

July 7–9, 1999

Sponsored by the Rockefeller Brothers Fund

To further its Global Security and Sustainable Resource Use programs' interest in global economic governance, the Fund convened representatives of the Bank Information Center and National Wildlife Federation to explore the possibility of collaborating with each other. The aim was to respond to the solidification, by the Bretton Woods institutions (the World Trade Organization, the World Bank, and the International Monetary Fund), of the global economy. Participants agreed on the need to influence policies on globalization, increase WTO and World Bank transparency, redress power imbalances between governments and international financial institutions, and help civil society organizations and these institutions consult with each other more effectively.

WOMEN'S LENS ON GLOBAL ISSUES

July 14–16, 1999

Sponsored by the Women's Lens on Global Issues Project and the Rockefeller Foundation

The aim of a brainstorming session for members of the program strategy team of the Women's Lens on Global Issues was to provide the organization's leaders with advice on program strategy and geographic priorities for the organization's second year of work. Participants agreed to hire a survey research organization to undertake a national poll and segmentation analysis to identify the range of values and the issues that women in the United States consider most relevant to international engagement. Geographic priorities for grassroots community action in the year 2000 include Los Angeles, Chicago, Raleigh-Durham, and Minneapolis.

IRAN AND THE MIDDLE EAST: "TOWARD A CROSS-CULTURAL DIALOGUE"

July 18–20, 1999

Sponsored by the Rockefeller Foundation and New York University's Department of Politics

Iran's role in the Middle East was the focus of this workshop, which brought together scholars from Iran with their counterparts from the Middle East and the West. The meeting was viewed as a step in creating a serious, sustained exchange of ideas—a modest but substantial contribution to the bridging of social, political, and cultural divides and the first step toward improved relations among nations. It was organized by New York University's Department of Politics and funded by the Rockefeller Foundation, with additional support from the American Jewish Committee.

DEFINING POLICY OPTIONS TO SLOW U.S. FOREST FRAGMENTATION

July 25–27, 1999

Sponsored by the Rockefeller Brothers Fund

To advance its interest in sustainable resource use, the Fund brought together environmentalists, representatives of the forest industry, and leaders of property rights groups to address the threats to terrestrial biodiversity posed by the fragmentation of private forests in the United States. Participants focused on a troubling trend: 73 percent of the nation's forests are held by 10 million owners; within ten years, this number is expected to double and the average size of forest parcels will shrink.



**ROCKEFELLER FOUNDATION:
NEXT GENERATION LEADERSHIP**

July 29–August 1, 1999

Sponsored by the Rockefeller Foundation

The Rockefeller Foundation convened a conference for 5 staff members and 22 Next Generation Leadership (NGL) fellows that served as the sixth and final module for the first year of the NGL program. The fellows—nominated by respected national leaders and demographically and ideologically representative of contemporary American society—have begun building a powerful network of collaborators working to build a new civil society: a network unique in reaching across classes, sectors, and racial and cultural divides. In addition to reflecting on the year just concluded, conference participants examined the qualities of leadership needed to create positive social change and the reinvigoration of democracy in the U.S.

**U.S. GREEN BUILDING COUNCIL:
LEED™ EXPERTS PEER REVIEW WORKSHOP**

August 13–15, 1999

Sponsored by the Rockefeller Brothers Fund

The U.S. Green Building Council (USGBC) has been developing the LEED™ Green Building Rating System as a design guideline and an evaluation tool for the promotion of environmentally responsible buildings. Under the auspices of the Council, two technical leaders of the LEED Green Building Rating System Committee convened a workshop at which a cross section of industry experts concluded LEED's pilot phase by reviewing a draft of the document, refining it, and preparing it for a final USGBC consensus ballot in the fall of 1999. The goal was to make LEED ready for an official launch in the spring of 2000. As a result of the workshop, the LEED document has a balanced framework with industry-accepted reference standards to support high levels of environmental performance.

**“KNOWLEDGE FOR WHAT: POLICY RESEARCH ON
CONFLICT PREVENTION AND PEACEBUILDING”**

September 12–14, 1999

Sponsored by the Center on International Cooperation, the International Peace Academy, and the Peace Implementation Network of the Fafo Institute for Applied Social Sciences (Oslo)

At this workshop, academics, policymakers, foundation officials, and NGO representatives explored the role that policy-oriented research and knowledge generation can play in devising policies and activities for conflict prevention and peacebuilding. Three broad questions were explored: What constitutes useful and effective public policy research in these fields? What drives the research agenda? How can we move from policy research to practical action and political relevance? Participants agreed to follow up the workshop by creating a consortium of researchers, practitioners, and policymakers working on conflict prevention and peacebuilding.

CHILDREN'S ENVIRONMENTAL HEALTH SUMMIT

September 16–18, 1999

Sponsored by the Children's Health Environmental Coalition and the Institute for Children's Environmental Health

The Children's Environmental Health Summit convened a small group of leaders from government, academia, and the nonprofit sector to map out this emerging field. In addition to identifying organizations that are addressing specific aspects of children's environmental health, participants analyzed existing gaps and overlaps, ways of framing issues to build a movement, and opportunities to bring a broad range of constituencies together to collaborate at the regional, national, and international level. They also assumed responsibility for various tasks, including the development of a set of guiding principles and work on specific initiatives. Finally, they agreed to meet again in the year 2000 to build on the momentum of the summit and to invite leaders in health, labor, industry,

environmental justice, and science who are committed to improving children's environmental health.

COUNCIL OF BETTER BUSINESS BUREAUS' FOUNDATION: "STANDARDS FOR CHARITABLE SOLICITATIONS REVIEW PANEL PLENARY SESSION"

September 24–25, 1999

Sponsored by the Rockefeller Brothers Fund and the Council of Better Business Bureaus' Foundation

The Council of Better Business Bureaus' (CBBB) Foundation convened the plenary meeting of an advisory panel comprising representatives of large and small charities, corporate and foundation donors, CEOs of Better Business Bureaus, and experts in nonprofit accounting, state regulation, philanthropic research, and international solicitation practices. The panel was formed to review the CBBB Standards for Charitable Solicitations and to propose revisions to ensure their continuing effectiveness. The standards—designed to help educate donors, encourage accountability by charitable organizations, and promote public trust in philanthropy—form the basis of all charity evaluations issued by the Philanthropic Advisory Service, the arm of the CBBB that reports on nationally soliciting charities; they are also used by many local Better Business Bureaus in their reports on local charities. The panel's review was prompted by changes in nonprofit accounting guidelines, new forms of fundraising (including Internet-based appeals), the growth of cause-related marketing, and the increased importance of both local and international charities.

MAPPING THE MULTINATIONALS

September 30–October 3, 1999

Sponsored by the Rockefeller Brothers Fund

The aim of this meeting was to analyze the historical origins of multinational corporations or enterprises, their wealth and power, and their constituent elements, such as foreign direct investment. Papers presented at the meeting are being edited for inclusion in a volume to be published by Westview Press, and visual representations—maps and CD-ROMs—will be drawn up.

INTERNATIONAL SOCIETY FOR THIRD-SECTOR RESEARCH BOARD RETREAT

October 8–10, 1999

Sponsored by the Rockefeller Brothers Fund

The aim of this retreat for the board of the International Society for Third-Sector Research (ISTR) was to complete an evaluation and long-term planning initiative by analyzing a report outlining strategic directions for the next five years. The report—which covered membership services and programs, methods to support nonprofit research internationally, regional networks, board composition, conference site selection, affinity groups, and additional publications—was adopted by the board and subsequently distributed to ISTR's members and posted on its website. The full membership approved the strategic plan at its biennial membership meeting, in July 2000.

CONTEMPLATIVE LAW RETREAT

October 22–26, 1999

Sponsored by the Nathan Cummings Foundation and the Fetzer Institute

With support from the Nathan Cummings Foundation and the Fetzer Institute, the Center for Contemplative Mind in Society held a retreat to explore the benefits of contemplative practice for the legal profession. This intergenerational gathering brought together lawyers from the private and public sector, law faculty from across the country, students from Yale Law School, an editor of the *ABA Journal*, and teachers of meditation and yoga. The retreat featured periods of silence and instruction in sitting and walking meditation, as well as discussions of the role of contemplative practice in reducing stress, improving concentration and insight, and creating an environment conducive to questions about meaning and motivation, truth and justice, and ethics and values. Participants agreed to hold a retreat on this subject for law students in March 2000.

TELECOMMUNICATIONS AND INFORMATION TECHNOLOGIES: CHALLENGES AND OPPORTUNITIES FOR COMMUNITIES OF COLOR

October 28–30, 1999

Sponsored by the Rockefeller Foundation

Although information technology has witnessed explosive growth and is increasingly becoming the basis of meaningful involvement in the global community, there are large segments of the world and the U.S. population that do not have access to it. Many argue that access to technology will be the dividing line between the world's haves and have-nots in the coming period. The Rockefeller Network on Race and Democracy convened researchers, academics, policymakers, and practitioners to discuss the "digital divide" and its impact on low-income communities. Following presentations of research findings on the extent of the problem (and its racial elements) in schools, universities, and communities, participants considered public policies and private initiatives that might redress inequities. As a next step, they agreed to forge collaborative relationships among technicians, researchers, and community-based groups. The meeting was organized by the Howard Samuels State Management and Policy Center of the Graduate School and University Center of the City University of New York, with the collaboration of Policy Link (Oakland, California) and made possible by a grant from the Building Democracy Program of the Rockefeller Foundation.

NATIONAL CHARITIES INFORMATION BUREAU

November 1–2, 1999

Sponsored by the Rockefeller Brothers Fund

Some 20 executives from the nonprofit, government, and business sectors came together to provide insight and commentary to the 82-year-old National Charities Information Bureau (NCIB) on the forces, pressures, and changes affecting the operations of local, state, and national charitable and nonprofit organizations. Among the major trends are access to capital, technological advances, changing roles of institutions, donors' interest in knowing about the effectiveness of nonprofits, and the erosion of trust resulting from a few highly publicized scandals among foundations and nonprofits. The NCIB used the perspectives and knowledge shared at the retreat as part of its year-long review of Standards in Philanthropy, the tool it uses to evaluate and report on national charities.

**YALE CENTER FOR ENVIRONMENTAL LAW AND POLICY:
“TOWARD A GLOBAL ENVIRONMENTAL ORGANIZATION”**

November 4–5, 1999

Sponsored by the Rockefeller Brothers Fund

This informal meeting followed up on two meetings that discussed the future of international environmental policymaking. A total of 22 government officials, NGO leaders, and representatives of businesses and academia from 13 nations outlined the essential functions of global environmental governance and the roles that existing and future organizations could play. In addition, they discussed strategies for strengthening the existing regime, as well as the potential merits of creating a new global environmental organization. They also produced a list of action items to be addressed in preparation for the next round of discussions, planned for September 2000 at the Bellagio Conference Center in Italy.

NEW YORK FOUNDATION FOR THE ARTS

November 8–9, 1999

Sponsored by the Rockefeller Brothers Fund

In keeping with its Arts and Culture program interests, the Fund hosted a retreat for the New York Foundation for the Arts (NYFA), one of the nation’s major providers of grants and services to individual artists in all artistic disciplines investing in artists who create and carry ideas across the world. The NYFA celebrates its 30th anniversary in 2001; the retreat helped launch a strategic plan to guide the organization in the years ahead.

**BUILDING A WORKFORCE DEVELOPMENT
INFRASTRUCTURE FOR NEW YORK CITY**

November 11–12, 1999

Sponsored by the Clark Foundation and the New York Community Trust

In response to an acute need for strengthening community-based nonprofit organizations, the Clark Foundation and the New York Community Trust cosponsored a meeting to discuss ways to improve the management of, and infrastructure support available to, employment training nonprofit organizations at a time

of major change. Participants at the meeting—funders, large and small workforce development providers, and representatives of employers—recommended a four-part strategy: increased general operating support from funders, a staff training institute, a neighborhood intermediary to consolidate administrative and computer information systems, and a directory of providers.

DEVELOPING THE BALANCED LEADER

November 15–17, 1999

Sponsored by the Rockefeller Brothers Fund

The Initiative for Social Innovation through Business (ISIB), a program of the Aspen Institute, convened experts in executive education from five sectors—universities, professional service firms, multinational corporations, the media, and nonprofits—and from five regions of the world to explore the case for balance in management education and leadership development. At the highly interactive meeting, participants explored the tensions and dilemmas associated with pursuing both profits and principles. They also proposed the development of a learning network and specific partnerships in this area.

**THE CARNEGIE COUNCIL ON ETHICS AND
INTERNATIONAL AFFAIRS: “SOCIAL POLICY PRINCIPLES
AND THE SOCIAL DEVELOPMENT AGENDA”**

December 3–5, 1999

Sponsored by the Carnegie Council on Ethics and International Affairs and the British and Dutch governments

This workshop, attended by delegates to the United Nations, national policymakers, and experts from major UN agencies and international organizations, addressed principles in social policy. The goal was to aid the UN system as it examined these principles in the context of the Special Session of the UN General Assembly in Geneva, in 2000, scheduled to serve as the five-year (or “+5”) review meeting of the 1995 Copenhagen World Summit for Social Development. Participants agreed that social policy principles should be universal in nature, a product of the UN system,



and achieved through an intergovernmental, negotiated process. The Geneva Special Session was therefore viewed not as the final stage in devising a social development agenda but rather as a step toward making such an agenda more prominent. The workshop also enabled frank discussion on the nature of social policy commitments and an airing of views on social policy principles and the relationship between Bretton Woods organizations and UN institutes, from the perspective of developing and developed countries alike.

THE CREDIT ENHANCEMENT ROUNDTABLE

December 7, 1999

Sponsored by the Rockefeller Brothers Fund

The purpose of this one-day meeting was to explore strategies for increasing the supply of capital available to lenders that finance business development in low-wealth urban and rural communities throughout the U.S. Discussion focused in particular on possibilities for expanding the volume of secondary market transactions for loans originated by community development financial institutions. Participants included an unusual mix of investment bankers, commercial bankers, insurance underwriters, government agency officials, foundation professionals, and economic development practitioners. The meeting concluded with the formation of a working group to advance dialogue and action on expanding access to capital for economic development in disadvantaged communities.

COALITION FOR ENVIRONMENTALLY RESPONSIBLE ECONOMIES (CERES): GLOBAL REPORTING INITIATIVE CONFERENCE

December 8–9, 1999

Sponsored by the Rockefeller Brothers Fund

The meeting of the Global Reporting Initiative (GRI), an international effort to develop guidelines for measuring the environmental, social, and economic performance of multinational companies, included GRI Steering Committee members from General Motors

and representatives from the UN, various foundations (including Ford, MacArthur, C. S. Mott, and RBF), the World Business Council for Sustainable Development and Sustainability, and NGOs such as the World Resources Institute and the Interfaith Center on Corporate Responsibility. The meeting was structured to build awareness of the Global Reporting Initiative and solicit perspectives on the GRI from this group of experts on international trade and finance, the environment, human rights, and corporate accountability. The group provided strategic advice about the credibility, independence, and fairness issues that must be addressed in creating a permanent financial and governance structure for the GRI.

**INTERNATIONAL PEACE ACADEMY:
THE UN IN THE 21ST CENTURY**

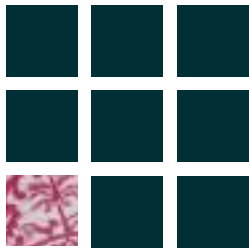
December 10–11, 1999

Sponsored by the International Peace Academy

The International Peace Academy convened a policy development meeting for United Nations ambassadors, the UN Secretary-General and his deputy, and leaders from the private sector, NGOs, and academia. Participants identified ideas for several initiatives that the UN could take in the millennial year.



Ramon Magsaysay Award Foundation



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

In 1999, the Ramon Magsaysay Award Foundation selected the following awardees:

- **GOVERNMENT SERVICE**

Tasneem Ahmed Siddiqui, Pakistan, *reformer and civil servant, proponent of community involvement in upgrading poor urban neighborhoods*

For “demonstrating that a committed government agency, working in partnership with NGOs and with the poor themselves, can turn the tide against Pakistan’s crippling shelter crisis.”

- **PUBLIC SERVICE**

Rosa Rosal, Philippines, *former actress, now a governor of the Philippine National Red Cross and chair of the Red Cross Blood Program*

For “her lifetime of unstinting voluntary service, inspiring Filipinos to put the needs of others before their own.”

- **COMMUNITY LEADERSHIP**

Angela Gomes, Bangladesh, *founder of Banchte Shekha (“Learn to Survive”), which provides skills training, legal assistance, and other resources to rural women*

For “helping rural Bangladeshi women assert their rights to better livelihoods and to gender equality, under the law and in everyday life.”

- **JOURNALISM, LITERATURE, AND CREATIVE COMMUNICATION ARTS**

Lin Hwai-min, Taiwan, *choreographer and dance teacher*

For “revitalizing the theatrical arts in Taiwan with modern dance that is at once eloquently universal and authentically Chinese.”

Raul L. Locsin, Philippines, *newspaper publisher and advocate of a free and independent press*

For “his enlightened commitment to the principle that, above all, a newspaper is a public trust.”

RAMON MAGSAYSAY AWARD FOUNDATION • 1999 GRANTS

RAMON MAGSAYSAY AWARD FOUNDATION

Manila, Philippines \$150,000

Toward the stipends for the 1998 Ramon Magsaysay Awards, which recognize individuals or organizations in government, public service, journalism, literature, and communications working in Asia on behalf of Asians.

PROGRAM FOR ASIAN PROJECTS

RAMON MAGSAYSAY AWARD FOUNDATION

Manila, Philippines \$20,000 total

\$15,000 toward its "Issues and Trends in Asian Development" seminar.

\$5,000 for continuing publication of *The Magsaysay Awardee*.

MURLIDHAR DEVIDAS AMTE

Anandwan, India \$10,000

Toward a training program for rural youths in India on the cost-effective recycling of plastics.

ELA R. BHATT

Ahmedabad, India \$10,000

Toward a project documenting the early years of her attempts to unionize the informal sector of women worker's in India.

FE DEL MUNDO, MD

Quezon City, Philippines \$10,000

Toward the project, "Directly Observed Treatment: Short Course Among Children with Tuberculosis Disease in an Urban Poor Community."

PRATEEP UNGSONGTHAM HATA

Bangkok, Thailand \$10,000

Toward work on livestock and agricultural development in the Klung Toey area of metropolitan Bangkok.

AUGUSTINE J.R. KANG

Bangkok, Thailand \$10,000

Toward the project, "Credit Union Promotion in Mongolia."

NUON PHALY

Khan Dangkar, Cambodia \$10,000

Toward a project to teach sewing skills to orphaned Cambodian girls and young women.

ADIBUL HASAN RIZVI

Karachi, Pakistan \$10,000

Toward a project on rehabilitating kidney transplant recipients.

PRAWASE WASI, AREE VALYASEVI, SOPHON SOPHAPONG & CHAMLONG SRIMUANG

Bangkok, Thailand \$28,180

Toward the project, "Establishment of Social Partnership to Promote Quality of Life for Children, Youth, and Family in Thailand."

ROCKEFELLER BROTHERS FUND

Grants Paid in 1999

Summary of Grants Paid

SUSTAINABLE RESOURCE USE

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
UNITED STATES AND GLOBAL					
ALASKA CONSERVATION FOUNDATION Anchorage, Alaska	Toward a strategic transition fund.	100,000		100,000	
ALASKA MARINE CONSERVATION COUNCIL Anchorage, Alaska	Toward its fisheries management project in the North Pacific.	100,000	50,000	50,000	
	Toward its fisheries management reform project in the North Pacific.	140,000			140,000
AMERICAN COUNCIL FOR AN ENERGY EFFICIENT ECONOMY Washington, D.C.	Toward efforts to improve appliance standards and increase the use of cogeneration.	100,000		50,000	50,000
AMERICAN LANDS ALLIANCE Washington, D.C.	For a study that will provide information about Chile's forest products industry to international initiatives to protect coastal temperate rainforests.	20,000		20,000	
	For continued support of its global forest network and its efforts to educate conservation advocates about sustainable forestry.	200,000		100,000	100,000
AMERICAN LITTORAL SOCIETY Miami, Florida	To its Reefkeeper International project on fishery management reform in the Caribbean.	50,000		25,000	25,000
AMERICAN OCEANS CAMPAIGN Washington, D.C.	Toward its project, the Marine Fish Conservation Network.	120,000		60,000	
	For its project, the Marine Fish Conservation Network.	160,000			160,000
CAPE COD COMMERCIAL HOOK FISHERMEN'S ASSOCIATION West Chatham, Massachusetts	For its Fisheries Reform Campaign.	70,000			70,000
CENTER FOR MARINE CONSERVATION Washington, D.C.	Toward four fishery management reform projects in the Mid-Atlantic, South Atlantic, Gulf, and Pacific regions.	420,000		210,000	210,000
CENTER FOR RESOURCE ECONOMICS Washington, D.C.	Toward publication of two books documenting the economic benefits of greenhouse gas emissions reduction.	100,000		50,000	50,000
CERTIFIED FOREST PRODUCTS COUNCIL Beaverton, Oregon	Toward efforts to promote demand for sustainably managed forest products.	450,000	220,000	230,000	
CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY San Francisco, California	For general operating expenses and toward a project to assess strategies for private forest land conservation.	45,000		30,000	15,000
CLEAN AIR-COOL PLANET, INC. Portsmouth, New Hampshire	For Tufts University's Northeast Climate Initiative.	100,000		50,000	50,000
CLIMATE NEUTRAL NETWORK Underwood, Washington	Toward core support for an innovative effort to mitigate greenhouse gas emissions.	25,000		25,000	
CONSERVATION LAW FOUNDATION Boston, Massachusetts	Toward its fisheries management project in New England.	100,000	50,000	50,000	
	For its fishery management project in New England.	100,000			100,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW Washington, D.C.	Toward its project, the Consumer's Choice Council.	150,000	75,000	75,000	
DAVID SUZUKI FOUNDATION Vancouver, Canada	Toward its rainforest conservation initiative on British Columbia's north coast.	380,000		100,000	
EARTH DAY NETWORK, INC. Seattle, Washington	General support of the Earth Day 2000 campaign (\$100,000) and toward the Times Square Millennium Clean Energy Project (\$25,000).	125,000		125,000	
ECOTRUST CANADA Vancouver, Canada	Toward efforts to foster a conservation-based economy in the north coast region of British Columbia.	200,000		100,000	100,000
FOREST STEWARDSHIP COUNCIL, A.C. Oaxaca, Mexico	Toward strengthening its senior management staff.	100,000		50,000	50,000
GLOBAL ENVIRONMENT AND TECHNOLOGY FOUNDATION Annandale, Virginia	Toward its new Center for Energy and Climate Solutions to help American industry profitably reduce greenhouse gas emissions.	100,000		50,000	50,000
GREEN BUILDING FUND, THE San Francisco, California	Toward designing a national strategy to reduce energy consumption in commercial buildings.	14,000		14,000	
GREEN HOUSE NETWORK Lake Oswego, Oregon	Toward efforts to promote college students' engagement on global warming.	20,000		20,000	
HAWAII AUDUBON SOCIETY Honolulu, Hawaii	For its Western Pacific Fisheries Coalition project.	120,000		60,000	60,000
INSTITUTE FOR AGRICULTURE AND TRADE POLICY Minneapolis, Minnesota	To support its efforts to monitor national standard-setting efforts relevant to forestry.	50,000		50,000	
	Toward its effort to educate private landowners in the Great Lakes region about sustainable forestry certification.	150,000		75,000	75,000
INTERNATIONAL COUNCIL FOR LOCAL ENVIRONMENTAL INITIATIVES USA Berkeley, California	Toward helping municipalities develop plans for cost-effective greenhouse gas emissions reductions.	100,000		50,000	50,000
INTERNATIONAL FORUM ON GLOBALIZATION San Francisco, California	Toward the costs of hosting a meeting to educate forest activists about the environmental consequences of increasing trade in forest products, and to begin developing a strategy to address these concerns.	15,000		15,000	
IZAAK WALTON LEAGUE OF AMERICA, INC. Gaithersburg, Maryland	Toward its efforts to evaluate sustainable forest management practices on industrial lands in the U.S.	30,000		30,000	
MUNICIPAL ART SOCIETY OF NEW YORK New York, New York	Toward launching its project, the Metropolitan Waterfront Alliance.	200,000	200,000		
NATIONAL ENVIRONMENTAL TRUST Washington, D.C.	For support of its efforts to build a U.S. constituency for mitigating climate change.	400,000		200,000	
NATIONAL WILDLIFE FEDERATION Washington, D.C.	Toward its project, the Global Forest Policy Project.	90,000		45,000	45,000
NATURAL RESOURCES DEFENSE COUNCIL, INC. Washington, D.C.	For its Forests for Tomorrow Initiative.	150,000		75,000	75,000
NEW ENGLAND AQUARIUM CORPORATION Boston, Massachusetts	For its New England Fishing Communities Organizing Project.	60,000		30,000	30,000
OPEN SPACE INSTITUTE, INC. New York, New York	To support a six-month project to identify policy options to conserve large blocks of private forest land in the northeastern United States.	15,000			15,000
OZONE ACTION Washington, D.C.	For support of its efforts to build a U.S. constituency for mitigating climate change.	100,000		50,000	50,000
PACE UNIVERSITY White Plains, New York	Toward the work of its Clean Air Task Force on cleaning up dirty power plants.	75,000		75,000	
PENNSYLVANIA STATE UNIVERSITY University Park, Pennsylvania	Toward its efforts to educate private landowners in Pennsylvania about sustainable forestry certification.	50,000		25,000	25,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
PINCHOT INSTITUTE FOR CONSERVATION Washington, D.C.	For its work on state forest land certification.	35,000		35,000	
POSITIVE FUTURES NETWORK Bainbridge Island, Washington	Toward publication of a special issue of its <i>YES!</i> magazine devoted to global warming.	20,000		20,000	
ROCKEFELLER FAMILY FUND New York, New York	Toward a project to build consumer demand for more fuel-efficient vehicles.	100,000		50,000	50,000
SIERRA CLUB OF BRITISH COLUMBIA FOUNDATION Victoria, Canada	Towards its work supporting the development of sustainable forest management standards in British Columbia.	50,000		50,000	
	For a project to educate citizens of British Columbia about the threatened status of their coastal temperate rainforests.	75,000		75,000	
SIERRA LEGAL DEFENCE FUND SOCIETY Vancouver, Canada	Toward efforts to protect First Nations traditional lands in the temperate rainforests of British Columbia's mid coast.	50,000		25,000	25,000
SURFACE TRANSPORTATION POLICY PROJECT Washington, D.C.	Toward its efforts to increase media coverage of transportation reform issues and options.	100,000		100,000	
TIDES CENTER San Francisco, California	For support of the efforts of its project, Environmental Media Services, to educate the media about pressing environmental concerns, including climate change.	150,000		75,000	75,000
TIDES FOUNDATION San Francisco, California	Toward its Forest Stewardship Council, B.C. project to set credible certification standards for forest management in British Columbia.	50,000		50,000	
U.S. PUBLIC INTEREST RESEARCH GROUP EDUCATION FUND, INC. Washington, D.C.	For support of its efforts to build a U.S. constituency for mitigating climate change.	100,000		50,000	50,000
U.S. WORKING GROUP INC. Waterbury, Vermont	For its core program, the Forest Stewardship Council U.S.	200,000		100,000	100,000
FOREST TRUST Santa Fe, New Mexico	Toward the creation of the Forest Stewards' Guild, an association for foresters who support sustainable forestry.	50,000	25,000	25,000	
GREEN SEAL Washington, D.C.	Toward a study to determine which products contribute most to biodiversity loss.	25,000		25,000	
INTERSTATE RENEWABLE ENERGY COUNCIL Latham, New York	Toward efforts to create uniform pricing and interconnection standards for solar, wind, and fuel-cell energy systems.	60,000		30,000	30,000
IZA AK WALTON LEAGUE OF AMERICA, INC. Gaithersburg, Maryland	Toward efforts to further the development of sustainable forestry management practices on U.S. industrial forest lands.	80,000		20,000	60,000
LAND AND WATER FUND OF THE ROCKIES Boulder, Colorado	Toward its continued efforts to create model utility-based strategies for energy efficiency and renewable energy use in six Rocky Mountain and southwestern states.	75,000	37,500	37,500	
NATIONAL FISH AND WILDLIFE FOUNDATION Washington, D.C.	Toward efforts to further the development of sustainable forestry management practices on U.S. industrial forest lands.	60,000		30,000	30,000
OPEN SPACE INSTITUTE, INC. New York, New York	To support a project to identify policy options to conserve private forest land in the northeastern U.S.	15,000		15,000	
PACIFIC MARINE CONSERVATION COUNCIL Astoria, Oregon	Toward a project on fisheries management in the Pacific.	100,000	50,000	50,000	
	For its fishery management reform project in the Pacific.	100,000			100,000
PEOPLE FOR PUGET SOUND Seattle, Washington	Toward a model effort to design and implement a comprehensive system of marine protected areas in the northwest straits of Puget Sound.	120,000		60,000	60,000
SEAWEB Washington, D.C.	For the SeaWeb Salmon Aquaculture Clearinghouse project.	80,000		40,000	40,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
TRI-STATE TRANSPORTATION CAMPAIGN, INC. New York, New York	Toward region-wide transportation policy reform efforts in New York, New Jersey, and Connecticut.	100,000	50,000	50,000	
NEW YORK COMMUNITY TRUST New York, New York	Toward the next phase of the Opportunities for the New York/New Jersey Waterfront project.	200,000	100,000	100,000	
CENTRAL AND EASTERN EUROPE					
A-PROJEKT Liptovsky Hradok, Slovakia	For general operating support.	120,000		40,000	80,000
AIR AND WASTE MANAGEMENT ASSOCIATION Pittsburgh, Pennsylvania	Toward the Green Neighborhood Projects of the Association's Central European Linkage Program.	40,000		20,000	
AMERICAN TRUST FOR AGRICULTURE IN POLAND McLean, Virginia	Toward a flexible transition fund for the Foundation for the Development of Polish Agriculture.	100,000		50,000	
CEE BANKWATCH NETWORK Krakow, Poland	General budgetary support.	180,000			120,000
CENTRE FOR ENVIRONMENTAL STUDIES FOUNDATION Budapest, Hungary	Toward general budgetary support.	90,000		44,575	15,425
CLEAN AIR ACTION GROUP Budapest, Hungary	Toward its two sustainable transportation projects in Hungary.	50,000		25,000	
CONSERVATION FUND A NONPROFIT CORPORATION Arlington, Virginia	Toward a report on integrative approaches to transformation in Central and Eastern Europe.	20,000		20,000	
CZECH ECO-COUNSELLING NETWORK (STEP) Brno, Czech Republic	General budgetary support.	75,000	25,000	25,000	25,000
EASTWEST INSTITUTE New York, New York	Toward the Learning Network.	100,000		50,000	
ECOLOGISTS LINKED FOR ORGANIZING GRASSROOTS INITIATIVES & ACTION Middlebury, Vermont	Toward its Virtual Foundation project.	116,000		40,000	
ENVIRONMENTAL MANAGEMENT AND LAW ASSOCIATION Budapest, Hungary	For general budgetary purposes.	150,000	75,000	65,000	10,000
ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE—SLOVAKIA Bystrica, Slovakia	Toward the Amber Trail Greenway.	75,000	50,000	25,000	
ENVIRONMENTAL PARTNERSHIP FOR CENTRAL EUROPE—CZECH OFFICE Brno, Czech Republic	Toward a collaborative transportation reform program.	120,000		40,000	80,000
	Toward the Partnership for Public Spaces Program and the Czech Greenway Program.	90,000		47,500	
EUROPEAN NATURAL HERITAGE FUND Rheinbach/Bonn, Germany	Towards its public transportation project in Wroclaw and its rural development project in the Narew region of Poland.	80,000		40,000	
EUROPEAN CENTRE FOR ECOLOGICAL AGRICULTURE & TOURISM, POLAND Stryzow, Poland	Toward two projects to help rural people remain on small farms in Poland.	50,000		25,000	25,000
FOUNDATION FOR THE SUPPORT OF ECOLOGICAL INITIATIVES Krakow, Poland	Toward a national campaign in Poland for sustainable transportation.	25,000		12,500	
FRIENDS OF THE EARTH, INTERNATIONAL Amsterdam, Netherlands	Toward its project to improve the accountability of international financial institutions, particularly relating to Central and Eastern Europe and to climate change.	105,000		45,000	
GERMAN MARSHALL FUND OF THE U.S. Washington, D.C.	For the Environmental Partnership for Central Europe.	600,000	350,000	250,000	
	Toward its project to launch and operate the Environmental Partnership in Romania.	217,500		137,500	80,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
GLYNWOOD CENTER Cold Spring, New York	To help defray the costs of a training program for senior managers of national parks from the Association of the Carpathian National Parks and Protected Areas.	17,500		17,500	
INSTITUTE FOR SUSTAINABLE COMMUNITIES Montpelier, Vermont	For the Madeleine M. Kunin Special Opportunities Fund.	100,000		12,500	
INSTITUTE FOR SUSTAINABLE DEVELOPMENT Warsaw, Poland	General budgetary support.	225,000	125,000	90,000	10,000
INSTITUTE FOR TRANSPORTATION AND DEVELOPMENT POLICY New York, New York	For its sustainable transport initiative in Central and Eastern Europe.	70,000	60,000	10,000	
ISAR, INC. Washington, D.C.	For its outreach to civil society on marine issues in the Russian Far East.	42,000		42,000	
POLISH ECOLOGICAL CLUB Krakow, Poland	Toward the establishment of a Polish transportation advocacy office in Warsaw, attached to the club's Mazovian Branch.	25,000		12,500	
PRAGUE MOTHERS Prague, Czech Republic	Toward its project, SOS Prague.	20,000		10,000	10,000
QUEBEC-LABRADOR FOUNDATION, INC. Ipswich, Massachusetts	Toward the Central European Stewardship Program of its Atlantic Center for the Environment.	120,000	40,000	70,000	10,000
VIA FOUNDATION Prague, Czech Republic	Toward its Community Revitalization Program.	100,000	50,000	50,000	
EAST ASIA					
BANK INFORMATION CENTER Washington, D.C.	Toward efforts to promote civil society engagement in the implementation of multilateral development bank policy reforms in Asia.	110,000	80,000	30,000	
BOGOR AGRICULTURAL UNIVERSITY Indonesia	For its planning of a national training course on integrated coastal management in Indonesia.	50,000			50,000
CENTER FOR RESOURCE SOLUTIONS San Francisco, California	Toward the outreach work of its International Project for Sustainable Energy Paths with the Chinese Ministry of Foreign Affairs.	20,000		20,000	
CHINESE UNIVERSITY OF HONG KONG Hksar, China	Toward a set of ecological design charettes in Zhongshan County, Guangdong, China.	50,000		50,000	
COUNCIL ON RENEWABLE ENERGY IN THE MEKONG REGION Phitsanulok, Thailand	For general budgetary support.	40,000		40,000	
CULTURE AND ENVIRONMENT PRESERVATION ASSOCIATION Phnom Penh, Cambodia	For core support.	20,000		20,000	
DUTA AWAM FOUNDATION Bengawan, Indonesia	Toward its project to monitor the World Bank's Integrated Swamps Development Project.	25,000		25,000	
EARTH ISLAND INSTITUTE San Francisco, California	Toward the Asia programs of its Mangrove Action Project.	103,000	53,000	50,000	
EAST-WEST CENTER FOUNDATION Honolulu, Hawaii	Toward training programs and workshops in political ecology research.	90,000	60,000	30,000	
ENVIRONMENTAL LEGAL ASSISTANCE CENTER Palawan, Philippines	For its Paralegal Education and Training program.	150,000	75,000	75,000	
FOCUS ON THE GLOBAL SOUTH Bangkok, Thailand	For the conference, "Economic Sovereignty in a Globalizing World." For its work in mainland Southeast Asia.	15,000 240,000		15,000 80,000	160,000
FOUNDATION FOR THE STUDY OF LAW AND SOCIETY Bogor, Indonesia	To its work on paralegal outreach and training	20,000		20,000*	

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GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
FRIENDS OF THE EARTH—JAPAN Tokyo, Japan	For general operating support.	120,000	60,000	60,000	
GLOBAL WITNESS TRUST London, United Kingdom	Core support of its Cambodia program.	20,000		20,000	
HARIBON FOUNDATION FOR THE CONSERVATION OF NATURAL RESOURCES Quezon City, Philippines	For its program on community-based marine protected areas in the Philippines.	6,000			6,000
HONG KONG BAPTIST UNIVERSITY Hong Kong, China	Toward a project on the development of large-scale, market-oriented composting technologies.	80,000	40,000	40,000	
HUALOPU FOUNDATION Baquala, Indonesia	Toward its work on community-based coastal resource management.	70,000		35,000	35,000
INSTITUTE FOR DEVELOPMENT ANTHROPOLOGY Binghamton, New York	For support of a set of training seminars on the social dimensions of hydrological change in the lower Mekong.	11,000		11,000	
INSTITUTE FOR FOOD AND DEVELOPMENT POLICY Oakland, California	For its program to assist the Lao People's Democratic Republic with sustainable agriculture programs.	35,000		35,000	
INTERNATIONAL ASSOCIATION FOR THE STUDY OF COMMON PROPERTY Gary, Indiana	Toward general budgetary support.	100,000	70,000	30,000	
INTERNATIONAL CENTER FOR LIVING AQUATIC RESOURCES/MANAGEMENT Penang, Malaysia	For its regional work on coastal management training.	30,000			30,000
INTERNATIONAL INSTITUTE FOR ENERGY CONSERVATION, INC. Washington, D.C.	For its programs in Asia.	150,000		75,000	75,000
INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION New York, New York	Toward its Water Equity in Landscape and Livelihood Study. To support its strategic planning process.	80,000 20,000	40,000	40,000 20,000	
INTERNATIONAL MARINELIFE ALLIANCE—PHILIPPINES, INC. Metro Manila, Philippines	For support of its programs in Indonesia.	123,000	63,000	60,000	
INTERNATIONAL RIVERS NETWORK Berkeley, California	For its Mekong program.	180,000		105,000	75,000
JALA FOUNDATION Medan, Indonesia	For its work in community organizing and paralegal training among fishing communities of Sumatra. For its work on community organizing in impoverished coastal communities of northern Sumatra.	50,000 20,000		20,000	50,000
JAPAN CENTER FOR A SUSTAINABLE ENVIRONMENT AND SOCIETY Tokyo, Japan	Toward its Sustainable Development and Aid Program.	110,000	55,000	55,000	
KHAO KWAN FOUNDATION Suphanburi, Thailand	For its GreenNet Organic Competency Project.	90,000			90,000
LAJNAH KAJIAN PENGEMBANGAN SDM Lakpesdam, Indonesia	For the anti-destructive fishing program of its Working Group on Human Resource Development.	18,300			18,300
NATIONAL UNIVERSITY OF LAOS Vientiane, Laos	Toward building capacity in its natural resource management curriculum, and toward the costs of hosting a meeting of the Asia Resource Tenure Network.	100,000		50,000	50,000
NAUTILUS OF AMERICA, INC. Berkeley, California	For its project, Environmental Scenarios After the Asian Crisis.	80,000		40,000	40,000
NORTHERN DEVELOPMENT FOUNDATION Chiang Mai, Thailand	For its Southeast Asia Rivers Network project.	30,000		30,000	
PACIFIC ENVIRONMENT AND RESOURCES CENTER Oakland, California	For its work in building the capacity of environmental NGOs in the Russian Far East.	120,000		120,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
PESTICIDE ACTION NETWORK—NORTH AMERICA REGIONAL CENTER San Francisco, California	Toward efforts to reduce pesticide use in World Bank and corporate joint-venture agriculture projects in Indonesia and China.	100,000		50,000	50,000
SOUTH CHINA AGRICULTURAL UNIVERSITY Guangzhou, China	Toward efforts to develop sustainable agriculture extension programs in Guangdong Province.	156,000	52,000	52,000	52,000
SYDNEY, UNIVERSITY OF Australia	For support of the Mekong Resource Centre.	65,000	45,000	20,000	
TELAPAK FOUNDATION Bogor, Indonesia	Toward networking for coastal issues in Indonesia, and to work on the issue of shrimp aquaculture.	50,000		50,000	
TIDES CENTER San Francisco, California	Toward the work of its project, Environmental Media Services in China. For its Asia Pacific Environmental Exchange project.	50,000 60,000		50,000 30,000	30,000
VIRTUAL FOUNDATION JAPAN Tokyo, Japan	For its core activities.	100,000	25,000	50,000	25,000
WETLANDS INTERNATIONAL ASIA-PACIFIC Kuala Lumpur, Malaysia	Toward the planning phase of an integrated coastal management program in Surat Thani province, Thailand.	20,000		20,000	
WILD SALMON CENTER Portland, Oregon	For its Pacific Rim Salmon Project.	38,000		38,000	
YUNNAN ACADEMY OF SOCIAL SCIENCES Kunming, China	For a project of its Institute of Rural Economy on people's participating in determining resource tenure arrangements.	50,000		30,000	20,000
YUNNAN INSTITUTE OF GEOGRAPHY Berkeley, California	To support the international symposium, "Towards the Cooperative Utilization and Coordinated Management of International Rivers.	15,000		15,000	
SUBTOTAL				6,569,075	3,611,725 **

GLOBAL SECURITY

CONSTITUENCY BUILDING

ASPEN INSTITUTE, INC. Washington, D.C.	Toward its project, A Women's Lens on Global Issues. Toward the Global Interdependence Initiative. For general support of its new Democracy & Citizenship Program.	75,000 500,000 25,000		75,000 150,000 25,000	250,000
BENTON FOUNDATION Washington, D.C.	Toward a planning process for bringing <i>oneworld.org</i> to the United States.	70,000		70,000	
CENTER FOR POLICY ALTERNATIVES Washington, D.C.	Toward planning the Eleanor Roosevelt Global Leadership Institute for state elected officials.	75,000		75,000	
NEW SCHOOL UNIVERSITY New York, New York	Toward the College Media Initiative of the U.N. Project at its World Policy Institute.	200,000			200,000
OVERSEAS DEVELOPMENT COUNCIL Washington, D.C.	Toward the project, American National Interests in Multilateral Engagement: A Bipartisan Dialogue.	75,000		75,000	
PACIFIC COUNCIL ON INTERNATIONAL POLICY Los Angeles, California	Toward membership recruitment and public outreach efforts.	225,000	75,000	75,000	75,000
PUBLIC RADIO INTERNATIONAL Minneapolis, Minnesota	Toward creation of the position of Special Projects Producer for its daily international news program, <i>The World</i> .	260,000		128,000	132,000
STATE OF THE WORLD FORUM San Francisco, California	Toward convening North American Regional Hearings in preparation for the United Nations Millennium Assembly.	75,000		75,000	

** Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
UNITED NATIONS ASSOCIATION OF THE UNITED STATES OF AMERICA, INC. New York, New York	Toward planning an effort to coordinate public education activities and chapter capacity building around a central theme.	50,000		50,000	
WORLD GAME INSTITUTE Philadelphia, Pennsylvania	For its organizational transition efforts.	100,000		100,000	
TRANSPARENCY AND INCLUSIVE PARTICIPATION					
CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE Washington, D.C.	Toward its project, Transparency and Transnational Governance (formerly called Regulation by Revelation).	180,000		180,000	
CENTER FOR INTERNATIONAL ENVIRONMENTAL LAW Washington, D.C.	Toward a two-year project to develop a theoretical and practical framework for World Trade Organization reform.	100,000		50,000	50,000
EASTWEST INSTITUTE New York, New York	Toward the Institute's southeast European initiatives.	25,000		25,000	
FOUNDATION FOR INTERNATIONAL ENVIRONMENTAL LAW & DEVELOPMENT London, United Kingdom	To develop a procedure for incorporating institutional reform options into recommendations for the November 1999 World Trade Organization Ministerial agenda.	20,000		20,000	
HARVARD UNIVERSITY Cambridge, Massachusetts	For an examination of foreign policy changes in the Korean Peninsula to be conducted at the University's Asia Center.	25,000		25,000	
INSTITUTE FOR AGRICULTURE AND TRADE POLICY Minneapolis, Minnesota	Toward efforts to give greater expression to environmental and human security concerns in national and international standard-setting processes.	200,000		100,000	100,000
	For support of a project to educate state and local officials about the consequences of World Trade Organization negotiations for local governance.	25,000		25,000	
INTERNATIONAL UNION FOR CONSERVATION OF NATURE & NATURAL RESOURCES Gland, Switzerland	For its World Commission on Dams.	50,000		50,000	
TIDES CENTER San Francisco, California	Toward its Environmental Media Services projects' message development and media outreach activities on World Trade Organization reform issues.	50,000		50,000	
WORLD AFFAIRS COUNCIL Seattle, Washington	Toward efforts to provide logistical support for civil society representatives attending the November 1999 World Trade Organization Ministerial meeting.	30,000		30,000	
ECONOMIC INTEGRATION					
GLOBAL ENVIRONMENT AND TRADE STUDY New Haven, Connecticut	Toward the four-part breakfast series planned for the Seattle WTO Ministerial.	15,000		15,000	
INSTITUTE FOR HUMAN SCIENCES Spittelauer Lande, Austria	Toward its program, Social Costs of Economic Transformation in Central Europe.	300,000			300,000
INSTITUTE FOR INTERNATIONAL ECONOMICS Washington, D.C.	Toward three related research and publication projects focusing on the management of international capital flows in the wake of the Asian financial crisis.	250,000		85,000	165,000
MASSACHUSETTS INSTITUTE OF TECHNOLOGY Cambridge, Massachusetts	For the "Mapping the Global Corporations" project of its Global History Initiative.	25,000		25,000	
EMERGING TRANSNATIONAL CONCERNS					
AMERICAN UNIVERSITY IN BULGARIA Washington, D.C.	Toward a conference entitled "Nationalism and Peace in the Balkans."	7,000		7,000	
CONFLICT MANAGEMENT GROUP Cambridge, Massachusetts	To establish a Rapid Response Fund.	25,000		25,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
FORDHAM UNIVERSITY New York, New York	For general support of the Joseph R. Crowley Program in International Human Rights at the Fordham Law School.	25,000		25,000	
GLOBAL WITNESS TRUST London, United Kingdom	Toward its Angola and Cambodia projects.	150,000		75,000	75,000
TUFTS COLLEGE, TRUSTEES OF Medford, Massachusetts	For a March 1999 workshop, led by its Education for Public Inquiry and International Citizenship (EPIIC) program.	5,000		5,000	
OTHER					
CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE Washington, D.C.	Toward its project, Managing Global Issues.	300,000		150,000	
PLOUGHSHARES FUND San Francisco, California	For its program of the Peace and Security Funders Group.	50,000		25,000	25,000
SUBTOTAL				1,890,000	1,447,000 **

NONPROFIT SECTOR

MEMBERSHIPS

COUNCIL ON FOUNDATIONS Washington, D.C.	As a membership grant for 2000.	39,600		39,600	
FOUNDATION CENTER New York, New York	For general support in 1999 and 2000.	60,000	30,000	30,000	
INDEPENDENT SECTOR Washington, D.C.	As a membership grant for 2000.	10,250		10,250	
NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS New York, New York	As a membership grant for 2000.	10,000		10,000	

DEVELOPMENT OF RESOURCES

ASIA FOUNDATION San Francisco, California	Toward its Asia Pacific Philanthropy Consortium project.	150,000	50,000	50,000	50,000
ASSOCIATION OF SMALL FOUNDATIONS Washington, D.C.	For general support.	75,000	50,000	25,000	
BRIDGE GROUP INC. Boston, Massachusetts	For start-up support.	450,000			450,000
CHILDREN OF SLOVAKIA FOUNDATION Bratislava, Slovakia	For its capacity building,	90,000		45,000	45,000
CITIZENS ACTION – CENTER FOR COMMUNITY ORGANIZING Banska Bystrica, Slovakia	General operating expenses.	80,000		40,000	40,000
CIVIL SOCIETY DEVELOPMENT FOUNDATION – HUNGARY Budapest, Hungary	For general support.	100,000	50,000	50,000	
CIVIL SOCIETY DEVELOPMENT FOUNDATION - POLAND Gdynia, Poland	For general support.	100,000	50,000	50,000	
COMMUNITY ASSOCIATION SAMI-SEBE Pezinok, Slovakia	Toward general support.	52,000		25,925 75 *	26,000
CONFERENCE BOARD, INC. New York, New York	For the production and dissemination of a report on the 1999 Asia Business Initiative Forum.	25,000		25,000	
CONGRESS OF NATIONAL BLACK CHURCHES, INC. Washington, D.C.	Toward the second national Conference on Black Philanthropy.	20,000		20,000	

* Lapsed

** Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
COUNCIL ON FOUNDATIONS Washington, D.C.	Toward the work of its International Committee.	50,000		25,000	25,000
	To increase the endowment and enhance the activities of the Robert W. Scrivner Award for Creative Grantmaking.	25,000		25,000	
THE DEVELOPMENT SCHOOL London, United Kingdom	Toward a planning forum to design the first project at the school.	12,000		12,000	
DONORS FORUM, CZECH REPUBLIC Prague, Czech Republic	Toward its project to implement elements of a strategy for the development of the third sector in the Czech Republic.	33,000		33,000	
ENVIRONMENTAL PARTNERSHIP FOUNDATION, HUNGARY Budapest, Hungary	For its Integrated Organizational Development project.	102,000		34,000	68,000
EUROPEAN ROMA RIGHTS CENTER Budapest, Hungary	Toward maintaining and enhancing the center's research and information services.	100,000		80,000	20,000
FAMILY FOUNDATION OF NORTH AMERICA Milwaukee, Wisconsin	Toward the costs of the governance committee of the foundation's Resource Development Initiative 2000.	24,000	8,000	16,000	
	Toward the costs of the governance committee of the foundation's Resource Development Initiative 2000.	165,000	110,000	55,000	
FUND FOR INDEPENDENT PUBLISHING New York, New York	Toward the establishment of an in-house fulfillment system and the expansion of direct sales efforts.	191,000	79,000	112,000	
GERMAN MARSHALL FUND Washington, D.C.	For its project, the Trust for Civil Society in Central and Eastern Europe.	3,000,000		3,000,000	
HARVARD UNIVERSITY: JOHN F. KENNEDY SCHOOL OF GOVERNMENT Cambridge, Massachusetts	Toward an Executive Session on Policies and Practices in Philanthropy to be convened by the Hauser Center of the John F. Kennedy School of Government.	300,000		100,000	200,000
HEALTHY CITY FOUNDATION—COMMUNITY FOUNDATION OF BANSKA BYSTRICA Banska Bystrica, Slovakia	For general support.	100,000		50,000	50,000
HUNGARIAN ASSOCIATION FOR COMMUNITY DEVELOPMENT Budapest, Hungary	Toward organizational capacity building and to professionalize and expand community development work in Hungary.	100,000		50,000	50,000
INDEPENDENT SECTOR Washington, D.C.	Toward its Building Capacity for Public Policy Program.	90,000		30,000	60,000
INTERNATIONAL CENTER FOR NOT-FOR-PROFIT LAW Washington, D.C.	For its database, journal, and support for international grantmaking project.	100,000		50,000	50,000
JOHNS HOPKINS UNIVERSITY—INSTITUTE FOR POLICY STUDIES Baltimore, Maryland	For the International Philanthropy Fellows program of its Institute for Policy Studies.	60,000	30,000	30,000	
NATIONAL CENTER ON NONPROFIT ENTERPRISE Arlington, Virginia	Toward planning and start-up costs.	50,000		20,000	30,000
NATIONAL CENTER ON PHILANTHROPY AND THE LAW New York, New York	To establish the Rockefeller Brothers Fund Fellowship in Nonprofit Law.	190,000	126,000	64,000	
NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS Washington, D.C.	For core operating expenses for 1999.	50,000		50,000	
NEW AMERICA FOUNDATION Washington, D.C.	Toward general support.	25,000		25,000	
NONPROFIT ENTERPRISE AND SELF-SUSTAINABILITY TEAM Budapest, Hungary	For its Sustainable NGO Financing Project in Central and Eastern Europe.	100,000		50,000	50,000
PHILANTHROPIC INITIATIVE, INC. Boston, Massachusetts	Toward a collaborative project to support new and emerging donors.	15,000		15,000	
PROJECT 180 New York, New York	For an assessment of Project 180 over the past three years.	10,000		10,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
ROCKEFELLER FAMILY FUND New York, New York	Toward its Technology Project.	65,000	32,500	32,500	
SLOVAK ACADEMIC INFORMATION AGENCY-SERVICE FOR THE 3RD SECTOR Bratislava, Slovakia	As bridging support.	10,000		10,000	
SUPPORT OFFICE FOR THE MOVEMENT OF SOCIAL INITIATIVES—BORIS ASSOCIATION Warsaw, Poland	Toward a program of Local Activities Centers.	83,000		45,000	38,000
SYNERGOS INSTITUTE, INC. New York, New York	Toward the implementation of the recommendations contained in its recently adopted strategic plan.	300,000		100,000	200,000
TIDES CENTER San Francisco, California	For its Center for Y2K & Society, as a contribution to a re-grant fund that will help local nonprofits address the impacts of Y2K.	10,000		10,000	
VIA FOUNDATION Prague, Czechoslovakia	Toward its Development Directors Support Program.	90,000		45,000	45,000
VIRTUAL FOUNDATION JAPAN Tokyo, Japan	For its core activities.	100,000		50,000	50,000
VOLUNTEER CENTER ASSOCIATION Warsaw, Poland	Toward strengthening volunteer centers in Poland and to help establish centers in neighboring countries.	90,000	45,000	45,000	
ACCOUNTABILITY					
ASSOCIATION FOR THE FORUM OF NON-GOVERNMENTAL INITIATIVES Warsaw, Poland	Toward its ethical standards project for the Polish third sector.	50,000		50,000	
COMPASSPOINT NONPROFIT SERVICES San Francisco, California	Toward its 990 in 2000 project.	50,000	25,000	25,000	
FOUNDATION CENTER New York, New York	Toward its database redesign project.	100,000	50,000	50,000	
INSTITUTE FOR GLOBAL ETHICS Camden, Maine	Toward its project, Ethical Decision Making: A Training and Consulting Program for Nonprofits.	175,000		25,000	150,000
NATIONAL CENTER FOR NONPROFIT BOARDS Washington, D.C.	For general support.	150,000		50,000	100,000
NATIONAL CHARITIES INFORMATION BUREAU New York, New York	Toward its Second Generation Website project.	100,000		50,000	50,000
PHILANTHROPIC RESEARCH, INC. Williamsburg, Virginia	Toward general operating expenses.	300,000		100,000	
VOLUNTEER CONSULTING GROUP, INC. New York, New York	Toward the National Board NET program.	120,000	40,000	40,000	40,000
INCREASED UNDERSTANDING					
ASSOCIATION FOR RESEARCH ON NONPROFIT ORGANIZATIONS AND VOLUNTARY ACTION Indianapolis, Indiana	Toward its project to improve understanding of the nonprofit sector.	75,000		25,000	50,000
CHARITIES AID FOUNDATION Kent, United Kingdom	To help with the publication expenses of its new quarterly magazine, <i>Alliance</i> .	10,000		10,000	
CIVICUS: WORLD ALLIANCE FOR CITIZEN PARTICIPATION Washington, D.C.	For general support.	100,000		50,000	50,000
COUNCIL ON FOUNDATIONS Washington, D.C.	For its communications/legislative initiative.	150,000	100,000	50,000	
FOUNDATION FOR A CIVIL SOCIETY, LTD. New York, New York	For core support.	100,000	50,000	50,000	
HARVARD UNIVERSITY: JOHN F. KENNEDY SCHOOL OF GOVERNMENT Cambridge, Massachusetts	Toward the Saguro Seminar of the John F. Kennedy School of Government.	80,000		20,000	

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
LONDON SCHOOL OF ECONOMICS AND POLITICAL SCIENCE London, United Kingdom	For a brainstorming session to lay the groundwork for a new Global Civil Society Yearbook.	23,500		23,500	
UNION INSTITUTE Washington, D.C.	Toward the Changing Charities Project of its Center for Public Policy.	250,000	125,000	125,000	
URBAN INSTITUTE Washington, D.C.	Toward the project of its National Center for Charitable Statistics to develop a database for state associations of nonprofit organizations.	30,000	20,000	10,000	
SUBTOTAL				2,287,775	1,872,000**

EDUCATION

RBF FELLOWS

GRANTS FOR RBF FELLOWS AND MENTORS				354,243	
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PROJECTS OF PARTICULAR MERIT

CENTER FOR ARTS EDUCATION New York, New York	Toward the Center's effort to match a \$12 million challenge grant from the Annenberg Foundation and meet its five-year \$24 million fundraising goal.	300,000	150,000	50,000	100,000
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ENVIRONMENTAL STUDIES

ALBION COLLEGE Albion, Michigan	Toward initiatives to enhance the environmental concentrations and develop the Institute for the Study of the Environment.	64,000		38,500	25,500
CLARK UNIVERSITY Worcester, Massachusetts	Toward the establishment of an environmental monitoring station and the development of an internship program.	20,000		20,000	
COLORADO SEMINARY Denver, Colorado	To establish a field study component in the Geosciences program.	30,000		20,000	10,000
DUKE UNIVERSITY Durham, North Carolina	Toward an initiative to enhance the undergraduate program in environmental sciences and policy.	195,000		67,000	128,000
GUSTAVUS ADOLPHUS COLLEGE St. Peter, Minnesota	To support the development and enhancement of the environmental studies program.	194,000		57,610	136,390
ILLINOIS WESLEYAN UNIVERSITY Bloomington, Illinois	Toward faculty and curriculum development for a science-based interdisciplinary environmental studies program.	100,000		100,000	
LEHIGH UNIVERSITY Bethlehem, Pennsylvania	Toward support for an initiative to integrate hands-on, research-based learning into the earth and environmental sciences curriculum.	30,000		30,000	
SMITH COLLEGE Northampton, Massachusetts	Toward the Environmental Science Program.	76,265		76,265	

FOREIGN LANGUAGE

AUSTIN COLLEGE Sherman, Texas	For the establishment of a center for multimedia language instruction.	37,438		37,438	
BENNINGTON COLLEGE Bennington, Vermont	For Italian, Arabic, and Russian languages; to provide for a technology training program in languages for undergraduates preparing to become teachers; and to cultivate the development of foreign-language instructional technology.	125,000		125,000	
DAVIDSON COLLEGE Davidson, North Carolina	Toward faculty development initiatives and equipment acquisition to foster the integration of instructional technology into the foreign language curriculum.	250,000		93,766	156,234
FAIRFIELD UNIVERSITY Fairfield, Connecticut	Toward integration of the technological resources of the university's Geographic Information system and Virtual Language Lab across the curriculum.	311,458		215,340	96,118

** Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
MIDDLEBURY COLLEGE Middlebury, Vermont	Toward support for a team to help faculty integrate technology into foreign language pedagogy and curriculum and serve the technology needs of undergraduate students.	127,000		63,500	63,500
PUGET SOUND, UNIVERSITY OF Tacoma, Washington	To support the integration of technology into the foreign languages and international studies curricula.	260,361		193,361	67,000
TULANE UNIVERSITY New Orleans, Louisiana	Toward efforts to integrate new technologies into foreign language training.	96,650		96,650	
WAKE FOREST UNIVERSITY Winston-Salem, North Carolina	Toward support for a faculty development program to integrate instructional technology into the undergraduate curriculum	228,305		75,383	152,922
WASHINGTON AND LEE UNIVERSITY Lexington, Virginia	Toward expansion of the resources of the university's multimedia center and increased opportunities for faculty development.	318,232		265,945	
TECHNOLOGY IN TEACHING AND RESEARCH					
AMERICAN INDIAN HIGHER EDUCATION CONSORTIUM Fort Washington, Maryland	Toward establishing two new positions to facilitate the development of the consortium's distance learning network.	34,525		34,525	
APPALACHIAN COLLEGE ASSOCIATION, INC. Berea, Kentucky	Toward a collaboration by 15 colleges to foster the use of multimedia technologies in teaching writing skills across the curriculum.	151,000		151,000	
CALIFORNIA LUTHERAN UNIVERSITY Thousand Oaks, California	Toward an initiative to integrate technology into pedagogy and the curriculum.	49,000		49,000	
CEDAR CREST COLLEGE Allentown, Pennsylvania	Toward the project, Fostering Learning through Instructional Technology in Education Plan.	116,300		116,300	
CLAREMONT GRADUATE UNIVERSITY Claremont, California	Toward the second phase of a project integrating technology in the humanities.	123,231		123,231	
CLAREMONT McKENNA COLLEGE Claremont, California	Toward the development of a teaching resource center to promote the use of technology in teaching and learning across the curriculum.	176,000		88,000	88,000
COLLEGES OF THE SENECA Geneva, New York	Toward the integration of new technologies into the modern foreign languages curriculum and the enhancement of technological resources available to faculty.	42,905		42,905	
DICKINSON COLLEGE Carlisle, Pennsylvania	To support a faculty development program to foster the use of technology in the social sciences curriculum.	106,360			106,360
GRINNELL COLLEGE Grinnell, Iowa	Toward integration of new technology into teaching and learning in the Fine Arts Department.	114,746			114,746
LAWRENCE UNIVERSITY Appleton, Wisconsin	Toward a program to help all faculty members, particularly those in the humanities, social sciences and arts, integrate information technologies into their teaching.	76,099		76,099	
LYNCHBURG COLLEGE Lynchburg, Virginia	Toward the Tri-College Consortium's faculty training program in technology-based pedagogies and for the development of videoconferencing capability.	26,980		26,980	
NEW YORK UNIVERSITY New York, New York	Toward salary support for a computer scientist/mathematician to further develop the "Medical Knowledge Syncytium."	153,013		75,229	77,784
NORTHEASTERN UNIVERSITY Boston, Massachusetts	Toward the integration of technology into teaching and research by utilizing students for faculty training.	128,000		64,000	64,000
SOUTHERN METHODIST UNIVERSITY Dallas, Texas	Toward initiatives to enhance the resources and services of the Center for Teaching Excellence.	189,610		93,200	96,410
TRINITY COLLEGE Hartford, Connecticut	Toward a faculty training program in the use of information technology.	69,272			69,272

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
WESLEYAN UNIVERSITY Middletown, Connecticut	Toward the establishment of a comprehensive information technology infrastructure for the social sciences.	9,000		9,000	
WHITMAN COLLEGE Walla, Walla, Washington	To support initiatives to promote the use of multimedia technologies in the teaching and learning of oral communication skills across the curriculum.	280,000		166,000	114,000
SUBTOTAL				3,020,241	1,588,452 **

NEW YORK CITY

SCHOOLS AND YOUTH					
THE AFTER-SCHOOL CORPORATION New York, New York	Toward its community-based after-school programs and parent involvement initiative.	200,000		200,000	
CORO EASTERN CENTER, INC. New York, New York	Toward expansion of its youth's leadership development programs with community-based partners.	125,000		60,000	
DIRECTIONS FOR OUR YOUTH, INC. Brooklyn, New York	Toward its Class Action program.	70,000		35,000	
EDUCATION DEVELOPMENT CENTER New York, New York	For its Adult Literacy Media Alliance New York project.	150,000		50,000	100,000
FORDHAM UNIVERSITY New York, New York	For its National Center for Schools and Communities for the Community Monitoring project.	150,000		75,000	75,000
FUND FOR THE PUBLIC SCHOOLS, INC. Brooklyn, New York	For a conference to aid in planning for the implementation of the new legislation relating to charter schools.	15,000		15,000	
INNER FORCE ECONOMIC DEVELOPMENT CORPORATION Brooklyn, New York	For its parent outreach and training project.	90,000		45,000	45,000
JEWISH FUND FOR JUSTICE, INC. New York, New York	Toward the start-up phase and New York City work of its project, the Funders' Collaborative on Youth Organizing.	150,000		50,000	100,000
LATINO PASTORAL ACTION CENTER Bronx, New York	Toward its Youth Ministries for Peace and Justice project.	60,000	30,000	30,000	
NEIGHBORHOODS AND PUBLIC SPACES					
AUDUBON PARTNERSHIP FOR ECONOMIC DEVELOPMENT LOCAL DEVELOPMENT CORPORATION New York, New York	Toward its Northern Manhattan Comprehensive Revitalization and Urban Design Plan.	130,000		85,000	45,000
BROOKLYN BRIDGE PARK COALITION, INC. Brooklyn, New York	Toward a community planning effort for the Brooklyn waterfront.	100,000		100,000	
CITY LORE, INC.: THE NEW YORK CENTER FOR URBAN FOLK CULTURE New York, New York	For its Place Matters project.	100,000		50,000	50,000
COMMUNITY SERVICE SOCIETY OF NEW YORK New York, New York	Toward its Comprehensive Community Initiative in Bedford-Stuyvesant.	150,000		75,000	75,000
COOPER UNION FOR THE ADVANCEMENT OF SCIENCE AND ART New York, New York	Toward launching the Cooper Square Transformation Project.	200,000	100,000	100,000	
ENVIRONMENTAL DEFENSE FUND New York, New York	Toward its Urban Brownfields Reclamation and Neighborhood Revitalization Project.	100,000		50,000	50,000
FUND FOR THE CITY OF NEW YORK, INC. New York, New York	To its Cityscape Institute's streetscape improvement projects in Harlem and Upper Manhattan.	150,000		150,000	
HOUSING PARTNERSHIP DEVELOPMENT CORPORATION New York, New York	Toward the Community Brownfields Analysis phase of the Redevelopment of Contaminated Land Advocacy and Implementation initiative.	200,000		200,000	

** Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
MUNICIPAL ART SOCIETY OF NEW YORK New York, New York	Toward launching its project, the Metropolitan Waterfront Alliance.	200,000			200,000
NATIONAL COMMUNITY BUILDING NETWORK, INC. Oakland, California	Toward its 1999 annual conference, held in New York City.	25,000		25,000	
NEW YORK CITY NEIGHBORHOOD OPEN SPACE COALITION, INC. New York, New York	Toward its community open space and green space initiatives.	45,000		45,000	
NEW YORK RESTORATION PROJECT New York, New York	Toward facilitating community participation in the development of an integrated plan for the Harlem River Corridor and surrounding parks.	175,000		100,000	75,000
OPEN SPACE INSTITUTE, INC. New York, New York	Toward its Hudson River Park Alliance project.	40,000		40,000	
PARKS COUNCIL, INC. New York, New York	Toward its open space and green space initiatives in Queens and Staten Island.	150,000	79,899	70,101	
PUBLIC POLICY AND EDUCATION FUND OF NEW YORK, INC. New York, New York	To bring together greening groups, park advocates, the broader environmental community, funders and other stakeholders to begin exploring innovative legal and financial mechanisms to protect and fund existing parks and create new park land.	13,000		13,000	
ST. MARK'S HISTORIC LANDMARK FUND New York, New York	Toward its Neighborhood Preservation Center.	100,000		50,000	50,000
WEST HARLEM ENVIRONMENTAL ACTION, INC. New York, New York	Toward the second phase of its Harlem waterfront project.	150,000		75,000	75,000
CIVIC PARTICIPATION					
EAST SIDE HOUSE, INC. Bronx, New York	Toward the second phase of the Bronx Cluster of Settlement Houses' Community Building Project.	200,000		125,000	75,000
NEW YORK URBAN LEAGUE, INC. New York, New York	To help launch the Standards Keepers Project.	110,000		55,000	55,000
PRATT INSTITUTE Brooklyn, New York	Toward efforts of its Center for Community and Environmental Development to foster citizen and community engagement in reviewing, enhancing, and developing local and regional planning.	125,000		50,000	
UNITED NEIGHBORHOOD HOUSES OF NEW YORK, INC. New York, New York	Toward the civic engagement initiatives of its Community Building Committee.	100,000		50,000	50,000
UNITED STATES					
NEW YORK COMMUNITY TRUST New York, New York	Toward the next phase of the Opportunities for the New York/New Jersey Waterfront project.	200,000		50,000	
SUBTOTAL				2,138,101	1,120,000 **

SOUTH AFRICA

ABC ULWAZI Braamfontein, South Africa	Toward its Ulwazi Educational Radio Project.	100,000	42,000	58,000	
ADULT BASIC EDUCATION DEVELOPMENT SERVICES TRUST Claremont, South Africa	Toward a joint project with the Cape Education Trust to develop and evaluate a literacy course with early childhood development content.	86,000		43,000	43,000
BANK STREET COLLEGE OF EDUCATION New York, New York	To an internship program to build the leadership capacity of senior early childhood trainers from South Africa.	34,500		34,500	
	Toward the South Africa/United States Collaborative for Early Childhood Leadership program of its Center for Family Support.	2,400		2,400	

** Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
CENTRE FOR EARLY CHILDHOOD DEVELOPMENT Clareinch, South Africa	Toward its capacity-building programs in early childhood development.	150,000		50,000	100,000
CENTRE FOR PRODUCTIVE EDUCATION Pretoria, South Africa	To enable teacher-training colleges in the North-West province to participate in a province-wide teacher development project.	82,000	41,000	41,000	
D.G. MURRAY TRUST Claremont, South Africa	For the GET INSET teacher development project in the Western Cape province.	120,000		60,000	60,000
FRIENDS OF THE NELSON MANDELA FOUNDATION Seattle, Washington	Toward the planning stages of the foundation.	25,000			25,000
GAUTENG EDUCATION DEVELOPMENT TRUST Johannesburg, South Africa	Toward a project to document and evaluate the Gauteng Department of Education's early childhood development pilot program.	94,000	47,000	47,000	
GRASSROOTS EDUCARE TRUST Silvertown, South Africa	For its Grassroots Alternative Special Program.	100,000		50,000	50,000
INSTITUTE OF TRAINING AND EDUCATION FOR CAPACITY BUILDING East London, South Africa	To build the capacity of Eastern Cape Department of Education officials responsible for early childhood developments.	150,000	50,000	50,000	50,000
LEARNING FOR ALL TRUST Orange Grove, South Africa	For general support.	100,000		50,000	35,000
NATAL BASIC EDUCATION SUPPORT AGENCY Durban, South Africa	Toward building the capacity of community-based NGOs in the KwaZulu-Natal province to establish and manage adult basic education and training projects.	91,000		45,500	45,500
NATAL, UNIVERSITY OF Durban, South Africa	Toward its New Readers Project.	150,000	100,000	50,000	
NATIONAL SUMMIT ON AFRICA Washington, D.C.	Toward its grassroots constituency-building efforts.	50,000			50,000
NORTH, UNIVERSITY OF THE Edupark, South Africa	Toward its Development Facilitation Training Institute for nonprofit leaders.	100,000		50,000	50,000
OLIVE (ORGANIZATION DEVELOPMENT AND TRAINING) Glenwood, South Africa	To facilitate partnerships between provincial government and NGOs in the early childhood and basic education training fields.	60,000		60,000	
PRIMARY OPEN LEARNING PATHWAY TRUST Rylands, South Africa	For a joint project with the Western Cape Education Department to pilot-test children's literacy classes in primary schools.	100,000	70,000	30,000 20,000*	
RHODES UNIVERSITY East London, South Africa	Toward an evaluation of its Phambili teacher development project in the Eastern Cape province.	23,000		23,000	
ULSTER, UNIVERSITY OF County Londonderry, Ireland	Toward its project to improve the first grade curriculum in South Africa.	95,000	64,000	31,000	
SUBTOTAL				775,400	498,500 **

ARTS AND CULTURE

AMERICAN COMPOSERS FORUM Saint Paul, Minnesota	Toward support for the establishment of an Atlanta chapter of the American Composers Forum and for church/synagogue residencies in southeastern states that form partnerships between composers and congregations.	105,250		105,250	
AMERICAN DANCE FESTIVAL Durham, North Carolina	Toward a long-term residency project by the David Dorfman Dance Company to promote adult audiences, and statewide collaboration with cultural, educational, and social service organizations.	75,000			75,000
ART 21, INC. New York, New York	Toward the production of <i>Art for the Twenty-First Century</i> , a television series focusing on contemporary American visual arts.	300,000		100,000	200,000
DANCE EXCHANGE, INC. Takoma Park, Maryland	Toward the Hallelujah Project.	75,000			75,000

* Lapsed

** Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
DANCE THEATRE FOUNDATION, INC. New York, New York	Toward the establishment of a Charles E. Culpeper Endowment in Arts and Culture.	450,000		275,000	175,000
HENRY STREET SETTLEMENT New York, New York	For a Charles E. Culpeper Endowment in Arts and Culture.	100,000			100,000
LOWER EAST SIDE TENEMENT MUSEUM New York, New York	Toward its Lower East Side Community Preservation Project.	60,000		60,000	
MID ATLANTIC ARTS FOUNDATION Baltimore, Maryland	Toward the project, Artists and Communities: America Creates for the Millennium.	200,000		100,000	100,000
MUSEUM FOR AFRICAN ART New York, New York	Toward the development of an Internet-based program, <i>ArtLine</i> .	94,000		94,000	
MUSEUM OF MODERN ART New York, New York	Toward the development and marketing of the internet-based component of the exhibition, <i>MoMA2000</i> .	150,000		75,000	75,000
NATIONAL BUILDING MUSEUM Washington, D.C.	Toward the relocation and redevelopment of the permanent exhibition, <i>Washington Symbol and City</i> , in an effort to increase accessibility to and understanding of the built environment.	102,000			102,000
NATIONAL ENDOWMENT FOR THE HUMANITIES Washington, D.C.	For the planning phase of its Regional Humanities Centers Initiative, which will foster rediscovery of Americans' cultural roots and links to their cultures of origin.	25,000		25,000	
THE NATIONAL TRUST FOR HISTORIC PRESERVATION IN THE U.S. Washington, D.C.	For a Charles E. Culpeper Endowment in Arts and Culture.	150,000			150,000
NEW ENGLAND FOUNDATION FOR THE ARTS Boston, Massachusetts	Toward support to expand Visible Republic, a program that supports the creation of new visual artworks in public spaces.	25,000		25,000	
NEW JERSEY SYMPHONY ORCHESTRA Newark, New Jersey	Toward an initiative to expand the symphony's statewide outreach through performance and education programs created and conducted by its musicians.	100,000		100,000	
NEW YORK CITY BALLET New York, New York	Toward support for new and enhanced educational and enrichment programming, including an expanded seminar series and performance-related discussions/demonstrations.	100,000			100,000
NPR FOUNDATION Washington, D.C.	Toward an endowment (Charles E. Culpeper Endowment in Arts and Culture) grant for the cultural programming of National Public Radio.	500,000		250,000	250,000
SPANISH THEATRE REPERTORY COMPANY, LTD. New York, New York	For a Charles E. Culpeper Endowment in Arts and Culture.	100,000		100,000	
THEATRE FOR A NEW AUDIENCE, INC. New York, New York	Toward the creation of a cash reserve fund.	310,000		155,000	155,000
VIVIAN BEAUMONT THEATER, INC. New York, New York	Toward a symposium series.	50,000		50,000	
WORCESTER ART MUSEUM Worcester, Massachusetts	Toward programs designed to broaden and diversify the museum's constituency.	210,000		119,000	91,000
SUBTOTAL				1,633,250	1,648,000 **

HEALTH

BIOMEDICAL PILOT PROJECTS

ARIZONA, UNIVERSITY OF Tucson, Arizona	Toward the research of Alan J. Nighorn, PhD, entitled "Characterization of the Role of Eph Receptor Tyrosine Kinases in the Development of Insect Olfactory Systems."	25,000		25,000	
CARNEGIE MELLON UNIVERSITY Pittsburgh, Pennsylvania	Toward the research of Robert F. Murphy, PhD, entitled "Development of an Automated Biomedical Imaging Experiment Interpreter."	25,000		25,000	

** Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
DARTMOUTH COLLEGE, TRUSTEES OF Hanover, New Hampshire	Toward the research of Steven N. Fiering, PhD, entitled "Production of Transgenic Mice with Controlled Copy Number and Integration Site by Utilizing the Flp and Cre Site Specific Recombinases."	25,000		25,000	
DUKE UNIVERSITY Durham, North Carolina	Toward the research of Michael A. Hauser, PhD, entitled "Analysis of a Strong Candidate Gene for Limb Girdle Muscular Dystrophy Type 1A."	25,000		25,000	
MEMORIAL HOSPITAL Pawtucket, Rhode Island	Toward the research of Roy M. Poses, MD, entitled "Project to Evaluate Practice Patterns: Antibiotic Prescribing."	25,000		25,000	
NEW YORK ACADEMY OF MEDICINE New York, New York	Toward the establishment of a Center for Urban Bioethics.	25,000			25,000
OREGON HEALTH SCIENCES UNIVERSITY Portland, Oregon	Toward the research of Mary J. Kelley, PhD, entitled "A Molecular Approach to Identify a Site for Novel Drug Intervention in Glaucoma."	25,000		25,000	
PENNSYLVANIA STATE UNIVERSITY University Park, Pennsylvania	Toward the research of Mary I. Frecker, PhD, entitled "Design of Integrated Actuator/End-Effectors for Minimally Invasive Surgery Using Piezoelectric Polymers."	25,000		25,000	
	Toward the research of Bernhard Luscher, PhD, entitled "Functional Analysis GABA Receptor Interacting Proteins."	25,000		25,000	
ROCKEFELLER UNIVERSITY New York, New York	Toward the research of Teruhiko Wakayama, PhD, entitled "Analysis of Factors Determining the Efficiency of Animal Cloning Using Adult Body Cells."	24,416		24,416	
WASHINGTON UNIVERSITY St. Louis, Missouri	Toward the research of Jean E. Schaffer, MD, entitled "Fatty Acid-Induced Apoptosis: A Potential Mechanism of Cell Death in Diabetes and Heart Failure."	25,000		25,000	

SCHOLARSHIPS IN MEDICAL SCIENCE

REGENTS OF THE UNIVERSITY OF CALIFORNIA La Jolla, California	1998 Medical Science Scholar - Steffan Nicholas Ho, MD, PhD, toward research entitled "Transcriptional Regulatory Mechanisms Controlling T Cell Differentiation."	108,000		108,000	
	1999 Medical Science Scholar - Steven M. Finkbeiner, MD, PhD, toward research entitled "Molecular and Cellular Mechanisms of Huntington's Disease."	216,000		216,000	
CHICAGO, UNIVERSITY OF Chicago, Illinois	1998 Medical Science Scholar - Elizabeth M. McNally, MD, PhD, toward research entitled "Genetic Defect in Myopathy."	108,000		108,000	
IOWA, STATE UNIVERSITY OF Iowa City, Iowa	1999 Medical Science Scholar - C. Michael Knudson, MD, PhD, toward research entitled "Regulation of Apoptosis in Germ Cell Development, Spermatogenesis and Infertility."	216,000		216,000	
PITTSBURGH, UNIVERSITY OF Pittsburgh, Pennsylvania	Toward the research of Charleen T. Chu, MD, PhD, concerning oxidative stress and neurotrophic signaling in Parkinson's Disease.	324,000		324,000	
LELAND STANFORD JUNIOR UNIVERSITY, BOARD OF TRUSTEES OF Stanford, California	Toward the research of Anthony E. Oro, MD, PhD, concerning the stromal regulation of basal cell carcinoma formation.	324,000		324,000	
TEXAS, UNIVERSITY OF, MEDICAL BRANCH AT GALVESTON Galveston, Texas	1999 Medical Science Scholar - Joseph M. Vinetz, MD, PhD, toward research entitled "Malaria (Molecular Genetics and Molecular Pharmacology)."	216,000		216,000	
TEXAS, UNIVERSITY OF, SOUTHWESTERN MEDICAL CENTER AT DALLAS Dallas, Texas	1998 Medical Science Scholar - Johnathan M. Graff, MD, PhD, toward research entitled "The Endogenous Role of the Smads in Vertebrate Development."	108,000		108,000	
UTAH, UNIVERSITY OF Salt Lake City, Utah	1999 Medical Science Scholar - Dean Y. Li, MD, PhD, toward research entitled "Cloning and Characterizing the Elastin Receptor."	216,000			216,000

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
WASHINGTON UNIVERSITY St. Louis, Missouri	Toward the research of Thomas J. Baranski, MD, PhD, concerning the roles of receptor structure in G protein signaling.	324,000			324,000
JOAN AND SANFORD I. WEILL MEDICAL COLLEGE OF CORNELL UNIVERSITY Ithaca, New York	Toward the research of Jacqueline Bromberg, MD, PhD, concerning oogenesis.	324,000	324,000	108,000	108,000
PROJECT/PROGRAM					
BAYSTATE MEDICAL CENTER, INC. Springfield, Massachusetts	Toward a training program in biomedical sciences for resident physicians and predoctoral students.	183,738		58,860	124,878
BONFILS BLOOD CENTER Denver, Colorado	Toward the establishment of a new center for umbilical cord blood donation and research.	50,000		50,000	
BOSTON UNIVERSITY Boston, Massachusetts	Toward support of three interdisciplinary working groups of scientists, ethicists, religious leaders, attorneys, and public policy experts to discuss issues surrounding genetic engineering and biotechnology and formulate policy recommendations.	50,000		25,000	25,000
MICHIGAN, UNIVERSITY OF Ann Arbor, Michigan	Toward support to establish a Center for Integrative Biology and Genomics.	199,578		98,588	100,990
MONTANA, UNIVERSITY OF Missoula, Montana	Toward a comprehensive program to assess the functioning of bioethics committees in rural hospital settings and to develop and maintain an infrastructure to promote ethics education in rural hospitals.	90,000		90,000	
UNITED NEGRO COLLEGE FUND, INC. Fairfax, Virginia	Toward the Culpeper Premedical Scholarship Program.	100,000		50,000	50,000
UNIVERSITY OF BUFFALO FOUNDATION, INC. Buffalo, New York	Toward a program to provide medical students with experience in the practice of primary-care medicine in community-based settings.	50,079		50,079	
RESEARCH					
AMERICAN FEDERATION FOR CLINICAL RESEARCH FOUNDATION Thorofare, New Jersey	Toward the establishment and implementation of a strategic plan to create a new structure for supporting bench-to-bedside translational medical research by physician-scientists in academic medical centers.	90,087		90,087	
REGENTS OF THE UNIVERSITY OF CALIFORNIA (FOR: CALIFORNIA, UNIVERSITY OF, SAN FRANCISCO) La Jolla, California	1998 Medical Science Scholar - Steven Lee McIntire, MD, PhD, toward research entitled "Neuronal Vesicular Amino Acid Transport."	108,000			108,000
CHICAGO, UNIVERSITY OF Chicago, Illinois	Toward a study to evaluate the university's hospitalist program, which utilizes physicians who dedicate their practice to inpatient care, focusing on cost-effectiveness, patient care, and impact on medical education.	149,340		72,053	77,287
MICHIGAN, UNIVERSITY OF Ann Arbor, Michigan	Toward research of Andrea Todisco, MD, on the growth factor action of the gastrointestinal hormone gastrin.	106,162		106,162	
ROCHESTER, UNIVERSITY OF Rochester, New York	Toward a study of end-of-life practices in a national managed care program that combines acute and long-term care for frail elderly patients.	50,000		50,000	
WASHINGTON UNIVERSITY St. Louis, Missouri	Toward research of Kenneth M. Ludmerer, MD, concerning American medical education in the 21st century.	105,000		35,000	70,000
YALE UNIVERSITY New Haven, Connecticut	Toward research entitled "Invertebrate Gap Junctions as Targets for Drugs and Pesticides."	85,209		85,209	
	Toward the research of Robert Dorit, PhD, and Margaret Riley, PhD, entitled "In Vitro Generation of Novel Antimicrobials."	133,979		68,327	65,652
SUBTOTAL				1,254,010	3,208,591 **

** Does not include lapses

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
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RAMON MAGSAYSAY AWARDS

RAMON MAGSAYSAY AWARD FOUNDATION					
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	Stipends for the 1999 Ramon Magsaysay Awards.	150,000		120,000* 30,000	
PROGRAM FOR ASIAN PROJECTS					
AMTE, MURLIDHAR DEVIDAS Anandwan, India	For a training program for rural youths in India on the cost-effective recycling of plastics.	10,000			10,000
BHATT, ELA R. Ahmedabad, India	For a project documenting the early years of her attempt to unionize the informal sector of women workers in India.	10,000			10,000
CHOWDHURY, ZAFRULLAH Dhaka, Bangladesh	To Zafrullah Chowdhury and Tahrunessa Abdullah for the project, Dietary Use of Soybean in Combating Malnutrition Among the Vulnerable Groups of Population in the Rural Areas of Bangladesh.	20,000		20,000	
COYAJI, BANOO Pune, India	For the Women's Health Development Training and Service Program.	10,000		10,000	
DALY, JOHN V. AND PAUL JEONG GU JEI Seoul, South Korea	For their project evaluating the development of community-based organizations in Korea.	20,000		20,000	
DEL MUNDO, FE, M.D. Quezon City, Philippines	For the project, Directly Observed Treatment Short Course Among Children with Tuberculosis Disease in an Urban Poor Community.	10,000			10,000
DEVI, MAHASWETA Calcutta, India	For building community centers in two tribal villages in India.	10,000		10,000	
FUKUOKA, MASANOBU Ehime-ken, Japan	Toward the publication of a textbook, <i>Natural Farming — How To Make Clayballs</i> .	10,000		10,000	
HATA, PRATEEP U. Bangkok, Thailand	For work on livestock and agricultural development in the Klung Toey area of metropolitan Bangkok.	10,000			10,000
INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION New York, New York	Toward its Low External Input Rice Production project in Bicol, Philippines.	10,000		10,000	
JAHANGIR, ASMA Lahore, Pakistan	Toward the project, Gender Participation in Mainstream Politics.	10,000		10,000	
KANG, AUGUSTINE J.R. Bangkok, Thailand	To the project, Credit Union Promotion in Mongolia.	10,000			10,000
MAAMO, SR. EVA FIDELA AND FR. JAMES B. REUTER, JR. Manila, Thailand	For a video documentary on the poor of Manila.	13,089		13,089	
MEHTA, MAHESH CHANDER New Delhi, India	Toward the book, <i>Environmental Law and Jurisprudence</i> .	10,000		10,000	
PHALY, NUON Khan Dangkor, Cambodia	For a project to teach sewing skills to orphaned Cambodian girls and young women.	10,000			10,000
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	For continuing publication of <i>The Magsaysay Awardee</i> .	5,000			5,000
RAMON MAGSAYSAY AWARD FOUNDATION Manila, Philippines	For its Issues and Trends in Asian Development seminar.	15,000			15,000
RIZVI, ADIBUL HASAN Karachi, Pakistan	For a project on rehabilitating kidney transplant recipients.	10,000			10,000
SUBBANNA, K. V. Karnataka, India	For the production of educational video cassettes on Kannada drama and theater.	10,000		10,000	
WASI, PRAWASE, AREE VALYASEVI, SOPHON SOPHAPONG, & CHAMLONG SRIMUANG Bangkok, Thailand	As a contribution to the project, Establishment of Social Partnership to Promote Quality of Life for Children, Youth, and Family in Thailand.	28,180			28,180

* Lapsed

GRANTEE	GRANT DESCRIPTION	TOTAL APPROPRIATION	PAID IN PREVIOUS YEARS	PAYMENT IN 1999	UNPAID BALANCE
XIAOTONG, FEI Beijing, China	For the project, Changes of Land Systems in Northern China.	10,000		10,000	
SUBTOTAL				253,089	118,180 **

ASIAN CULTURAL COUNCIL

ASIAN CULTURAL COUNCIL New York, New York	Toward the general operating expenses of this RBF-affiliated institution, which offers grants in cultural exchange between Asia and the United States.	200,000		200,000	
SUBTOTAL		200,000		200,000	
TOTAL				20,020,941	19,598,948 **

** Does not include lapses

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

UNPAID APPROPRIATIONS, JANUARY 1	1999	1998
Principal Fund	\$7,960,616	\$5,665,550
Ramon Magsaysay Award Foundation	—	—
Asian Projects Fund	153,089	130,000
	<u>8,113,705</u>	<u>5,795,550</u>
APPROPRIATIONS AUTHORIZED		
Principal Fund	30,716,634	14,461,665
Culpeper Fixed Asset Donations	173,154	
Ramon Magsaysay Award Foundation	150,000	150,000
Asian Projects Fund	118,180	153,089
	<u>31,157,968</u>	<u>14,764,754</u>
Less: Grant Returned (RMAF)	30,000	
Less:		
Appropriations Lapsed: Principal Fund	40,075	20,856
Fellowship	90,300	110,400
Asian Projects	20,000	10,000
	<u>150,375</u>	<u>141,256</u>
	30,977,593	14,623,498
APPROPRIATIONS PAID		
Principal Fund	19,767,852	12,035,343
Culpeper Fixed Asset Donations	173,154	
Ramon Magsaysay Award Foundation	120,000	150,000
Asian Projects Fund	133,089	120,000
	<u>20,194,095</u>	<u>12,305,343</u>
UNPAID APPROPRIATIONS, DECEMBER 31		
Principal Fund	18,779,023	7,960,616
Ramon Magsaysay Award Foundation	0	—
Asian Projects Fund	118,180	153,089
	<u>\$18,897,203</u>	<u>\$8,113,705</u>

ROCKEFELLER BROTHERS FUND
Management and Operations

Executive Vice President's Report

GROWTH AND EMERGING EFFICIENCIES

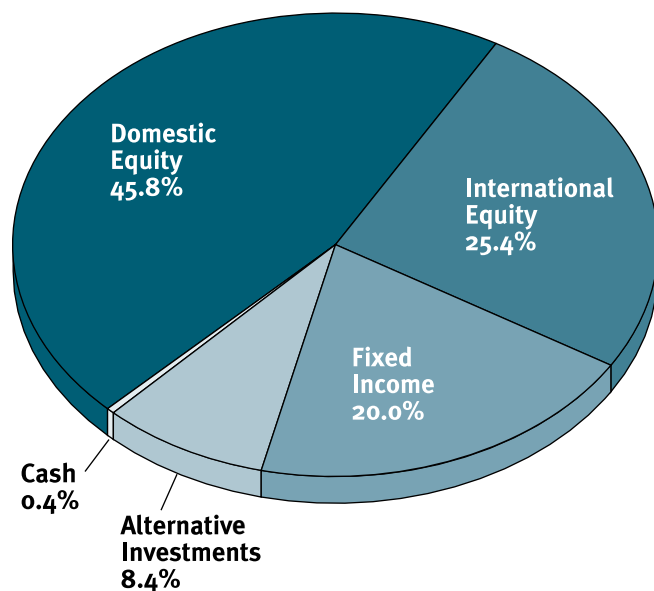
From a financial and operations perspective, 1999 was an unusual year for the Rockefeller Brothers Fund in that it consisted of two very different six-month periods. From January through June, the Fund operated much as it had in 1998 and prior years. In the second half of the year, however, following the July 1 RBF-Culpeper Foundation merger, the Fund's grantmaking and investment management expanded to include activity previously associated with the Culpeper Foundation.

Just prior to the merger, the Fund's board of trustees approved a revised administrative and grants budget that incorporated Culpeper grant and related administrative expenses for the second half of the year into the previously approved 12-month RBF budget. The picture that emerges from the full-year financial statements presented on pages 131–147 of this report is thus somewhat distorted by the significant event of the merger halfway through the year. The financial statements in the Fund's 2000 annual report will be a better guide to the annual income, administrative expenses, and grant distributions of the larger foundation that has resulted from the merger. The Culpeper Foundation prepared separate financial statements for its final six-month period, January 1–June 30, 1999, which are available on the Fund's website.

The merger involved a complete commingling of financial assets: the Culpeper Foundation's endowment of approximately \$212,000,000 on June 30, 1999 was added to the RBF Principal Fund. Trustees and staff of both foundations spent considerable time prior to the merger fashioning a plan for combining the two investment portfolios. That plan involved terminating relationships with certain managers where there

ASSET ALLOCATION

The Fund's investment objective is to realize a total return (current income + capital appreciation) that at least matches the rate of inflation plus annual spending (grants, administrative expenses, excise taxes, and investment management costs).



was duplication of investment assignment; adding funds to several existing manager accounts; and hiring a few new managers to achieve further diversification. The plan affirmed the Fund's prior asset allocation targets of 60–80 percent in equity investments (with up to 10 percent of the total in alternative, non-marketable investments) and the remaining 20–40 percent in fixed income securities and cash. Through most of 1999, the Fund's equity investments constituted close to 80 percent of the total portfolio.

At the time of the merger, the RBF and the Culpeper Foundation expected that the combined foundation would be able to achieve efficiencies in certain areas of administrative expense and that these savings would, in turn, generate additional dollars for grantmaking. Further, it was expected that the larger, commingled investment portfolio would drive down the ratio of investment management expenses to total assets, given opportunities to negotiate more favorable fee arrangements with investment managers and other service providers. While final numbers will not be available until the end of the current fiscal year, experience thus far in 2000 suggests that these cost savings and additional grant pay-out opportunities are real and meaningful.

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, 1999 and 1998, and the changes in their net assets and their cash flows for the years then ended in conformity with accounting principles generally accepted in the United States. These financial statements are the responsibility of the Fund's management; our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits of these statements in accordance with auditing standards generally accepted in the United States which require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements, assessing the accounting principles used and significant estimates made by management, and evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for the opinion expressed above.

Our audits were made for the purpose of forming an opinion on the basic financial statements taken as a whole. The schedule of functional expenses (Exhibit I) is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audits of the basic financial statements and, in our opinion, is fairly stated in all material respects in relation to the basic financial statements taken as a whole.

PricewaterhouseCoopers LLP

New York, New York

May 4, 2000

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

December 31, 1999 with Comparative 1998 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")							Asian Cultural Council, Inc.
	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	
ASSETS								
Cash	\$57,788	\$1,051	\$ -	\$ -	\$ -	\$ -	\$58,839	\$502,785
Accounts receivable	181,013	-	-	-	-	24,316	205,329	32,915
Contributions receivable	-	-	-	-	-	-	-	87,680
Interest and dividends receivable	1,979,066	239,103	-	15,683	14,505	9,806	2,258,163	201,105
Due from brokers and dealers	-	198,519	-	16,863	13,089	4,911	233,382	-
Investments, at market value	698,977,441	67,526,447	149,103	4,326,915	3,988,583	1,803,888	776,772,377	46,842,828
Program-related investments:								
Program mortgage loans	2,624,000	-	-	-	-	-	2,624,000	-
Real estate	510,000	-	-	-	-	-	510,000	-
Prepaid expenses	1,797,656	-	-	-	-	-	1,797,656	-
Fixed assets, net	3,052,679	8,479,175	-	-	-	-	11,531,854	26,375
Interfund	1,609,942	(1,812,832)	661,498	(347,264)	(274,319)	162,975	-	-
Total assets	\$710,789,585	\$74,631,463	\$810,601	\$4,012,197	\$3,741,858	\$2,005,896	\$795,991,600	\$47,693,688

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

COMBINED STATEMENT OF FINANCIAL POSITION

(continued)

	Total 1999	1998 RBF Funds	1998 Asian Cultural Council, Inc.	Total 1998
ASSETS				
Cash	\$561,624	\$1,451,492	\$524,139	\$1,975,631
Accounts receivable	238,244	410,050	46,363	456,413
Contributions receivable	87,680	-	26,315	26,315
Interest and dividends receivable	2,459,268	1,885,965	252,888	2,138,853
Due from brokers and dealers	233,382	5,079,415	790,709	5,870,124
Investments, at market value	823,615,205	438,353,188	37,586,633	475,939,821
Program-related investments:				
Program mortgage loans	2,624,000	2,766,000	-	2,766,000
Real estate	510,000	510,000	-	510,000
Prepaid expenses	1,797,656	1,379,761	2,928	1,382,689
Fixed assets, net	11,558,229	11,018,932	28,737	11,047,669
Interfund	-	-	-	-
Total assets	\$843,685,288	\$462,854,803	\$39,258,712	\$502,113,515

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

December 31, 1999 with Comparative 1998 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")							
	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.
LIABILITIES AND NET ASSETS								
Liabilities:								
Grants payable	\$18,779,023	\$ -	\$ -	\$ -	\$118,180	\$ -	\$18,897,203	\$654,233
Due to brokers and dealers	1,602,490	399,377	1,565	27,318	24,988	-	2,055,738	-
Accounts payable and accrued liabilities	2,111,637	36,845	357	1,853	1,746	858	2,153,296	501,148
Deferred taxes payable	1,556,453	-	-	-	-	-	1,556,453	-
Total liabilities	24,049,603	436,222	1,922	29,171	144,914	858	24,662,690	1,155,381
Commitments								
Net assets:								
Unrestricted	686,739,982	74,195,241	808,679	3,983,026	3,596,944	2,005,038	771,328,910	27,966,944
Temporarily Restricted	-	-	-	-	-	-	-	5,739,450
Permanently Restricted	-	-	-	-	-	-	-	12,831,913
Total liabilities and net assets	\$710,789,585	\$74,631,463	\$810,601	\$4,012,197	\$3,741,858	\$2,005,896	\$795,991,600	\$47,693,688

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

COMBINED STATEMENT OF FINANCIAL POSITION

(continued)

	Total 1999	1998 RBF Funds	1998 Asian Cultural Council, Inc.	Total 1998
LIABILITIES AND NET ASSETS				
Liabilities:				
Grants payable	\$19,551,436	\$8,113,705	\$620,132	\$8,733,837
Due to brokers and dealers	2,055,738	5,377,943	-	5,377,943
Accounts payable and accrued liabilities	2,654,444	1,692,821	704,635	2,397,456
Taxes payable	1,556,453	645,666	-	645,666
Total liabilities	25,818,071	15,830,135	1,324,767	17,154,902
Commitments				
Net assets:				
Unrestricted	799,295,854	447,024,668	20,011,599	467,036,267
Temporarily Restricted	5,739,450	-	5,090,433	5,090,433
Permanently Restricted	12,831,913	-	12,831,913	12,831,913
Total liabilities and net assets	\$843,685,288	\$462,854,803	\$39,258,712	\$502,113,515

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

For the Year Ended December 31, 1999 with Comparative 1998 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")							
	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.
REVENUES								
Dividend income	\$3,395,526	\$320,396	\$3,765	\$19,578	\$18,448	\$9,036	\$3,766,749	\$399,377
Interest income	8,263,302	780,846	9,175	47,713	44,961	22,022	9,168,019	525,805
Other income	81,539	3,696	44	226	213	104	85,822	65,107
Contributions	-	-	655,035	-	-	-	655,035	796,015
	11,740,367	1,104,938	668,019	67,517	63,622	31,162	13,675,625	1,786,304
EXPENSES								
Functional expenses (Exhibit I):								
Direct charitable activities	1,086,483	2,569,253	-	-	-	52,865	3,708,601	-
Program and grant management	34,044,146	-	-	194,302	127,523	-	34,365,971	2,589,434
Investment management	3,149,563	343,191	2,959	15,389	14,501	7,103	3,532,706	292,919
General management	3,233,490	380,060	-	-	-	9,439	3,622,989	514,936
	41,513,682	3,292,504	2,959	209,691	142,024	69,407	45,230,267	3,397,289
Deficiency of revenues over expenses	(\$29,773,315)	(\$2,187,566)	\$665,060	(\$142,174)	(\$78,402)	(\$38,245)	(\$31,554,642)	(\$1,610,985)

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

COMBINED STATEMENT OF ACTIVITIES

(continued)

	Total 1999	1998 RBF Funds	1998 Asian Cultural Council, Inc.	Total 1998
REVENUES				
Dividend income	\$4,166,126	\$3,935,217	\$480,960	\$4,416,177
Interest income	9,693,824	8,204,442	481,237	8,685,679
Other income	150,929	868,524	79,610	948,134
Contributions	1,451,050	5,000	1,121,948	1,126,948
	<u>15,461,929</u>	<u>13,013,183</u>	<u>2,163,755</u>	<u>15,176,938</u>
EXPENSES				
Functional expenses (Exhibit I):				
Direct charitable activities	3,708,601	3,803,144	-	3,803,144
Program and grant management	36,955,405	17,458,302	2,495,206	19,953,508
Investment management	3,825,625	2,363,793	253,393	2,617,186
General management	4,137,925	3,483,561	454,360	3,937,921
	<u>48,627,556</u>	<u>27,108,800</u>	<u>3,202,959</u>	<u>30,311,759</u>
Deficiency of revenues over expenses	(\$33,165,627)	(\$14,095,617)	(\$1,039,204)	(\$15,134,821)

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

For the Year Ended December 31, 1999 with Comparative 1998 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")							
	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	Pocantico Program Fund	Total RBF Funds	Asian Cultural Council, Inc.
GAIN ON INVESTMENTS								
Net realized gain from securities sales	\$29,714,594	\$2,802,125	\$32,927	\$171,223	\$161,345	\$79,026	\$32,961,240	\$4,608,942
Net change in unrealized gain on investments	99,777,952	9,419,902	110,692	575,599	542,391	265,662	110,692,198	5,606,405
	129,492,546	12,222,027	143,619	746,822	703,736	344,688	143,653,438	10,215,347
Change in net assets:								
Unrestricted	99,719,231	10,034,461	808,679	604,648	625,334	306,443	112,098,796	7,955,345
Temporarily restricted	-	-	-	-	-	-	-	649,017
Permanently restricted	-	-	-	-	-	-	-	-
Total change in net assets	99,719,231	10,034,461	808,679	604,648	625,334	306,443	112,098,796	8,604,362
NET ASSETS								
beginning of year	374,815,305	64,160,780	-	3,378,378	2,971,610	1,698,595	447,024,668	37,933,945
NET ASSETS OF CULPEPER								
	212,205,446	-	-	-	-	-	212,205,446	-
NET ASSETS								
end of year	\$686,739,982	\$74,195,241	\$808,679	\$3,983,026	\$3,596,944	\$2,005,038	\$771,328,910	\$46,538,307

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

COMBINED STATEMENT OF ACTIVITIES

(continued)

	Total 1999	1998 RBF Funds	1998 Asian Cultural Council, Inc.	Total 1998
GAIN ON INVESTMENTS				
Net realized gain from securities sales	\$37,570,182	\$31,145,524	\$601,295	\$31,746,819
Net change in unrealized gain on investments	116,298,603	(13,978,938)	2,698,377	(11,280,561)
	153,868,785	17,166,586	3,299,672	20,466,258
Change in net assets:				
Unrestricted	120,054,141	3,070,969	2,465,599	5,536,568
Temporarily restricted	649,017	-	(205,131)	(205,131)
Permanently restricted	-	-	-	-
Total change in net assets	120,703,158	3,070,969	2,260,468	5,331,437
NET ASSETS				
beginning of year	484,958,613	443,953,699	35,673,477	479,627,176
NET ASSETS OF CULPEPER				
	212,205,446	-	-	-
NET ASSETS				
end of year	\$817,867,217	\$447,024,668	\$37,933,945	\$484,958,613

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

For the Years Ended December 31, 1999 and 1998

	Total 1999 All Funds	Total 1998 All Funds
CASH FLOWS FROM OPERATING ACTIVITIES		
Change in net assets	\$120,703,158	\$5,331,437
Adjustments to reconcile change in net assets to net cash provided by operating activities:		
Net realized and unrealized (gain) or loss on investments	(153,868,785)	(20,466,258)
Depreciation	1,058,169	1,065,964
Interest and dividends restricted for endowment	(147,474)	(173,772)
(Increase) decrease in accounts receivable	218,169	(6,591)
(Increase) decrease in contributions receivable	(61,365)	201,065
(Increase) decrease in interest and dividends receivable	(320,415)	269,545
(Increase) decrease due from brokers and dealers	5,636,742	15,753,798
(Increase) decrease in recoverable taxes paid	-	133,600
(Increase) decrease in prepaid expenses	(414,967)	(799,944)
Increase (decrease) in grants payable	10,817,599	2,228,528
Increase (decrease) in due to brokers and dealers	(3,322,205)	2,994,639
Increase (decrease) in accounts payable and accrued liabilities	256,988	99,173
Increase (decrease) in deferred taxes payable	910,787	-
Net cash provided by (used in) operating activities	(18,533,599)	6,631,184
CASH FLOWS FROM INVESTING ACTIVITIES		
Proceeds from sales of investments	963,449,249	705,108,085
Purchases of investments	(1,157,255,848)	(709,690,241)
Reductions of program-related investments	142,000	86,000
Purchases of fixed assets	(1,568,729)	(2,171,870)
Net cash (used in) provided by investing activities	(195,233,328)	(6,668,026)
CASH FLOWS FROM FINANCING ACTIVITIES		
Proceeds from contributions restricted for investments in endowment	-	-
Interest and dividends restricted for endowment	147,474	173,772
Net cash provided by financing activities	147,474	173,772
Net increase (decrease) in cash	(213,619,453)	136,930
Cash at beginning of year	1,975,631	1,838,701
Cash flows from merger	212,205,446	-
Cash at end of year	\$561,624	\$1,975,631

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

Notes to Financial Statements

1. ORGANIZATIONS AND PURPOSE

Rockefeller Brothers Fund, Inc. is a not-for-profit, charitable corporation existing under the New York State not-for-profit corporation law and is classified as a private foundation as defined in the Internal Revenue Code. Effective July 1, 1999, the Fund merged with the Charles E. Culpeper Foundation ("Culpeper"), a private, grantmaking corporation founded in New York. Under the terms of the merger, the Fund received all of the assets of Culpeper with a fair value of approximately \$212,000,000, consisting principally of investments and cash and cash equivalents. In addition, four members of Culpeper's Board of Trustees were elected to the Fund's Board of Trustees. The assets received from Culpeper were treated similar to a contribution in the accompanying combined statement of activities. The surviving entity is known as the Rockefeller Brothers Fund ("the Fund"). The Fund's principal purpose is to make grants to local, national, and overseas philanthropic organizations. The Fund also provides fellowships for minority students entering the teaching profession and scholarships for medical science and biomedical research.

The Board of Trustees has designated the allocation from the Principal Fund and other funds to the following special purpose funds:

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

Pocantico II Fund: For the perpetual maintenance of the Playhouse parcel at the Pocantico Historic Area.

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

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

Pocantico Program Fund: For use by the Fund for philanthropic programs at the Pocantico Conference Center.

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 the ACC.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

Principles of Combination: The financial statements of the Fund include ACC of which it is the sole member. The accompanying statement of financial position and related statements of activities and of cash flows, and the schedule of functional expenses, as of December 31, 1999 and 1998, and for the years then ended, are presented on a combined basis to reflect the separate financial position and results of operations of the Fund and ACC. All significant interfund balances and transactions are eliminated in combination.

Investments: Investments in securities are carried at quoted market prices. Unrealized gains or losses are determined using quoted market prices at the respective balance sheet dates. Realized gains or losses from sales of securities are determined on a specific identification basis as of the trade date. Security costs are determined on a first-in first-out basis.

Investments in limited partnerships are valued on the basis of the Fund's equity in the net assets of such partnerships. In certain instances, portions of the underlying investment portfolios of the limited partnerships contain non-marketable or thinly traded investments which have been recorded at fair value as determined by management of the limited partnerships. As of December 31, 1999 and 1998, approximately \$50,600,000 and \$20,300,000, respectively, of the Fund's investments in limited partnerships were recorded at fair value as determined by the Fund's management or their designee, which might differ significantly from the market value that would have been used had a ready market for the investment existed.

Investments of the Principal Fund, Pocantico Fund, Pocantico II Fund, Ramon Magsaysay Award Foundation Fund, Asian Projects Fund and Pocantico Program 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, 1999 will be paid as follows:

2000: \$13,010,268 2001: \$3,928,668 2002: \$1,381,300 2003: \$620,400 2004: \$610,800 Total: \$19,551,436

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 includes leasehold improvements, furniture and fixtures, and office equipment. Depreciation and amortization of the fixed assets are provided over the following estimated useful service lives: leasehold improvements: life of lease; office equipment: 7 years; computer equipment: 5 years; computer software: 3 years. Fixed assets are presented net of accumulated depreciation and amortization of \$6,501,040 and \$5,442,871, respectively.

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

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

Prior year's financial statements: Certain reclassifications of the 1998 financial information have been made to conform to the 1999 presentation. The financial information presented for 1998 in the accompanying financial statements is intended to provide a basis for comparison and reflects summarized totals only.

3. INVESTMENTS

Investments at December 31, 1999 and 1998 are summarized as follows:

	December 31, 1999			December 31, 1998	
	Cost	Unrealized Appreciation/ (Depreciation)	Market	Cost	Market
Short-term investments	\$17,298,566	\$113,318	\$17,411,884	\$23,732,498	\$23,757,517
Stocks	410,057,876	162,235,934	572,293,810	260,993,981	306,343,625
Bonds	162,719,038	(6,778,364)	155,940,674	114,752,087	114,466,950
Limited partnerships	63,680,653	14,366,889	78,047,542	37,483,716	31,371,729
Foreign currency fluctuations	-	(78,705)	(78,705)	-	-
	<u>\$653,756,133</u>	<u>\$169,859,072</u>	<u>\$823,615,205</u>	<u>\$436,962,282</u>	<u>\$475,939,821</u>

The cost of investments in each fund at December 31, 1999 and 1998 is as follows:

	December 31, 1999	December 31, 1998
Principal Fund	\$555,684,426	\$344,502,547
Pocantico Fund	57,339,643	55,686,549
Ramon Magsaysay Award Foundation Fund	3,588,024	3,567,484
Asian Projects Fund	3,349,542	3,324,504
Pocantico Program Fund	1,683,210	1,468,896
Pocantico II Fund	49,196	-
Asian Cultural Council, Inc.	32,062,092	28,412,302
	<u>\$653,756,133</u>	<u>\$436,962,282</u>

4. PROGRAM-RELATED INVESTMENTS

The Fund's program-related investments have limited or no marketability and are stated at the lower of cost or estimated fair value. The Fund's real estate 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 1999.

5. PENSION PLAN

The Fund and ACC participate in the Retirement Income Plan for Employees of Rockefeller Brothers Fund, Inc., et al., a noncontributory defined benefit plan covering substantially all its employees. The Fund's and ACC's policy is to make contributions to maintain the plan on a sound financial basis.

The following table sets forth the plan's funded status and amounts recognized in the financial statements at December 31, 1999 and 1998 and for the years then ended:

Actuarial present value of benefit obligations:	1999	1998
Accumulated benefit obligation	<u>\$3,186,921</u>	<u>\$3,701,062</u>
Projected benefit obligation for services rendered to date	\$4,380,421	\$5,076,589
Plan assets at fair value	4,554,321	4,879,664
Funded status	173,900	(196,925)
Unrecognized prior service cost	(42,464)	(44,271)
Unrecognized net gain from past experience different from that assumed and effects of changes in assumptions	391,190	791,061
Unamortized transitional net asset	<u>(158,388)</u>	<u>(208,563)</u>
Prepaid pension cost included in prepaid expenses	<u>\$364,238</u>	<u>\$341,302</u>
Net pension cost included the following components:		
Service cost—benefits earned during period	\$365,000	\$349,611
Interest cost on projected benefit obligation	329,978	337,304
Actual return on plan assets	(439,170)	(480,950)
Net amortization and deferral	<u>(8,172)</u>	<u>(29,854)</u>
Net periodic pension cost	<u>\$247,636</u>	<u>\$176,111</u>

The weighted-average discount rate and rate of increase in future compensation levels used in determining the actuarial present value of the projected benefit obligation were 8.0 percent and 5.0 percent in 1999 and 6.5 percent and 4.5 percent in 1998, respectively. The expected long-term rate of return on assets was 9 percent in 1999 and 1998.

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, 1999 and 1998:

	1999	1998
Accumulated postretirement benefit obligation ("APBO")	<u>\$1,353,000</u>	<u>\$1,238,000</u>
Unrecognized net gain	288,000	300,000
Accrued postretirement benefit cost	<u>\$1,641,000</u>	<u>\$1,538,000</u>

The net periodic postretirement benefit cost included the following components:

	1999	1998
Service retirement cost	<u>\$83,000</u>	<u>\$72,000</u>
Interest cost	96,000	84,000
Amortization of unrecognized gain	<u>(23,000)</u>	<u>(6,000)</u>
Net periodic postretirement benefit cost	<u>\$156,000</u>	<u>\$150,000</u>

Actual retiree premiums paid by the Fund and ACC during 1999 and 1998 amounted to \$75,000 and \$47,000, respectively.

The discount rate assumed in determining the APBO was 8.0 percent in 1999 and 6.5 percent in 1998. The medical cost trend rates assumed were 9 percent and declining to 5 percent over a five-year period for 1999 and 1998. Increasing the assumed medical cost trend rate by 1 percent each year would result in increases in both the APBO and the net periodic postretirement cost of approximately \$209,000 and \$32,000 in 1999 and \$208,000 and \$31,000 in 1998, respectively.

7. RELATED PARTY TRANSACTIONS

The Fund paid Rockefeller and Co., Inc., fees of approximately \$230,000 and \$195,900 in 1999 and 1998, respectively, as one of its investment advisors and fees of \$50,000 in 1999 and 1998, for the management of the Fund's qualified pension plans and other services. The Fund was reimbursed approximately \$180,000 in 1999 and \$220,000 in 1998, for the fair value of certain expenses, including accounting and occupancy, by the Rockefeller Family Fund, Inc. The Fund was also reimbursed \$370,000 and \$11,000 in 1999 and \$410,000 and \$11,000 in 1998 for the fair value of certain expenses, including accounting and occupancy, by ACC and the David Rockefeller Fund, respectively.

The Fund paid fees in 1999 and 1998 of approximately \$1,120,000 and \$1,160,000, respectively, for maintenance of the Pocantico properties to Greenrock Corporation, which is wholly owned by Rockefeller family members.

8. FEDERAL TAXES

As a private foundation, the Fund is assessed an excise tax by the Internal Revenue Code. The provision for federal excise tax consists of a current provision on realized net investment income and a deferred provision on unrealized appreciation of investments. This tax is generally equal to 2 percent; however, it is reduced to 1 percent if a foundation meets certain distribution requirements under Section 4940(e) of the Internal Revenue Code. For 1999, the Fund expects to qualify for the lower tax rate and provided for excise taxes at the rate of 1 percent. For 1998, the Fund provided for excise taxes at the rate of 2 percent.

9. COMMITMENTS

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

Fiscal Year

2000: \$1,249,000 2001–2005: \$7,011,000 2006–2010: \$6,621,000 2011–2012: \$2,513,000

On January 1, 1998, the Fund entered into a new lease agreement and relocated its offices in June 1998. Effective January 1, 1999, the Fund leased additional space to expand its offices. The terms of the two leases for the Fund's offices expire in December, 2012 with one five-year renewal option. Under the terms of its merger agreement with the Charles E. Culpeper Fund, the Fund assumed the liability for its 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 1999 and 1998, these costs aggregated approximately \$1,653,000 and \$1,486,000, respectively. Under the same agreement, the Fund agreed to conduct a program of public visitation of the Pocantico Historic Area. Historic Hudson Valley was engaged by the Fund to operate this program on its behalf. The public visitation program commenced in April 1994.

10. ASIAN CULTURAL COUNCIL, INC.

Summarized financial results of the Asian Cultural Council, Inc. for the year ended December 31, 1999 and 1998 are presented below:

	1999				1998			
	Unrestricted	Temporarily restricted	Permanently restricted	Total	Unrestricted	Temporarily restricted	Permanently restricted	Total
Net assets, beginning of year	\$20,011,599	\$5,090,433	\$12,831,913	\$37,933,945	\$17,546,000	\$5,295,564	\$12,831,913	\$35,673,477
Total support and revenue	\$9,970,128	\$2,031,523	\$ -	\$12,001,651	\$4,209,948	\$1,253,479	\$ -	\$5,463,427
Net assets released from restriction	1,382,506	(1,382,506)	-	-	1,458,610	(1,458,610)	-	-
Program expenses	(2,820,840)	-	-	(2,820,840)	(2,697,921)	-	-	(2,697,921)
General management expenses	(576,449)	-	-	(576,449)	(505,038)	-	-	(505,038)
Change in net assets	7,955,345	649,017	-	8,604,362	2,465,599	(205,131)	-	2,260,468
Net assets, end of year	\$27,966,944	\$5,739,450	\$12,831,913	\$46,538,307	\$20,011,599	\$5,090,433	\$12,831,913	\$37,933,945

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, 1999 with Comparative 1998 Totals

	ROCKEFELLER BROTHERS FUND ("RBF")								
	Direct Charitable Activities						RBF Total 1999	Asian Cultural Council, Inc.	Combined Total 1999
	General Programs	Pocantico Fund	Pocantico Program Fund	Program and Grant Management	Investment Management	General Management			
SALARIES AND EMPLOYEE BENEFITS									
Salaries	\$305,839	\$258,183	\$ -	\$1,398,880	\$184,157	\$909,002	\$3,056,061	\$593,136	\$3,649,197
Employee benefits	121,439	68,055	-	557,017	70,019	346,633	1,163,163	279,440	1,442,603
	427,278	326,238	-	1,955,897	254,176	1,255,635	4,219,224	872,576	5,091,800
OTHER EXPENSES									
Grants awarded	-	-	-	30,964,645	-	-	30,964,645	1,425,049	32,389,694
Fellowship and leadership program expenses	231,968	-	-	-	-	-	231,968	-	231,968
Federal excise and other taxes	-	-	-	-	-	1,102,275	1,102,275	22,687	1,124,962
Consultants' fees	4,768	-	-	191,548	18,025	74,208	288,549	136,642	425,191
Investment services	-	-	-	-	3,034,293	-	3,034,293	292,919	3,327,212
Legal, audit and professional fees	-	2,045	-	58,657	63,361	138,974	263,037	154,368	417,405
Travel	65,659	10,009	-	235,915	5,636	81,124	398,343	74,060	472,403
Rent and electricity	76,481	-	-	497,587	53,445	293,945	921,458	119,976	1,041,434
Program conferences and events	140,828	-	52,865	-	-	-	193,693	121,821	315,514
Facilities maintenance and operations	-	1,653,323	-	-	-	-	1,653,323	15,981	1,669,304
Telephone, facsimile and internet	6,539	12,979	-	42,540	5,899	29,825	97,782	17,547	115,329
General office expenses	60,531	76,902	-	239,575	28,590	212,669	618,267	103,190	721,457
Publications	44,825	-	-	-	-	151,840	196,665	25,227	221,892
Fundraising expenses	-	-	-	-	-	-	-	3,822	3,822
Depreciation and amortization	27,606	487,757	-	179,607	69,281	282,494	1,046,745	11,424	1,058,169
	\$1,086,483	\$2,569,253	\$52,865	\$34,365,971	\$3,532,706	\$3,622,989	\$45,230,267	\$3,397,289	\$48,627,556

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

	1998 RBF Funds	1998 Asian Cultural Council, Inc.	Combined Total 1998
SALARIES AND EMPLOYEE BENEFITS			
Salaries	\$2,759,561	\$607,423	\$3,366,984
Employee benefits	1,169,851	225,109	1,394,960
	<u>3,929,412</u>	<u>832,532</u>	<u>4,761,944</u>
OTHER EXPENSES			
Grants awarded	14,623,498	1,238,547	15,862,045
Fellowship and leadership program expenses	146,053	-	146,053
Federal excise and other taxes (Notes 2 and 8)	980,861	41,086	1,021,947
Consultants' fees	272,094	123,919	396,013
Investment services	2,134,853	253,393	2,388,246
Legal, audit and professional fees	217,117	153,565	370,682
Travel	441,228	51,237	492,465
Rent and electricity	635,892	128,021	763,913
Program conferences and events	117,030	146,066	263,096
Facilities maintenance and operations (Note 9)	1,485,884	23,807	1,509,691
Telephone, facsimile and internet	104,149	16,025	120,174
General office expenses	692,512	122,646	815,158
Publications	273,629	25,729	299,358
Fundraising expenses	-	35,009	35,009
Depreciation and amortization	1,054,588	11,377	1,065,965
	<u>\$27,108,800</u>	<u>\$3,202,959</u>	<u>\$30,311,759</u>

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⁴ Until June 17, 1999

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