



Rockefeller
Brothers Fund

Philanthropy for an Interdependent World

2004 Annual Report



Building a more just, sustainable, and peaceful world

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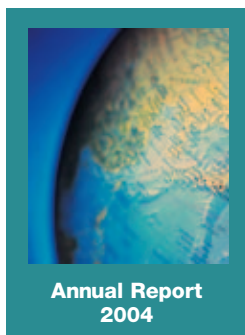
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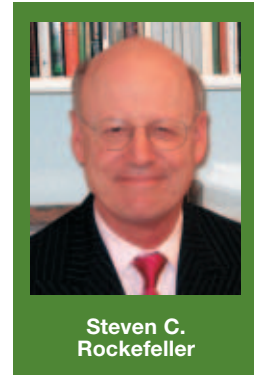
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Assistant Comptroller



Message from the Chair

Reflections on 2004

2004 was a presidential election year in the United States that focused considerable public attention on some issues of great interest to the Rockefeller Brothers Fund, such as the U.S. approach to international relations. Other issues of concern to the Fund, including environmental conservation, global warming, and sustainable development, got relatively little attention. The Fund remained focused primarily on long-term objectives, and the year involved significant developments in a number of its programs.



The RBF endowment grew from \$680,000,000 at the beginning of the year to \$742,000,000 at year end. The rate of growth in the Fund's investment portfolio was 14.5 percent in 2004 compared to 24.9 percent in 2003.

The Fund's program expenditures during the year totaled \$33.5 million, of which \$24 million was paid out in grants and expenditures directly related to grants programs. The budget for the administration of the Fund, which has a staff of 35, was \$6 million. The operation of the Pocantico Historic Area and Conference Center involved a budget of \$3.5 million.

The largest single portion of the Fund's grantmaking — 24 percent — was devoted to its Sustainable Development program. Allocations to the other three major programs involved 16.5 percent to Democratic Practice, 14 percent to Peace and Security, and 10 percent to Human Advancement. Grantmaking in RBF Pivotal Places (New York City, Serbia and Montenegro,

and South Africa) accounted for 32 percent of the total, and in most cases, grants to pivotal places reflect the goals and objectives of the Fund's four major programs. The Fund made a total of 319 new grants in 2004, and the average size of these new grants was \$75,000. Grants made by the Fund involve commitments that may extend for up to three years.

The Pocantico Conference Center hosted a total of 65 meetings in 2004, of which a quarter were organized or sponsored by RBF staff. The RBF provides some form of financial assistance to over half of the events at the Conference Center. The Pocantico Historic Area, which includes Kykuit, attracted 37,698 visitors in the course of the year. The visitation numbers have been declining in recent years — down 3 percent in 2004, which reflects a national trend affecting historic sites. Attendance at Colonial Williamsburg, for example, was also down 3 percent compared to 2003.

Among the highlights in the area of program development are the following. First, for over a decade the RBF's Sustainable Development program has endeavored to raise awareness of global warming and its potential harmful impact and to promote efforts by government and business to reduce greenhouse gas (GHG) emissions. A major step forward in this initiative occurred in April, 2004, with the launching of The Climate Group, an international network of corporations and city, state, and national governments committed to collaborating on cutting GHG emissions. Michael Northrop, who directs the RBF Sustainable Development program, played a central role in organizing The Climate Group and the RBF provided essential early funding. What is especially significant is that this leadership coalition is providing mounting evidence that corporations and governments can reduce GHG emissions and their environmental footprint in ways that reduce costs and increase profitability and competitiveness. In short, sustainable development makes economic as well as ecological and social sense. (For more information, see The Climate Group Web site, www.theclimategroup.org, and Michael Northrop, "Teaching by Example: Profitable Corporate Strategies and Successful Public Policies for Reducing Greenhouse Gas Emissions," *Widener Law Journal* 14, no. 1 [2004]).

Second, the RBF's major contribution to the public debates generated by the 2004 election was publication of *U.S. in the World: Talking Global Issues with Americans—A Practical Guide*. This project, which was directed by the Fund's Peace and Security program, grew out of a collaboration between the RBF and the Aspen Institute that began in the mid-1990s and involved the Global Interdependence Initiative (GII). The basic concern and sense of urgency that led from the GII to creation of *U.S. in the World* is stated in its introduction: "At a time when our country faces fundamental questions of national identity and purpose, we still lack a broad, bipartisan public constituency for pragmatic, principled, effective, and cooperative U.S. global engagement." A task force of 50 individuals representing many areas of international policy expertise and many institutions worked with RBF staff members, Priscilla Lewis and P. J. Simmons, and public opinion and communications experts (1) to identify "the key elements of a shared, nonpartisan vision of how America should engage with the world" and (2) to provide practical guidance on how to communicate effectively with the American public on "what kind of global citizen America should be." As with The Climate Group, the objective is to create a network of leaders—in this case, a network of communicators and educators. This practical guide, which is clearly written and full of carefully researched insights and illuminating examples of promising ways to talk about global issues, has been widely distributed and very well received. It is available in print and CD-ROM and on the Internet. In addition, the Fund has provided funding to a number of NGOs to assist them in training their staff in how to use the guide.

Third, the Fund's Democratic Practice program launched a new initiative entitled "Reinventing Globalization." The objective is to improve global governance by (1) expanding participation and effective representation in the political and policy-making processes of transnational institutions, and (2) increasing transparency and accountability in transnational decision making that affects the quality of people's lives and the integrity of the natural environment.



RBF Board Chair Steven C. Rockefeller and Claire Wilson with 2004 Nobel Peace Prize laureate Professor Wangari Maathai.

Fourth, after considering a number of promising possibilities the board of trustees voted to make Southern China its pivotal place in Asia. This decision reflects a recognition of the great significance for the future of China, of the development path chosen by Southern China, as well as an appreciation of the increasingly important role of China in Asia and the world.

Fifth, in 1957, the RBF in partnership with the government of the Philippines and local community leaders created the Ramon Magsaysay Award that has come to be known as the Asian Nobel Prize. Within the framework of the Human Advancement program, the RBF continues to provide support to the Ramon Magsaysay Award Foundation, maintaining the longest partnership the Fund has had with another organization. With the 50th anniversary of the founding of the Award and the RBF's partnership with the RMAF approaching, Stephen Heintz and I traveled to Manila in August for the annual series of lectures, meetings, and ceremonies associated with

the Award. We came away inspired by the six new awardees from China, India, Pakistan, Thailand, and the Philippines and by the significance this unique Award has acquired. The 50th anniversary will be a time to review the overall impact of the Award and to consider what role the RBF should play in the future.

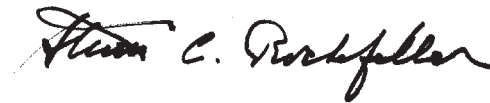
During the year, the RBF focused special attention on foundation governance as a national issue and also reviewed its own internal procedures. With the U.S. Senate Finance Committee holding hearings on abuses of the tax-exempt status granted foundations and other nonprofit organizations, and considering the possibility of new legislation, the president of the RBF joined other nonprofit sector leaders in an effort to have the sector take steps to put its own house in order. Stephen Heintz was appointed a member of an independent national panel on the nonprofit sector convened by Independent Sector and charged with making recommendations that address the problems facing the sector. A final report is expected in July 2005. In addition, the Foundation Executive Group,

of which the president of the RBF is a member, drafted "Proposed Governance Principles for Discussion with Large Foundations." The RBF trustees are using this document to review the Fund's own governance practices. In this regard, the trustees participated in a national survey of foundation governance principles and practices conducted by The Center for Effective Philanthropy. The board found the exercise instructive internally. The Center will issue a final summary report on its national surveys in 2005.

In recent years, the Finance Committee under the leadership of Ed Villani has been systematically diversifying the Fund's portfolio to help manage risk and increasing the Fund's holdings in alternative investments, which include private investments and hedge funds. Timothy J. O'Neill and Frank E. Richardson were elected by the board as new members of the Finance Committee; they add new strength to the committee as it moves forward with this agenda. A special Advisory Committee on Responsible Investing was formed with the task of recommending to the

board strategies, such as proxy voting guidelines, that would help to harmonize the Fund's investment practices and policies with its philanthropic mission and goals. The Audit Committee, chaired by Jessica Einhorn, recommended KPMG as the Fund's new auditor after interviewing several candidates and reviewing carefully the Fund's needs. The board voted to approve the recommendation.

On behalf of all the trustees, I would like to extend my deep thanks to Stephen Heintz and the RBF staff for their outstanding work during another challenging year. I also extend heartfelt thanks to my colleagues on the board of trustees for the thought and care with which they oversee and support the activities of the Fund.

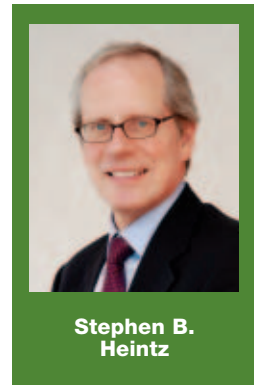


Steven C. Rockefeller
Chair

Message from the President

How We Work: Our Approach to Grantmaking and Serving the Grantee Community

In his chairman's essay, Steven Rockefeller has provided an excellent overview of some of the major activities and accomplishments of the Rockefeller Brothers Fund in 2004. Breaking with my past practice, I will focus this essay not on further elaboration of what we do, but rather on how we conduct our work: our particular approach to grantmaking and our efforts to serve the grantee community as effectively as possible within the constraints of our resources.



Taking Stock: Listening to the Grantee Community

Over the last several years, the trustees and staff of the Fund have embarked on a multi-dimensional effort of institutional transformation. While reaffirming our mission—helping to build a more just, sustainable and peaceful world—we completed a fundamental redesign of our grantmaking programs. The program architecture we launched in 2003¹ provides for both greater substantive focus and more targeted geographic engagement in response to pressing global needs and opportunities. We have restructured our staffing, instituted a new performance management system, created expanded opportunities for staff development and participation in internal decision making, and a new approach to the evaluation of our philanthropic impact. We have endeavored to limit the growth of administrative expenses in order to maximize the funds available for grantmaking, and we have rebalanced

¹Please see page 22 .

our investment portfolio in an effort to better protect the purchasing power of our assets in a time of market uncertainties. We have also strengthened the Fund's governance and transparency, engaging our superb board of trustees in ongoing discussion of fundamental strategic issues and effective oversight of our activities. We have made considerable progress, but we also recognize that there is more work to be done toward our aspiration of being a "center of philanthropic excellence."

In the fall of 2004, we decided it was time to hear in depth from the grantee community—to systematically gather data about grantee perceptions of the RBF and their experience working with us. To ensure objectivity, we engaged the Center for Effective Philanthropy ("the Center") to conduct confidential third-party surveys of our current grantees as well as recent unsuccessful grant seekers. Sixty-eight percent of our grantees and thirty-eight percent of unsuccessful grant seekers completed detailed questionnaires covering virtually all aspects of our work. During 2003 and 2004, the Center conducted similar surveys for a total of 117 foundations, permitting comparative analysis of RBF performance relative to that of a fairly broad sample of foundations. We are extremely grateful to the individuals and organizations that contributed generously of their time to participate in the survey process—the feedback has been enormously valuable.

Overall, the surveys confirm a generally positive perception of the RBF in the grantee community. The data also clearly points to some areas that require further attention as we continue in our efforts of institutional transformation and our goal of achieving excellence in all areas of our operations—grantmaking, human resource management, financial management, communications,

governance, etc. (The complete survey results can be found on our Web site, www.rbf.org.)

We are pleased that grantees rank their overall satisfaction with RBF highly and well above the median score for the 117 foundations in the survey universe. Grantees were given an opportunity to augment their overall numeric rating of foundations with written comments, and the Center reported the following statement from one grantee as being representative of a widely held perception:

"For us, [the RBF's] way of operation is a template of professional decision-making processes without being bureaucratic or extremely time consuming. Their communication style is friendly and helpful without special efforts—their commitment feels honest."

Grantees rate the RBF well above the 75th percentile in efforts to help grantees to secure additional funding from other sources. We are seen as having a greater understanding of the fields in which we make grants than the median rank for foundations in the survey universe. Grantees also rate our ability to advance knowledge in our fields of activity above the 75th percentile. Much of our grantmaking is directed at

influencing public policy, and it is gratifying to know that grantees rate us above the 75th percentile in our effectiveness in this regard as well.

Our interaction with grantees is generally experienced as quite positive. Grantees rate our understanding of their goals and strategies above the 75th percentile of the surveyed foundations. The survey confirms that the RBF takes somewhat greater risk on "less-tested" programs or projects than many other funders and our application procedures are viewed as requiring less time than those at many other foundations. I am pleased that both grantees

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and unsuccessful grant seekers feel they compromise their ideas or priorities very little in their efforts to secure RBF support.

While RBF grantees rate us positively for the fairness of our treatment of them and for the responsiveness of our staff, unsuccessful applicants rate us far less favorably. It pains me to report that one applicant, in a sentiment clearly shared by others, noted: “poor communication with grant seeker, including no response to letters and phone calls.” Similarly, when asked if we have become more or less approachable over the last several years, more than 90 percent of our grantees report that we are as approachable or more so, while more than 45 percent of applicants said we are less approachable. In part, this may reflect the fact, confirmed by the survey data, that RBF program staff manage a higher number of grant proposals than staff at most other foundations.

The surveys highlight several other areas where we need to focus additional attention. Clearly, we need to improve our efforts to respond to letters, e-mails, and phone calls in a timely manner. Grantees encourage us to provide additional nonfinancial support, such as organizational development and networking. Grantees also appreciate site visits by staff and would like us to visit them more frequently and for longer interactions.

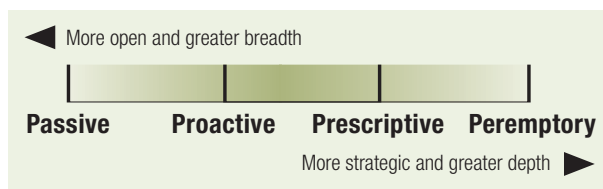
Most significantly, both grantees and unsuccessful applicants rate the RBF rather poorly with regard to the clarity of our communications about our goals and strategies, placing us just above the 25th percentile of the foundations included in the survey. As one applicant wrote: “I have a poor understanding of what the Foundation is interested in and what their focus is on.” In response, we have made improving the clarity and quality of our communications a priority. We have revised our program guidelines, and in the months ahead, under the direction of a new communications officer, we will redesign our Web site, and launch several new communications initiatives. In one step in this effort, I will devote the balance of this essay to some reflections about the RBF’s particular style of grantmaking and institutional profile in the

foundation community. I hope this may help grantees and grant seekers have a fuller understanding of how we conduct our work.

RBF Grantmaking Style

Joel Orosz offers one approach to assessing grantmaking style in *The Insider’s Guide to Grantmaking*.² Orosz suggests that foundation grantmaking style can be plotted along a “4P continuum,” reflecting four distinct theories of how grantmaking promotes social change. The four styles Orosz describes are “passive,” “proactive,” “prescriptive,” and “peremptory.”

While I believe there are some flaws in Orosz’s approach (which I will address below), thinking about the “4P continuum” forces one to consider the implications of various styles or philosophies of grantmaking. Orosz has developed the following scale and definitions:



Passive: “We fund the best of those who find us”

The foundation:

- Responds to unsolicited requests
- Funds the best proposals in hand when the funding cycle comes to an end
- Does little to share the lessons learned from programs it supports
- Funds isolated, unconnected grants based solely on proposals it receives during a given time period
- Is open to good ideas and can react quickly
- Lacks systematic programming which can cause weak or indifferent outcomes—great breadth, little depth

Proactive: “We fund the best we can find”

The foundation:

- Attempts to make interests known energetically: Web pages, annual reports, brochures

²Orosz, Joel J. *The Insider’s Guide to Grantmaking*. Jossey-Bass, Inc. Publishers San Francisco. 2000.

- Employs active program officers who seek out well-defined priorities
- Is quite open to considering unsolicited grants
- Clusters grants around related subjects and actively networks grantees
- Maximizes lessons that can be learned and shares those lessons across sectors (funders, Congress, grantees, etc.)
- Clusters of individual grants woven together by a subject or theme, while remaining receptive to outside requests

Prescriptive: *"We fund the best we can define"*

The foundation:

- Has clearly defined interests and narrow fields of activity
- Employs an initiative-based format with strategically structured grants
- Issues well-defined request for proposals
- Considers a few unsolicited requests
- Occasionally operates/manages its own programs, with its own employees rather than making the grant to another organization
- Carves out well-defined and strategically conceived initiatives, leaving little receptivity to the outside

Peremptory: *"We fund the best we can imagine, and no others need apply"*

The foundation:

- Is completely agenda-driven
- Chooses grantees
- Often operates its own programs
- Publishes minimal reporting to minimize the demand for unsolicited grants
- Chooses grantees based on specific and strongly held visions and is totally unreceptive
- Is extremely strategic in identifying highly specific projects and following through on them to achieve measurable results

- Lacks flexibility and can not respond to unexpected opportunities — great depth, little breadth

Although foundations can employ a mix of styles, Orosz argues that most fall within the proactive or prescriptive categories. He also points out that decisions about grantmaking style also produce tradeoffs between strategic vs. opportunistic approaches as well as depth vs. breadth.

In reviewing RBF practice, Orosz's terms strike me as too pejorative, perhaps reflecting his own bias for the left end of the "4P" scale. His definitions also seem a bit too rigid. Nevertheless, they do help us in analyzing our grantmaking style. At the RBF, we delegate considerable responsibility and authority to our program officers in order to empower them to develop and pursue the most effective strategies to accomplish the program goals approved by our board. This results in a mix of styles among our programs and, in some cases, even within programs.

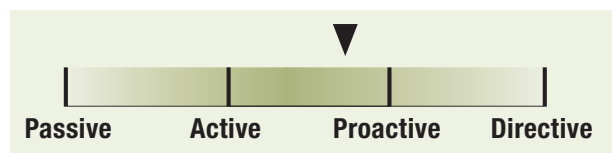
I am more comfortable with somewhat more neutral terms — perhaps "passive," "active," "proactive," and "directive." I might also suggest some revisions to the definitions of these

categories, but Orosz's descriptions are close enough for the purposes of this essay. Using this revised scale, the RBF overall probably falls just to the left of "Proactive" but our Sustainable Development Program and the Global Governance Work of the Democratic Practice Program are located just to the right of "Proactive" and our pivotal place grantmaking in South Africa, New York City, and Serbia and Montenegro are best defined as "Active." (This reflects a conscious design element of the Pivotal Places strategy: devising grantmaking guidelines based on considerable consultation in situ on priority challenges and needs.) Some specific

At the RBF, we delegate considerable responsibility and authority to our program officers in order to empower them to develop and pursue the most effective strategies to accomplish the program goals approved by our board.

elements of our programs are even closer to the passive end of the scale—the general operating support we provide to New York City cultural institutions, based on an open application process, is one example.

The RBF:



Our grantmaking style is also a function of experience, lessons learned, and the evolution of our strategies. It is likely, for example, that our grantmaking with regard to our relatively new interest in Muslim-Western relations will move from somewhat passive in this early stage to more proactive as we gain additional experience. It is also important to note that we are very proactive after grants are approved. We often work in close partnership with our grantees, through intellectual engagement, convening, and helping to connect them with other donors or potential partners.

Our grantmaking style is also a function of experience, lessons learned, and the evolution of our strategies.

Implications

I believe that RBF's current grantmaking style is very well suited to our mission and programmatic goals. We do not impose one style on every program but rather fit the style to the specific strategies of each program in a manner that empowers program officers. This enables the Fund to attract and retain superb staff who achieve real impact in their work.

There are several very clear implications of our style, in particular, for our relationship with the grantee community. In several of our programs where we are pursuing very specific and narrowly defined strategies; we rarely fund unsolicited proposals. In these cases, most grants are the result of entrepreneurial work on the part of program officers

to identify partners they believe are especially well-suited to accomplish our stated goals and strategies—building close relationships with them, and helping them to develop their activities and their institutional capacity in multi-year and often long-term relationships. This means that unless we clearly communicate our approach, grant seekers, reading our guidelines and imagining a very good fit, will submit proposals with little chance of securing funding. This example highlights the need to improve the clarity of our communications so that the grantee community will know what we are seeking to do and how they may interact with us.

Due to resource limitations, all foundations find they must decline many more requests for funding than

they are able to support. Fairly and efficiently managing a high volume of "declinations" is a significant administrative responsibility, but it is essential to good grantee relations. In 2004, we approved 319 grants while we declined 1,972 funding requests and informally discouraged many more inquiries. Our staff is generally able, at considerable effort, to manage the formal declinations process efficiently and appropriately.

I am not as sure that we manage all other inquiries in as timely and as gracious a manner as we sincerely would like.

Institutional Profile

A second and related issue is the question of the RBF's institutional profile in the foundation community as defined by the characteristics and practices of grantmaking foundations vs. those of operating foundations. The current profile of the RBF, again by design, is a hybrid.

In broad terms, the RBF has three "core businesses" that are both distinct and interrelated. First and foremost, we manage philanthropic programs. We

also operate a conference facility at the Rockefeller family estate (“Pocantico”) and we manage John D. Rockefeller’s home on the estate as a museum.³

Our philanthropic programs are primarily conducted through grantmaking. But we also do a considerable amount of convening, at Pocantico and elsewhere, and we manage certain philanthropic projects in house, funded through our grants budgets. The most recent significant example has been the U.S. in the World project in which RBF staff have managed a very complex and intensive set of activities over nearly two years culminating with the publication of the very successful communicators’ handbook, *U.S. in the World: Talking Global Issues with Americans*.⁴

The RBF has also served as an institutional incubator, starting projects in-house and helping them to find permanent homes elsewhere or evolve into free-standing initiatives or organizations. An excellent recent example is The Climate Group, which was incubated in the RBF for several months before it was launched in April 2004 as an independent organization based in London. A new initiative of our Democratic Practice Program on “Reinventing Globalization” employs a mix of grantmaking, incubation, and in-house activity.

These current examples of operational philanthropic activities have numerous important precedents in RBF history. In its 1951–1953 three-year report, the RBF explicitly acknowledged that it would from time to time undertake operational projects. The report noted that “the trustees decided that the program of the fund should be expanded to include the support or possibly in some instances the direct operation of experimental or new undertakings in areas of special interest to the trustees, which fall generally into the broad fields of human relations, international relations, and development of human and natural resources.” This language clearly lays out the intention of the RBF to operate as a hybrid foundation, combining operational activities and grantmaking.

³ The only other foundation I know with a similar mix is the Doris Duke Charitable Trust, which has a conference facility at Duke Farms and an extraordinary collection of Islamic art at “Shangra La,” Doris Duke’s home in Hawaii.

⁴ See www.usintheworld.org

Perhaps the clearest historical example of the RBF functioning as an operating foundation was the Special Studies Project commissioned in-house by Nelson Rockefeller in 1956. Six panels of leading Americans, supported by staff work led by Henry Kissinger (then a little-known Harvard professor) and Nancy Hanks (who later founded the National Endowment for the Arts), worked for four years to “define the major problems and opportunities that would challenge the U.S.” in domestic and foreign policy over a 10 to 15 year period and to “develop a framework of concepts and principles on which national policies and decisions can be soundly based.” The project produced a series of pamphlets, which were ultimately compiled into a 480-page book, *Prospect for America*, published in 1961.

The success of *Prospect for America* inspired a subsequent project on the place of arts and culture in American life that produced a second volume, *The Performing Arts*, in 1965. In this report, the RBF sought to waken concern about the perilous state of the performing arts in the U.S. in the mid-1960s.

A decade later, the RBF organized and managed the Environmental Agenda Project, under the leadership of Gerald Barney. Barney chaired a task force of leading environmentalists and served as editor for *The Unfinished Agenda: The Citizen’s Policy Guide to Environmental Issues*, a book published in 1977.

More recently, following the end of the Cold War, the RBF initiated the “Project on World Security” to consider new concepts of “human security” for the post-Cold War era. Staffed by consultants working full-time for the RBF out of an office in Washington D.C., this project produced a number of publications, some of which continue to be of interest. It also informed the design of the new Peace and Security program we launched with the new overall program architecture in January 2003.

This institutional history confirms that the RBF has been an activist foundation for most, if not all, of its existence. We have consistently and purposefully maintained a flexible approach that has enabled us to respond to evolving challenges and opportunities with an appropriate and nearly always effective mix of

strategies. However, even when we have undertaken large in-house or operational projects, they remain the exception rather than the rule and they account for a modest share of our budget. The U.S. in the World project, for example, accounted for less than 20 percent of total expenditures in the Peace and Security program during 2003 and 2004.

Implications

I believe foundations must exercise caution when taking on activities that could be effectively managed by grantee organizations.

We should not usurp the role of the nonprofit sector and we should recognize that while competition between foundations and NGOs in the market place of ideas can stimulate creative thinking, in a constrained nonprofit economy, this kind of competition can also produce negative unintended consequences—weakening important nonprofit organizations and potentially even undermining the independence of the sector.

There are important financial implications as well. Generally, the more activities foundations like the RBF conduct in-house, the fewer dollars we have available for grants. As noted above, this may be exactly the right approach for the given circumstances, but as we undertake operational activities in place of grantmaking, we must be prepared to answer questions about why grantmaking at the RBF may account for a smaller share of our overall budget than at some other comparable foundations.

Conclusions

In general, for the reasons discussed above, I am quite comfortable with the current mix of grantmaking styles and hybrid profile of the RBF.

They serve our mission and programmatic goals well. But the risk inherent in our proactive approach to grantmaking is that we may miss an extraordinary opportunity simply because it came in “over the transom” from an organization unknown to us. There is an additional, reputational risk: that we may be perceived as arrogant, closed, and inflexible. And the results of the grantee surveys clearly indicate that we are not effectively describing and communicating our philosophy and approach to the grantee community. This causes confusion, unproductive grantee effort, disappointment, and frustration.

As we move forward in these efforts, we welcome continuous feedback from grant seekers, current grantees, our peers in the foundation community, and other interested observers.

Therefore, we are taking several steps that we hope will help reduce expectations and unproductive effort by grant seekers, decrease administrative burdens on our own over-stretched staff, and limit the risk of appearing—or being—arrogant in our relations with the grantee community. Our program guidelines have been revised to more precisely communicate our funding priorities, clearly indicate those programs where we are unlikely to fund unsolicited proposals, and to encourage grant seekers

to submit simple letters of inquiry for our review before going to the effort of drafting full proposals. We have strengthened internal procedures for tracking inquiries and proposals and to improve the timeliness of our communications, including speedy notice to applicants when we conclude that we are unable to support their proposal. We are also exploring the use of automated inquiry systems that could be available via the RBF Web site and that might very quickly advise a prospective grantee on the potential eligibility of a given funding request.

Although we will continue to manage select initiatives in-house, we will do so only when we are unable to

identify appropriate grantees to carry out the intended work, and when we conclude after careful deliberation that the RBF possesses the requisite skills and capacities to manage the project successfully. We are also examining the lessons that can be learned from our experience managing projects in-house to clarify the factors we should weigh when considering operational projects, including anticipating appropriate exit strategies.

We need to communicate more fully and effectively about operational projects as well. Since many of these efforts are ad hoc in nature and time-limited, we will use the RBF Web site to both describe our philosophy about why it is, from time to time, appropriate for the RBF to initiate projects managed in-house and to provide detailed information about specific operational projects we undertake.

The RBF is committed to excellence in all aspects of its work. First and foremost, we are striving to achieve significant impact in the fields and places in which we

make grants. But we are also pursuing excellence in philanthropic practices — our procedures for reviewing funding requests, our evaluation of lessons-learned, and the quality of our interactions with the grantee community. The surveys conducted for us by the Center for Effective Philanthropy have provided a useful snapshot of how well we are doing while highlighting some very important areas where we need to improve. As we move forward in these efforts, we welcome continuous feedback from grant seekers, current grantees, our peers in the foundation community, and other interested observers. We invite you to be our partners in striving to make the Rockefeller Brothers Fund a “center of philanthropic excellence.”



Stephen B. Heintz
President



About the Rockefeller Brothers Fund

The Rockefeller Brothers Fund was established in 1940 as a vehicle through which the five sons and daughter of John D. Rockefeller, Jr., could share a source of philanthropic advice and coordinate their charitable efforts to better effect. John D. Rockefeller, Jr., made a substantial gift to the Fund in 1951, enabling the RBF's endowment and program of grants to grow substantially. In 1960, the Fund received a major bequest from his estate. Together, these gifts constitute the original endowment of the foundation.



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.

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

On July 1, 1999, the Charles E. Culpeper Foundation of Stamford, Connecticut, merged with the RBF, bringing the Fund's total assets to approximately \$680,000,000. Shortly after the merger, the Fund initiated a strategic review process designed to systemically evaluate all of its programs in light of the opportunities before humanity—both global and local—at the dawn of the 21st century. This extensive and complex process led to the integration of some programs and the phasing out and scaling back of others. As part of this effort, the RBF's current program architecture (see page 22) came into effect on January 1, 2003. ■

RBF PROGRAM STATEMENT

The Rockefeller Brothers Fund promotes social change that contributes to a more just, sustainable, and peaceful world. Through its grantmaking, the Fund supports efforts to expand knowledge, clarify values and critical choices, nurture creative expression, and shape public policy. The Fund's programs are intended to develop leaders, strengthen institutions, engage citizens, build community, and foster partnerships that include government, business, and civil society. Respect for cultural diversity and ecological integrity pervades the Fund's activities.

As an institutional citizen of an interdependent world, the Fund is active globally, nationally, and locally in its home city of New York. Grant programs are organized around four themes: Democratic Practice; Sustainable Development; Peace and Security; and Human Advancement. The Fund recognizes that progress in each of these program areas is often interconnected with developments in the others. As a private foundation, the Fund strives to promote philanthropic excellence and to enhance the effectiveness of the nonprofit sector.

As specified in the guidelines for each grant program, the Fund supports activities in a variety of geographic contexts. It also has identified several specific locations on which to concentrate cross-programmatic attention. The Fund refers to these as "RBF pivotal places": subnational areas, nation-states, or cross-border regions that have special importance with regard to the Fund's substantive concerns and whose future will have disproportionate significance for the future of a surrounding region, an ecosystem, or the world. The Fund currently works in four pivotal places: New York City, South Africa, Serbia and Montenegro, and Southern China.

The Pocantico Conference Center of the Rockefeller Brothers Fund is located on the former estate of John D. Rockefeller, outside New York City, and was created when the Fund leased the area from the National Trust for Historic Preservation in 1991. The conference center provides a unique setting where the RBF and other nonprofit organizations and public sector institutions can bring together people of diverse backgrounds and perspectives to engage critical issues, reach new levels of understanding, and develop creative solutions to pressing problems.

In the years since its founding in 1940, the Fund has developed a distinctive style of grantmaking that is reflected in the following characteristics:

■ **Long View.** Grantmaking is primarily concerned with fundamental problems and is designed to contribute to the achievement of long-term goals and to make a lasting impact.

■ **Commitment.** Extended commitments are frequently made to specific issues and geographic regions and even to particular grantees.

■ **Synergy.** Rather than considering opportunities on a stand-alone basis, the Fund looks for connections among the activities it supports and the themes it pursues, both within and across program areas and in specific geographic locations.

■ **Initiative.** The Fund initiates or participates in the development of many of the projects that it supports.

■ **Engagement.** In addition to providing financial support, the Fund often works closely with grantee organizations to help strengthen their capacity and advance their work.

■ **Collaboration.** The Fund actively seeks opportunities to collaborate with other funders.

■ **Convening.** The Fund devotes time and resources, including the use of its Pocantico Conference Center, to convening groups of diverse stakeholders and encouraging collaboration among government agencies, corporations, and nongovernmental organizations.

The goals and strategies in each of our programs are implemented through a variety of approaches to grantmaking. In some programs, as is noted in the guidelines, the Fund proactively identifies grantee partners and thus has limited ability to respond to unsolicited proposals. Grantseekers are encouraged to study the guidelines closely and to consult the list of recent grants on the Fund's Web site, www.rbf.org, for specific examples of the ways in which the Fund is implementing these guidelines. Prospective grantees are also urged to consult the section "Applying for a Grant" for specific guidance on the application process.

RBF Program Architecture—2004

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

Democratic Practice	Sustainable Development	Peace and Security	Culpeper Human Advancement
WHAT	WHAT	WHAT	WHAT
<ul style="list-style-type: none">• Civic Engagement	<ul style="list-style-type: none">• Forest Ecosystems	<ul style="list-style-type: none">• Responsible U.S. Global Engagement	<ul style="list-style-type: none">• Arts and Culture
<ul style="list-style-type: none">• Effective Governance	<ul style="list-style-type: none">• Marine Ecosystems	<ul style="list-style-type: none">• Dialogue with Islam	<ul style="list-style-type: none">• Education
<ul style="list-style-type: none">• Transparency and Accountability	<ul style="list-style-type: none">• Global Warming		<ul style="list-style-type: none">• Leadership
<ul style="list-style-type: none">• Access and Inclusion	<ul style="list-style-type: none">• Sustainable Communities		<ul style="list-style-type: none">• Health
Pocantico Conference Center (Conferences and Meetings • Public Visitation • Stewardship of Pocantico Historic Area)			
WHERE	WHERE	WHERE	WHERE
<ul style="list-style-type: none">• United States	<ul style="list-style-type: none">• United States and British Columbia	<ul style="list-style-type: none">• United States	<ul style="list-style-type: none">• United States
	<ul style="list-style-type: none">• East Asia		<ul style="list-style-type: none">• Asia (Magsaysay Awards and Asian Cultural Council)
<ul style="list-style-type: none">• Global	<ul style="list-style-type: none">• Global	<ul style="list-style-type: none">• Global	
RBF Pivotal Places New York City, South Africa, Serbia and Montenegro, and Southern China			

Overview of RBF Programs

Excluding expenditures for investment management and taxes, the Fund's philanthropic spending in 2004 totaled \$33,486,000. Core grantmaking operations accounted for 89.5 percent of total spending.

The remaining 10.5 percent was devoted to activities at the historic Pocantico property, which the RBF manages. A breakdown appears in the accompanying chart.

Total Program Spending, 2004* \$33,486,000

Grantmaking Operations	\$29,975,000
<i>Share of Total Spending</i>	<i>89.5%</i>
Grants	\$22,939,000
Program-Related Expenditures**	\$637,000
Magsaysay Awards + PAP***	\$408,000
Direct Charitable Activity (DCA)	\$712,000
Administration	\$5,279,000

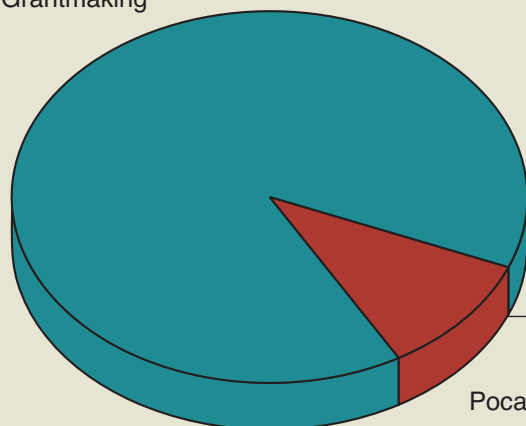
Pocantico Operations	\$3,511,000
<i>Share of Total Spending</i>	<i>10.5%</i>
Core Operations	\$3,195,000
Conference Expenditures	\$316,000

* Program spending = all expenditures that count toward satisfying the minimum distribution requirement

** Expenditures that are funded from grant budgets but are not grants

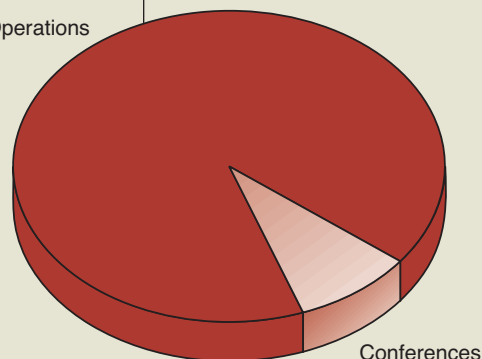
*** PAP – Program for Asian Projects

Grantmaking

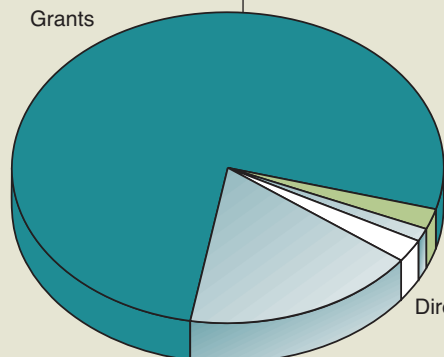


Pocantico

Core Operations



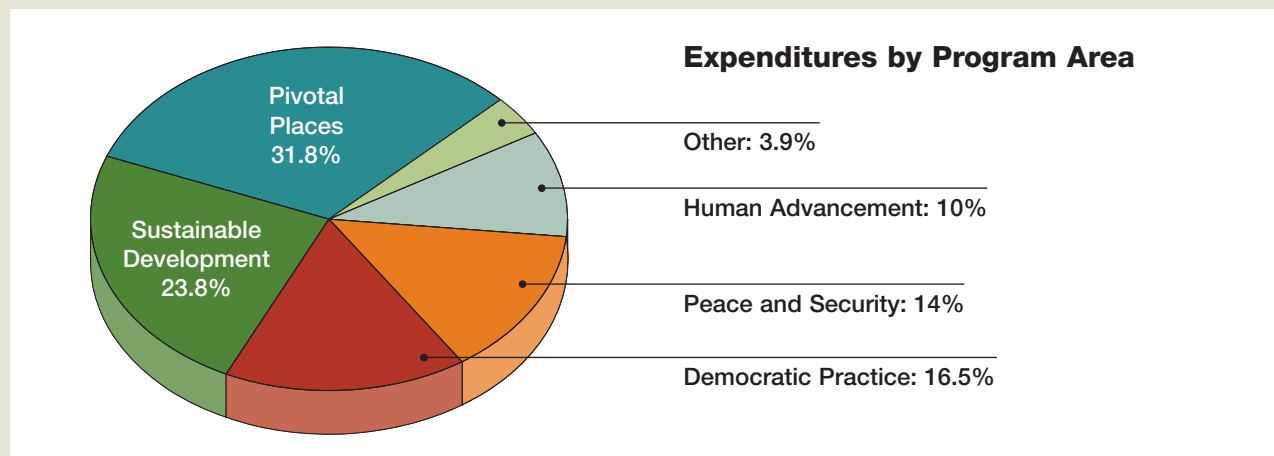
Grants



Program-Related**
Magsaysay/PAP***
Direct Charitable Activities

Administration

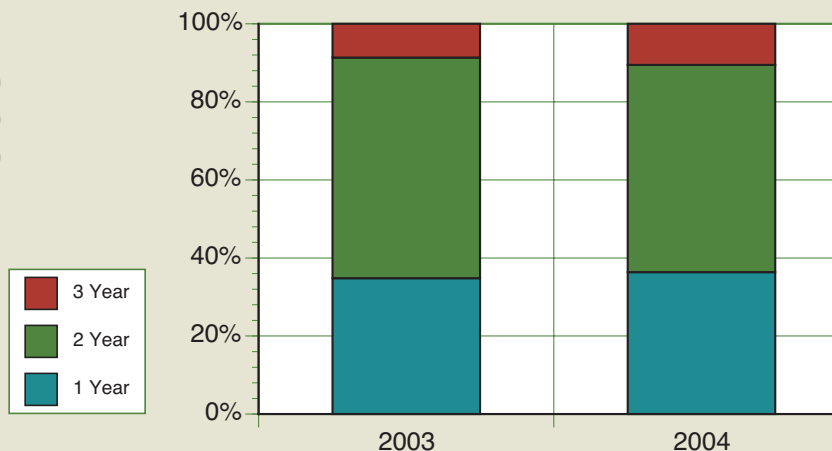
2004 Grantmaking



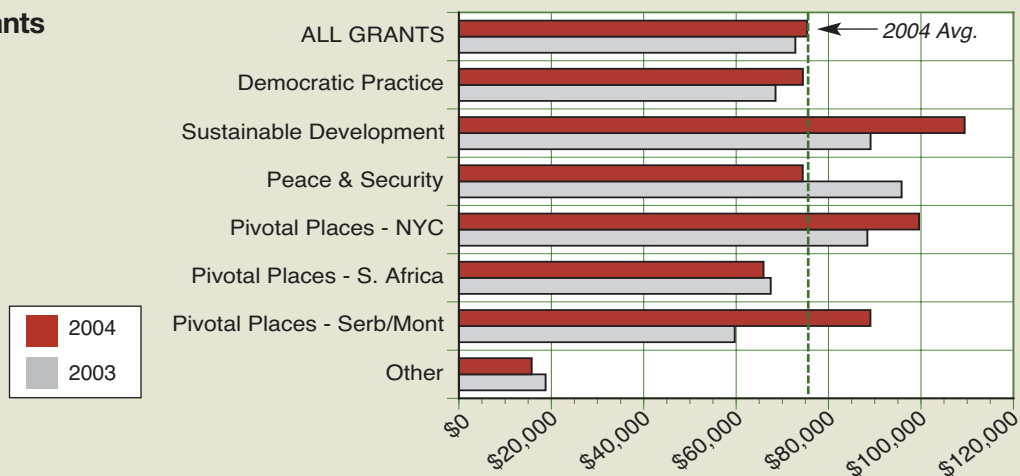
Duration of Grants

One-Year Term	\$8,512,000
Two-Year Term	\$12,439,000
Three-Year Term	\$2,463,000

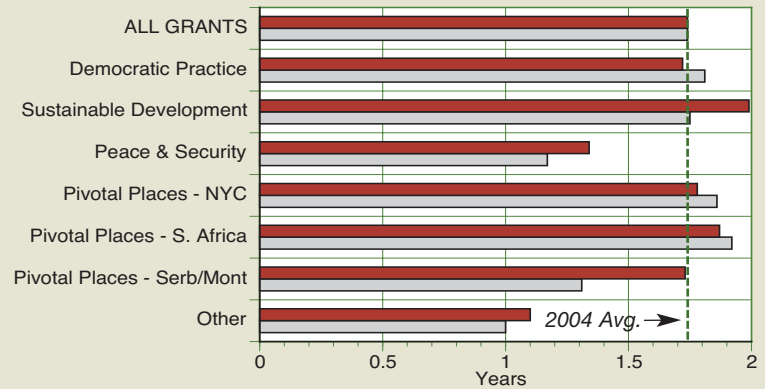
(excludes Fellows grants and grant to Goldman Philanthropic Partnerships)



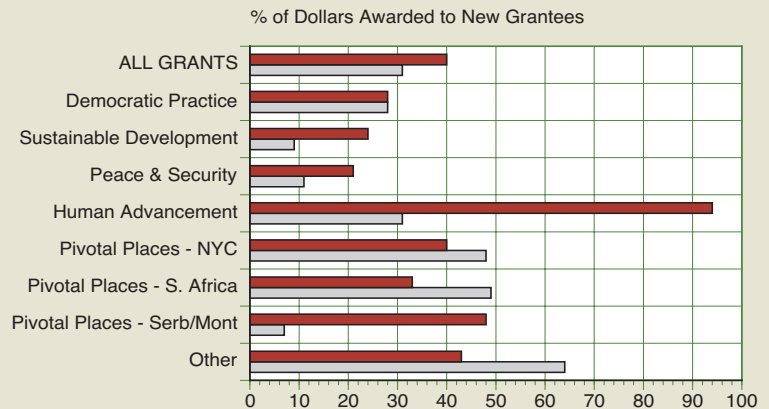
Average Size of Grants



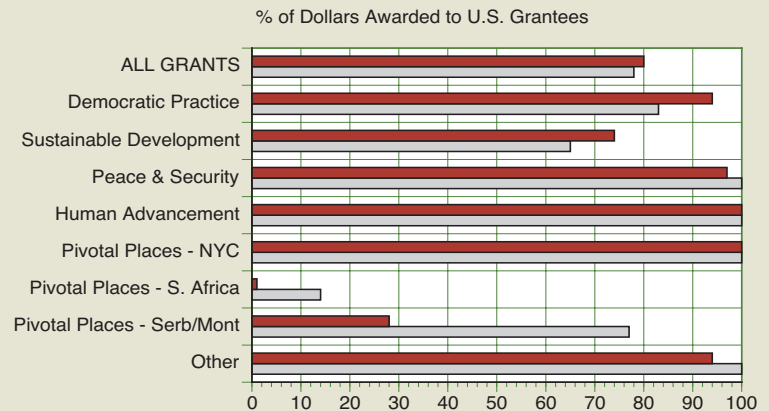
Average Term of Grant



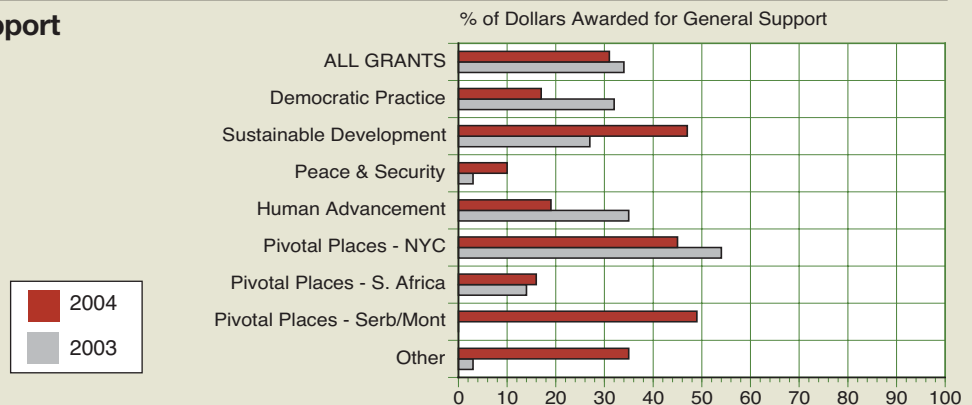
New vs. Past Grantees



U.S. vs. Non-U.S. Grantees

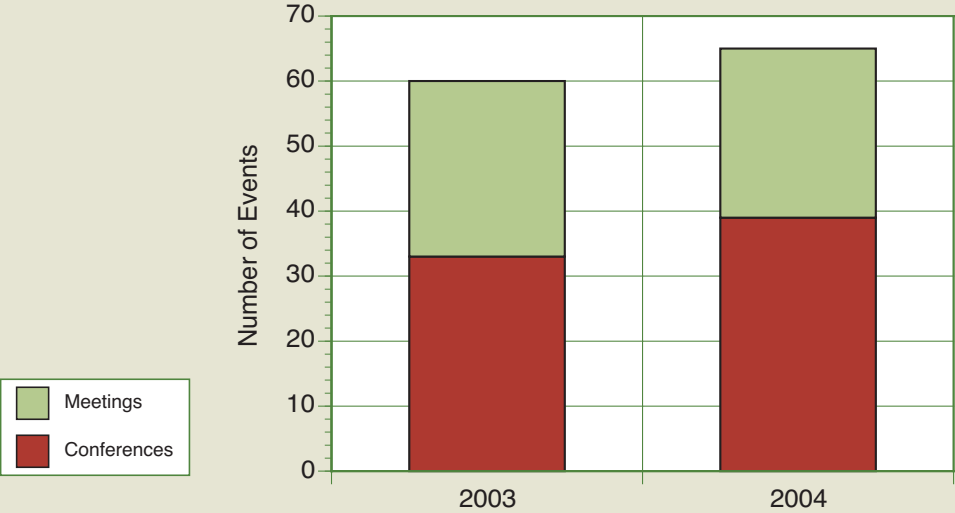


General vs. Program Support

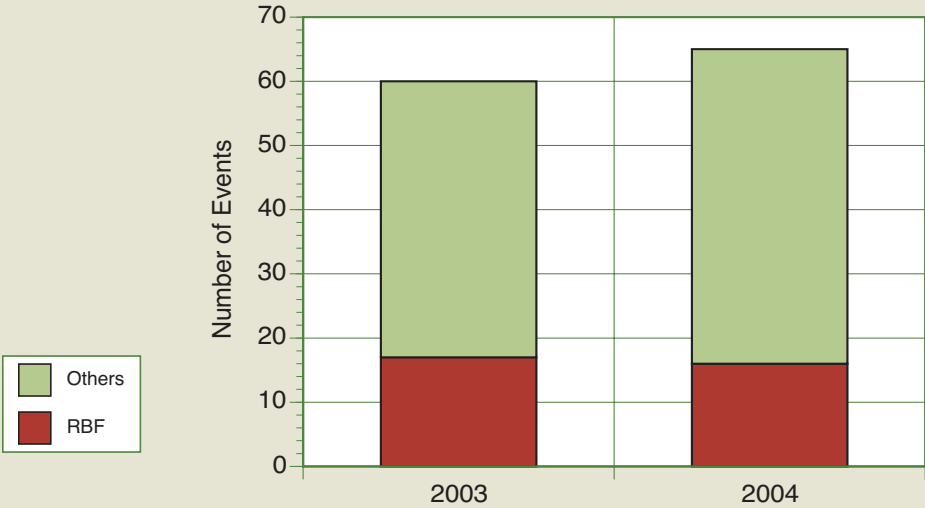


2004 Pocantico Programs

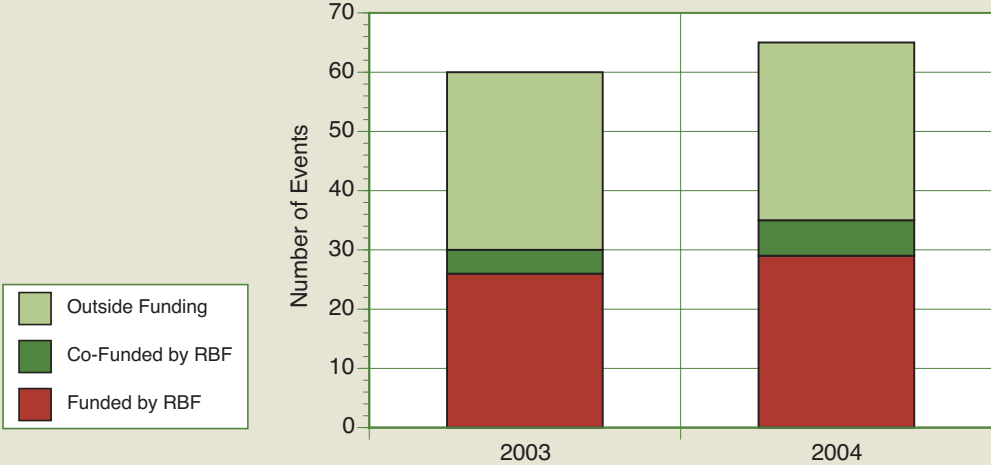
Number of Events



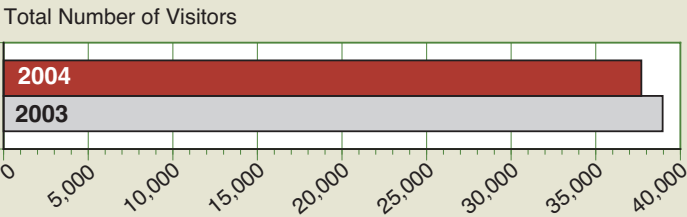
Number of Events by Sponsor/Organizer



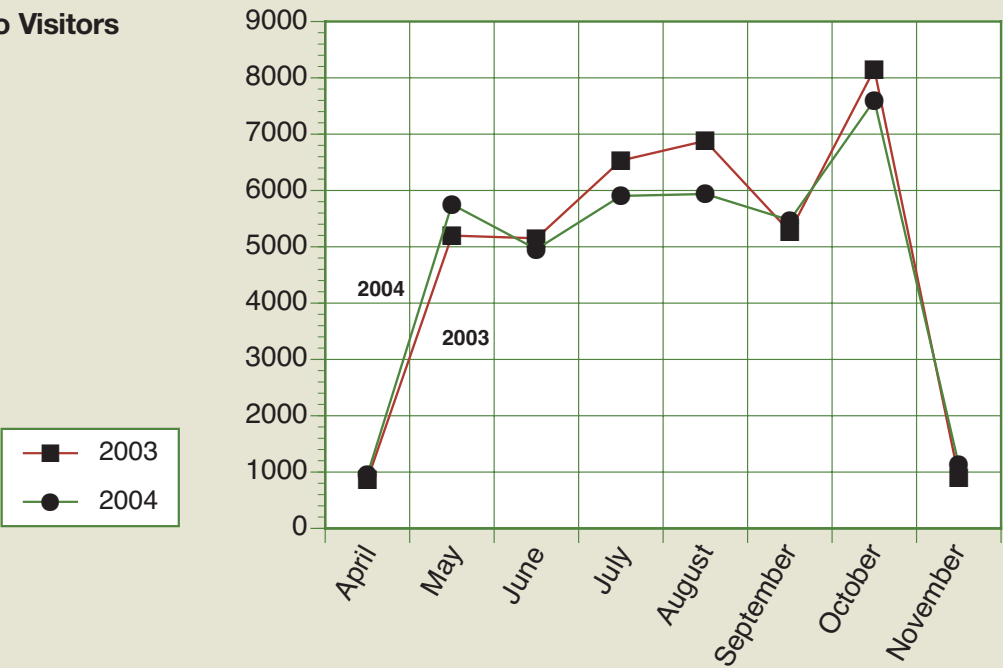
Number of Events by Funding Source



Public Tours of Pocantico
(Season began April 24 and ended November 7)



**Number of Pocantico Visitors
by Month**



For further detail on the Fund’s grantmaking and Pocantico programs, please see the “Statistical Review of RBF Operations” at www.rbf.org.



A crowd of more than 5,000 people listen to a speech during the World Social Forum 29 January 2005 in Porto Alegre, southern Brazil.

Democratic Practice

For democracy to flourish and deliver on its promises—including political participation, protection of human rights, access to justice, a good education, an improved quality of life, a healthy environment, and personal security—citizens must become more engaged, empowered, and assertive, and institutions of governance must become more inclusive, responsive, transparent, and accountable. • Paradoxically, while the past two decades have revealed a dramatic increase in both the number of countries with democratic systems of government and the number of countries on the democratic path, the frequent failure of new and established democracies alike to deliver on democracy’s promises has undermined commitment to democratic practices around the world. In addition, as globalization progresses, the decisions of transnational institutions, such as multilateral organizations, multinational corporations, international financial institutions, and global civil society groups, take on increased significance. Yet these decisions are often made with inadequate inclusiveness, accountability, or transparency; and they may, in fact, preempt or distort legitimate national and local decision-making processes.

The health of democracy in the United States is one focus of the Fund’s Democratic Practice program. The United States faces a number of democratic deficits: a decline in many forms of traditional civic engagement, including youth civic engagement; reduced participation in the formal institutions of democracy, including but not limited to voting; and declining trust in all institutions, especially institutions of government. At the same time, American society is becoming increasingly polarized. The gap between the rich and the poor is widening and residential patterns reinforce separation along economic lines. In U.S. politics, there are fewer examples of bipartisanship and compromise. In the media, confrontation often passes for political dialogue, and the concentration in media ownership reduces the number of public voices and crowds out nuanced views and a middle ground. Theoretically, new technologies allow for many more channels of conversation through cable television and the Internet. Yet, in practice, they also have the potential

to spread misinformation and make it easier to find and listen only to the voices with which one agrees. Meanwhile, the negative impacts of these democratic deficits and social divisions are particularly acute among young people, especially low-income youth and youth of color.

The second focus of the Fund’s Democratic Practice program is on global governance. Globalization—the dramatic increase in interdependence across national boundaries on social, cultural, political, and economic levels—is the defining worldwide process of the 21st century. Global governance is the attempt to bring standards and regulations to issues that transcend the authority of individual nations, such as the rules that shape and govern the many dimensions of globalization. Global governance can be created by formal agreements among nations, by consensus decisions among intergovernmental organizations, and by voluntary agreements and partnerships among businesses, nongovernmental organizations,

and other civil society groups. Democratic deficits are also apparent in global governance. Democracy is expressed primarily at national, regional, and local levels within nation states. Yet many of the issues driven by globalization transcend those states. The expression of democracy in global governance is hindered by the weakened state of the United Nations and the growing influence of international trade and financial institutions where transparency and inclusive participation are more limited. The global spread of multinational corporations further challenges the ability of nations to protect their common wealth and their citizens from the negative consequences of irresponsible corporate behavior.

In order to address these challenges, democracy must be widened and deepened locally and globally. The Fund's Democratic Practice program focuses on four goals, two of which are pursued in the United States, and two of which focus on global governance.

In addition, the Fund may pursue one or more of these program themes in a limited number of RBF "pivotal places," based on a careful assessment of local needs and priorities. Recognizing that there is no single model of effective democratic practice, the Fund emphasizes flexibility and adaptability to different contexts in these pivotal places.

■ GOAL: Encouraging Civic Engagement in the U.S.

The Fund seeks to empower individuals and encourage civil society organizations, including philanthropy, to advance constructive social change through participation in democratic decision making and social movements through the following strategies:

Strategies

- Identifying and supporting innovative and experimental forms of civic participation, especially those that encourage sustained engagement.

Note: While there are many examples across the United States of programs and projects that encourage civic engagement and good democratic practice, due to a limited budget the Fund concentrates on new approaches to civic engagement that have the potential to be effective in a wide variety of places and situations.

In general, the Fund does not support traditional community organizing or single events that are not part of a strategy for sustained civic engagement.

- Supporting a limited number of youth-led organizations in which youth define their concerns and connect them to public policy making, develop and harness their own approaches to pursue policy change, and form a sophisticated and stable constituency. Special attention will be given to organizations led by low-income youth and youth of color.
- Strengthening the capacity of the nonprofit sector to foster civic engagement and democratic practice, with an emphasis on encouraging and assisting a broad range of civil society organizations to move toward a more explicit engagement with public policy related to constructive social change.

■ GOAL: Fostering Effective Governance in the U.S.

To foster effective governance—the use of governing authority to promote the will of the governed in a fair, accountable, responsive, and efficient manner—the RBF works to strengthen the practices and institutions of democratic governance, including a free, principled, and vigorous press, through the following strategies:

Strategies

- Supporting innovative and experimental forms of governance, public decision making, and public administration that enhance the effectiveness, transparency, and responsiveness of the public sector. In this context, the Fund is also interested in efforts that foster recognition of the positive role of government in solving problems and providing services and public infrastructure.
- Promoting experimental approaches to the financing of political campaigns, with a special emphasis on public financing systems at state and local levels.
- Exploring strategies related to the role of the media in democracy, with an emphasis on strengthening the capacity of the media to foster an informed citizenry that demands increased transparency and accountability in governance.

■ GOAL: Increasing Access to, and Participation in, Global Governance

The RBF aims to improve democratic practice in global governance by expanding participation and effective representation in the political and policymaking processes of globalization through the following strategies:

Strategies

- Broadening the inclusiveness of the leading organizations of global governance by increasing the involvement of those communities, nongovernmental organizations, and governments that have a legitimate interest in their decision making.
- Enhancing the capacity of individuals, nongovernmental organizations, and governments to participate effectively in the decision-making processes linked to the governance of the key processes of globalization, especially those linked to issues of trade and development policy. The Fund is particularly interested to ensure that voices representing developing countries can make themselves heard in these fora.
- Strengthening the ability of civil society to develop voluntary, transnational mechanisms that encourage and reward improved global governance practices.

■ GOAL: Ensuring Transparency and Accountability in Global Governance

The RBF seeks to increase transparency and accountability in decision making processes of global governance that affect the quality of people's lives and the integrity of the natural environment through the following strategies:

Strategies

- Advancing efforts to conceptualize and implement a vision for democratic decision making in the leading fields and institutions of global governance.

- Encouraging reforms within specific institutions of global governance.
- Promoting open and candid exchange of information and perspectives among the growing number of actors who participate in international development policy, with specific attention to broadening the range of policies available to developing and transition countries.

Note: The global portion of the Democratic Practice program focuses its limited resources on a group of partnerships that are being developed by the RBF to identify and promote positive changes in global governance that may bring about a pattern of globalization that is more transparent, more equitable, and more sustainable. Resources do not normally permit support for one-time events or for activities that do not complement the work of the existing partnerships.

The program officer who carries responsibility for the Democratic Practice program (United States) is Benjamin R. Shute, Jr. A portion of the responsibilities of associate program officer Grant C. Garrison is devoted to this program as well. The program officer who carries responsibility for the Democratic Practice program (Global) is Michael E. Conroy. Please refer to the "Applying for a Grant" section for specific information regarding the Fund's application process.

2004 Democratic Practice Grants

Encouraging Civic Engagement in the United States

ALLIANCE FOR CHILDREN AND FAMILIES, INC.

Milwaukee, WI \$180,000 over 3 years
www.alliance1.org
 For its program, Building Community Voices.

AMERICAN PROSPECT, INC.

Boston, MA \$25,000
www.prospect.org
 Toward a special issue of *The American Prospect* on *Participatory Inequality*.

DEMOS: A NETWORK FOR IDEAS & ACTION

New York, NY \$80,000 over 2 years
www.demos-usa.org
 For its Building Movement project.

E-THEPEOPLE

New York, NY \$50,000
www.e-thepeople.org
 Toward its organizational restructuring and a research project on online deliberation.

GREATER WASHINGTON EDUCATIONAL TELECOMMUNICATIONS ASSOCIATION, INC.

Arlington, VA \$60,000
www.weta.org
 To plan the next phases of its By the People: America in the World project.

\$25,000
 Toward the costs of a conference to consolidate and extend partnerships for local civic engagement that were developed through the By the People: America in the World project.

HARVARD UNIVERSITY:

JOHN F. KENNEDY SCHOOL OF GOVERNMENT

Cambridge, MA \$100,000 over 2 years
www.harvard.edu

For the John F. Kennedy School of Government's Saguaro Seminar: Civic Engagement in America project on diversity, immigration, inequality, and social capital.

JEWISH FUND FOR JUSTICE, INC.

New York, NY \$100,000
www.jffjustice.org
 For its Funders Collaborative on Youth Organizing.

JUST DEMOCRACY

Cambridge, MA \$10,000
www.justdemocracy.org
 For general support.

LEAGUE OF YOUNG VOTERS EDUCATION FUND

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

LOCAL INITIATIVE SUPPORT TRAINING AND EDUCATION NETWORK

Washington, D.C. \$35,000
www.lisn.org
 For its project, Building Leadership, Organizing Communities.

MINNESOTA PUBLIC RADIO

Saint Paul, MN \$56,000
www.mpr.org
 For the 2005 Public Radio Collaboration.

NATIONAL BLACK UNITED FUND, INC.

Newark, NJ \$25,000
www.nbuf.org
 For its project, the National Hip-Hop Political Convention.

NATIONAL COUNCIL OF NONPROFIT ASSOCIATIONS

Washington, D.C. \$225,000 over 3 years
www.ncna.org
 For its State Policy Action Resource Center.

PROTEUS FUND, INC.

Amherst, MA \$2,250
www.proteusfund.org
 Toward its Funders' Committee on Civic Participation.

PUBLIC CONVERSATIONS PROJECT, INC.

Watertown, MA \$10,000
www.publicconversations.org
 To enable the organization to conduct electronic outreach around Talking with the Enemy, a series designed to encourage conversation across enduring political difference.

REGIS UNIVERSITY

Denver, CO \$10,000
www.regis.edu
 For scholarships for young people to attend the Second National Conference on Dialogue and Deliberation.

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

New York, NY \$50,000 over 2 years
www.brennancenter.org
 For its Dobbins Litigation and Public Education project.

YOUTH EMPOWERMENT CENTER

Oakland, CA \$35,000
www.youthec.org

For the Building Youth Power project of the Center's School of Unity and Liberation.

YOUTHACTION

Albuquerque, NM \$30,000
www.youthaction.net

For general support.

Fostering Effective Governance in the United States

AFL-CIO WORKING FOR AMERICA INSTITUTE, THE

Washington, D.C. \$50,000
www.workingforamerica.org

For the first session of its Labor-Public Official-Business Coalition to Promote Public Services.

AMERICAN PROSPECT, INC.

Boston, MA \$10,000
www.prospect.org

For Democracy in America, a special issue of *The American Prospect* that will assess the 2004 election and propose an agenda for fundamental reform of the American system of voting.

CENTER FOR PUBLIC INTEGRITY

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

For general support.

COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF

New York, NY \$75,000
www.columbia.edu

For the Campaign Desk project of the Columbia School of Journalism's *Columbia Journalism Review*.

COUNCIL FOR EXCELLENCE IN GOVERNMENT

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

For the development of a communications strategy to restore public understanding and support for the public sector.

DEMOS: A NETWORK FOR IDEAS & ACTION

New York, NY \$225,000 over 3 years
www.demos-usa.org

For its State Governance for the Future program.

FREE PRESS

Northampton, MA \$50,000
www.freepress.net

For its 2005 National Conference on Media Reform.

NATIONAL INSTITUTE ON MONEY IN STATE POLITICS

Helena, MT \$80,000 over 2 years
www.followthemoney.org

For general support.

NATIONAL PRIORITIES PROJECT, INC.

Northampton, MA \$150,000 over 2 years
www.nationalpriorities.org

For a planning and pilot project to incorporate local-level information into its database.

OQUIRRH INSTITUTE

Salt Lake City, UT \$6,500
www.oquirrhinstitute.org

To support the governance and policy elements of the upcoming reunion of the Council of State Planning Agencies that will advance the states as key innovators and key developers of solutions to the nation's critical domestic issues and challenges.

POLICY CONSENSUS INITIATIVE, INC.

Portland, OR \$5,000
www.policyconsensus.org

For the preparation of a background paper on innovation in state governance.

PROTEUS FUND, INC.

Amherst, MA \$120,000 over 2 years
www.proteusfund.org

For its project, the Piper Fund.

PUBLIC CAMPAIGN

Washington, D.C. \$120,000 over 2 years
www.publiccampaign.org

For general support.

SEARCH FOR COMMON GROUND

Washington, D.C. \$25,000
www.sfcg.org

For its National Consensus Initiative.

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

New York, NY \$20,000
www.brennancenter.org

For publication of the report, *The New York State Legislative Process: An Evaluation and Blueprint for Reform*.

Increasing Access to, and Participation in, Global Governance

BRAZILIAN INSTITUTE FOR SOCIAL AND ECONOMIC ANALYSIS

Rio de Janeiro, Brazil \$50,000
www.ibase.br

To the 2005 World Social Forum in Porto Alegre, Brazil.

FERN FOUNDATION

Moreton-in-Marsh, \$175,000 over 2 years
 United Kingdom
www.fern.org

Toward the development of an Ethical Certification and Labeling Space.

FORUM ON DEMOCRACY AND TRADE

Brooklyn, NY \$150,000 over 2 years
www.forumdemocracy.org
 For general support.

INSTITUTE FOR AGRICULTURE AND TRADE POLICY

Minneapolis, MN \$150,000 over 2 years
www.iatp.org
 For its Trade Information project.

LONDON SCHOOL OF ECONOMICS AND POLITICAL SCIENCE

London, United Kingdom \$25,000
www.lse.ac.uk

For a conference of its Centre for the Study of Global Governance.

PACIFIC INSTITUTE FOR STUDIES IN DEVELOPMENT, ENVIRONMENT, AND SECURITY

Oakland, CA \$200,000 over 2 years
www.pacinst.org
 For its work on international standard setting.

Ensuring Transparency and Accountability in Global Governance

ACTIONAID USA

Washington, D.C. \$50,000
www.actionaidusa.org
 For general support.

ASPEN INSTITUTE, INC.

Washington, D.C. \$200,000 over 2 years
www.aspeninstitute.org
 For its project, Realizing Rights: the Ethical Globalization Initiative.

BANK INFORMATION CENTER

Washington, D.C. \$15,000
www.bicusa.org

For its project to develop a comparative analysis of the transparency standards of the International Financial Institutions.

CARNEGIE COUNCIL ON ETHICS AND INTERNATIONAL AFFAIRS

New York, NY \$150,000
www.cceia.org

To explore and evaluate new forms for identifying, catalyzing, and disseminating positive alternatives for critical issues of contemporary globalization and global governance.

\$40,000
 For Web site development, editorial assistance, and additional communications services directly linked to the further development of the Positive Alternatives Initiative.

\$50,000
 For its Global Policy Innovations project.

\$300,000
 For its Global Policy Initiatives project.

COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF

New York, NY \$50,000
www.columbia.edu
 For its Initiative for Policy Dialogue.

GLOBAL FAIRNESS INITIATIVE

Washington, D.C. \$50,000
www.globalfairness.org
 For its work with the Carnegie Council's Global Policy Initiatives Project.

INSTITUTE FOR AGRICULTURE AND TRADE POLICY

Minneapolis, MN \$50,000
www.iatp.org
 For its work on international standard setting.

INSTITUTE FOR GOVERNANCE AND SUSTAINABLE DEVELOPMENT, INC.

Washington, D.C. \$25,000
www.gsdprogram.org
 For general support.

INSTITUTE FOR POLICY STUDIES

Washington, D.C. \$17,500
www.ips-dc.org
 Toward the development of a new research agenda on outsourcing based on collaboration between U.S. and Indian researchers.

INSTITUTE FOR PUBLIC ACCURACY

San Francisco, CA \$25,000
www.accuracy.org

For its media work on positive alternatives to current models of global governance.

PUBLIC CITIZEN FOUNDATION, INC.

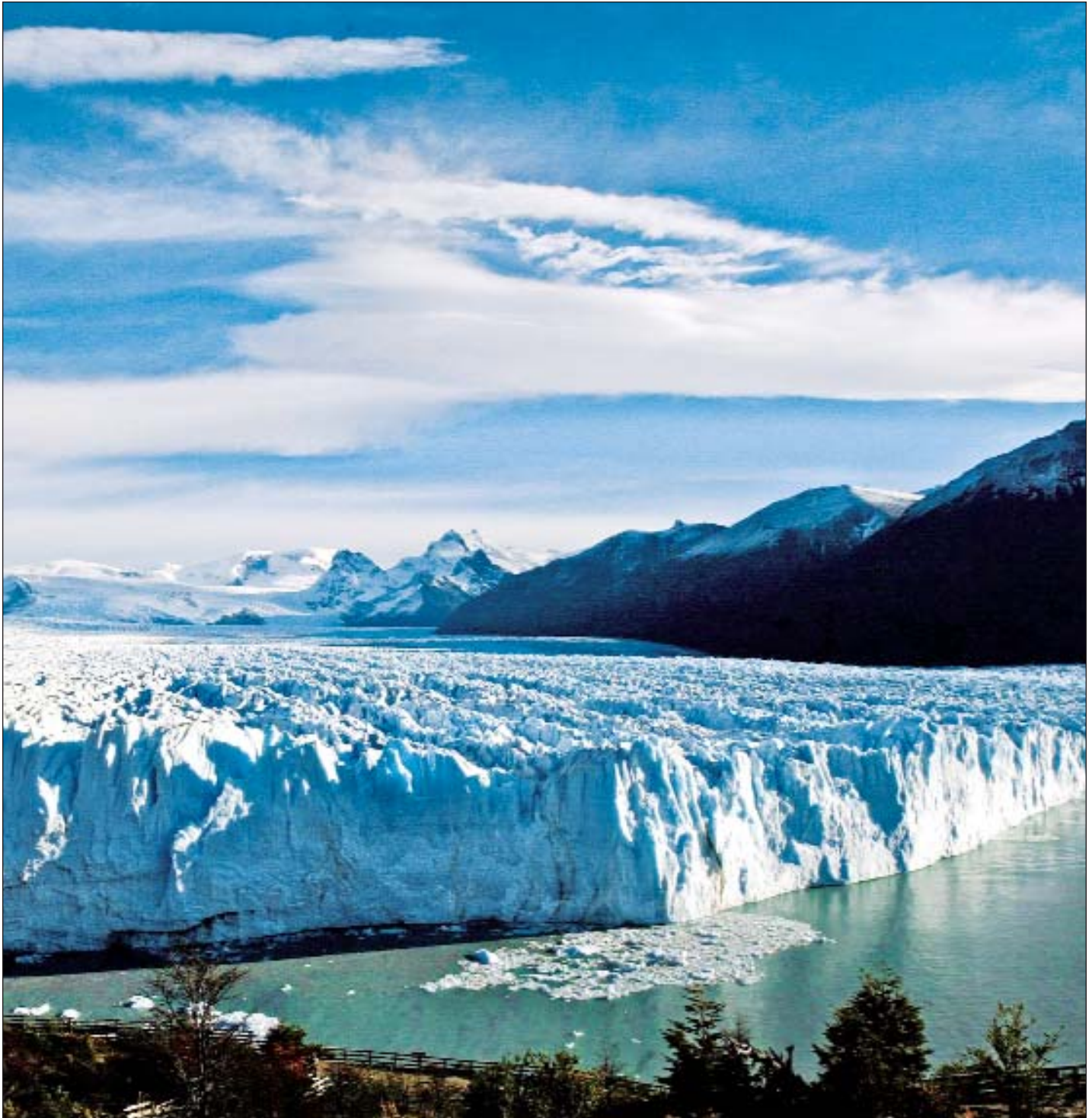
Washington, D.C. \$50,000
www.tradewatch.org

For its Global Trade Watch initiative.

ROCKEFELLER FAMILY FUND

New York, NY \$60,000 over 2 years
www.rffund.org

For the Funders Network on Trade & Globalization, a project of the RFF's Environmental Grantmakers Association.



A view of the glacier Perito in Patagonia, Argentina. The front wall of the glacier started to crack in March 2004. Global warming, caused by the emission of carbon dioxide and other greenhouse gases, is contributing to rapidly melting ice around the planet.

Sustainable Development

Human activity is causing the depletion of essential resources, global warming, rapid loss of biodiversity, and accelerating degradation of Earth's life support systems. These developments threaten the livelihoods, health, and security of people in all nations and cultures in addition to the well-being of the greater community of life. The Rockefeller Brothers Fund's sustainable development grantmaking endeavors to address these challenges by supporting environmental stewardship that is ecologically based, economically sound, socially just, culturally appropriate, and consistent with intergenerational equity. The Fund encourages government, business, and civil society to work collaboratively on environmental conservation and to make it an integral part of all development planning and activity. Recognizing the global nature of many environmental problems, the Fund also promotes international cooperation in addressing these challenges. • Some of the Fund's sustainable development strategies are pursued at the global level, while others are pursued primarily in North America. The Russian Far East is the focus of a modest program of grantmaking. In addition, sustainable development is a theme that may be identified for attention in one or more of the Fund's "pivotal places." In all regions where the RBF is engaged in sustainable development grantmaking, it monitors the social and environmental effects of development programs and fiscal policies that are associated with global economic integration and seeks to integrate activities across geographic areas to promote maximum impact.

■ GOAL: Combating Global Warming

In the United States and globally, the Fund supports efforts to combat global warming and seeks to promote international cooperation on this issue through the following strategies:

Strategies

- Advancing cost-effective energy efficiency and renewable energy-based approaches to reducing greenhouse gas emissions.
- Building public and policymaker understanding of the threat of global warming and support for a range of actions to address this problem.
- Supporting efforts to strengthen and advance coordinated international action and policy, which are particularly critical to the mitigation of global warming.

■ **GOAL: Protecting Ecosystems and Conserving Biodiversity**

The Fund seeks to conserve terrestrial and marine biodiversity by protecting and restoring ecosystems and by fostering sustainable communities that pursue locally appropriate development plans. The Fund promotes this goal through the following strategies:

Strategies

- Supporting the conservation and sustainable use of remaining intact blocks of coastal temperate rain forest lands, especially in British Columbia.
- Promoting sustainable forest management practices that maintain healthy forest ecosystems and protect communities that are culturally and economically dependent on them throughout the world.
- Supporting the reform of unsustainable fishery management practices in the United States and British Columbia.
- Supporting efforts to protect Pacific salmon, a “keynote species,” by encouraging terrestrial and marine conservation programs that link the health of open ocean ecosystems to that of forest watersheds in the Russian Far East.

Note: Given limited funding and the very focused nature of our Sustainable Development goals and strategies, the RBF actively works to identify grantees in the field and is therefore only rarely able to support unsolicited proposals.

The program officer who carries responsibility for the Sustainable Development program is Michael Northrop. Please refer to the “Applying for a Grant” section for specific information regarding the Fund’s application process.

2004 Sustainable Development Grants

Combating Global Warming

AMERICAN COUNCIL ON RENEWABLE ENERGY

Washington, D.C. \$150,00 over 2 years
www.acore.org
For general support.

BODY SHOP FOUNDATION, LTD.

West Sussex, United Kingdom \$22,000
www.the-body-shop.com
For a special edition of the *New Academy Review* on climate change.

BREAKTHROUGH TECHNOLOGIES INSTITUTE, INC.

Washington, D.C. \$5,000
www.fuelcells.org
For its work on an insurance industry climate risk disclosure campaign.

CENTER FOR AMERICAN PROGRESS

Washington, D.C. \$5,000
www.americanprogress.org
To support the creation of a high-level International Taskforce on Climate Change.

CENTER FOR CLEAN AIR POLICY

Washington, D.C. \$150,000 over 2 years
www.ccap.org
For its work to reduce greenhouse gas emissions.

CENTER FOR RESOURCE SOLUTIONS

San Francisco, CA \$20,000
www.ipsep.org
For its work to develop a regional greenhouse gas emissions trading program for the northeastern U.S.

CERES, INC

Boston, MA \$100,000 over 2 years
www.ceres.org
For its work with institutional investors to advocate for greenhouse gas reductions.

CIVIL SOCIETY INSTITUTE, INC.

Newton Centre, MA \$25,000
www.civilsocietyinstitute.org
For its support for litigation to force utilities to reduce greenhouse gas emissions.

CLEAN ENERGY GROUP

Montpelier, VT \$200,000 over 2 years
www.cleanenergygroup.org
For general support.

CLIMATE CHANGE ORGANISATION, THE

Weybridge, United Kingdom \$750,000 over 3 years
www.theclimategroup.org
 For general support.

CLIMATE SOLUTIONS

Olympia, WA \$50,000
www.climatesolutions.org
 For a project to encourage West Coast states to develop a regional greenhouse gas reduction action plan.

COMMONWEALTH FOUNDATION, INC.

Cambridge, MA \$50,000
www.comw.org
 For its project, The Massachusetts Climate Action Network.

ENTERPRISING ENVIRONMENTAL SOLUTIONS, INC.

Pittsburgh, PA \$225,000 over 2 years
www.eesi21.org
 For its efforts to assist U.S. states develop greenhouse gas reduction plans.

ENVIRONMENTAL MEDIA SERVICES

Washington, D.C. \$150,000 over 2 years
www.ems.org
 For its media work related to climate change issues.

GREATER LONDON AUTHORITY

London, United Kingdom \$100,000 over 2 years
www.london.gov.uk
 For the development of a climate change agency for London.

GREEN HOUSE NETWORK

Lake Oswego, OR \$25,000 over 2 years
www.greenhousenet.org
 For general support.

HUMAN NATURE

Petrolia, CA \$20,000
 For efforts to reach a wider audience with the theatrical production, *What's Funny About Climate Change?*

INSTITUTE FOR POLICY STUDIES

Washington, D.C. \$10,000
www.ips-dc.org
 For a study on renewable energy in the state of Maryland to be undertaken by the Institute's Chesapeake Climate Action Center.
 \$7,500
 For its participation in a campaign to encourage the World Bank to adopt the recommendations of the Bank's Extractive Industries Review.

NORTHEAST STATES CENTER FOR A CLEAN AIR FUTURE

Boston, MA \$50,000
www.nescaf.org
 For its work to develop a regional greenhouse gas emissions trading program for the northeastern U.S.

NORTHEAST STATES FOR COORDINATED AIR USE MANAGEMENT

Boston, MA \$7,500
www.nescaum.org
 For its Climate Change and Natural Resources Adaptation Symposium, held in March 2004.

ROCKEFELLER PHILANTHROPY ADVISORS

New York, NY \$25,000
www.rockpa.org
 For its Carbon Disclosure project.

SAGE FOUNDATION

Vancouver, Canada \$60,000
www.sagecentre.org
 For its Climate project.

SMARTPOWER CONNECTICUT, INC.

Hartford, CT \$200,000 over 2 years
www.smartpower.org
 For general support.

TIDES CENTER

San Francisco, CA \$75,000
www.tides.org
 For its Regeneration Project that encourages faith organizations to advocate on behalf of greenhouse gas reductions.

TIDES CENTER (PA)

Pittsburgh, PA \$5,000
www.tides.org
 For its project, the Pennsylvania Consortium for Interdisciplinary Environmental Policy.

TUFTS COLLEGE, TRUSTEES OF

Medford, MA \$50,000
www.tufts.edu
 For efforts to reduce the university's greenhouse gas emissions.

WORLD RESOURCES INSTITUTE

Washington, D.C. \$200,000 over 2 years
www.wri.org
 For a project to expand demand for renewable energy in Europe.

Protecting Ecosystems and Conserving Biodiversity

AMERICAN LANDS ALLIANCE

Washington, D.C. \$50,000
www.americanlands.org

For its efforts to monitor the Sustainable Forest Initiative's standard setting.

AMERICAN LITTORAL SOCIETY, INC.

Highlands, NJ \$225,000
www.alsnyc.org

For two projects related to fishery management reform: the Marine Fish Conservation Network, and the Regional Marine Conservation Project.

\$695,000 over 2 years

For the marine conservation work of its Regional Marine Conservation project.

COAST CONSERVATION ENDOWMENT FUND FOUNDATION

Vancouver, Canada \$100,000
 For general support during the organization's start-up.

DAVID SUZUKI FOUNDATION

Vancouver, Canada \$150,000 over 2 years
www.davidsuzuki.org

For its work on ecosystem based forestry management in British Columbia.

\$20,000

For two projects: 1) a campaign to support a continuing moratorium on offshore oil and gas exploration, and 2) the use of advanced modeling techniques to predict the impact of global warming on global fish stocks around North America.

DOVETAIL PARTNERS, INC

White Bear Lake, MN \$125,000 over 2 years
www.dovetailinc.org

For general support.

ENVIRONMENTAL ABORIGINAL GUARDIANSHIP THROUGH LAW AND EDUCATION

Surrey, Canada \$100,000 over 2 years
www.eaglelaw.org

For general support.

FOREST ETHICS

San Francisco, CA \$300,000 over 2 years
www.forestethics.org

For its efforts to build market demand for FSC-certified forest products.

FOREST STEWARDSHIP COUNCIL, A.C.

Bonn, Germany \$250,000
www.fsc.org

For general support.

FOREST TRENDS ASSOCIATION

Washington, D.C. \$30,000
www.forest-trends.org

For its work on the social impacts of forest certification.

NA NA KILA INSTITUTE

Kitamaat Village, Canada \$70,000 over 2 years
www.nanakila.ca

For general support.

NATURAL RESOURCES DEFENSE COUNCIL, INC.

New York, NY \$50,000
www.nrdc.org

For its efforts to monitor the Sustainable Forest Initiative's standard setting.

NATURE CONSERVANCY, INC.

Arlington, VA \$5,000
www.nature.org

For sponsorship for the Great Bear Rainforest film premiere.

OCEANA, INC.

Washington, D.C. \$450,000 over 3 years
www.oceana.org

For general support.

PINCHOT INSTITUTE FOR CONSERVATION

Washington, D.C. \$25,000
www.pinchot.org

For its efforts to encourage certification of state forest lands.

RAINFOREST ALLIANCE, INC.

New York, NY \$100,000 over 2 years
www.rainforest-alliance.org

For its Smartwood program.

RESIDENTS' COMMITTEE TO PROTECT THE ADIRONDACKS

North Creek, NY \$50,000 over 2 years
www.adirondackresidents.org

For its efforts to certify private forest lands.

ROUND RIVER CONSERVATION STUDIES

Salt Lake City, UT \$100,000 over 2 years
www.roundriver.org

For its work on forest conservation in British Columbia.

TIDES FOUNDATION

San Francisco, CA \$20,000
www.tidesfoundation.org

For its project, Forest Stewardship Council-Canada.

YALE UNIVERSITY

New Haven, CT \$50,000 over 2 years
www.yale.edu

For the Yale Program on Forest Certification of the university's School of Forestry and Environmental Studies.

Other**AMERICAN FRIENDS OF THE ROYAL INSTITUTION, INC.**

East Patchogue, NY \$5,000
 To support international attendance at the first meeting of the Organizing Committee of the Royal Institution World Science Assembly.

COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF

New York, NY \$120,000 over 3 years
www.columbia.edu

For fellowship support for students enrolled in the sustainable development program of the university's Earth Institute.

CONSULTATIVE GROUP ON BIOLOGICAL DIVERSITY

San Francisco, CA \$45,000 over 3 years
www.cgbd.org

For general support.

ECOLOGISTS LINKED FOR ORGANIZING GRASSROOTS INITIATIVES AND ACTION

Middlebury, VT \$75,000
www.ecologia.org

For a project to apply transnational environmental initiatives in southern China in support of sustainable development.

FRIENDS OF THE CARPATHIAN FOUNDATION – UNITED STATES

Washington, D.C. \$11,000
www.carpathianfoundation.org

For a strategic retreat of the Carpathian Foundation's board.

KING BAUDOUIN FOUNDATION UNITED STATES, INC.

New York, NY \$25,000
www.kbfus.org

For the efforts of the 2020 Fund to design and build a new social enterprise committed to achieving a sustainable world.

LONG ISLAND PINE BARRENS SOCIETY

Manorville, NY \$70,000 over 2 years
www.pinebarrens.org

For its program of communications fellowships.

ROCKEFELLER FAMILY FUND

New York, NY \$1,939
www.rffund.org

Toward the Environmental Grantmakers Association's project to distribute copies of *Red Sky at Morning: America and the Crisis of the Global Environment* to EGA member foundations.

SAN FRANCISCO FOUNDATION COMMUNITY INITIATIVE FUNDS, THE

San Francisco, CA \$15,000
www.tsffcif.org

For its project, the Democracy Center, to research and develop a set of case studies analyzing the impact of international financial institutions on sustainable development in Bolivia.

TELLUS INSTITUTE, INC.

Boston, MA \$12,500
www.tellus.org

For the scoping meeting of the Great Transition Initiative.

WORLDWATCH INSTITUTE

Washington, D.C. \$100,000
www.worldwatch.org

A special contribution toward general support.



Panel Discussion, "A Muslim Centered Platform for Democracy in the Arab World," hosted by RBF grantee Dialogues: Islamic World - U.S. - The West. Left to right: Bob Kerrey, president, New School University; HRH Prince El Hassan bin Talal of Jordan; Steven C. Rockefeller, chairman, Rockefeller Brothers Fund.

Peace and Security

Globalization is transforming our understanding of what constitutes a threat to security and what is required to create a more peaceful world. The crowded agenda of global challenges resists easy answers about priorities; nations and societies will necessarily assess threats differently, depending on their circumstances. For some, the threat of global terrorism or military invasion will dominate the security agenda, while others will focus first on fighting extreme poverty or halting the spread of deadly diseases—or on another of the many issues that appear on the global agenda. But growing interdependence has made one thing clear: In the 21st century, the security and well-being of all of Earth's peoples is increasingly connected to that of others. Strife and unrest in faraway places can create ripples that spread around the globe. Freer, faster movement across borders makes it harder to curb flows of dangerous weapons and deadly materials; contain infectious disease, pollution, and financial disruption; distinguish terrorists from tourists and traders; and regulate the spread of technologies with the potential to change the course of human history or alter Earth's ecology.

Progress in coping with such complex and interconnected challenges will require ingenuity, resolve, and cooperative action on many fronts. Many factors will influence the world's chances of success. The RBF's Peace and Security program focuses on two factors that may be key to advancing or undermining global problem solving: (1) the content and style of U.S. global engagement in the face of new perils and opportunities; and (2) the strength and quality of relationships between Muslim and Western societies. In addition, peace and security is a theme that may be identified for attention in one or more of the Fund's pivotal places.

The need for responsible U.S. global engagement:

The United States plays a decisive role in setting the pace for global efforts to create a more peaceful, just, and sustainable world. With unparalleled global influence and impact, the U.S. can take steps that unlock dramatic progress on every major issue on the global agenda. Conversely, U.S. missteps or inaction can hinder, halt, or reverse international progress on numerous threats to security and well-being. The RBF aims to help advance responsible U.S. policies and behaviors that are rooted in principles like building strength through teamwork; seeing the big picture and pursuing comprehensive

strategies that account for connections among issues; developing and using a full range of tools; thinking ahead and planning ahead; promoting fair play; and putting America's strength to great purpose. (For elaboration on this vision of U.S. global engagement, see *U.S. in the World: Talking Global Issues with Americans—A Practical Guide*, copublished by the RBF and The Aspen Institute in 2004 and available at www.usintheworld.org.)

The need for greater respect and understanding between Muslim and Western societies: Today's severely strained relationship between the Islamic world and the West poses a threat to national, regional, and global security. It also undermines international attempts to ameliorate the gaping economic disparities and real or perceived injustices that are themselves sources of conflict around the world. At the same time, and even as their relationship reaches a critical juncture, Muslim and Western societies are facing crucial choices about their own character, identity, and purpose. The "U.S. Global Engagement" portion of the Peace and Security program focuses on the intense debate within the United States about America's national character and global role. Comparable and profound debates are unfolding within the Muslim world. In supporting efforts to improve

relationships between Muslim and Western societies, the RBF also recognizes that how Islam and the West come to understand themselves will have an enormous impact on their capacity to respect and understand one another.

■ GOAL: Advancing Responsible Approaches to U.S. Global Engagement in the 21st Century

The RBF seeks to advance U.S. policies and behaviors that reflect a broadly shared vision of constructive, cooperative, principled, farsighted, and effective global engagement through the following strategies:

Strategies

- Supporting the development and dissemination of policy approaches with the potential to galvanize constructive debate and policy action across traditional issue and partisan divides. Priority is given to broad frameworks for responsible U.S. global engagement.
- Strengthening the communications capacity of organizations and networks that advocate on behalf of constructive U.S. action to address global challenges. Priority is given to innovative communications efforts that forge links among diverse groups, highlight broad patterns of U.S. behavior, reach large audiences, and promise to generate momentum for responsible U.S. global engagement.
 - In 2005, the RBF has decided to focus this strategy on selected advocacy and public engagement efforts chosen from the following issue areas: terrorism and the proliferation of deadly weapons, climate change, and fairness in global trade.
 - Across a broader range of issues, priority is also given to efforts with the potential to engage people of faith, young people, business leaders, and women.

Note: Given limited resources, the RBF can only fund a small number of communications-related projects each year. Staff actively work to identify strategic opportunities in the field, so funding for unsolicited proposals is the exception rather than the rule.

- Promoting effective collaboration among organizations seeking to build public support for responsible U.S. global engagement. At present, the Fund pursues this strategy primarily through involvement in the Connect US initiative (see www.tidesfoundation.org/cu/connectus_invite.cfm).

■ GOAL: Promoting Mutual Respect and Understanding between Muslim and Western Societies.

The RBF seeks to reduce the divisive and destabilizing tensions that exist between much of the Islamic world and the West, particularly the United States, and to increase the potential for collaboration among Muslim and Western societies on behalf of a better, safer world through the following strategies:

Strategies

- Supporting efforts to ensure that U.S. policies and behaviors reflect an understanding of the complexity and diversity of Muslim societies and contribute to mutually respectful, productive relations with those societies.
- Supporting initiatives that contribute to deeper U.S. public understanding of Islam and Muslim societies. Priority is given to high-leverage efforts that have the potential, over time, to reduce persistent misperceptions and sources of tension between the U.S. and the Muslim world.
- Supporting joint Muslim-Western efforts to address issues and problems that are of shared concern and that have a significant bearing on the relationship between the U.S. and Muslim-majority countries.

Note: At present, the Fund pursues this strategy primarily at the global and transnational levels and is only rarely able to support community-based or country-specific programs.

- Supporting the efforts of Muslim organizations and scholars to contribute to dynamic debate within Muslim societies about the role and future of Islam and of Islamic peoples in a rapidly changing, increasingly interconnected world.

Note: Because of the exploratory nature of this strategy, the Fund will be pursuing it primarily through solicited proposals.

Priscilla Lewis, program officer, and P. J. Simmons, special advisor and project director, carry responsibility for the Peace & Security program. Please refer to the "Applying for a Grant" section for specific information regarding the Fund's application process.

2004 Peace and Security Grants

Advancing Responsible Approaches to U.S. Global Engagement in the 21st Century

9-11 PUBLIC DISCOURSE PROJECT, THE

Washington, D.C. \$50,000
www.9-11pdp.org
 For general support.

AMERICANS FOR INFORMED DEMOCRACY

New Haven, CT \$40,000
www.aidemocracy.org
 For general support.

ARTS OF PEACE, INC.

Arcata, CA \$50,000
www.mainstream-media.net
 For its project, Calling the Question.

ASPEN INSTITUTE, INC.

Washington, D.C. \$300,000 over 2 years
www.aspeninstitute.org
 For its Global Interdependence Initiative.

BENTON FOUNDATION

Washington, D.C. \$225,000 over 2 years
www.benton.org
 For its OneWorld U.S. project.

BETTER WORLD FUND

Washington, D.C. \$25,000
www.betterworldfund.org
 For its project, The People Speak: A Discussion of America's Role in the World.

BROOKINGS INSTITUTION, THE

Washington, D.C. \$100,000
www.brookings.edu
 Toward Force and Legitimacy in the Evolving International System, an initiative of the Brookings Institution's Project on the Future of American Foreign Policy.

BROWN UNIVERSITY

Providence, RI \$10,000
www.brown.edu
 For a youth initiative of its Choices for the 21st Century Education Program that is linked to The People Speak.

BUSINESS LEADERS FOR SENSIBLE PRIORITIES

New York, NY \$50,000
www.sensiblepriorities.org
 To enable its project, TrueMajority, to launch an online speakers' bureau.

COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK, TRUSTEES OF

New York, NY \$40,000
www.columbia.edu

For a project of its School of International and Public Affairs, Prevention and Management of Crisis Between Iran and Coalition Forces.

COMMUNICATIONS CONSORTIUM MEDIA CENTER

Washington, D.C. \$125,000 over 2 years
www.ccmc.org
 For its project, Mobilizing Women for Global Engagement.

EDUCATIONAL BROADCASTING CORPORATION

New York, NY \$75,000
www.thirteen.org
 For its documentary series on international affairs, *Wide Angle*.

GLOBAL JUSTICE, INC.

Washington, D.C. \$60,000
www.globaljusticenow.org
 For general support. \$7,000

To help cover an end-of-year budgetary shortfall caused by the rapid growth of this organization's campaigns and programs.

GLOBAL PARTNERSHIPS

Seattle, WA \$100,000 over 2 years
www.globalpartnerships.org
 For its Initiative on Global Development.

INTERACTION: AMERICAN COUNCIL FOR VOLUNTARY INTERNATIONAL ACTION, INC.

Washington, D.C. \$100,000
www.interaction.org
 For its Global Partnership for Effective Assistance.

NATIONAL COUNCIL OF THE CHURCHES OF CHRIST IN THE U.S.A.

New York, NY \$100,000 over 2 years
www.nccusa.org
 For its adult study guide project, Faithful Reflections on International Relations.

NETWORK 20/20

New York, NY \$25,000
www.network2020.org
 Toward its project, Talking Turkey: Public Diplomacy at Home and Abroad.

(continued on page 48)



U.S. in the World

TALKING GLOBAL ISSUES WITH AMERICANS:
A PRACTICAL GUIDE

U.S. in the World: Talking Global Issues with Americans

is a user-friendly communicators’ guide for issue advocates, foreign policy experts, community activists, journalists, elected officials, educators—anyone who wants to talk with other Americans directly or through the media about U.S. foreign policy.

This special series of grants supported a variety of pilot applications of the recommendations in *U.S. in the World: Talking Global Issues with Americans—A Practical Guide*.

ARMS CONTROL ASSOCIATION

Washington, D.C. \$45,000
www.armscontrol.org
For development of a communicators’ guide on the U.S. role in addressing the spread of deadly weapons.

ASPEN INSTITUTE, INC.

Washington, D.C. \$50,000
www.aspeninstitute.org
For its Global Interdependence Initiative to develop a core U.S. in the World curriculum and training materials.

CITIZENS FOR GLOBAL SOLUTIONS EDUCATION FUND

Washington, D.C. \$45,000
www.globalsolutions.org
To pilot the use of the communicators’ handbook in several settings.

FOURTH FREEDOM FORUM

Goshen, IN \$25,000
www.fourthfreedom.org
For public outreach associated with the Forum’s Secure America project.

INSTITUTE FOR POLICY STUDIES

Washington, D.C. \$45,000
www.ips-dc.org
For several handbook-related initiatives of its project, Foreign Policy in Focus.

NEW SCHOOL UNIVERSITY

New York, NY \$32,000
www.newschool.edu
For the Op-Ed Partners project of the World Policy Institute’s Arms Trade Resource Center.

PHYSICIANS FOR SOCIAL RESPONSIBILITY

Washington, D.C. \$25,000
www.psr.org
For public outreach on security and nonproliferation issues.

PROTEUS FUND, INC.

Amherst, MA \$25,000
www.proteusfund.org
For its project, the Security Policy Working Group.

**WOMEN’S ACTION FOR NEW DIRECTIONS
EDUCATION FUND, INC.**

Arlington, MA \$45,000
www.wand.org
For New Vision—New Voices on Security.

U.S. in the World draws on the latest communications research and the insights of experts to offer core arguments and facts about America's role in the world, framed in ways that are likely to engage nonexpert audiences. It also offers general and issue-specific messaging recommendations, and sample answers to frequently asked questions. The guide reflects the Fund's belief that only a broader, more informed, and more engaged citizenry can encourage policymakers to support the kind of sustained investment, involvement and leadership needed from the United States to tackle global challenges effectively.

Published in July 2004 by the Rockefeller Brothers Fund and the Aspen Institute, **U.S. in the World**

is the product of a two-year, nonpartisan, collaborative process involving input from hundreds of experts on U.S. foreign policy, public opinion, and communications. Its recommendations are meant to help users make issues more understandable to a diverse cross section of Americans who pay attention to news, get involved in their communities, and vote—but who do not track foreign policy issues closely and do not hold ideologically rigid views. The guide provides practical support for single-issue advocacy while also advancing a broadly shared vision for America's role in the world.

For additional information or to order a copy of the guide or view an online version, visit www.usintheworld.org.

IN AN INTERCONNECTED WORLD, THE UNITED STATES SHOULD BE...

Smart, Pragmatic, Realistic, Effective

"Our policies should be designed to achieve results in today's world..."

Principled, Decent, Trustworthy, Respectful

"Our policies should be consistent with America at its best..."

Collaborative, Team Player

"Teamwork is a 21st-century necessity...cooperation is a two-way street..."

Far-Sighted, Responsible to Future Generations

"We need to plan for tomorrow, not just today..." Today's energy choices will shape the world our children inherit..."

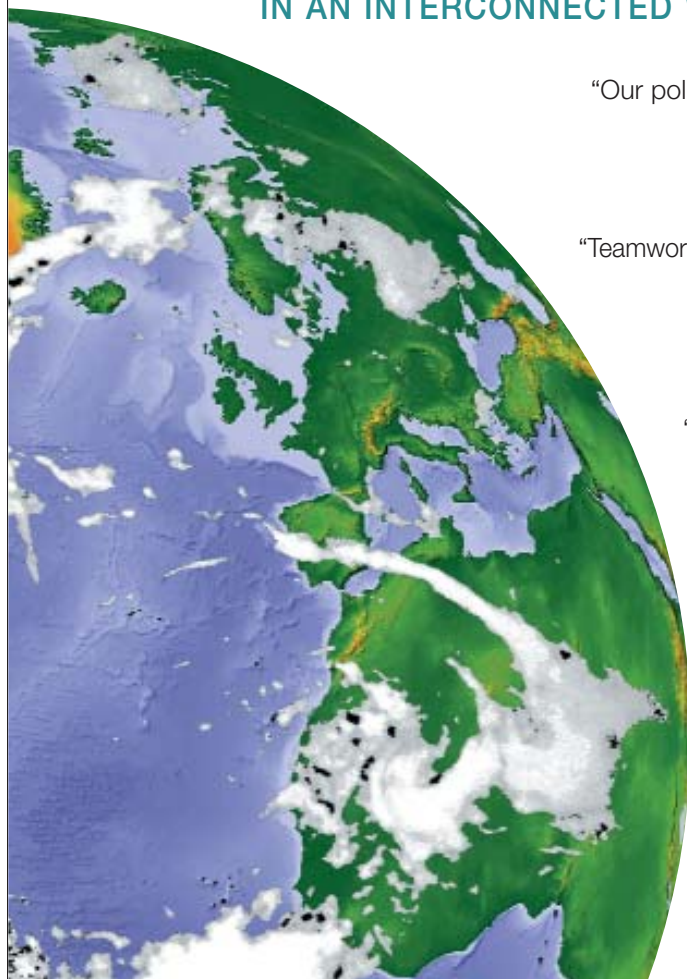
Comprehensive, Balanced

"Complex problems require comprehensive solutions... America's power has always depended on more than military muscle."

"Can-Do," Optimistic

"Let's put our strength to great purpose... Within our grasp we have the potential to..."

Consultations with diverse foreign policy and public opinion experts suggest that concepts like these constitute a connective tissue that holds together the elements of a shared vision for how America should be in the world. These concepts are familiar to nonexpert Americans, who understand their importance from their own life experiences, and to issue experts, who understand their appropriateness as guides for responsible and effective policymaking in an interdependent world.



NEW AMERICA FOUNDATION

Washington, D.C. \$200,000

www.newamerica.net

For its New Solarium project.

ORION SOCIETY

Great Barrington, MA \$90,000

www.oriononline.org

For its Thoughts on America Initiative.

PUBLIC AGENDA FOUNDATION, INC.

New York, NY \$15,000

www.publicagenda.org

For Cutting the Lifeline of Terror: What's Next for Iraq?, an event held on July 14, 2004.

TIDES FOUNDATION

San Francisco, CA \$250,000

www.tidesfoundation.org

For its Connect US Fund, a donor-advised fund that supports activities of a wide-ranging network of organizations that share a commitment to promoting principled, constructive, and collaborative U.S. global engagement.

**UNIVERSITY OF MARYLAND
COLLEGE PARK FOUNDATION, INC.**

College Park, MD \$5,000

www.umd.edu

For the CivWorld Citizens Campaign project of the university's Democracy Collaborative program.

WOMEN'S FUNDING NETWORK

San Francisco, CA \$125,000 over 2 years

www.wfn.net.org

For its project, A U.S. Women's Lens on Global Issues.

**Promoting Mutual Respect
and Understanding between
Muslim and Western Societies****AMERICAN IRANIAN COUNCIL, INC.**

Princeton, NJ \$40,000

www.american-iranian.org

For its project The Future of U.S.–Iranian Relations.

CATHOLIC UNIVERSITY OF AMERICA

Washington, D.C. \$50,000

www.cua.edu

For the Islamic Cities Program of its John W. Kluge Center for Scholarly Studies.

**CENTER FOR STRATEGIC AND
INTERNATIONAL STUDIES, INC.**

Washington, D.C. \$120,000

www.csis.org

For two projects, Human Rights and the U.S.–Muslim World Dialogue, and Arab Media in the 21st Century.

**CHURCHES' CENTER FOR THEOLOGY
AND PUBLIC POLICY**

Washington, D.C. \$30,000

www.cctpp.org

For its project, An Interreligious Dialogue of Cultures on the Moral and Religious Issues Raised by Nuclear Weapons.

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

New York, NY \$25,000

www.columbia.edu

For the university's research project on the Iran hostage crisis and its impact on U.S.–Iranian relations then and now.

COUNCIL ON FOREIGN RELATIONS, INC.

New York, NY

www.cfr.org \$80,000 over 2 years

For its project, Anti-Americanism: Muslim Views on How to Reverse the Trend.

For its Independent Task Force on U.S. Policy toward Iran.

For outreach efforts around several Council projects that focus on anti-Americanism and the United States' relationship with the Muslim world.

**JOHNS HOPKINS UNIVERSITY–
PAUL H. NITZE SCHOOL OF
ADVANCED INTERNATIONAL STUDIES**

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

www.jhu.edu

For an Islamic World Training Initiative in the International Journalism Program of the university's School for Advanced International Studies.

NATIONAL PUBLIC RADIO, INC.

Washington, D.C. \$50,000

www.npr.org

For its production of a special reporting series on Islam.

NEW SCHOOL UNIVERSITY

New York, NY \$3,500
www.newschool.edu

To cover costs associated with a lecture and dinner on January 29, 2004 in honor of Prince El Talal bin Hassan of Jordan, organized by the New School and the Rockefeller Brothers Fund-supported *Dialogues* program of the university's World Policy Institute.

NEW YORK UNIVERSITY

New York, NY \$135,000
www.nyu.edu

For its project, Dialogues: Islamic World–U.S.–The West.

SEARCH FOR COMMON GROUND

Washington, D.C. \$75,000
www.sfcg.org

For its U.S./Iran Program

TUFTS COLLEGE, TRUSTEES OF

Medford, MA \$12,000
www.tufts.edu

For the Iran Dialogue Initiative of the university's Institute for Global Leadership.

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

New York, NY \$75,000
www.unausa.org

For its project, U.S.–Iran Dialogue on Multilateral Diplomacy and the Management of Global Issues.

UNITED NATIONS FOUNDATION

Washington, D.C. \$50,000
www.unfoundation.org

Toward its work on the Congress of Democrats from the Islamic World.

WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS

Washington, D.C. \$17,000
www.wwics.si.edu

For a research and writing project on U.S./Iran relations.

Other

EUROPEAN FOUNDATION CENTRE

Brussels, Belgium \$5,000
www.efc.be

For the activities of the Centre's International Committee in 2004.

UNITED NATIONS

New York, NY \$100,000
www.un.org

For the High-Level Panel on Threats, Challenges, and Change.



Dancer/choreographer Martinus Miroto performs at the Asian Cultural Council 40th Anniversary celebration.

Charles E. Culpeper Human Advancement

Systemic social change is often required to enhance the lives and promote the well-being of individuals and to conserve ecosystems, but individual aspiration, growth, expression, and action are also necessary to fundamental social change. For this reason, the Fund complements its commitment to systemic change with a commitment to human advancement and the fulfillment of individual potential by supporting arts and culture, working to improve the quality of education, recognizing and encouraging individual leadership, and helping to mitigate the impact of health threats that undermine human advancement on a nation- or region-wide scale. • These themes will be pursued, based on a careful assessment of local needs and priorities, largely in designated RBF “pivotal places,” where the Fund is already active. • The Human Advancement program is named after Charles E. Culpeper to honor the legacy and achievements of his foundation, which was established in 1940, for the “betterment of humanity.” The Charles E. Culpeper Foundation and the RBF merged in July of 1999.

Arts and Culture

In supporting arts and culture, the RBF is inspired by a conviction that art creates beauty, invites discovery, stimulates reflection, and generates self-knowledge, and that engagement with the arts promotes deeper understanding of human experience among diverse communities. The Fund’s support for arts and culture currently takes the following forms:

- In New York City, one of the RBF’s pivotal places, the Fund seeks to foster an environment in which artists can flourish, and to help sustain small and midsize cultural organizations, particularly those that are community-based and/or culturally specific. For additional information, please see the grantmaking guidelines for New York City.
- The RBF provides annual support to the Asian Cultural Council (ACC), which funds cultural exchange in the visual and performing arts between the United States and the countries of Asia. The ACC funds individual fellowships to artists, scholars, and specialists from Asia undertaking research, study, and creative exploration in the United States. Grants are also made to Americans pursuing similar work in Asia, to cultural institutions involved in particularly significant exchange projects, and to activities that encourage regional dialogue and cooperation within Asia. To learn more about the ACC’s programs and application procedures, please visit www.asianculturalcouncil.org.

Education

The role of education in human advancement is universally recognized. Good schools and inspiring teachers bring meaning and value to students’ lives, nurture their aspirations, and help them acquire the skills they need to achieve their goals and realize their potential. Good schools teach respect for all people and for the diversity of life on Earth; they develop young people’s confidence and capacity for civic leadership, and are an essential component of strong communities. Inspiring teachers are catalysts for improvement in their schools and often become leaders for change in the larger community as well. Based on these convictions, the RBF seeks to improve education in the following ways:

- In New York City, one of the RBF’s designated pivotal places, the Fund seeks to promote civic responsibility for school improvement, strengthen constituencies for effective public education, and create opportunities for young people to grow through active engagement with their communities. Please see the grantmaking guidelines for New York City for additional information.
- At a time of profound demographic shifts in communities and classrooms, the Rockefeller Brothers Fund Fellowships for Students of Color Entering the Teaching Profession assists outstanding students of color from selected U.S. colleges and universities to pursue

graduate studies and begin teaching in public schools . The RBF also furthers the professional development of Fellows after they have begun their careers in teaching.

Note: The fellowships program is open only to students who attend one of the participating higher education institutions.

- In South Africa, another RBF pivotal place, the Fund seeks to improve the quality and accessibility of basic education for children in the area of early childhood education and primary learning, with a special focus on the developmental needs of orphans and vulnerable children and on the impact of HIV/AIDS on basic education. Please see the grantmaking guidelines for South Africa for additional information.

Leadership

No government, acting alone, can solve the problems or enhance the opportunities that globalization creates. Much the same may be said of individuals: Teamwork and partnership are essential to building social movements and promoting systemic change. But the role of individual leaders in imagining alternatives, inspiring hope, and galvanizing collective action is also crucial. This belief informs all of the RBF's grantmaking, and is the specific impetus for the Fund's involvement with the Ramon Magsaysay Awards program in the Philippines:

- The Ramon Magsaysay Awards were established in the late 1950s by members of the Rockefeller family to honor individuals and organizations in Asia whose civic contributions and leadership "exemplify the greatness of spirit, integrity, and devotion to freedom of Ramon Magsaysay," former president of the Philippines who died tragically in an airplane crash. Often regarded as the Nobel Prizes of Asia, these awards are presented in six categories: government service; public service; community leadership; international understanding; journalism, literature, and creative communication arts; and emergent leadership. Up to six 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. For more information, see www.rmaf.org.ph.

- The Rockefeller Brothers Fund Fellowships for Students of Color Entering the Teaching Profession, while primarily designed to improve public education (please see above), also nurtures individual leadership.

Health

In some regions of the world, infectious disease prevents the realization of individual potential and undermines the family, community, and institutional supports on which human advancement depends.

- In South Africa, an RBF pivotal place, the Fund has responded to the HIV/AIDS pandemic by supporting efforts to assist orphans and vulnerable children in achieving their full potential as individuals and as constructive members of society. Please see the grantmaking guidelines for South Africa for additional information.

2004 Charles E. Culpeper Human Advancement Grants

Arts and Culture

ASIAN CULTURAL COUNCIL, INC.

New York, NY \$200,000
www.asianculturalcouncil.org

For the organization's unrestricted grants program in 2004.

FAMILIES INVESTED IN RESPONSIBLE MEDIA

San Francisco, CA \$25,000
www.commonssensemedia.org

To support a leading non-partisan organization dedicated to improving media and entertainment choices for children and families in the United States.

Education

See page 56 for a description of the RBF Fellowships for Students of Color Entering the Teaching Profession.

Leadership

See page 55 for the Ramon Magsaysay Award Foundation and Program for Asian Projects grants.

LINCOLN CENTER FOR THE PERFORMING ARTS, INC.

New York, NY \$15,000
www.lincolncenter.org

To underwrite expenses associated with a panel and reception centered on *Guiding Lights: The People Who Lead Us Toward Our Purpose in Life*, a new book written by Eric Lui.

Health

GOLDMAN PHILANTHROPIC PARTNERSHIPS

Deerfield, IL \$3,298,000 over 6 years
www.goldmanpartnerships.org

Long-term transition support for the Charles E. Culpeper Scholarships in Medical Science and the Charles E. Culpeper Biomedical Pilot Initiative.

ASIAN CULTURAL COUNCIL

The Asian Cultural Council (ACC) is a publicly supported operating foundation that has been affiliated with the Rockefeller Brothers Fund since 1991. It was founded in 1963 by John D. Rockefeller 3rd to support cultural exchange in the visual and performing arts between the United States and the countries of Asia.

With funding from a broad range of donors, both in the U.S. and Asia, the ACC provides individual fellowship grants to, primarily, Asian artists, scholars, students, and specialists for study, research, travel, and creative work in the United States and in Asian countries.

Setagaya Public Theater performs *The Elephant Vanishes* at the 2004 Lincoln Center Festival.

Some grants are also made to Americans for similar activities in Asia, as well as to cultural institutions for projects of particular importance to Asian-American exchange. In addition, the ACC awards a small number of grants each year to assist regional exchange activities in Asia.

The ACC awarded \$1,515,000 in grants to fund 136 fellowships and other exchange projects in 2004. In November 2004, the Council marked its 40th anniversary with a gala event in New York to celebrate the history of its grant programs and to introduce the program to a broader public. The 40th Anniversary and associated events in Asia raised \$1.3 million for the ACC.

The ACC maintains representative offices in Tokyo, Hong Kong, Taipei, and Manila, where funds are raised from local donors to finance grants to individuals and institutions in those regions.

In 2004, the Rockefeller Brothers Fund awarded a grant of \$200,000 to the ACC in support of the Council's grants program.

For further information about the ACC, visit www.asianculturalcouncil.org or contact its staff at 437 Madison Avenue, 37th Floor, New York, NY 10022-7001.



RAMON MAGSAYSAY AWARD FOUNDATION



With encouragement and financial support from members of the Rockefeller family and the Rockefeller Brothers Fund, the Ramon Magsaysay Award Foundation (RMAF) was established

in 1957 as a memorial to Ramon Magsaysay, the third president of the Republic of the

Philippines, who died that year, during his presidency, in an airplane accident.

From the RMAF's inception, its signature program has been the Ramon Magsaysay Awards, a set of awards presented annually to recognize achievement consistent with the ideals of public service that characterized the life of Ramon Magsaysay. The awards are given to people and organizations working in Asia on behalf of Asians.

From 1958 (the first year of the program) through 2000, there were five award categories: Government Service; Community Leadership; Public Service; Journalism, Literature, and Creative Communication Arts; and Peace and International Understanding. In 2001, the RMAF added a sixth, Emergent Leadership, to recognize promising younger individuals whose work is significant but not yet mature enough to qualify them for the award in any of the five established categories. The trustees of the RMAF select the awardees following a long-established nomination and investigation process. The awards are conferred, usually by the President of the Philippines, in a ceremony in Manila on August 31, Magsaysay's birthday. Since 1958, 228 individuals and 15 organizations from more than 20 countries in Asia have received the award.

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

The names and citations for the 2004 Awardees follow:

Haydee Yorac, chair, Presidential Commission on Good Government (Government Service): For building confidence in government through service of exceptional integrity and rigor and for her unwavering pursuit of the rule of law in the Philippines.

Jiang Yanyong, retired surgeon (Public Service):

For his brave stand for truth in China, spurring life-saving measures to confront and contain the deadly threat of SARS.

Prayong Ronnarong, advisor, Mairieng Community Leaders Council (Community Leadership): For leading fellow farmers in demonstrating that the model of self-reliant local enterprises, supported by active community learning, is the path to rural prosperity in Thailand.

Abdullah Abu Sayeed, founder, World Literature Centre (Journalism, Literature, and Creative Communication Arts): For cultivating in the youth of Bangladesh a love for books and their humanizing values through exposure to the great works of Bengal and the world.

Laxminarayan Ramdas, retired Navy Admiral and **Ibn Abdur Rehman**, director, Human Rights Commission of Pakistan (Peace and International Understanding): For their reaching across a hostile border to nurture a citizen-based consensus for peace between Pakistan and India.

Benjamin Abadiano, president, Ilawan Center for Peace and Sustainable Development (Emergent Leadership): For his steadfast commitment to indigenous Filipinos and their hopes for peace and better lives consonant with their hallowed ways of life.

Further information about the Ramon Magsaysay Awards and the Program for Asian Projects can be found on the RMAF Web site, at www.rmaf.org.ph.

Program for Asian Projects

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

MR. ATMAKUSUMAH ASTRAATMADJA

Jakarta, Indonesia \$10,000
For a project to encourage Indonesian journalists to expand media coverage of issues of poverty and empowerment of the poor in Indonesia.

MS. OUNG CHANTHOL

Phnom Penh, Cambodia \$10,000
For a project to offer livelihood training to women and girls in Cambodia who have been victims of the trafficking of women and children between Cambodia and Thailand.

DR. CYNTHIA MAUNG

Mae Sot, Thailand \$10,000
For a project to provide professional development to teachers who are educating the children of displaced Burmese families along the Thai-Burma border.

DR. RUTH PFAU

Karachi, Pakistan \$10,000
For a project to strengthen the capacity of the staff of a health services center in Karachi, Pakistan, which provides care to patients with leprosy, tuberculosis, and other illnesses.

THE REV. JAMES B. REUTER, SJ

Manila, Philippines \$10,000
For a project to develop and disseminate for broadcast a weekly radio program that will explore the theme of interfaith solidarity between Christians and Muslims in the Philippines.

TASNEM SIDDIQUI

Karachi, Pakistan \$10,000
For a project to empower shelterless families to develop their own housing in an area of Islamabad, Pakistan.

Ramon Magsaysay Award Foundation

Manila, Philippines
www.rmaf.org.ph \$150,000

Toward the stipends for the 2004 Ramon Magsaysay Awards.

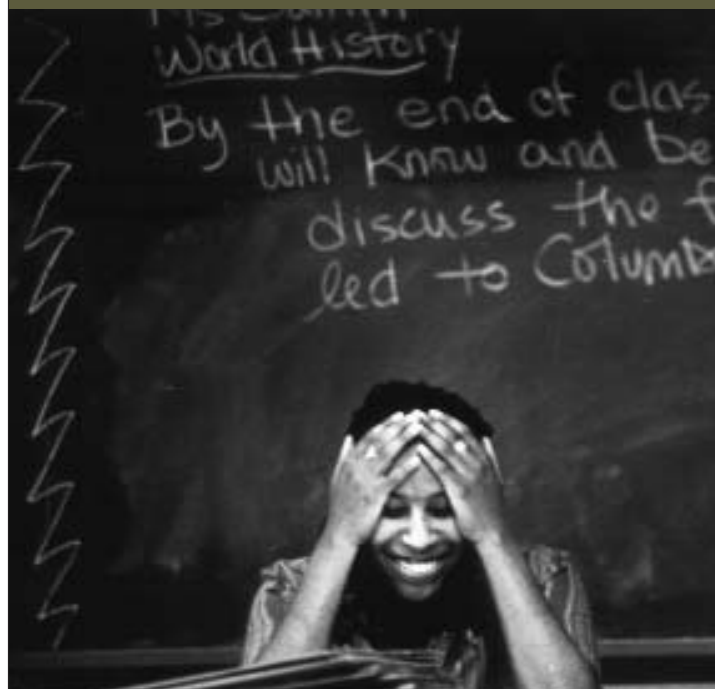
\$62,500
Toward the documentation and dissemination of information about the recipients of the Ramon Magsaysay Awards.

\$25,000
For its annual Asian Issues and Trends for Development seminar.

\$8,000
For a project to enhance the Foundation's Web site.

RBF FELLOWSHIPS FOR STUDENTS OF COLOR ENTERING THE TEACHING PROFESSION

In 1992, the Rockefeller Brothers Fund established the **Fellowships for Students of Color Entering the Teaching Profession** in order to help narrow the gap between the increasing number of students of color in public schools across the United States and the proportionately smaller number of teachers of color. Since that time, the Fund has awarded fellowships to 250 talented and accomplished college students with a commitment to public education.



The overwhelming majority of the Fellows remain in the education field. Many teach in urban and rural schools districts. About one-half have been in the classroom five or more years.

Fellows receive up to \$22,100 over a five-year period that begins after their junior year of college and ends when they have completed three years of public school teaching. During the summer following their junior year, Fellows receive grants of \$2,500 to undertake special projects related to teaching. Upon graduation from college, grants of \$12,000 to \$16,000 are available for full-time graduate work in education. Fellows who incur debt in financing their graduate education are entitled to loan repayment assistance of up to \$1,200 annually for each of the first three years that they teach in public schools.

In addition, the RBF provides a modest stipend for a mentor—a member of the college faculty or staff whom the Fellow selects to advise the summer project and to provide guidance during the Fellow's senior year, especially in the selection of an appropriate graduate education program. Finally, the Fund creates opportunities for Fellows to come together occasionally during the period of their fellowship in order to have shared enrichment experiences and to provide support and encouragement to each another.

Candidates for the fellowship are drawn from 27 colleges and universities that have demonstrated a commitment to the education of students of color and to the improvement of teaching in America's public schools. Interested students majoring in the arts and sciences apply during their junior year. Each participating institution may nominate up to three students annually. A complete list of the participating institutions can be found on the Fund's Web site, www.rbf.org.

A committee of educational professionals, including school administrators, faculty from graduate teacher training programs, and alumni RBF Fellows, interviews finalists and recommends candidates to the RBF. Up to 25 fellowships are awarded each year. Fellows are selected on the basis of their potential to become exceptional teachers, as evidenced by high academic performance, strong written and oral communications skills, and a deep commitment to education and public service. ■

2004 CLASS OF RBF FELLOWS

Alishia Battle • *Spelman College, Atlanta, GA*
 Kimberly Clark • *Spelman College, Atlanta, GA*
 Prisciliana Delgado • *Texas State University, San Marcos, TX*
 Nicole Fleming • *Wellesley College, Wellesley, MA*
 Gabriel Garza • *Texas State University, San Marcos, TX*
 Elaine Gonzalez • *Mount St. Mary's College, Los Angeles, CA*
 Omar Granillo • *Pace University, New York, NY*
 Joycelyn Harris • *University of St. Thomas, Houston, TX*
 Kimberly Jackson • *Wellesley College, Wellesley, MA*
 Christopher Leung • *Pomona College, Claremont, CA*
 Christine Lien • *Pomona College, Claremont, CA*
 Maria Marquez • *University of Chicago, Chicago IL*
 Alejandra Mendoza • *University of St. Thomas, Houston, TX*
 Anthonika Miles • *Spelman College, Atlanta, GA*
 Esohe Osai • *University of Michigan, Ann Arbor, MI*
 Eugene Palatulan • *Swarthmore College, Swarthmore, PA*
 Jaunelle Pratt • *Emory University, Atlanta, GA*
 Krystal Reddick • *Duke University, Durham, NC*
 Lydia Rousey • *Texas State University, San Marcos, TX*
 Cara Sandberg • *Brown University, Providence, RI*
 Miya Thomas • *Howard University, Washington, D.C.*
 Lacey Thornton • *University of California, Riverside, CA*
 Jenny Tsai • *Wellesley College, Wellesley, MA*
 Viana Turcios • *Dartmouth College, Hanover, NH*
 Reggie Webster • *Mount St. Mary's College, Los Angeles, CA*



Children at a South African school in Eshowe, KwaZulu-Natal. Working with RBF grantee Nurturing Orphans of AIDS for Humanity (NOAH), the school has become a node of care for orphans and vulnerable children.

Pivotal Places

The Fund pursues its four program interests—Democratic Practice, Sustainable Development, Peace and Security, and Human Advancement—in a variety of geographic contexts. In addition, the Fund has identified several specific locations on which to concentrate cross-programmatic grantmaking attention. The Fund refers to these as RBF “pivotal places”:^{*} subnational areas, nation-states, or cross-border regions that have special importance with regard to the Fund’s substantive concerns and whose future will have disproportionate significance for the future of a surrounding region, an ecosystem, or, indeed, the globe. • While there are many places in the world that might be considered pivotal, the selection of RBF pivotal places is guided by both the Fund’s program interests and grantmaking history. These are places where the Fund judges that because of its experience, knowledge, and program interests, its grantmaking could be particularly effective, and where the Fund generally makes a long-term commitment. The Fund’s engagement in these places is multidisciplinary, involving two or more RBF program interests. It is also responsive to local needs and priorities; indeed, the Fund may pursue its broad programmatic goals in different ways within each RBF pivotal place. • The Fund currently works in three RBF pivotal places: New York City, South Africa, and Serbia and Montenegro. In March 2004, the Fund designated Southern China as a fourth pivotal place and guidelines for this program will be forthcoming.

^{*} Our notion of “pivotal places” draws extensively from the work of historian Paul Kennedy; see Robert Chase, Emily Hall, and Paul Kennedy, editors, *The Pivotal States*, 1999.

New York City

The Rockefeller Brothers Fund has been active in New York City since the RBF's founding there in 1940. New York City's extraordinarily diverse population, its economic prominence, and its cultural vitality combine to make the city pivotal to the future of its region, the nation, and the world.

New York City has the potential to be a model 21st-century sustainable urban community that nourishes neighborhoods and civic life, supports individual achievement and artistic expression, generates widely shared prosperity, and preserves and enhances its built and natural environments. Linked as it is to the region, the nation, and the world, New York City can become a beacon of excellence and a force for positive change both within and well beyond its boundaries.

Three of the Fund's four program interests are reflected in the RBF's engagement with New York City as an RBF pivotal place.

Democratic Practice

■ GOAL: Encouraging Civic Engagement

The Fund seeks to build the capacity of community groups working to improve the quality of life in disadvantaged neighborhoods through the following strategies:

Strategies

- Supporting civic initiatives and community processes that address locally identified priorities.
- Strengthening community leadership capacity, particularly among immigrant populations.
- Encouraging collaboration among local institutions and across sectors.

Sustainable Development

■ GOAL: Building Sustainable Communities

The Fund seeks to improve the safety, aesthetic quality, and the spiritual and community life of New York City neighborhoods through the following strategies:

Strategies

- Assisting community-based initiatives that encourage respect and care for the natural and built environment and that enhance or reclaim public space.

- Supporting opportunities for community engagement in local development and planning processes.
- Advancing innovative ideas and projects that promote the concept of New York as a sustainable city.

Human Advancement

■ GOAL: Improving Public Schools

The Fund seeks to promote civic responsibility for school improvement through the following strategies:

Strategies

- Supporting projects that reach out to and engage new constituencies in public education improvement efforts.
- Fostering collaborations/networks among community groups, academic centers, education advocacy groups and public institutions to improve the New York City public education system.
- Strengthening the capacity of community groups to engage in public education advocacy and reform related initiatives.

■ GOAL: Supporting the Creative Process

The Fund seeks to foster an environment in which artists and the creative process can flourish through the following strategy:

Strategy

- Supporting organizations that assist individual artists and the creative process, provide infrastructure to sustain the artistic life, and offer additional opportunities to artists for developing skills complementary to their creative talents.^{1, 2}

■ GOAL: Building Capacity in Cultural Organizations

The Fund seeks to sustain and advance small and mid-size cultural organizations, particularly those that are community based and/or culturally specific through the following strategies:

Strategies

- Supporting core operations by providing non-renewable, two-year capacity-building grants of up to \$50,000 per year, as a source of stable funding and added vitality in the immediate term.^{1, 2}

¹ Grantee organizations must wait a minimum of two years from their grant award final payment before reapplying.

² Standard RBF letter of inquiry process does not apply. Proposals are accepted each year, January 15 through March 15, for consideration in the fall of the same calendar year.

- Strengthening long-term financial viability by providing endowment grants and cash reserve grants of up to \$250,000 to cultural and arts organizations that demonstrate the potential for long-term leadership and excellence in the presentation of creative work to the broadest possible audiences.^{1, 2}
- Enhancing institutional leadership through competitive awards to arts and cultural organizations for innovative, team-based leadership conferences designed to strengthen long-range organizational management and governance. The Fund's Pocantico Conference Center will host representatives from selected organizations (including senior management, artistic leadership, and board members) for one- or two-day conferences on issues of institutional advancement. Each selected organization will receive a grant of up to \$15,000 to cover the costs of the leadership conference, including the participation of professional consultants, advisors, or facilitators. Following completion of a leadership

conference, the Fund may make an additional award of up to \$25,000 to support the participating organization's efforts to implement some aspect(s) of what was learned through the conference.^{1, 3}

The program officer who carries responsibility for the New York City portion of the RBF's Pivotal Place program is Ben Rodriguez-Cubeñas. A portion of the responsibilities of associate program officer Grant C. Garrison is devoted to this Pivotal Place program as well. Please refer to the "Applying for a Grant" section for specific information regarding the Fund's application process.

- 1 Grantee organizations must wait a minimum of two years from their grant award final payment before reapplying.
- 2 Standard RBF letter of inquiry process does not apply. Proposals are accepted each year, January 15 through March 15, for consideration in the fall of the same calendar year.
- 3 Standard RBF letter of inquiry process does not apply. Proposals are accepted throughout the year.

Rockefeller Brothers Fund Receives 2004 Paul Ylvisaker Award for Public Policy Engagement

The Rockefeller Brothers Fund (RBF) received the Council on Foundations' 2004 Paul Ylvisaker Award for Public Policy Engagement. The award was presented to the Rockefeller Brothers Fund during the Council on Foundations 55th Annual Conference in Toronto, Ontario, Canada on April 27, 2004. The Fund was recognized for its Innovative Brownfields Program, an initiative that encourages New York to enforce the cleanup of polluted and abandoned land in urban centers.

Brownfields, which are often abandoned land too contaminated to use as is, are needed for community revitalization. In the mid-1990s, Brownfields revitalization became increasingly important as these contaminated lands hindered development in disadvantaged neighborhoods and moved development to greenfields. To address the issue, the RBF, led by program officer Ben Rodriguez-Cubeñas, launched the Innovative Brownfields Program in 1998. The Fund convened about 40 leaders of groups involved in the brownfields issue for the Roundtable for Consensus on Brownfields at its Pocantico Conference Center. This roundtable encouraged discussion of critical issues among groups that had often worked at cross-purposes. Spurred by the discussions, the participants later formed the Brownfields Coalition, which over time shaped a consensus among all parties on the brownfields issue. The Fund also provided grants to advocacy groups and community-based organizations that were concerned about brownfields. The attention drawn to brownfields by the Fund's grantees and the agreement reached by the Brownfields Coalition helped create a climate in which it became possible for the New York State

Legislature in 2003 to enact a new, innovative law—the New York State Brownfields Law. The law, which is one of the most significant environmental laws that have passed in New York in the past two decades, established a voluntary cleanup program for New York State's 16,000 brownfields and refinanced New York State's bankrupt Superfund.

The award is a recognition of the joint efforts of the RBF and four grantees—the Greater Jamaica Development Corporation, Environmental Advocates, New York City Environmental Justice Alliance, and the Pratt Institute's New Partners for Community Revitalization—and shows how philanthropy and grassroots activism has the ability to influence public policy. The Rockefeller Brothers Fund's sustained commitment and leadership to the nonprofit groups during this six-year policy debate reflects its commitment to encouraging civic engagement and building sustainable communities.

About the Award

The Council on Foundations' Paul Ylvisaker Award for Public Policy Engagement honors a foundation that has demonstrated excellence in affecting public policy by using creative and effective strategies. The award is named in honor of Paul Ylvisaker—an urban planner, government official, foundation executive, and educator—who championed issues, such as urban affairs, civil rights, community engagement, the environment, and philanthropy.

2004 Grants: Pivotal Places: New York City

Democratic Practice: Encouraging Civic Engagement

ASSOCIATION FOR NEIGHBORHOOD & HOUSING DEVELOPMENT, INC.

New York, NY \$100,000 over 2 years
www.anhd.org
 For its Initiative for Neighborhood and City-Wide Organizing.

GLOBAL ACTION PROJECT, INC.

New York, NY \$25,000
www.global-action.org
 For outreach and media training with New York City youth groups.

PARTNERS FOR DEMOCRATIC CHANGE

Washington, D.C. \$76,075
www.partnersglobal.org
 For its Cooperative Advocacy Institute in New York City.

Sustainable Development: Building Sustainable Communities

ASIAN AMERICANS FOR EQUALITY, INC.

New York, NY \$100,000
www.aafe.org
 For its Rebuild Chinatown Initiative.

BROOKLYN ACADEMY LOCAL DEVELOPMENT CORPORATION

Brooklyn, NY \$75,000
 For its BAM Cultural District Streetscape and public space design project.

BROOKLYN BRIDGE PARK CONSERVANCY, INC.

Brooklyn, NY \$120,000 over 2 years
www.bbpc.net
 Toward implementation of its strategic plan.

CITY COLLEGE 21ST CENTURY FOUNDATION, INC., THE

New York, NY \$200,000 over 2 years
www.ccnyc.cuny.edu
 For an institutional capacity-building initiative of the City College Architectural Center.

CIVITAS CITIZENS, INC.

New York, NY \$25,000
 For Bridging the Gap, an engineering study for a proposed pedestrian bridge between the east end of 125th Street and Randall's Island.

CONFERENCE BOARD, INC., THE

New York, NY \$25,000
www.conference-board.org

For its Firsthand NY Walks: Promoting Community Tourism Initiative in New York City.

ENVIRONMENTAL ADVOCATES OF NEW YORK, INC.

Albany, NY \$100,000 over 2 years
www.eany.org
 For its Regulatory Watch project.

FRIENDS OF HUDSON RIVER PARK, INC.

New York, NY \$35,000
www.fohrp.org
 For general support.

NEW YORK CITY ENVIRONMENTAL JUSTICE ALLIANCE, INC.

New York, NY \$100,000 over 2 years
www.nyceja.org
 For its Brownfields Advocacy and Technical Support project.

PRATT INSTITUTE

Brooklyn, NY \$250,000 over 2 years
www.picced.org
 For its New Partners for Community Revitalization project.

\$50,000
 For the Manufacturing Green project of the institute's Center for Community and Environmental Development.

WEST HARLEM ENVIRONMENTAL ACTION, INC.

New York, NY \$150,000 over 2 years
www.weact.org
 For its Harlem on the River project.

Human Advancement: Improving Public Schools

AMERICAN INSTITUTE FOR SOCIAL JUSTICE, INC.

New Orleans, LA \$150,000 over 2 years
www.acorn.org
 For the Association of Community Organizations for Reform Now's Brooklyn Educational Collaborative.

APPLESEED FOUNDATION INC.

Washington, D.C. \$100,000 over 2 years
www.appleseeds.net
 For its projects with the New York City Department of Education.

(continued on page 64)

STAFF GRANTMAKING FUND

Established in 2002, the Staff Grantmaking Fund (SGF) provides all members of the Rockefeller Brothers Fund staff with the opportunity to be grantmakers and thereby experience firsthand the core work of the foundation. The SGF’s annual budget of \$100,000 finances grants that are consistent with the overall mission of the RBF and that receive the same degree of due diligence as all other program commitments. Staff who wish to participate decide upon a theme for the grantmaking each year, research and evaluate specific programs and projects that align with that theme, and make final grant recommendations to the president for approval.

During the third year of this initiative, the staff committee decided to focus on opportunities in New York City, one of the Fund’s Pivotal Places.

Upon the recommendation of the Staff Grantmaking Fund Committee, the president of the RBF authorized the following five grants:

- BROOKLYN CHILDREN’S MUSEUM CORP.**
Brooklyn, NY
www.brooklynkids.org
For its Cultural Program Series.
\$20,000
- GLOBAL YOUTH ACTION NETWORK INC.**
New York, NY
www.youthlink.org
For the New York City Local Jam.
\$25,000
- LEXINGTON CENTER FOR MENTAL HEALTH SERVICES, INC.**
Jackson Heights, NY
www.lexnyc.org
Toward the Parent-Infant Therapeutic Nursery.
\$17,500
- SHELTERING ARMS CHILDREN’S SERVICES**
New York, NY
www.sacs-nyc.org
For the Foster Pride Program.
\$17,500
- SOUTH QUEENS BOYS AND GIRLS CLUB, INC.**
Richmond Hill, NY
www.sqbgc.net
For the Celebrating Diversity Program.
\$20,000

Committee Members

- Cynthia Altman
Curator
- Lydia Brown
Administrative Assistant [Facilitator]
- Aimee Ducey
Curatorial Assistant [Facilitator]
- Ernestine Faulkner
Kitchen Coordinator
- Leona Hewitt
Receptionist
- Danielle Lazaroff
Administrative Assistant
- Bridget Massay
Executive Assistant
- Helen Morton
Administrative Assistant
- Gary Nickerson
Director, Information Technologies

CAMPAIGN FOR FISCAL EQUITY, INC.

New York, NY \$75,000
www.cfequity.org

For the work of its Sound Basic Education Task Force.

HEALTHY SCHOOLS NETWORK, INC.

Albany, NY \$50,000
www.healthyschools.org

For its Protecting Children's Environmental Health in New York's Schools project.

HIGHBRIDGE COMMUNITY LIFE CENTER, INC.

Bronx, NY \$100,000
www.highbridgelife.org

For the Community Collaborative to Improve District 9 Schools.

LEARNING LEADERS, INC.

New York, NY \$100,000 over 2 years
www.learningleaders.org

For its Project IMPACT.

ROBERT A. TAFT INSTITUTE OF GOVERNMENT, THE

Flushing, NY \$50,000
www.qc.edu/Taft_Institute

For its Leadership Training for Community Organizations program.

Human Advancement: Supporting the Creative Process

ARTS INTERNATIONAL, INC.

New York, NY \$100,000
www.artsinternational.org

For its New York City on Tour program.

BROOKLYN ACADEMY OF MUSIC

Brooklyn, NY \$100,000 over 2 years
www.bam.org

For its commissioning programs for New York City artists.

CITY LIMITS COMMUNITY INFORMATION SERVICE, INC.

New York, NY \$25,000
www.citylimits.org

For its Center for an Urban Future's research project, New York City's Creative Sector: Building an Understanding and an Action Plan.

JAZZ AT LINCOLN CENTER, INC.

New York, NY \$150,000 over 2 years
www.jazzatlincolncenter.org

For its commissioning program during the first two seasons at the new Frederick P. Rose Hall.

LINCOLN CENTER FOR THE PERFORMING ARTS, INC.

New York, NY \$100,000 over 2 years
www.lincolncenter.org

For commissioning New York City artists for the Lincoln Center Festival and Lincoln Center Out of Doors.

Human Advancement: Building Capacity in Cultural Organizations

AARON DAVIS HALL, INC.

New York, NY \$250,000 over 2 years
www.aarondavishall.com

For the endowment portion of the campaign for Aaron Davis Hall.

AMERICAN OPERA PROJECTS, INC.

Brooklyn, NY \$70,000 over 2 years
www.operaprojects.org

For general support.

ARTS FOR ART, INC.

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

BARROW GROUP, INC.

New York, NY \$100,000 over 2 years
www.barrowgroup.org

For general support.

BROOKLYN PHILHARMONIC SYMPHONY ORCHESTRA, INC.

Brooklyn, NY \$150,000 over 2 years
www.brooklynphilharmonic.org

For its cash reserve fund.

DANCE THEATER WORKSHOP, INC.

New York, NY \$15,000
www.dtw.org

For its institutional advancement meeting at the Pocantico Conference Center.

\$25,000
 For implementation of the organization's plan for further institutional development.

FOUNDRY THEATER, INC., THE

New York, NY \$80,000 over 2 years
www.thefoundrytheater.org

For general support.

LOWER EAST SIDE TENEMENT MUSEUM

New York, NY \$250,000 over 2 years
www.tenement.org

For the endowment portion of its capital campaign.

MOVING IMAGE, INC., THE

New York, NY
www.filmforum.com

\$250,000 over 2 years

For the endowment portion of its campaign for the Future.

NEW PROFESSIONAL THEATER, INC., THE

New York, NY
www.newprofessionaltheater.org

\$70,000 over 2 years

For general support.

NEW YORK FOUNDATION FOR THE ARTS, INC.

New York, NY
www.nyfa.org

\$15,000

For its institutional advancement meeting at the Pocantico Conference Center.

\$25,000

For implementation of the organization's plan for further institutional development.

NEW YORK THEATRE WORKSHOP, INC.

New York, NY
www.nytw.org

\$100,000 over 2 years

For general support.

POETS HOUSE, INC.

New York, NY
www.poetshouse.org

\$70,000 over 2 years

For general support.

PREGONES TOURING PUERTO RICAN THEATRE COLLECTION, INC.

Bronx, NY
www.pregones.org

\$80,000 over 2 years

For general support.

ROCKEFELLER PHILANTHROPY ADVISORS

New York, NY
www.rockpa.org

\$100,000

Toward planning of the International Freedom Center, which will be located at Ground Zero in Lower Manhattan.

SCHOOL OF AMERICAN BALLET

New York, NY
www.sab.org

\$250,000 over 2 years

Toward endowment for its Apprentice Program.

SOCIETY FOR THE PRESERVATION OF WEEKSVILLE AND BEDFORD STUYVESANT HISTORY

Brooklyn, NY
www.weeksvillesociety.org

\$100,000 over 2 years

For general support.

South Africa

The Rockefeller Brothers Fund has been engaged in grantmaking in South Africa since the mid-1960s. The Fund's initial focus was on promoting human rights and supporting the anti-apartheid movement; more recently, the Fund has focused on improving basic education and assisting children affected by the devastating HIV/AIDS pandemic—both critical challenges that must be addressed if South Africa is to reach its full potential.

The success of South Africa's political and economic transformation is pivotal to the future of all of Southern Africa. Indeed, South Africa is and will continue to be pivotal to the development and stability of the entire continent.

The Fund will continue to support human advancement through its work to improve basic education and to meet the developmental needs of orphans and vulnerable children. In addition, the RBF is exploring linkages between HIV/AIDS and the Fund's other substantive concerns: democratic practice, sustainable development, and peace and security. While the Fund recognizes the critical importance of HIV/AIDS education, prevention, and treatment, many other donors are active in these fields. The RBF seeks to complement these efforts by contributing to the development of integrated responses to the broad societal impacts of the pandemic.

Human Advancement

■ GOAL: Improving Basic Education

The Fund seeks to improve the quality and accessibility of basic education for children in the areas of early childhood education and primary learning through the following strategies:

Strategies

- Assisting efforts to address the impact of HIV/AIDS on basic education, including:
 - Enabling the introduction and evaluation of new models of early childhood education and primary learning that integrate a concern for HIV/AIDS.
 - Supporting new models of teacher training to respond to the need for more teachers and to assist teachers to support orphans and vulnerable children.
 - Assisting primary schools to become nodes of care, education, and support for increasingly vulnerable children.
- Supporting research and advocacy efforts to improve the quality and accessibility of basic education for children.

■ **GOAL: Assisting Orphans and Vulnerable Children**

The Fund supports efforts to assist orphans and vulnerable children in achieving their full potential as individuals and as members of society through the following strategies:

Strategies

- Encouraging the development and evaluation of innovative models of care, education, and support for orphans and vulnerable children.
- Strengthening the institutional capacity of nonprofit organizations, university programs, and government agencies working with orphans and vulnerable children.
- Supporting social science research and advocacy efforts related to improving the lives of orphans and vulnerable children.

**Democratic Practice
Sustainable Development
Peace and Security**

■ **GOAL: Addressing the Societal Impacts of HIV/AIDS**

The Fund works to strengthen understanding of the linkages between HIV/AIDS and democratic practice, sustainable development, and peace and security issues in South Africa, and to promote integrated responses to the broad societal impacts of the HIV/AIDS pandemic through the following strategies:

Strategies

- Supporting and disseminating research to improve understanding of linkages between HIV/AIDS and democratic practice, sustainable development, and peace issues, including the facilitation of cross-sectoral communication and collaboration as well as advocacy efforts.
- Strengthening the capacity of nonprofit organizations, university programs, and government agencies working on linkages between HIV/AIDS and these three issues, including the facilitation of cross-sectoral communication and collaboration as well as advocacy efforts.
- Facilitating the introduction and evaluation of promising models of responses to the linkages between HIV/AIDS and these three core issues of RBF.

The program officer who carries responsibility for the South Africa portion of the RBF's Pivotal Place program is Nancy Muirhead. Please refer to the "Applying for a Grant" section for specific information regarding the Fund's application process.

**2004 Grants:
Pivotal Places: South Africa**

**Human Advancement:
Improving Basic Education**

CAPE TOWN, UNIVERSITY OF

Cape Town, South Africa \$140,000 over 2 years
www.uct.ac.za

For a project of its Children's Institute to facilitate an expanded role for schools as nodes of care and support for orphans and vulnerable children in South Africa.

CATHOLIC EDUCATION TRUST

Johannesburg, South Africa \$12,000
www.cie.org.za

For the Catholic Institute of Education's educational access project for secondary school orphan girls and vulnerable children in South Africa.

KWAZULU-NATAL, UNIVERSITY OF

Durban, South Africa \$200,000 over 3 years
www.ukzn.ac.za

For the rapid teacher training program of the university's School of Education, Training, and Development.

LEGAL RESOURCES TRUST

Wits, South Africa \$120,000 over 3 years
www.lrc.org.za

For the Children's Rights project of the Trust's Legal Resources Centre.

MEDIA IN EDUCATION TRUST

Durban, South Africa \$100,000 over 2 years
www.miet.co.za

To add a psychosocial component to its School Communities Caring for Children project.

WITWATERSRAND, UNIVERSITY OF THE

Johannesburg, South Africa \$86,000 over 2 years
www.wits.ac.za

For the Education Rights project of the university's Education Policy Unit.

Human Advancement: Assisting Orphans and Vulnerable Children

ALLIANCE FOR CHILDREN'S ENTITLEMENT TO SOCIAL SECURITY

Cape Town, South Africa \$140,000 over 2 years
www.access.org.za
 For general support.

CAPE EDUCATIONAL TRUST

Cape Town, South Africa \$50,000
www.elru.co.za
 For its Early Learning Resource Unit's project,
 Protecting the Rights of Orphans and Vulnerable
 Children Aged 0-9 Years.

CAPE TOWN, UNIVERSITY OF

Cape Town, South Africa \$71,000
www.uct.ac.za
 For a research project of its Children's Institute on the
 role of institutional care for children in the context of
 HIV/AIDS in South Africa.

CHILDREN IN DISTRESS NETWORK

Pietermaritzburg, South Africa \$66,000 over 2 years
www.cindi.org.za
 For two capacity building projects for its members.

FAMILY LITERACY PROJECT

Durban, South Africa \$50,000 over 2 years
 For its health project.

HUMAN SCIENCES RESEARCH COUNCIL

Pretoria, South Africa \$40,000
www.hsrc.ac.za
 For its research project, Evaluating Replacement Child
 Care Arrangements Combining Economic and Child
 Development Outcome Analysis.

KWAZULU-NATAL, UNIVERSITY OF

Durban, South Africa \$69,000 over 2 years
www.ukzn.ac.za
 For a project of its Health, Economics and HIV/AIDS
 Research Division that will develop a spatial framework
 for the management of support to orphans and
 vulnerable children in the Western Cape province.

NKOSI'S HAVEN

Johannesburg, South Africa \$5,245
www.nkosi.iafrica.com
 For specialized academic tutoring and occupational
 therapy for younger children at Nkosi's Haven to help
 them reach their full potential.

ROB SMETHERHAM BEREAVEMENT SERVICE FOR CHILDREN

Pietermaritzburg, South Africa \$54,000 over 2 years
 To expand the impact of its play skills training unit.
 \$1,700
 For general support.

SAVE THE CHILDREN FUND

London, United Kingdom \$100,000 over 2 years
www.savethechildren.org.uk
 For its Caring and Nurturing Schools project.

TOPSY SHELTER

Bryanston, South Africa \$81,000 over 2 years
www.topsy.org.za
 To improve the psychosocial component of its outreach
 efforts to assist orphans and vulnerable children; and to
 implement a strategic planning and organizational
 development exercise.

WITS HEALTH CONSORTIUM (PROPRIETARY) LIMITED

Johannesburg, South Africa \$100,000 over 2 years
www.witshealth.co.za
 For its project, Healthcare for Children in a World of
 HIV: a Model for Improving Care to Vulnerable
 Children in South African Communities.

Democratic Practice, Sustainable Development, & Peace and Security: Addressing the Societal Impacts of HIV/AIDS

CAPE TOWN, UNIVERSITY OF

Cape Town, South Africa \$140,000 over 2 years
www.uct.ac.za
 For its Centre for Social Science Research for the
 Democracy in Africa Unit's research project on the
 impact of HIV/AIDS on the 2004 general election in
 South Africa and the parliament produced by that
 election.

\$93,000 over 3 years
 For a research project on the impact of HIV/AIDS on
 poverty, migration, and food security in the Western
 and Eastern Cape provinces to be undertaken by the
 university's Centre for Social Science Research.

CENTRE FOR CONFLICT RESOLUTION

Cape Town, South Africa \$120,000 over 2 years
www.ccrweb.ccr.uct.ac.za
 For its HIV/AIDS and Security project.

HUMAN SCIENCES RESEARCH COUNCIL

Pretoria, South Africa \$88,000 over 2 years
www.hsrc.ac.za

For its project, HIV/AIDS, Land Reform, and Land-Based Livelihoods.

INSTITUTE FOR DEMOCRACY IN SOUTH AFRICA

Pretoria, South Africa \$22,000
www.idasa.org.za

For a research project on the impact on HIV/AIDS on electoral processes in South Africa.

INSTITUTE FOR SECURITY STUDIES

Pretoria, South Africa \$140,000 over 2 years
www.iss.org.za

For a research project on the impact of HIV/AIDS on the armed forces in South Africa.

SURPLUS PEOPLE PROJECT

Cape Town, South Africa \$27,000
www.spp.org.za

For a research project to increase understanding of the linkages between HIV/AIDS and rural livelihoods and agrarian reform in South Africa.

US PUGWASH

Washington, D.C. \$21,000
www.pugwash.org

For its project, Threats Without Enemies: Health Issues of the 21st Century.

Commemorative Grants

The Rockefeller Brothers Fund made the following four grants to commemorate 10 years of democracy in South Africa.

CAPE TOWN, UNIVERSITY OF

Cape Town, South Africa \$36,000
www.uct.ac.za

For the Means to Live project of its Children's Institute.

CHILDREN IN DISTRESS NETWORK

Pietermaritzburg, South Africa \$5,000
www.cindi.org.za

To develop a user-friendly children's book on antiretroviral therapy for children and their caregivers.

INSTITUTE FOR DEMOCRACY IN SOUTH AFRICA

Pretoria, South Africa \$23,000
www.idasa.org.za

For the children's welfare services project of its Children's Budget Unit.

WITS HEALTH CONSORTIUM (PROPRIETARY) LIMITED

Johannesburg, South Africa \$36,000
For a project of its Wits Pediatric HIV Working Group to develop a chronic care model for management of HIV infected children on antiretroviral therapy within a family clinic.

Other

TIDES CENTER

San Francisco, CA \$5,000
www.tides.org

For its Africa Grantmakers Affinity Group project.

WESTERN CAPE, UNIVERSITY OF THE

Bellville, South Africa \$10,000
www.uwc.ac.za

For a project, Voices of Democracy, that will celebrate the first decade of South African democracy in an oral history told by the protagonists of that period.

Serbia and Montenegro

The Rockefeller Brothers Fund, which has been engaged in grantmaking in Serbia and Montenegro since 2001 and in Kosovo since 2003, will continue to focus primarily on these three places, while reserving flexibility to support exceptional regional and cross-frontier efforts.

With limited resources to address complicated and long-term challenges and on the basis of lessons learned in our work to date, the Fund now concentrates its grantmaking on two of its four programmatic themes: Democratic Practice and Sustainable Development. This reflects the Fund's assessment that helping to build tolerant and pluralistic democracy and to promote sustainable development in the region represent top priorities and opportunities for significant impact.

Democratic Practice

■ **GOAL: Improving the Performance, Accountability, and Transparency of Government through the following strategies:**

Strategies

- Supporting the development and implementation of internal reforms in select government institutions.
- Assisting government officials, parliamentarians, and emerging public sector leaders to acquire the skills necessary for effective governance.

■ **GOAL: Strengthening Constituencies of Citizens Actively Engaged in Building Democracy through the following strategies:**

Strategies

- Supporting public education and communications activities that promote a deeper understanding of the responsibilities and benefits of open societies and equip citizens to participate in democratic processes.
- Promoting civic engagement of youth, including leadership development activities and efforts to insert fresh ideas into public life at all levels of society.
- Strengthening civil society as an essential component of a robust democratic political culture.

Sustainable Development

■ **GOAL: Supporting Efforts to Nurture Economically, Ecologically, and Socially Sustainable Urban and Rural Communities through Processes that Actively Engage Diverse Stakeholders through the following strategies:**

Strategies

- Fostering experimentation with urban, rural, and regional planning processes that actively engage the public.
- Promoting inclusive collaborations to promote the wise use of natural and cultural resources.
- Assisting efforts to integrate into formal education and life-long learning the knowledge, values, and skills needed for sustainable development.

The program officer who carries responsibility for the Serbia and Montenegro portion of the RBF's Pivotal Place program is William S. Moody. A portion of the responsibilities of associate program officer Grant C. Garrison is devoted to this Pivotal Place program as well. Please refer to the "Applying for a Grant" section for specific information regarding the Fund's application process.

2004 Grants: Pivotal Places: Serbia and Montenegro

Democratic Practice: Improving the Performance, Accountability, and Transparency of Government

CENTRE FOR FREE ELECTIONS AND DEMOCRACY

Belgrade, State Union of Serbia and Montenegro \$60,000
www.cesid.org

For a project to inform and educate citizens, the media, and political parties about the new Law on Local Self-Government and municipal elections.

INSTITUTE FOR EASTWEST STUDIES, INC.

New York, NY \$130,000
www.iews.org

For its Regional Transfrontier Cooperation program in Southeastern Europe.

**THOMAS JEFFERSON INSTITUTE
FOR THE STUDY OF WORLD POLITICS**

Arlington, VA \$50,000
www.jeffersoninst.org

For a project to enhance the capacity for applied policy research in the Ministry of Defense of the State Union of Serbia and Montenegro.

**Democratic Practice:
Strengthening Constituencies of Citizens
Actively Engaged in Building Democracy**

**ASSOCIATION OF CITIZENS FOR DEMOCRACY AND
CIVIC EDUCATION "CIVIC INITIATIVES"**

Belgrade, State Union of
Serbia and Montenegro \$200,000 over 3 years
www.gradjanske.org

For general support.

BELGRADE FUND FOR POLITICAL EXCELLENCE

Belgrade, State Union of
Serbia and Montenegro \$150,000 over 2 years
www.bfpe.org

For general support.

EUROPEAN STABILITY INITIATIVE

Berlin, Germany \$102,000
www.esiweb.org

To develop local capacity in Kosovo for applied economic and social science research.

FOUNDATION FOR DEMOCRATIC INITIATIVES, THE

Gjakova, Kosovo, State Union of
Serbia and Montenegro \$75,000
For a program of further institutional development.

\$25,000

For its project to promote dialogue between ethnic Albanian and ethnic Serb Kosovars.

G-17 INSTITUTE

Belgrade, State Union of
Serbia and Montenegro \$25,000
www.g17institute.com

For a project to encourage broader citizen participation in the process of constitutional reform.

**JOHNS HOPKINS UNIVERSITY-
PAUL H. NITZE SCHOOL OF ADVANCED
INTERNATIONAL STUDIES**

Washington, D.C. \$25,000
www.jhu.edu

For a second Balkan law reform summer school organized by the Center for Constitutional Studies and Democratic Development of the university's Paul H. Nitze School of Advanced International Studies.

**KOSOVAR INSTITUTE FOR
POLICY RESEARCH AND DEVELOPMENT**

Pristina, Kosovo, State Union of
Serbia and Montenegro \$120,000
www.kipredinstitute.org

For its project, Research Policy Support for the Operationalization of Standards.

PROJECT ON ETHNIC RELATIONS, INC.

Princeton, NJ \$75,000
www.per-usa.org

For its work in the Western Balkans.

**Sustainable Development:
Supporting Efforts to Nurture Economically,
Ecologically, and Socially Sustainable Urban
and Rural Communities through Processes
that Actively Engage Diverse Stakeholders**

BALKAN COMMUNITY INITIATIVES FUND

London, United Kingdom \$200,000 over 2 years
To strengthen its small grant and related programs for community revitalization in Serbia, Montenegro, and Kosovo.

**EXPEDITIO CENTER FOR ARCHITECTURAL
DEVELOPMENT AND HERITAGE PROTECTION**

Kotor, State Union of
Serbia and Montenegro \$75,000 over 2 years
www.expeditio.org

For general support.

GREEN NETWORK OF VOJVODINA

Novi Sad, Vojvodina, State Union
of Serbia and Montenegro \$175,000 over 3 years
www.zelenamreza.org.yu

For general support.

INSTITUTE FOR SUSTAINABLE DEVELOPMENT

Warsaw, Poland \$37,500
www.ine-isd.org.pl

For a project to assist public and nonprofit sector institutions in Montenegro and enable them to develop a sustainable development strategy for the republic.

NEW YORK FOUNDATION FOR THE ARTS, INC.

New York, NY \$50,000
www.nyfa.org

For a feasibility analysis related to the transformation of a post-industrial zone in Belgrade, Serbia, into a multi-use cultural district.

PROJECT FOR PUBLIC SPACES, INC.

New York, NY

\$52,000

www.pps.org

For an initiative to help local people in Serbia and Montenegro enhance or rebuild their communities.

QUEBEC-LABRADOR FOUNDATION, INC.

Ipswich, MA

\$120,000 over 2 years

[www.qlf.org](http://www qlf.org)

To extend the International Stewardship Program of the Foundation's Atlantic Center for the Environment to Serbia and Montenegro.

UNITED NATIONS DEVELOPMENT PROGRAMME

Belgrade, State Union of

Serbia and Montenegro

\$35,000

www.undp.org

For a project in Montenegro, creating conditions for use of untapped small hydro potential.

Other**AMERICASPEAKS, INC.**

Washington, D.C.

\$10,000

www.americaspeaks.org

To support participation in and coordination of Foundation 2020's Fifth International Workshop: *How Can We Trust Each Other? Changing the Terms for Trust*, which focused on the role that trust plays in the corporate and global governance sectors in Croatia.

PIVOTAL PLACE: SOUTHERN CHINA

In March 2004, the Rockefeller Brothers Fund decided to concentrate its future grantmaking in Asia on Southern China, one of the fastest growing and most dynamic regions of the world. The Fund's new initiative in Southern China builds on its long history of philanthropic involvement in East and Southeast Asia.

In April 2005, Shenyu Belsky joined the RBF to provide leadership to its work in Southern China. Guidelines for the RBF's grantmaking focus in Southern China will be forthcoming.





Pocantico Programs

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

GOALS

- To extend the reach of the Rockefeller Brothers Fund’s grantmaking programs through conferences and meetings that address central concerns of the Fund;
- To provide public access to the Pocantico Historic Area through a program of public visitation; and
- To act as steward of the Pocantico Historic Area by carrying out maintenance, restoration, and conservation projects on behalf of the National Trust for Historic Preservation.

POCANTICO CONFERENCE CENTER

Since its opening in April 1994, the Pocantico Conference Center has both complemented and extended the impact of the Fund’s grantmaking programs. The mission of the Conference Center is to provide a setting where nonprofit organizations and public-sector institutions can bring together people of diverse backgrounds and perspectives to engage critical issues related to the Rockefeller Brothers Fund philanthropic program, leading to new levels of understanding and creative resolution of problems.

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

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

Since its opening in 1994, the Conference Center has hosted 482 meetings with 13,223 attendees. In 2004, there were 65 conferences, meetings, and retreats. Of these, 17 were convened or co-convened by RBF program staff, and 18 were organized by outside organizations that had not previously held meetings at Pocantico. Conferences addressed a wide range of topics that have a direct relationship to the current program interests of the Fund.

PUBLIC ACCESS

In leasing the Pocantico Historic Area from the National Trust for Historic Preservation, the RBF assumed the responsibility of providing public access to the property. To enable the public to visit the Historic Area, the Fund has contracted with Historic Hudson Valley, a nonprofit organization that owns and interprets five sites in the Hudson River Valley. Tours are conducted between late April and early November. Since 1994, there have been 508,636 visitors—including 37,700 in 2004—who have toured Kykuit, its galleries and gardens, and the carriage and automobile collections in the Coach Barn.

STEWARDSHIP

The RBF’s stewardship of the Pocantico Historic Area includes overseeing the maintenance, care, conservation, and restoration of the historic buildings, gardens and collections of decorative and fine art at Kykuit and in the Coach Barn.

2004 Pocantico Conferences

ENVIRONMENTAL GRANTMAKERS ASSOCIATION MANAGEMENT BOARD STRATEGIC PLAN RETREAT

January 7-9, 2004

*Sponsored by the Environmental Grantmakers Association
www.ega.org*

The Environmental Grantmakers Association management board and staff met to discuss EGA's mission, values and goals, and to develop a work plan for the next five years.

PHILANTHROPY AND THE INNER LIFE: CONTEMPLATIVE RESOURCES IN DIFFICULT TIMES

January 14-16, 2004

*Sponsored by The Center for Contemplative Mind in Society
www.contemplativemind.org*

The Center for Contemplative Mind in Society convened a group of 30 foundation trustees and executives and individual philanthropists to discuss the relationship between contemplative practice and effective philanthropy and to establish a network on philanthropy and the inner life that the Center will facilitate.

CARPATHIAN FOUNDATION STRATEGIC PLANNING MEETING

January 17-20, 2004

*Sponsored by the Rockefeller Brothers Fund
www.Carpathianfoundation.org*

The Carpathian Foundation, which provides grants and technical assistance in a five-country region in Central and Eastern Europe, gathered its board, staff, donors, and other stakeholders to discuss the organization's future strategic direction, particularly in relation to planned expansion of European Union membership.

COMMUNICATING ENVIRONMENTAL VALUE: A DIALOGUE ABOUT RENEWABLE ENERGY CERTIFICATES IN THE MARKETPLACE

January 22-23, 2004

*Sponsored by the World Resource Institute
www.wri.org*

The World Resource Institute brought together a group of individuals involved in building markets for Renewable Energy Certificates (RECs) to explore how the various methods being used to assess the environmental benefits of RECs (e.g. avoided emissions) might be harmonized in order to broaden the use of this mechanism for green power development.

INAUGURAL MEETING OF THE CLINICAL NETWORK

January 26-28, 2004

*Sponsored by The Philanthropic Collaborative for Integrative Medicine
www.pcintegrativemedicine.org*

Established to support clinical integrative medicine practices across North America, the Philanthropic Collaborative for Integrative Medicine convened members of its network to share information and experience and to develop a shared agenda for transforming the culture and delivery of health care in the years ahead.

PLANNING RETREAT FOR THE HANDBOOK STRATEGY GROUP

January 30 - February 1, 2004

*Sponsored by the Rockefeller Brothers Fund
www.usintheworld.org*

A group of individuals, who have served as advisors to an RBF-led effort to develop material for communicating more effectively about America's role in global affairs, came together to discuss strategies for ensuring an effective release of the handbook.

MULTI-STAKEHOLDER WORKSHOP ON PARTNERSHIPS AND U.N.-CIVIL SOCIETY RELATIONSHIPS

February 10-12, 2004

*Sponsored by the Rockefeller Brothers Fund
www.un.org/reform/panel.htm*

Representatives of civil society organizations, private sector firms, trade unions, government agencies, and United Nations-affiliated organizations met to assess the experience of U.N. participation in multi-sector partnerships and to make recommendations to the UN Secretary-General's Panel of Eminent Persons on UN-Civil Society Relationships (the Cardoso Panel).

LABORATORIES FOR THE FUTURE: FOSTERING INNOVATION IN DEMOCRATIC PRACTICE

February 15-17, 2004

*Sponsored by the Rockefeller Brothers Fund
www.policyconsensus.org*

The Policy Consensus Initiative organized a dialogue to examine ways to overcome challenges to innovating and improving governance, especially at state and community levels, and to identify opportunities for advancing the use of new governance mechanisms and structures.

DEVELOPING A CANADIAN GREEN HOUSE GAS REDUCTION PLAN

February 20-22, 2004

Sponsored by Rockefeller Brothers Fund

Responding to Canadian Prime Minister Paul Martin's challenge to develop a national, long-term climate action plan, officials from Canada's federal and provincial governments met with counterparts from Germany, the United Kingdom, and Massachusetts to craft a research agenda designed to identify policy options for sparking greater energy efficiency, renewable energy development, technology innovation, transportation reform, emissions trading, and stakeholder engagement.

DANCE THEATER WORKSHOP LEADERSHIP RETREAT

February 28-29, 2004

Sponsored by the Dance Theater Workshop with a grant from the Rockefeller Brothers Fund
www.dtw.org

Board members of the Dance Theater Workshop gathered midway through a 12-month strategic planning process to exchange views on a range of important planning topics, including board development, program evolution, marketing, and fundraising.

KEY STANDARDS ISSUES IN EVOLVING GLOBAL PROCESSES

March 1-2, 2004

Sponsored by the Rockefeller Brothers Fund

In connection with a review of its Democratic Practice – Global Governance grantmaking, the RBF brought together representatives of several grantee organizations, along with outside experts, to assess the state of work on various global standard-setting processes and initiatives.

THE TRUST FOR CIVIL SOCIETY IN CENTRAL AND EASTERN EUROPE BOARD RETREAT

March 3-5, 2004

Sponsored by The Trust for Civil Society in Central and Eastern Europe
www.ceetrust.org

The board of the RBF-supported Trust for Civil Society in Central and Eastern Europe met to assess the organization's progress during its 2003 fiscal year; to explore whether board and staff dynamics might be improved in order to enhance the organization's effectiveness; and to develop an organizational work plan for 2004.

DEMOS STRATEGIC PLANNING RETREAT

March 8-9, 2004

Sponsored by Demos
www.demos-usa.org

Board and staff members of Demos gathered for a retreat that focused on the organization's purpose, core values, overall strategic approach, and program priorities.

TELLING THE STORY OF THE STATE OF THE PLANET'S ENVIRONMENT

March 12-14, 2004

Sponsored by the Rockefeller Brothers Fund

An unusual group of scientists, filmmakers, museum leaders, visualization technology experts, artists, and activists gathered to discuss ways to inspire Americans to reconsider their relationship with the planet and to take action on behalf of a cleaner, healthier global environment.

INTEGRATED DESIGN ROUNDTABLE

March 17-19, 2004

Sponsored by the Rockefeller Brothers Fund
www.engr.psu.edu/PACE

The Partnership for Achieving Construction Excellence at Pennsylvania State University convened a group of academic experts and construction industry professionals to develop a shared understanding of the process of integrated building design that can be used to construct high-performance, sustainable buildings.

ENVIRONMENTAL DEFENSE—LIVING CITIES RETREAT

March 25-26, 2004

Sponsored by the Rockefeller Brothers Fund
www.environmentaldefense.org

Environmental Defense convened members of its board and staff to discuss environmental challenges that are specific to urban communities in the U.S. and to reach agreement on strategic direction for initiatives that will aim to combat the growing incidence of asthma, attract investment to underused urban land, and protect open space threatened by urban sprawl.

**THE STATE OF YOUTH ORGANIZING IN NYC:
A DIALOGUE FOR GROUPS AND FUNDERS**

March 31, 2004

*Sponsored by the Rockefeller Brothers Fund;
Surdna Foundation; Overbrook Foundation;
Merck Family Fund; and Funders Collaborative
on Youth Organizing
www.fcyo.org*

Foundation program staff, youth organizing practitioners, and representatives of capacity-building intermediary organizations met to assess the state of youth organizing in New York City and to identify the elements of an infrastructure that would provide important support and technical assistance to youth organizing groups in the City.

**NEW YORK FOUNDATION FOR THE ARTS
LEADERSHIP RETREAT**

April 1-2, 2004

*Sponsored by New York Foundation for the Arts
with a grant from the Rockefeller Brothers Fund
www.nyfa.org*

Trustees and senior staff of the New York Foundation for the Arts (NYFA) came together to evaluate implementation of NYFA's 2000 Strategic Plan and to discuss the elements of a new institutional plan for the next several years.

ENVIRONMENTAL HEALTH FUNDERS RETREAT

April 13-14, 2004

*Sponsored by the Beldon Fund
www.beldon.org*

The Beldon Fund convened representatives of several other foundations that support work on environmental health concerns in order to encourage more strategic, proactive, and collaborative grantmaking on matters of shared interest, including precautionary regulation of chemicals and other environmental contaminants.

**SUSTAINABLE DEVELOPMENT IN
THE REPUBLIC OF MONTENEGRO**

April 19, 2004

Sponsored by the Rockefeller Brothers Fund

Visiting leaders from the Republic of Montenegro, including Prime Minister Milo Djukanovic, met with experts from the United States, other countries, and international assistance agencies to explore how Montenegro might craft an operational strategy for pursuing the goal of national sustainable development.

**BUILDING CIVIL SOCIETY IN RUSSIA:
A TRANSATLANTIC PARTNERSHIP**

April 21-22, 2004

*Sponsored by the Rockefeller Brothers Fund
www.eurasia.org*

Representatives of major European and U.S. foundations, the U.S. government, European governments, and international organizations gathered for a meeting to celebrate the founding of the New Eurasia Foundation, a joint European-Russian-American philanthropic initiative that will work in the areas of civil society development, private enterprise promotion, education, and public administration and policy.

SUSTAINABILITY RETREAT

April 26-28, 2004

*Sponsored by the Rockefeller Brothers Fund
www.newdream.org*

The Center for a New American Dream and The Natural Step convened representatives of national and regional sustainability organizations in order to foster greater collaboration among these groups and to strengthen advocacy for moving production and consumption in a more sustainable direction, especially in North America. For a report on the conference, contact Betsy Taylor at the Center for a New American Dream (betsy@newdream.org).

**PROMOTING AND EXPANDING
LAND CARE/STEWARDSHIP IN THE U.S.**

May 2-3, 2004

*Sponsored by the Coevolution Institute
www.coevolution.org*

The Coevolution Institute assembled a group of conservation leaders to discuss ways to promote a stronger conservation ethic among those who own or manage land in the United States, drawing in part on the success of the "Landcare" movement in Australia.

FOUNDATION EXECUTIVES GROUP MEETING

May 6-7, 2004

Sponsored by the Rockefeller Brothers Fund

Continuing a practice of meeting periodically, the chief executives of 15 of America's leading foundations gathered for a conversation that focused on foundation accountability and governance.

ECONOMIC IMPACT ANALYSIS CONFERENCE

May 12-14, 2004

*Sponsored by the Rockefeller Brothers Fund
culturalpolicy.uchicago.edu*

The University of Chicago's Cultural Policy Center organized a discussion about methods for assessing the economic impact of cultural activities that involved policy-oriented macroeconomists, government and NGO officials, academic economists, and a variety of arts practitioners and advocates.

MANHATTAN YOUTH STRATEGIC PLANNING RETREAT

May 15-16, 2004

*Sponsored by Manhattan Youth
with a grant from the Rockefeller Brothers Fund
www.manhattanyouth.org*

Manhattan Youth, a community organization that offers programming for children and families in Lower Manhattan, gathered members of its board and staff, along with other stakeholders, to advance planning for a new community center and to consider how the organization will need to evolve and change once the center is completed.

**U.S. GREEN BUILDING COUNCIL LEED™
COMMERCIAL INTERIORS TECHNICAL CHARTER**

May 20-22, 2004

*Sponsored by the Rockefeller Brothers Fund
www.usgbc.org*

The U.S. Green Building Council convened a group of design professionals, scientists, government officials, environmental advocates and others involved in the design and construction of building interiors to provide input on the LEED Commercial Interiors rating system, which the Council will use to promote construction of high-performance, healthy, affordable, and environmentally-sound interior spaces for commercial buildings.

**THE AMERICAN FORUM FOR GLOBAL EDUCATION
STRATEGIC PLANNING SESSION**

May 24-26, 2004

*Sponsored by the Rockefeller Brothers Fund
www.globaled.org*

The board of directors and staff of the American Forum for Global Education conducted a strategic planning retreat that included an evaluation of the Forum's programs and discussion of future program priorities.

POCANTICO FORUM

The Pocantico Forum is a semiannual lecture series designed for the local community with the goal of providing information on a wide range of issues and topics that reflect the broad program objectives of the Rockefeller Brothers Fund.

**POCANTICO FORUM: LIVE CONSCIOUSLY,
BUY WISELY, MAKE A DIFFERENCE**

April 28, 2004

Sponsored by the Rockefeller Brothers Fund

Approximately 100 guests from the local community gathered to hear Betsy Taylor, president of the Center for a New American Dream and author of *Sustainable Planet: Solutions for the 21st Century*, talk about ways that Americans can make positive contributions to efforts to address global environmental challenges, including climate change, loss of biodiversity, and the depletion of essential resources.

POCANTICO FORUM: THE WILD CHOICE™

November 4, 2004

Sponsored by the Rockefeller Brothers Fund

Michael W. Klemens, Ph.D., senior conservationist and director of the Wildlife Conservation Society's Metropolitan Conservation Alliance, offered remarks about the history of conservation and development in the Hudson River Valley and the need for new approaches to achieve conservation objectives through more ecologically-determined patterns of human settlement.



**COMMUNITY FOUNDATIONS AND FAMILY PHILANTHROPY:
STEPPING INTO THE FUTURE**

June 3-4, 2004

*Sponsored by the National Center for Family Philanthropy and The Philanthropic Initiative
www.ncfp.org and www.tpi.org*

The National Center for Family Philanthropy and The Philanthropic Initiative brought together a group of chief executive officers of community foundations of varying sizes to consider the challenges and opportunities that community foundations face and to explore how the national organizations that support community foundations, including the conference organizers and the Council on Foundations, might offer the most effective programming for them.

**JAPAN SOCIETY GLOBAL AFFAIRS
STRATEGIC PLANNING MEETING**

June 11, 2004

*Sponsored by the Japan Society
www.japansociety.org*

Japan Society, the largest independent American organization devoted to promoting greater understanding and cooperation between the United States and Japan, held a one-day strategic planning retreat to develop a vision and an operating plan for its newly created Global Affairs division.

THE GRANTMAKING SCHOOL PILOT SESSION

June 13-16, 2004

*Sponsored by the Rockefeller Brothers Fund
www.gvsu.edu/philanthropy*

The Grantmaking School, the first university-based, practitioner-led continuing education program for foundation program officers, offered a pilot session of its course to 23 program officers from foundations across the country.

**PUBLIC EDUCATION NETWORK
BOARD OF DIRECTORS RETREAT**

June 17-18, 2004

*Sponsored by the Public Education Network
www.PublicEducation.org*

The Public Education Network, a national association of local education funds and individuals working to advance public school reform in low-income communities across the country, held a retreat of its board and staff in order to enhance the organization's effectiveness in building widespread support for high quality, public school education for all children.

**COALITION FOR ENVIRONMENTALLY RESPONSIBLE
ECONOMIES (CERES) STRATEGIC PLANNING MEETING**

June 21-23, 2004

*Sponsored by Ceres
www.ceres.org*

The board of directors of Ceres met to discuss the organization's near-term program priorities, including efforts to build broader investor and corporate support for action on climate change, participation in the Global Reporting Initiative, and implementation of the Ceres Principles.

**STATE OF ENVIRONMENTAL SCIENCE
IN THE MID-HUDSON REGION**

June 27-28, 2004

*Sponsored by the Hudson River Foundation for Science and Environmental Research
www.hudsonriver.org*

The Hudson River Foundation for Science and Environmental Research convened its board of directors and staff, along with experts in environmental science and policy, to review the state of scientific understanding of the Hudson River in the Haverstraw and Peekskill Bay reaches of the river and to compile a list of priorities for future scientific and policy-oriented research relating to this ecologically significant section of the river.

**TRILATERAL COMMISSION BOARD
AND EXECUTIVE COMMITTEE MEETING**

July 8-9, 2004

*Sponsored by David Rockefeller and the Trilateral Commission
www.trilateral.org*

The American trustees and the executive committee of the Trilateral Commission met to finalize plans for the 2004 North American regional meeting in Mexico; to commence planning for the annual plenary meeting of the entire Commission, which will take place in Washington, D.C. in April 2005; and to consider several, longer term institutional development priorities, including membership on the Commission and resource mobilization to support Commission activities.

THE CLIMATE DIALOGUE AT POCANTICO – SESSION I

July 14-16, 2004

*Sponsored by Pew Center on Global Climate Change
www.pewclimate.org*

The Pew Center on Global Climate Change convened a group of senior policymakers and other stakeholders from 15 countries to explore options for strengthening coordinated, international efforts to address the challenge of global climate change.

THE CLIMATE GROUP ADVISORY BOARD MEETING

July 22-23, 2004

Sponsored by the Rockefeller Brothers Fund
www.theclimategroup.org

The Climate Group, a new forum for sharing information about effective greenhouse gas reduction initiatives undertaken by corporations and governments, brought together the members of its international advisory board to provide input on the strategic plan that the organization has developed for its initial two years.

ENRICHING DEMOCRACY

July 26-27, 2004

Sponsored by Demos
www.demos-usa.org

A group of foundation, university, and nonprofit sector professionals, that also included several former and current elected officials, met to review and discuss promising innovations in democratic practice around the country and to commit to collaborative initiatives to advance this reform agenda.

SOCIAL JUSTICE INFRASTRUCTURE FUNDERS RETREAT

August 2-3, 2004

Sponsored by the Ford, Rockefeller, Nathan Cummings, and New World foundations and the Unitarian Universalist Veatch Program at Shelter Rock

The Social Justice Infrastructure Funders, an informal group of program staff from ten national foundations, held its first retreat in order to explore possibilities for pursuing more collaborative grantmaking in areas of shared interest.

UN PANEL ON THREATS, CHALLENGES & CHANGE

August 12-13, 2004

Sponsored by the Rockefeller Brothers Fund

In an effort to assist the work of the United Nations Secretary-General's High Level Panel on Threats, Challenges and Change, a group of academics and UN staff members gathered to discuss UN responses to a broad range of security challenges and to assess the strengths and shortcomings of different types of intervention, including mediation, peacekeeping, and sanctions.

ONEVOICE COUNCIL OF EXPERTS STRATEGIC PLANNING MEETING

August 17-20, 2004

Sponsored by the Rockefeller Brothers Fund
www.peaceworks.net

Palestinian and Israeli participants in the OneVoice Initiative, which is dedicated to empowering Palestinians and Israelis to achieve consensus on core issues that can form a roadmap for conflict resolution, met to reflect on past work and establish priorities for future activities.

TOWARD AN AMERICAN SPATIAL DEVELOPMENT PERSPECTIVE

September 8-10, 2004

Sponsored by the Rockefeller Brothers Fund
www.rpa.org

The Regional Plan Association, the Lincoln Institute of Land Policy and the University of Pennsylvania's School of Design convened a group of leading experts on planning and development, representing the government, business, academic, philanthropic and civic society sectors, to consider whether and how the United States might develop a comprehensive plan for the next 50 years – the 2050 Plan for America.

REINVENTING GLOBALIZATION: DESIGNING A COLLABORATIVE PROCESS FOR PROMOTING POLICY ALTERNATIVES

September 12-14, 2004

Sponsored by the Rockefeller Brothers Fund
www.cceia.org

The RBF and the Carnegie Council on Ethics and International Affairs' Global Policy Innovations Project (GPIP) organized a workshop to (1) identify major obstacles that currently limit public debate on positive global economic governance and policy alternatives; (2) explore potential individual and collective strategies that could be developed to overcome these obstacles; and (3) provide strategic guidance on priorities for future activities of the GPIP.

CULTURAL RIGHTS: INTERLOCKING MOVEMENTS

September 17-19, 2004

Sponsored by the Rockefeller Brothers Fund
www.caribecenter.org

The Caribbean Cultural Center African Diaspora Institute brought together leaders of 24 not-for-profit cultural, social and civil rights organizations, along with writers, educators and funders, to assess the state of community-based cultural organizations on the occasion of the tenth anniversary of the publication of *Voices from the Battlefield: Achieving Cultural Equity*.

**GLOBAL WARMING LITIGATION—
PLAINTIFFS' PLANNING MEETING**

September 21-22, 2004

*Sponsored by the Rockefeller Brothers Fund
www.pawalaw.com*

Attorneys for the various plaintiffs in a legal action filed in July 2004 against several utilities that are among the largest emitters of carbon dioxide in the United States met to discuss litigation strategy and coordinate their efforts on the different phases of the legal action.

WINROCK INTERNATIONAL BOARD MEETING AND RETREAT

September 23-25, 2004

*Sponsored by Winrock International
www.winrock.org*

Directors and senior staff gathered to discuss the mission, goals, and impact of Winrock International, an organization dedicated to increasing long-term productivity, equity, and responsible resource management in order to help the poor and disadvantaged around the world.

**FORWARD ENGAGEMENT:
LONG-RANGE ISSUES AND POLICIES**

September 27-29, 2004

*Sponsored by the Rockefeller Brothers Fund
and the Elliott School of International Affairs of
The George Washington University
www.forwardengagement.org*

A group of experienced forecasters and policymakers came together to discuss and plan an initiative centered on the notion of forward engagement – an approach that aims to identify major longer term trends in areas such as defense, economics, governance, and science and technology; to understand the interconnections among these trends; and to encourage near-term public policy engagement with them.

**PRATT INSTITUTE CENTER FOR COMMUNITY AND
ENVIRONMENTAL DEVELOPMENT RETREAT**

October 1-2, 2004

*Sponsored by the Rockefeller Brothers Fund
and the Pratt Institute
www.picced.org*

In connection with a strategic planning exercise occasioned by the retirement of the center's long-serving director, a group of stakeholders gathered to provide input on future priorities for the Pratt Institute Center for Community and Environmental Development, which makes the professional skills of planners, architects, developers, and policy analysts available to community-based organizations to empower communities throughout the New York metropolitan region to plan and realize their futures.

CLIMATE DIALOGUE AT POCANTICO—SESSION II

October 6-9, 2004

*Sponsored by the Rockefeller Brothers Fund
www.pewclimate.org*

This meeting continued the discussions begun in July at the conference center (see page 78) about advancing coordinated, international efforts to address the challenge of global climate change.

CARNEGIE COUNCIL 2014

October 16-19, 2004

*Sponsored by the Carnegie Council
www.cceia.org*

On the occasion of the 90th anniversary of the founding of the Carnegie Council on Ethics and International Affairs, the Council's board of trustees met to develop a strategic plan for the period leading to the organization's centennial in 2014.

**BROOKLYN BRIDGE PARK CONSERVANCY
STRATEGIC PLANNING MEETING**

October 21-23, 2004

*Sponsored by the Rockefeller Brothers Fund
and the Brooklyn Bridge Park Conservancy
www.bbpc.net*

Members of the Conservancy's board and staff gathered with representatives of key government agency partners, including the Empire State Development Corporation and city and state parks authorities, to discuss the Conservancy's mission and program priorities and to identify areas for further organizational development.

POWER4KIDS SUMMIT

October 26-28, 2004

*Sponsored by the Rockefeller Brothers Fund
and the Haan Foundation for Children
www.haan4kids.org*

The Haan Foundation for Children created a forum to review and critique the preliminary findings a large-scale, randomized, controlled, longitudinal field study that is assessing the effectiveness of remedial reading programs for children in public schools.

INTERNATIONAL PEACE ACADEMY AUTHORS' MEETING

November 5-7, 2004

*Sponsored by the International Peace Academy
www.ipacademy.org*

An international group of researchers gathered to review and discuss material being prepared for a volume of essays that will critically assess the security and development dimensions of intra-state conflict and suggest relevant policy responses.

THE BOUNDARIES OF TRANSITIONAL JUSTICE

November 8-9, 2004

*Sponsored by the International Center
for Transitional Justice
www.ictj.org*

The senior management and staff of the International Center for Transitional Justice met to take stock of the organization's success in helping countries that are pursuing accountability for past mass atrocity or human rights abuse, and to agree upon a scope and structure for future programming builds on the Center's experience and strengths.

**NO CHILD LEFT BEHIND:
DEVELOPING A COMMON AGENDA FOR REFORM**

November 11-12, 2004

*Sponsored by the Campaign for Fiscal Equity
www.cfequity.org*

The Campaign for Fiscal Equity and its nationwide ACCESS network organized a discussion about federal education policy and the reforms to the No Child Left Behind Act that are needed to close resource gaps at the school level and to ensure access to quality educational opportunity, especially for lower income and minority children.

SUSTAINABLE PRACTICES AT POCANTICO



The Pocantico staff is committed to incorporating responsible environmental practices in all aspects of its operation.

Green initiatives at Pocantico

to date include renewable energy,

through the purchase of 100 percent wind-generated electricity; the use of green cleaning products;



a recycling program;
and the option for
towel and linen reuse.

U.S. Green Building
Council (USGBC)

standards are applied to ongoing maintenance and capital improvements wherever possible.

In addition, sustainable seafood and locally grown food is served

at the
Pocantico
Conference
Center
whenever
possible.



**YOUNG PEOPLE IN PHILANTHROPY:
A POST-ELECTION DIALOGUE**

November 18-20, 2004

*Sponsored by the Rockefeller Brothers Fund
www.ydoa.org*

The Young Donor-Organizing Alliance brought together a group of 29 donors, fundraisers, grantmakers, and other philanthropic professionals, all under the age of 35, to encourage participants to share their experiences with social change philanthropy and to explore how they might work together to effect social change through a variety of funding and organizing strategies.

OXFAM'S COTTON CONFERENCE

November 21-24, 2004

*Sponsored by Oxfam America
www.OxfamAmerica.org*

Staff of Oxfam America and Oxfam International gathered with partners from West Africa, Southern Africa, and the United States to refine plans for a major campaign to urge reform of U.S. subsidies to domestic cotton growers that have the effect of undermining the livelihood of poor farmers in certain regions of the developing world.

**FUTURE OF PROGRESSIVE LEADERS
AND ACTIVISTS VISION SESSION**

November 30-December 1, 2004

Sponsored by the Rockefeller Brothers Fund

A group of 32 individuals, representing both funders and practitioners, gathered to assess the state of organizing activities on colleges and university campuses that are focused on progressive social change issues and to explore possibilities for linking campus groups together more effectively in order to build a stronger movement for change.

ASIA SOCIETY BOARD RETREAT

December 3-4, 2004

*Sponsored by the Asia Society
www.asiasociety.org*

Looking ahead to the organization's 50th anniversary in 2006, the trustees of the New York-based Asia Society met to build board consensus on strategic priorities for the Society, which is dedicated to fostering understanding of Asia and communication between Americans and the peoples of Asia and the Pacific.

INTERNATIONAL FREEDOM CENTER BOARD RETREAT

December 10, 2004

*Sponsored by the Rockefeller Brothers Fund
www.ifcwtc.org*

Board members met to refine the mission, vision, and goals of the newly established International Freedom Center, an institution to be located on the site of the former World Trade Center in New York and devoted to helping people understand, appreciate, and advance freedom as a world historical movement.

Memberships

Memberships

The Rockefeller Brothers Fund believes that it is important to support the work of several organizations that serve philanthropy and the nonprofit sector in New York City and nationally. The following organizations received such assistance in 2004.

COUNCIL ON FOUNDATIONS, INC.

Washington, D.C. \$39,600
www.cof.org
 For general support.

FOUNDATION CENTER

New York, NY \$60,000 over two years
www.fdncenter.org
 For general support in 2005 and 2006.

GRANTMAKERS FOR EFFECTIVE ORGANIZATIONS

Washington, D.C. \$4,500
www.geofunders.org
 For general support.

INDEPENDENT SECTOR

Washington, D.C. \$12,200
www.independentsector.org
 For general support.

NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS

New York, NY \$12,450
www.nyrag.org
 For general support.

NONPROFIT COORDINATING COMMITTEE OF NEW YORK, INC.

New York, NY \$1,500
www.npcnny.org
 For general support.

ROCKEFELLER FAMILY FUND

New York, NY \$1,000
www.rffund.org
 For the Grants Managers Network.

SPONSORS FOR EDUCATIONAL OPPORTUNITY

New York, NY \$10,000
www.seo-usa.org
 For its Career Program in Philanthropy.

Phase-Out of Previous Nonprofit Sector Program

ALLIANCE FOR NONPROFIT MANAGEMENT, INC.

Washington, D.C. \$2,500
www.allianceonline.org

Toward the Alliance's share of the costs of negotiations between the Alliance and the National Council of Nonprofit Associations.

BOARDSOURCE

Washington, D.C. \$50,000
www.boardsource.org
 For general support.

INDEPENDENT SECTOR

Washington, D.C. \$75,000
www.independentsector.org
 For its National Panel on the Nonprofit Sector.

NATIONAL CENTER FOR BLACK PHILANTHROPY, INC.

Washington, D.C. \$25,000
www.ncfbp.net
 For general support.

NATIONAL CENTER ON NONPROFIT ENTERPRISE, INC.

Arlington, VA \$30,000
www.nationalcne.org
 For general support.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK

New York, NY \$25,000
www.cuny.edu

For a project of the Center on Philanthropy and Civil Society of the Graduate School and University Center to assess the feasibility of establishing an independent think tank on philanthropy.

WORLD AFFAIRS COUNCIL OF NORTHERN CALIFORNIA

San Francisco, CA \$25,000
www.wacsf.org
 For its project, the Global Philanthropy Forum.



Applying for a Grant

To qualify for a grant from the Rockefeller Brothers Fund, 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 the 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 within the Fund's guidelines.

Grant seekers are encouraged to study the guidelines closely and to consult the list of the Fund's recent grants, which can be found online at www.rbf.org. If after reviewing the Fund's program strategies, you believe that the work for which your organization is seeking support would contribute directly to the Fund's goals, you should send a preliminary letter of inquiry. This will allow the Fund to determine whether its present interests and funds permit consideration of the request. Please do not submit a full proposal until you are invited to do so.

Letters of inquiry, which should not be more than two or three pages in length, must include:

- a succinct description of the organization or project for which support is being sought;
- the RBF program area or areas under which the work falls and the specific RBF grantmaking strategy to which it relates;
- a brief background of the organization submitting the letter of inquiry and information about the principal staff members involved, including full contact information;
- the intended outcomes of the proposed activity; and
- a synopsis of the budget, with an indication of the amount requested from the Fund.

Letters of inquiry are accepted in English only, and are strongly encouraged to be submitted via email to grants@rbf.org. While the Fund will continue to accept letters of inquiry via regular mail and fax, such submissions will take longer to process than those

received by email. If the letter can not be emailed, it should be addressed to Benjamin R. Shute, Jr., Secretary, at the offices of the Fund.

Rockefeller Brothers Fund
437 Madison Avenue, 37th Floor
New York, New York 10022-7001

After receiving the letter, foundation staff may invite the grantseeker to submit a full proposal. There are no application forms and the review of inquiries is ongoing throughout the year. Please note that separate application guidelines and deadlines exist for the New York City Arts & Culture program (please see the specific grantmaking guidelines for details) and for the RBF Fellowships for Students of Color Entering the Teaching Profession. Please note that the Fund accepts applications for the Fellowships only from participating colleges and universities, not directly from interested individuals. A list of participating institutions can be found at www.rbf.org.

The Grantmaking Process

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. On average, the review process takes 30 days from the time the inquiry is received. If there is interest in considering a grant, staff members will ask for additional information, including a detailed proposal, and almost certainly for a meeting with representatives of the grantseeking organization.

When requested by program staff, a detailed proposal should include a complete description of the purpose of the organization or project; the background and the research that have led to the development of the proposal; the methods by which the work is to be carried out; the qualifications and experience of the organization's or project's principal staff members; a detailed, carefully prepared, and realistic budget; and a list of those who serve as board members of the organization and/or advisers to the project.

Attached to each proposal must be a copy of the organization's tax exemption letter from the Internal Revenue Service, dated after 1969, and a copy of its most recent financial statements, preferably independently audited.

Grants are generally awarded by the trustees, who meet quarterly.

Each grantee is required to submit financial and narrative reports at specified intervals and at the end of the grant period. In addition, RBF staff members follow grants throughout their life cycle and evaluate them at their conclusion. Grant reports and evaluations become part of the Fund's permanent records.

Regrettably, the RBF is able to support only a fraction of the great number of worthwhile inquiries that it receives. For example, in 2004, the Fund received over 2,300 grant inquiries but awarded 319 grants. In addition, a majority of these grants (60 percent) were made to organizations with which the RBF already had a funding relationship. Although the Fund has made substantial gifts to organizations and programs in which it has considerable interest, the average grant size is \$75,000, often payable over more than one year but typically not more than three. For more information about the size and duration of the Fund's grants, which differ from program to program, please see the "Overview of RBF Programs" section of this report.

In all of its grantmaking, the Fund is keenly interested in fresh approaches, wide applicability, and lasting impact. It is open to providing both general operating support and project-specific grants. The RBF is a proactive grantmaker—that is, program staff often seek out opportunities that will advance the Fund's long-term goals. We favor a flexible approach to grantmaking; however, we do not make grants that support individuals, biomedical research, or scholarships. Furthermore, we only support conferences, symposia, publications, and documentaries that are integral to or an outgrowth of one of the Fund's programs.

Additional Information

The RBF maintains a Web site, at www.rbf.org, that includes information about the Fund's grantmaking guidelines, descriptions of recent grants, and a list of publications, many of which are available online.

In addition, the RBF submits information about its grantmaking on a regular basis to the Foundation Center for inclusion in its print and electronic resources. The Foundation Center provides free access to a core collection of its publications and CD-ROMs through a network of reference libraries in New York; Washington, D.C.; Atlanta; Cleveland; and San Francisco, as well as Cooperating Collections in more than 200 locations nationwide. Information about the location of Cooperating Collections can be obtained from the Foundation Center by calling 1-800-424-9836.

Management and Operations

Rockefeller Brothers Fund
2004

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Executive Vice President's Report

Boosting RBF's Grantmaking

For the first time since 2000, the Rockefeller Brothers Fund was able to boost its grantmaking by a material amount in 2004. This resulted from a continuation of the recovery in investment performance that began in 2003, coupled with careful attention to administrative spending.



William F.
McCalpin

The RBF's core grantmaking activity is financed by the Principal Fund and two smaller special purpose funds (the Ramon Magsaysay Award Foundation Fund and the Asian Projects Fund) that together account for 91.5 percent of the foundation's investment assets. The remaining 8.5 percent is dedicated to supporting the Pocantico Historic Area, an historic property that the RBF maintains under an agreement with the National Trust for Historic Preservation.

In 2004, grant payments totaled \$22,900,000, up \$3,300,000 or 17.2 percent from the preceding year. This was a welcome change from declining grant budgets in the earlier years of the decade. And, it greatly facilitated additional grantmaking in some of the newer areas of programming that came on line in 2003, including portions of the Democratic Practice and Peace and Security programs as well as the Fund's involvement in Serbia and Montenegro. A detailed profile of the foundation's grantmaking across all areas of interest can be found in the section of this publication entitled "Overview of RBF Programs" that begins on page 23.

Administrative spending in support of grantmaking declined slightly from 2003 to 2004. This was due primarily to the nonrecurring nature of certain expenses that were incurred in 2003 in connection with a staff reorganization in late 2002. Administrative expenditures accounted for 17.6 percent of total spending on core grantmaking operations in 2004. Excluded from the calculation of administrative expenditures here is direct charitable

activity (DCA), which we track closely through the year and report separately from administrative expenses on the foundation's tax return. An example of DCA is the time that staff members contribute to relationships with grantee organizations over and above what is associated with routine grant monitoring. This has long been a hallmark of the Fund's philanthropic style.

Expenditures in support of Pocantico programs increased by nearly 14 percent between 2003 and 2004. The growth enabled several important capital improvement projects on the property as well as additional conferencing activity. Pocantico spending has a very different profile than that for the Fund's grantmaking since property maintenance and capital expenditures account for more than half of the total annual budget. More detail on the Pocantico programs—property stewardship, conferencing, and public visitation—can be found in the section of this report that begins on page 73.

Strong investment performance pushed the market value of the RBF endowment higher, even after the withdrawals required to finance a material increase in grantmaking and Pocantico spending. The market value of investment assets increased from \$680,000,000 at the beginning of the year to \$742,000,000 at year-end. The total investment return, net of fees, was 14.7 percent in 2004. This was not as strong as the 24.9 percent of the preceding year but considerably better than what had been anticipated when the year began and probably more than what

should be expected for the next several years. The Fund's finance committee continued to diversify the mix of assets in the investment portfolio during 2004 in order to position the RBF in the best possible way for what is likely to be a lower return environment in the years immediately ahead.

Combining the Fund's grantmaking and Pocantico programs, philanthropic expenditures totaled \$33,486,000 in 2004, up from \$29,314,000 in 2003. This includes all administrative spending but not investment-related expenses and taxes. When the latter are added, the resulting spending rate for 2004 was 5.68 percent, using an approach where spending is expressed as a percentage of total investment assets at the beginning of the year. If spending is calculated alternatively as a percentage of the average market value of investment assets during the year, the rate for last year was 5.55 percent.

Beyond these financial highlights, two other developments at the RBF in 2004 merit mention here. First, we made good headway last year with implementing the recommendations that resulted from a special initiative on foundation performance assessment in 2003. One of the products of this effort is a new annual statistical review of the Fund's operations. We prepared the first version of this report in March 2004. The much improved second version was completed in March 2005 and can be viewed on the RBF Web site (www.rbf.org). The report, which focuses on the foundation's output

(grantmaking + conferencing activity), greatly strengthens our capacity to periodically step back from day-to-day priorities, view our work in a longer term timeframe, and talk together about useful refinements and improvements. We think it also allows the general public to have a better understanding of who we are and what we do.

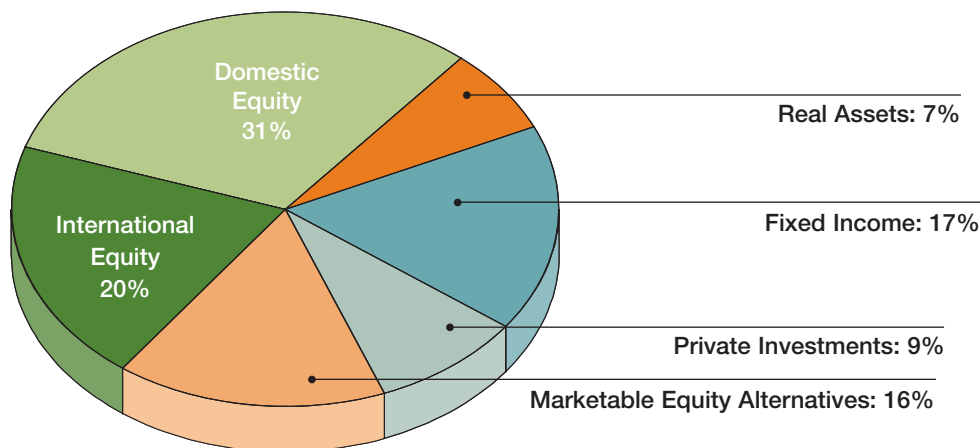
Finally, during the second half of 2004, the RBF took important, initial steps toward achieving more alignment between management of the foundation's investment assets and pursuit of its mission. As noted in the chairman's essay at the beginning of this volume, a new committee of the board of trustees was constituted for this purpose. It decided to focus initially on proxy voting. The committee felt that it would be worthwhile for the RBF to have guidelines for voting proxies that were shaped by both the principles of conscientious financial stewardship and the foundation's values and philanthropic interests. An advanced draft of the guidelines was completed by the end of the year. The final text should be available on the RBF Web site by late fall 2005. The committee is now building on its early experience with proxy voting to explore other opportunities for harmonizing investment practices with the Fund's philanthropic mission.

William F. McCalpin

William F. McCalpin
Executive Vice President

RBF Asset Allocation

(as of 12/31/04)



Financial Report

Report of Independent Auditors

TO THE BOARD OF TRUSTEES OF THE ROCKEFELLER BROTHERS FUND, INC.

We have audited the accompanying combined statements of financial position of the Rockefeller Brothers Fund, Inc. and Affiliate (the Fund) as of December 31, 2004 and 2003, and the related combined statements of activities and cash flows for the years then ended. These combined financial statements are the responsibility of the Fund's management. Our responsibility is to express an opinion on these combined financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes consideration of internal control over financial reporting as a basis for designing audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the Fund's internal control over financial reporting. Accordingly, we express no such opinion. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the combined financial statements referred to above present fairly, in all material respects, the financial position of the Rockefeller Brothers Fund, Inc. and Affiliate as of December 31, 2004 and 2003, and the changes in their net assets and their cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

Our audits were made for the purpose of forming an opinion on the basic combined financial statements taken as a whole. The schedule of functional expenses (Schedule I) is presented for purposes of additional analysis and is not a required part of the basic combined financial statements. Such information has been subjected to the auditing procedures applied in the audit of the 2004 basic combined financial statements and, in our opinion, is fairly stated in all material respects in relation to the 2004 basic combined financial statements taken as a whole.

KPMG LLP
New York, New York
May 6, 2005

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

December 31, 2004 and 2003

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	2004 RBF Funds	2003 RBF Funds
ASSETS							
Cash	\$302,453	\$1,051	\$—	\$—	\$—	\$303,504	\$1,124,782
Accounts receivable	626,992	—	—	—	—	626,992	907,127
Contributions receivable	—	—	13,539,872	—	—	13,539,872	13,694,872
Interest and dividends receivable	886,540	129,239	—	9,059	8,230	1,033,068	1,161,402
Due from brokers and dealers	5,622,103	739,550	52,538	48,377	45,868	6,508,436	649,330
Investments, at fair value	667,883,619	64,257,284	285,506	4,125,524	3,800,253	740,352,186	680,292,271
Program-related investments:							
Program mortgage loans	1,853,103	—	—	—	—	1,853,103	2,060,009
Real estate	510,000	—	—	—	—	510,000	510,000
Prepaid expenses	411,269	—	—	—	—	411,269	175,303
Fixed assets, net	1,942,156	6,355,474	—	—	—	8,297,630	9,106,426
Interfund	<880,702>	<1,453,485>	2,937,657	<427,905>	<175,565>	—	—
Total assets	<u>\$679,157,533</u>	<u>\$70,029,113</u>	<u>\$16,815,573</u>	<u>\$3,755,055</u>	<u>\$3,678,786</u>	<u>\$773,436,060</u>	<u>\$709,681,522</u>

See accompanying notes to combined financial statements.

COMBINED STATEMENTS OF FINANCIAL POSITION

(continued)

	2004 Asian Cultural Council, Inc.	2003 Asian Cultural Council, Inc.	Combined Total 2004	Combined Total 2003
ASSETS				
Cash	\$491,403	\$169,609	\$794,907	\$1,294,391
Accounts receivable	89,552	67,414	716,544	974,541
Contributions receivable	670,050	403,250	14,209,922	14,098,122
Interest and dividends receivable	100,493	99,671	1,133,561	1,261,073
Due from brokers and dealers	—	—	6,508,436	649,330
Investments, at fair value	34,393,984	33,755,498	774,746,170	714,047,769
Program-related investments:				
Program mortgage loans	—	—	1,853,103	2,060,009
Real estate	—	—	510,000	510,000
Prepaid expenses	330,221	—	741,490	175,303
Fixed assets, net	23,582	26,066	8,321,212	9,132,492
Interfund	—	—	—	—
Total assets	<u>\$36,099,285</u>	<u>\$34,521,508</u>	<u>\$809,535,345</u>	<u>\$744,203,030</u>

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

December 31, 2004 and 2003

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	2004 RBF Funds	2003 RBF Funds
LIABILITIES AND NET ASSETS							
Liabilities:							
Accounts payable and accrued liabilities	\$3,347,728	\$61,907	\$6,387	\$2,004	\$1,925	\$3,419,951	\$3,517,606
Due to brokers and dealers	87,280	271,991	–	18,890	20,595	398,756	1,076,743
Grants payable	19,719,626	–	–	–	–	19,719,626	15,784,998
Deferred taxes payable	2,985,599	–	–	–	–	2,985,599	2,074,799
Total liabilities	26,140,233	333,898	6,387	20,894	22,520	26,523,932	22,454,146
Commitments							
Net assets:							
Unrestricted	653,017,300	69,695,215	–	3,734,161	3,656,266	730,102,942	670,879,330
Temporarily restricted	–	–	8,914,186	–	–	8,914,186	8,453,046
Permanently restricted	–	–	7,895,000	–	–	7,895,000	7,895,000
Total net assets	653,017,300	69,695,215	16,809,186	3,734,161	3,656,266	746,912,128	687,227,376
Total liabilities and net assets	\$679,157,533	\$70,029,113	\$16,815,573	\$3,755,055	\$3,678,786	\$773,436,060	\$709,681,522

See accompanying notes to combined financial statements.

COMBINED STATEMENTS OF FINANCIAL POSITION

(continued)

	2004 Asian Cultural Council, Inc.	2003 Asian Cultural Council, Inc.	Combined Total 2004	Combined Total 2003
LIABILITIES AND NET ASSETS				
Liabilities:				
Accounts payable and accrued liabilities	\$1,231,352	\$906,839	\$4,651,309	\$4,424,445
Due to brokers and dealers	—	1,000,000	398,756	2,076,743
Grants payable	634,072	802,229	20,353,698	16,587,227
Deferred taxes payable	—	—	2,985,599	2,074,799
Total liabilities	1,865,424	2,709,068	28,389,356	25,163,214
Commitments				
Net assets:				
Unrestricted	17,935,837	15,665,471	748,038,779	686,544,801
Temporarily restricted	1,466,111	1,315,056	10,380,297	9,768,102
Permanently restricted	14,831,913	14,831,913	22,726,913	22,726,913
Total net assets	34,233,861	31,812,440	781,145,989	719,039,816
Total liabilities and net assets	\$36,099,285	\$34,521,508	\$809,535,345	\$744,203,030

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

Years Ended December 31, 2004 and 2003

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	2004 RBF Funds	2003 RBF Funds
CHANGES IN UNRESTRICTED NET ASSETS:							
OPERATING REVENUES							
Dividend income	\$5,622,116	\$532,793	\$-	\$31,231	\$31,231	\$6,217,371	\$6,042,065
Interest income	3,050,015	288,516	-	16,912	16,912	3,372,355	3,827,072
Other income	608,998	2,598	-	152	152	611,900	648,692
Contributions	58,700	-	-	-	-	58,700	51,000
Special events, net of expenses of \$433,816	-	-	-	-	-	-	-
Net assets released from restrictions	-	-	14,595	-	-	14,595	12,384
Transfer of net assets	-	-	-	-	-	-	<1,721,033>
	9,339,829	823,907	14,595	48,295	48,295	10,274,921	8,860,180
OPERATING EXPENSES							
Direct charitable activities	1,463,975	2,970,029	-	-	-	4,434,004	4,126,723
Program and grant management	30,277,169	-	-	231,978	144,909	30,654,056	23,630,453
Investment management	3,599,909	386,645	14,595	15,864	15,864	4,032,877	3,599,536
General management	3,039,885	545,808	-	-	-	3,585,693	4,130,408
Federal excise and other taxes	2,045,884	27,740	-	-	-	2,073,624	2,759,702
	40,426,822	3,930,222	14,595	247,842	160,773	44,780,254	38,246,822
<Deficiency> of operating revenues over operating expenses	<\$31,086,993>	<\$3,106,315>	\$-	<\$199,547>	<\$112,478>	<\$34,505,333>	<\$29,386,642>

See accompanying notes to combined financial statements.

COMBINED STATEMENTS OF ACTIVITIES

(continued)

	2004 Asian Cultural Council, Inc.	2003 Asian Cultural Council, Inc.	Combined Total 2004	Combined Total 2003
CHANGES IN UNRESTRICTED NET ASSETS:				
OPERATING REVENUES				
Dividend income	\$294,721	\$165,903	\$6,512,092	\$6,207,968
Interest income	163,681	238,854	3,536,036	4,065,926
Other income	86,928	84,257	698,828	732,949
Contributions	647,789	602,145	706,489	653,145
Special events, net of expenses of \$433,816	699,495	—	699,495	—
Net assets released from restrictions	1,437,021	1,503,992	1,451,616	1,516,376
Transfer of net assets	—	—	—	<1,721,033>
	3,329,635	2,595,151	13,604,556	11,455,331
OPERATING EXPENSES				
Direct charitable activities	—	—	4,434,004	4,126,723
Program and grant management	2,578,859	2,717,558	33,232,915	26,348,011
Investment management	321,587	191,477	4,354,464	3,791,013
General management	791,493	711,671	4,377,186	4,842,079
Federal excise and other taxes	28,509	26,056	2,102,133	2,785,758
	3,720,448	3,646,762	48,500,702	41,893,584
<Deficiency> of operating revenues over operating expenses	<\$390,813>	<\$1,051,611>	<\$34,896,146>	<\$30,438,253>

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

Years Ended December 31, 2004 and 2003

	Principal Fund	Pocantico Fund	Pocantico II Fund	Ramon Magsaysay Award Foundation Fund	Asian Projects Fund	2004 RBF Funds	2003 RBF Funds
NONOPERATING ACTIVITIES							
Net realized gain from securities sales	\$47,505,580	\$4,547,559	\$—	\$266,562	\$266,562	\$52,586,263	\$25,032,160
Unrealized gain/<loss> on investments	36,889,425	3,450,323	—	202,246	202,246	40,744,240	104,807,089
Minimum pension liability	398,442	—	—	—	—	398,442	<1,084,612>
	84,793,447	7,997,882	—	468,808	468,808	93,728,945	128,754,637
Increase in unrestricted net assets	53,706,454	4,891,567	—	269,261	356,330	59,223,612	99,367,995
Changes in temporarily restricted net assets:							
Dividend income	—	—	28,732	—	—	28,732	25,484
Interest income	—	—	15,559	—	—	15,559	16,086
Other income	—	—	140	—	—	140	233
Contributions	—	—	—	—	—	—	8,000,000
Special events, net of expenses of \$433,816	—	—	—	—	—	—	—
Net realized and unrealized gain on investments	—	—	431,304	—	—	431,304	547,627
Net assets released from restrictions	—	—	<14,595>	—	—	<14,595>	<12,384>
Transfer of net assets	—	—	—	—	—	—	<124,000>
Increase in temporarily restricted net assets	—	—	461,140	—	—	461,140	8,453,046
Changes in permanently restricted net assets							
Contributions	—	—	—	—	—	—	6,049,967
Transfer of net assets	—	—	—	—	—	—	1,845,033
Increase in permanently restricted net assets	—	—	—	—	—	—	7,895,000
Increase in net assets	53,706,454	4,891,567	461,140	269,261	356,330	59,684,752	115,716,041
NET ASSETS beginning of year	599,310,846	64,803,648	16,348,046	3,464,900	3,299,936	687,227,376	571,511,335
NET ASSETS end of year	\$653,017,300	\$69,695,215	\$16,809,186	\$3,734,161	\$3,656,266	\$746,912,128	\$687,227,376

See accompanying notes to combined financial statements.

COMBINED STATEMENTS OF ACTIVITIES

(continued)

	2004 Asian Cultural Council, Inc.	2003 Asian Cultural Council, Inc.	Combined Total 2004	Combined Total 2003
NONOPERATING ACTIVITIES				
Net realized gain from securities sales	\$3,169,097	\$972,882	\$55,755,360	\$26,005,042
Unrealized gain/<loss> on investments	<507,918>	2,876,318	40,236,322	107,683,407
Minimum pension liability	—	—	398,442	<1,084,612>
	2,661,179	3,849,200	96,390,124	132,603,837
Increase in unrestricted net assets	2,270,366	2,797,589	61,493,978	102,165,584
Changes in temporarily restricted net assets:				
Dividend income	100,876	64,518	129,608	90,002
Interest income	56,025	92,887	71,584	108,973
Other income	—	—	140	233
Contributions	387,301	845,449	387,301	8,845,449
Special events, net of expenses of \$433,816	133,000	—	133,000	—
Net realized and unrealized gain on investments	910,874	1,496,911	1,342,178	2,044,538
Net assets released from restrictions	<1,437,021>	<1,503,992>	<1,451,616>	<1,516,376>
Transfer of net assets	—	—	—	<124,000>
Increase in temporarily restricted net assets	151,055	995,773	612,195	9,448,819
Changes in permanently restricted net assets:				
Contributions	—	—	—	6,049,967
Transfer of net assets	—	—	—	1,845,033
Increase in permanently restricted net assets	—	—	—	7,895,000
Increase in net assets	2,421,421	3,793,362	62,106,173	119,509,403
NET ASSETS beginning of year	31,812,440	28,019,078	719,039,816	599,530,413
NET ASSETS end of year	\$34,233,861	\$31,812,440	\$781,145,989	\$719,039,816

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

Years Ended December 31, 2004 and 2003

	2004	2003
CASH FLOWS FROM OPERATING ACTIVITIES		
Increase/<decrease> in net assets	\$62,106,173	\$119,481,970
Adjustments to reconcile increase/<decrease> in net assets to net cash used in operating activities:		
Net realized and unrealized <gain>/loss on investments	<97,333,860>	<135,732,987>
Depreciation and amortization	1,296,272	1,253,131
Contributions for permanent endowment	—	<5,826,097>
<Increase>/decrease in accounts receivable	257,997	<353,926>
<Increase>/decrease in contributions receivable	<111,800>	<8,000,000>
<Increase>/decrease in interest and dividends receivable	127,512	346,345
<Increase>/decrease in prepaid expenses	<531,902>	949,758
Increase/<decrease> in grants payable	3,766,471	602,955
Increase/<decrease> in accounts payable and accrued liabilities	192,573	1,349,029
Increase/<decrease> in deferred taxes payable	910,800	2,074,799
Net cash used in operating activities	<29,319,764>	<23,855,023>
CASH FLOWS FROM INVESTING ACTIVITIES		
Proceeds from sales of investments	526,630,543	546,540,484
Purchases of investments	<489,995,084>	<508,011,216>
<Increase>/decrease in due from brokers and dealers	<5,859,106>	16,283,677
Increase/<decrease> in due to brokers and dealers	<1,677,987>	<32,092,562>
Reductions of program-related investment	206,906	137,991
Purchases of fixed assets	<484,992>	<255,057>
Net cash provided by investing activities	28,820,280	22,603,317
Net increase/<decrease> in cash	<499,484>	<1,251,706>
Cash at beginning of year	1,294,391	2,546,097
Cash at end of year	\$794,907	\$1,294,391

See accompanying notes to combined financial statements.

NOTES TO COMBINED FINANCIAL STATEMENTS

December 31, 2004 and 2003

1. Organizations and purpose

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

The Board of Trustees has established the following special purpose funds. Funding of these special purpose funds has come from transfers from the Principal Fund as well as donor contributions.

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

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

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

Asian Projects Fund: Income to be used for a period of 20 years from inception in 1987 for special projects that exemplify the spirit of the Ramon Magsaysay Awards and Asian program concerns of the Fund.

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

2. Summary of significant accounting policies

The financial statements of the Fund and ACC have been prepared on the 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 combined statements of financial position and combined statements

of activities separately break out the special purpose funds and ACC. All significant interfund balances and transactions are eliminated in combination.

The Fund considers net realized gains and losses from securities sales, unrealized gains and losses on investments, and minimum pension liability to be nonoperating activities.

Investments: Investments in marketable 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 alternative investments are reported at fair value on the basis of the Fund's equity in the net assets of such partnerships as determined by the general partners. In certain instances, portions of the underlying investment portfolios of the alternative investments contain nonmarketable or thinly traded investments, which have been recorded at fair value as determined by management of the alternative investments. As of December 31, 2004 and 2003, approximately \$150,000,000 and \$142,000,000, respectively, of the Fund's investments in alternative investments were recorded at fair value as determined by the funds' management or their designee, which might differ significantly from the market value that would have been used had a readily available market for the investment existed.

Investments of the Principal Fund, Pocantico Fund, Pocantico II Fund, Ramon Magsaysay Award Foundation Fund, and Asian Projects Fund are pooled; interest and dividend income and realized and unrealized gains or losses are allocated to each fund using the unitized investment method.

Grants payable: Grants are recorded at the time of approval by the trustees and notification to the recipient. The Fund and ACC estimate that the grants payable balance as of December 31, 2004 will be paid as follows:

Year ending December 31	
2005	\$12,751,698
2006	4,988,800
2007	1,555,600
2008	703,600
2009	354,000
Total:	\$20,353,698

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

Tax status: The Fund is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code and has been classified as a "private foundation." Provision has been made for the Federal excise tax on investment income.

ACC is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code, and has been determined to be a publicly supported organization.

Fixed assets: The Fund capitalizes fixed assets which include leasehold improvements, furniture and fixtures, and office equipment. Depreciation and amortization of the fixed assets are provided over the following estimated useful service lives: leasehold improvements: life of lease; office equipment: 7 years; computer equipment: 5 years; computer software: 4 years. Fixed assets are presented net of accumulated depreciation and amortization of approximately \$12,839,000 and \$11,542,000, respectively, at December 31, 2004 and 2003.

Contributions: Contributions, including unconditional promises to give, are recognized in the period received.

Functional expenses: The Fund and ACC report expenses on a functional basis, with all expenses charged either to a particular program or supporting service. Direct charitable activities and program and grant management comprise the Fund and ACC's program related expenses and investment management and general management comprise the supporting activity expenses. Direct charitable activities include technical assistance provided to other charitable organizations, service of Fund staff on boards and committees of such organizations, and the costs of certain program-related projects undertaken directly by the Fund rather than through grants, including stewardship of the Pocantico Historic Area and conference activity at the Pocantico Conference Center. Overhead expenses, including occupancy, telephone, and insurance, are allocated to functional areas based upon space used or actual usage, if specifically identifiable. The allocation of salary and related expenses for management and supervision of program service functions are made by management based on the estimated time spent by executives in the various program service functions.

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

Basis of presentation: Net assets and revenues, expenses, gains, losses, and other support are classified based on the existence or absence of donor-imposed restrictions. Accordingly, the net assets of the Fund and changes therein are classified and reported as follows:

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 combined statements 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 combined statements of activities as either temporarily restricted or unrestricted income.

Revenues are reported as increases in unrestricted net assets unless their use is limited by donor-imposed restrictions. Expenses are recorded as decreases in unrestricted net assets. Gains and losses on assets or liabilities are reported as increases or decreases in unrestricted net assets unless their use is restricted by explicit donor stipulation or by law.

3. Investments

Fair value of investments at December 31, 2004 and 2003 are summarized as follows:

	2004	2003
Short-term investments	\$22,282,080	\$25,640,984
Stocks	435,612,801	413,355,049
Bonds	83,557,934	83,625,682
Alternative investments	233,291,355	191,412,034
Foreign currency fluctuations	2,000	14,020
	<u>\$774,746,170</u>	<u>\$714,047,769</u>

Through a certain investment manager, the Fund purchases and sells warrants, exchange-traded options and financial futures contracts. The Fund's exposure to these instruments totaled approximately \$20,000,000 at December 31, 2004. As of December 31, 2003, there were no such transactions outstanding.

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

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

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

4. Program-related investments

The Fund's program-related investments have limited or no marketability. These investments and real estate are stated at the lower of cost or estimated fair value. The Fund's real estate has been leased rent-free to a not-for-profit organization under the terms of an agreement which expires in the year 2056.

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

note initially charged interest on the unpaid principal at the rate of 6 percent per year; such interest accrued beginning January 1, 1995. The interest rate was reduced in 1999 to 3 percent for the remaining term of the loan. In 2004, the interest rate was further reduced to 1 percent. 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 2004.

5. Pension plan

The Fund and ACC participate in the Retirement Income Plan for Employees of Rockefeller Brothers Fund, Inc., et al. ("the Plan"), a noncontributory defined benefit plan covering substantially all its

employees. Effective December 31, 2003, the Plan was frozen. The following table sets forth the Plan's funded status and amounts recognized in the financial statements at December 31, 2004 and 2003 and for the years then ended:

Actuarial present value of benefit obligations:	2004	2003
Accumulated benefit obligation	\$7,287,613	\$7,095,637
Projected benefit obligation for services rendered to date	7,287,613	\$7,095,637
Plan assets at fair value	6,381,747	6,228,141
Funded status	<905,866>	<867,496>
Intangible asset	<587,188>	—
Unrecognized prior service cost	587,188	—
Unrecognized net loss	741,332	1,163,804
Unamortized transitional net asset	<55,162>	<79,192>
Additional minimum pension liability adjustment	<686,170>	<1,084,612>
Pension liability	<\$905,866>	<\$867,496>
Net pension cost included the following components:		
Service cost—benefits earned during period	\$—	\$517,592
Interest cost on projected benefit obligation	433,686	465,021
Actual return on plan assets	<506,897>	<363,686>
Net amortization and deferral	31,234	171,987
Additional curtailment loss	52,634	340,638
Net periodic pension cost	\$10,657	\$1,131,552

The weighted-average discount rates used in determining the actuarial present value of the projected benefit obligation were 6.25 percent and 6.75 percent in 2004 and 2003, respectively. The weighted-average discount rates used in determining the period's benefit costs were 6.75 percent and 8.5 percent in 2004 and 2003, respectively. The expected long-term rate of return on assets was 8.5 percent in 2004 and 2003. Because the accumulated benefit obligation exceeds the fair value of plan assets at December 31, 2004 and 2003, an additional minimum pension liability adjustment of <\$398,442> and \$1,084,612, respectively, has been recorded. Contributions of \$161,000 and \$612,000 were made to the Plan in 2004 and 2003, respectively. No contribution is expected to be required in 2005.

The plan assets are currently invested in mutual funds with an allocation of 70 percent equity and 30 percent debt securities. The Fund's investment goal is to obtain a competitive risk adjusted return on the pension plan assets commensurate with prudent investment practices and the plan's responsibility to provide retirement benefits

for its participants, retirees and their beneficiaries. The Plan's asset allocation targets are strategic and long term in nature and are designed to take advantage of the risk reducing impacts of asset class diversification. Investments within each asset category are further diversified with regard to investment style and concentration of holdings.

The anticipated benefit payments cash flow for the next 10 years is as follows:

Year ending December 31
2005 \$291,124
2006 \$424,816
2007 \$250,834
2008 \$323,624
2009 \$396,650
2010–2014 \$2,530,101

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, 2004 and 2003:

	2004	2003
Accumulated postretirement benefit obligation ("APBO")	\$2,633,263	\$2,850,670
Unrecognized net loss	<365,915>	<730,445>
Accrued postretirement benefit cost	<u>\$2,267,348</u>	<u>\$2,120,225</u>

The net periodic postretirement benefit cost included the following components:

	2004	2003
Service cost	\$137,475	\$140,096
Interest cost	143,599	152,352
Amortization of unrecognized gain/loss>	58	<5,375>
Net periodic postretirement benefit cost	<u>\$281,132</u>	<u>\$287,073</u>

Actual retiree premiums paid by the Fund and ACC during 2004 and 2003 amounted to \$150,000 and \$ 174,000, respectively.

The discount rate assumed in determining the APBO was 6.25 percent in 2004 and in 2003. The weighted average discount rates used in determining the period's benefit costs were 6.25 percent and 6.75 percent in 2004 and 2003, respectively. The medical cost trend rates assumed were 10.0 percent and declining to 6.0 percent over a five-year period for 2004 and 2003. Increasing the assumed medical cost trend rate by one percent each year would result in increases in both the APBO and the net periodic postretirement cost of approximately \$510,000 and \$71,000 in 2004 and \$478,000 and \$66,000 in 2003, respectively.

The anticipated benefit payments cash flow for the next 10 years is as follows:

Year ending December 31
2005:\$125,068
2006:\$134,563
2007:\$120,843
2008:\$129,264
2009:\$142,255
2010–2014:\$805,397

The Medicare Prescription Drug, Improvement and Modernization Act of 2004 (the Act) was signed into law in December 2003. The accumulated postretirement benefit obligation and costs disclosed above include the economic impact associated with the federal subsidy provided by the Act in the amount of \$220,000.

7. Related party transactions

The Fund paid Rockefeller and Co., Inc., fees of approximately \$41,000 in 2004 and \$61,000 in 2003, respectively, for the management of the Fund's qualified pension plans and other services. The Fund was reimbursed approximately \$500,000 in 2004 and \$490,000 in 2003, for the fair value of certain expenses, including accounting and occupancy, by the Rockefeller Family Fund, Inc. The Fund was also reimbursed \$540,000 and \$11,000 in 2004 and \$590,000 and \$9,000 in 2003 for the fair value of certain expenses, including accounting and occupancy, by ACC and the David Rockefeller Fund, respectively. The Fund received reimbursement for the fair value of certain expenses, including accounting, occupancy, capital expenditures and employee benefits, in 2004 and 2003 in the amounts of \$825,000 and \$ 826,000, respectively, from Rockefeller Philanthropy Advisors.

The Fund paid fees of approximately \$1,160,000 in 2004 and 2003 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 2004, the Fund expects to pay the full tax rate and provided for excise taxes at the rate of 2 percent in the amount of \$1,130,000. For 2003, the Fund provided for excise taxes at the rate of 2 percent in the amount of \$ 690,000.

9. Commitments

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

Fiscal Year
2005–2006:\$1,931,000
2007:\$1,945,000
2008:\$1,745,324
2009–2012:\$1,765,000

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

In 2004, the Fund received notice of a demand that it return amounts claimed as overpayments to the Fund in 1995 and 1996 as part of its liquidation of an investment in a certain partnership. The amount of the claim approximates \$2.3 million. Since legal issues underlying this

claim are complex and a fair estimate of the potential liability can not be presently determined, no amount for the claim has been included in these financial statements.

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 2004 and 2003, these costs aggregated approximately \$1,624,000

and \$ 1,617,000, respectively. Under the same agreement, the Fund agreed to conduct a program of public visitation of the Pocantico Historic Area. Historic Hudson Valley was engaged by the Fund to operate this program on its behalf. The public visitation program commenced in April 1994.

Pursuant to its limited partnership agreements, the Fund is committed to contribute approximately \$55,000,000 as of December 31, 2004, in additional capital over the next five years. Unpaid commitments at December 31, 2003, were \$46,000,000.

SCHEDULE I: SCHEDULE OF FUNCTIONAL EXPENSES

For the year ended December 31, 2004

(with Summarized Financial Information for the Year Ended December 31, 2003)

	<u>Direct Charitable Activities</u>							
	General Programs	Pocantico Fund	Subtotal	Program and Grant Management	Investment Management	General Management	2004 RBF Funds	2003 RBF Funds
SALARIES AND EMPLOYEE BENEFITS								
Salaries	\$316,548	\$395,054	\$711,602	\$1,248,604	\$284,986	\$1,284,370	\$3,529,562	\$3,472,551
Employee benefits	149,820	172,924	322,744	590,956	133,711	601,816	1,649,226	2,106,341
	466,368	567,978	1,034,346	1,839,560	418,697	1,886,186	5,178,788	5,578,892
OTHER EXPENSES								
Grants awarded	—	—	—	27,240,395	—	—	27,240,395	20,253,510
Fellowship and leadership— program expenses	174,027	—	174,027	—	—	—	174,027	143,240
Federal excise and other taxes	—	—	—	—	—	2,073,624	2,073,624	2,759,702
Consultants' fees	—	—	—	162,216	15,000	62,482	239,698	451,512
Investment services	—	—	—	—	3,273,595	—	3,273,595	3,014,180
Legal, audit, and professional fees	—	5,956	5,956	74,670	51,051	192,243	323,920	243,882
Travel	24,755	24,380	49,135	307,365	20,600	16,496	393,596	294,918
Rent and electricity	106,410	—	106,410	538,784	109,104	592,661	1,346,959	1,347,751
Program conferences and events	240,981	—	240,981	—	—	—	240,981	240,791
Facilities maintenance and operations	—	1,623,756	1,623,756	—	—	—	1,623,756	1,617,272
Telephone, facsimile, and internet	3,680	15,132	18,812	18,635	5,109	26,284	68,840	93,194
General office expenses	80,298	116,454	196,752	278,628	54,587	301,327	831,294	700,553
Publications	337,467	—	337,467	41,961	—	105,315	484,743	264,918
Fundraising expenses	—	—	—	—	—	—	—	—
Depreciation and amortization	29,989	616,373	646,362	151,843	85,134	402,699	1,286,038	1,242,507
	<u>\$1,463,975</u>	<u>\$2,970,029</u>	<u>\$4,434,004</u>	<u>\$30,654,056</u>	<u>\$4,032,877</u>	<u>\$5,659,317</u>	<u>\$44,780,254</u>	<u>\$38,246,822</u>

SCHEDULE I: SCHEDULE OF FUNCTIONAL EXPENSES

(continued)

	2004 Asian Cultural Council, Inc.	2003 Asian Cultural Council, Inc.	Combined Total 2004	Combined Total 2003
SALARIES AND EMPLOYEE BENEFITS				
Salaries	\$906,722	\$878,149	\$4,436,284	\$4,350,700
Employee benefits	312,022	339,526	1,961,248	2,445,867
	1,218,744	1,217,675	6,397,532	6,796,567
OTHER EXPENSES				
Grants awarded	1,291,312	1,300,872	28,531,707	21,554,382
Fellowship and leadership program expenses	—	—	174,027	143,240
Federal excise and other taxes	28,509	26,056	2,102,133	2,785,758
Consultants' fees	154,768	170,242	394,466	621,754
Investment services	321,587	191,477	3,595,182	3,205,657
Legal, audit, and professional fees	222,364	246,354	546,284	490,236
Travel	75,896	38,712	469,492	333,630
Rent and electricity	178,015	188,603	1,524,974	1,536,354
Program conferences and events	14,854	44,842	255,835	285,633
Facilities maintenance and operations	24,687	18,422	1,648,443	1,635,694
Telephone, facsimile, and internet	13,039	13,950	81,879	107,144
General office expenses	138,903	89,692	970,197	790,245
Publications	26,475	12,385	511,218	277,303
Fundraising expenses	1,061	76,856	1,061	76,856
Depreciation and amortization	10,234	10,624	1,296,272	1,253,131
	\$3,720,448	\$3,646,762	\$48,500,702	\$41,893,584

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Curator

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Director, Fellows Program

Jacqueline Basile
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Boris Wessely
Treasurer

The RBF gratefully acknowledges those staff members who departed in 2004 for their years of service to the Fund.

¹ As of January 7, 2004

² As of December 20, 2004

³ As of May 3, 2004

⁴ Until December 31, 2004

⁵ As of July 8, 2004

⁶ As of January 1, 2004

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