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FOUNDATION DE FRANCE

Divider Title: _____

Dr. Francis Ralph Charhon

Dr. Francis Ralph Charhon is a doctor of medicine and holds a Certificate of Advanced Study in anesthesiology. He studied at the Collège du Montcel at Jouy-en-Josas, Lycée Jean-Baptiste Say, and the Faculté de médecine in Paris.

Dr. Charhon was a doctor and anesthesiologist at Poissy Hospital from 1976-80, and President (1980-82). From 1982 to 1992 he was Director General of Physicians without Borders (Médecins sans frontières, or MSF). In 1986 he founded Epicentre (Center of Research in Epidemiology and International Health) and since 1990 has served as its Honorary President. In 1992 he created the Physicians without Borders Foundation. Since 1992 he has been Director General of the Foundation of France.

His decorations include Chevalier of the National Order of Merit. He is a member of the McLuhan Club.

Francis CHARHON
7 rue Mirabeau
75016 PARIS

Tel. 46 47 55 91
Né le 30 août 1946
2 enfants

EXPERIENCE PROFESSIONNELLE

Janvier 1992 **Directeur Général de la FONDATION DE FRANCE**

Fondation française regroupant 400 fondations
Activité dans tous les secteurs de l'intérêt général (solidarité, santé, recherche scientifique, culture, environnement)
Développe des actions innovantes
Assure les volontés des testateurs
Budget 1995 : 398 MFrancs
Personnel : 80 salariés

Janvier 1995 **Président du CENTRE EUROPEEN DES FONDATIONS à Bruxelles**

Centre regroupant des fondations d'Europe et du Monde qui oeuvrent dans tous les domaines de l'intérêt général

Mai 1980 à Décembre 1991 **MEDECINS SANS FRONTIERES**

Principale organisation humanitaire médicale du monde
Budget : 240 MFrancs (1 MF en 1979)
120 salariés au siège
800 personnes expatriées dans 40 pays

Mai 1982 - Décembre 1991 **Directeur**

1982 - 1984 Met en place l'organisation administrative de l'association.
Fixe la stratégie et les objectifs de l'association
Développe le secteur du mécénat humanitaire
Assure le développement international et la diversification des ressources financières de l'association pour l'ouverture de bureaux à l'étranger
(USA - Japon - Golfe)

1984 Création et direction d'une société de production de films (Etat d'Urgence Production) au service de l'association Médecins Sans Frontières : constitution d'une banque d'images, films de promotion, outils didactiques et réalisation de magazines pour la télévision.

- 1985 Mise en place d'un cycle de formation en Santé Internationale adapté aux besoins de l'association pour mener ses opérations
- 1986 Création et présidence d'un centre d'enseignement, de recherche en épidémiologie à vocation internationale et d'un cabinet d'expertise (Epicentre). Contacts avec les universités françaises et étrangères.
- 1988 Création d'une Fondation "Médecins Sans Frontières" autour d'un comité de chefs d'entreprises. Présidence assurée par M. Jean Dromer, Président de la Financière Agache.
- 1990 Ouverture d'un bureau de représentation aux USA : communication, recherche de fonds, recrutement de médecins.
- 1991 Ouverture d'un Bureau au Japon.

Mai 1980 - Avril 1982 **Président** (fonction bénévole)

Création du bureau exécutif chargé de gérer le siège et les opérations
 Définit les nouvelles orientations de l'association
 Organise le secteur opérationnel chargé des urgences
 Met en place la coopération institutionnelle (CEE, HRC). S'assure de l'obtention et du suivi des contrats de financement.

Juin 1975 - Mai 1980 **HOPITAL DE POISSY**
 Médecin anesthésiste

Janvier 1978 - 1982 Médecin Capitaine du Corps des Sapeurs-Pompiers de Mantes-la-Jolie chargé du contrôle médical des pompiers professionnels scaphandriers autonomes

TITRES UNIVERSITAIRES ET HOSPITALIERS
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Janvier 1973	Docteur en Médecine
23 Octobre 1975	Certificat d'Etudes Spéciales d'Anesthésie-Réanimation
20 Mai 1977	Brevet de Médecin de la Marine Marchande
5 Juillet 1978	Attestation d'étude complémentaire de Médecine Hyperbare
3 Avril 1979	Diplôme universitaire de médecine de la plongée professionnelle et du travail en air comprimé.
Stages : 1987	"Management of Emergency Situations" (Madison, Wisconsin, USA)
1988	Gestion financière de l'entreprise (Sciences Politiques)

Anglais courant

Distinction : Ordre du Mérite le 9 mai 1988

1er Juin 1974 - Déc. 1975 - Service National : Médecin Capitaine Service des Soins Intensifs - Hôpital d'instruction des Armées du Val de Grâce.

Fondation de France
Francis Charhon, Executive Director

Resources

At the end of calendar 1994, Fondation de France had assets totalling roughly US\$60 million. Expenditures (programmatic) for the year were approximately US\$19.3 million.

General

Fondation de France (FdF) was established in 1969 by Charles de Gaulle and Andre Malraux. Its purpose is to encourage, support and develop public interest projects. It has a very favorable tax standing within France, and so is able to attract substantial individual and corporate donations.

Program Structure

The FdF works primarily in France on a wide range of social issues. It does a small amount of giving in developing countries (roughly 10% of total funding in 1994). In developing countries it dispenses funds for environmental protection or emergency relief (e.g. food aid in Rwanda) purposes.

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MACARTHUR

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THE JOHN D. AND CATHERINE T.
MACARTHUR FOUNDATION

Adele Smith Simmons

Adele Simmons is president of the John D. and Catherine T. MacArthur Foundation, one of the nation's largest philanthropic foundations, with assets of more than \$3 billion and annual grants of more than \$140 million. She was named president in May 1989.

The MacArthur Foundation makes grants in health, education, the environment, population, international peace and cooperation, individual creativity, mass communications, the arts, and community development.

Prior to joining the Foundation, Simmons was president of Hampshire College in Amherst, Massachusetts (1977-89), where she was instrumental in developing innovative programs in population and health and in establishing a five-college collaborative program in peace and international security. She was dean of student affairs and assistant professor of history at Princeton University (1972-77) and before that, dean of Jackson College at Tufts University (1970-72).

Simmons serves on the boards of the First Chicago Corporation and the Marsh & McLennan Companies. She is also a board member of the Union of Concerned Scientists and Synergos. She is a member of the Commission on Global Governance which focuses on improving international institutions for global cooperation. She is also a member of the United Nations High-Level Advisory Board on Sustainable Development. Simmons has served as chairman of the Board of Trustees of the Carnegie Foundation for the Advancement of Teaching, as a member of President Carter's Commission on World Hunger, and as a member of President Bush's Commission on Environmental Quality.

A native of Chicago, Simmons graduated from Radcliffe College (B.A., 1963) and earned a doctorate at Oxford University (D.Phil., 1969). She is a specialist in African history and the author of numerous articles on education and public policy. Adele Simmons has received honorary degrees from a number of colleges and universities.

(A detailed resume is available on request.)

KMR/Adele.bio

###4/94

STATEMENTS FROM
FOUNDATION ANNUAL REPORT

About the Foundation

The John D. and Catherine T. MacArthur Foundation is a private, independent grantmaking institution dedicated to helping groups and individuals to improve the human condition. The Foundation makes grants through Foundation-wide initiatives and through eight programs:

The Community Initiatives Program, which supports community development and cultural activities in Chicago, Illinois, and community development, cultural activities, and education in Palm Beach County, Florida.

The Education Program, which focuses on improving education standards and student assessment, supporting the continuing professional development of educators, and furthering the development of critical and creative thinking skills.

The General Program, which undertakes special initiatives and supports projects that promote diversity in the media.

The Health Program, which is devoted primarily to research on mental health and human development and on the biology of parasitic diseases.

The MacArthur Fellows Program, which awards fellowships to exceptionally creative individuals, regardless of field of endeavor.

The Program on Peace and International Cooperation, which seeks to enhance prospects for peace and cooperation through support of training, research, and public education.

The Population Program, which addresses complex issues related to population,

reproductive rights, and women's reproductive health.

The World Environment and Resources Program, which supports conservation, public education, policy studies, and sustainable development projects relating to key environmental issues in the tropics.

Several assumptions underlie the policies of the Foundation: that the most important efforts to improve the human condition are those that seek systematic and sustainable change; that human progress requires reducing inequities in the distribution of power and resources; that the healthy, educated, creative individual is an essential instrument of constructive change; and that the Foundation's effectiveness depends in part on its capacity to learn from others, including grantees, about the problems confronting global society.

The Foundation seeks to create and sustain a culture within the Foundation that is diverse throughout all levels of professional responsibility and with respect to many criteria of difference, including gender, race, ethnicity, nationality, belief, sexual orientation, physical ability, educational background, and professional experience. In forming relation-

ships with other organizations and persons as grantees, advisors, partners, and vendors, the Foundation seeks those who are committed to incorporating a variety of perspectives into their work. Such active involvement of a wide diversity of people and viewpoints is consistent with the Foundation's belief in the importance of pluralism. It is also essential to the Foundation's fulfillment of its mission.

The Foundation was created in 1978 by John D. MacArthur (1897-1978), who developed and owned an array of businesses—principally Bankers Life and Casualty Company as well as considerable property in Florida and New York. His wife Catherine (1909-1981) held positions in many of these companies and served as a director of the Foundation.

**Five-Year Summary
of Grants Authorized
by Program**

1990-1994

\$ in millions

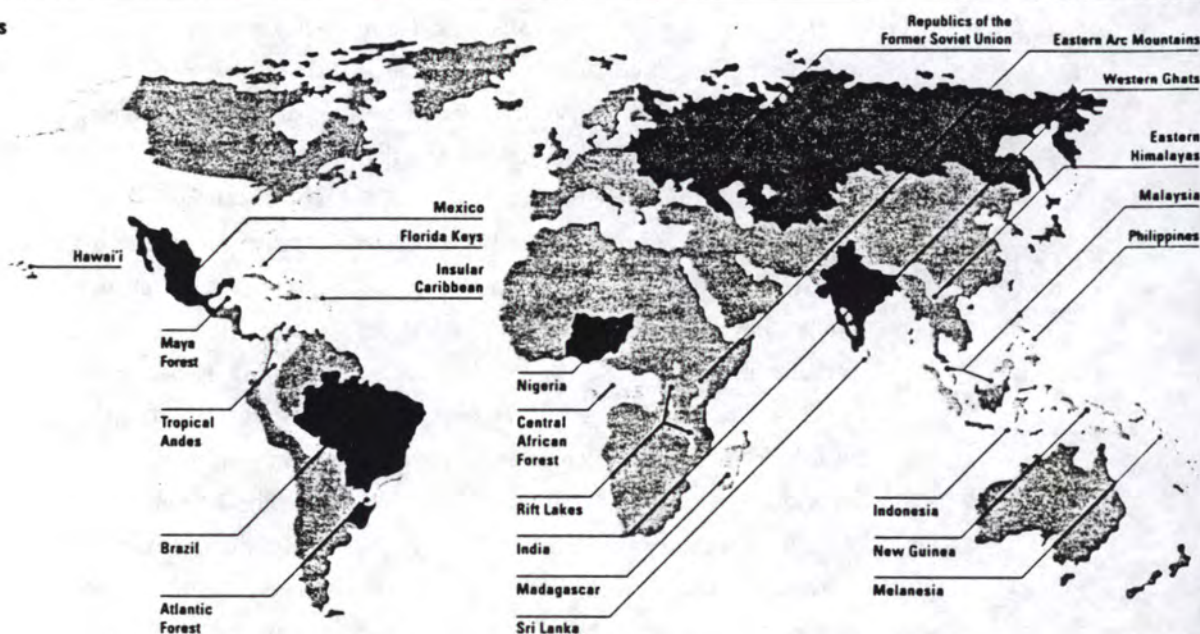
General Program	\$122.2	17
Health Program	112.7	15
Program on Peace and International Cooperation	92.5	13
Community Initiatives Program	84.6	11
World Environment and Resources Program	79.1	11
Population Program	52.8	7
Program-Related Investments	51.4	7
MacArthur Fellows Program	48.2	7
Education Program	47.8	6
Foundation-Wide Initiatives	44.6	6
TOTAL	\$735.9	

**Regions and Countries
of High Priority
In Three MacArthur
Programs**

Environment

Population

Initiative in the
Former Soviet
Union



In 1994 about 40 per cent of grants were made outside the United States. Two programs—the World Environment and Resources Program and the Population Program—focus on selected regions

and countries, as does the Foundation-wide initiative in the former Soviet Union. The map above indicates these regions and countries.

Other programs, especially the Program in Peace and International

Cooperation, also make grants abroad, but because their grants are not concentrated in a few regions and countries, they are absent from the map.

Restoring the Social Fabric: The Case for Collaboration

The United States is experiencing a thinning of the web of relationships of trust and reciprocity that hold a community together and allow for collective action in the common interest. Politically, we seem to be on the verge of doing less, not more, for one another. Part of our horror at an extremist act such as the bombing of the Federal building in Oklahoma City arises from the violence of its rejection of the social contract.

In the aftermath, the outpouring of help and compassion from citizens everywhere reassures us that mutual obligation and affection still persist in American society. But there is evidence that such working together around the common good is less and less common. We are left with the question, What can we do to rebuild the social fabric?

The relationships of mutual responsibility that are developed through families, neighborhoods, unions, clubs, sports, the workplace, and the like have long been recognized as a necessary element in a healthy community. In a neighborhood, town, or country where networks of trust and obligation are weak, productivity and human development are compromised.

For example, sociologist William Julius Wilson has documented how, after middle-class families moved out of certain African-American neighborhoods in Chicago, the very poor who remained lacked the social networks by which they

might be linked to jobs and educational opportunity.

In New York City, researchers William Kornblum and Terry Williams (with support from the MacArthur Research Network on Successful Adolescence) have made important observations about the situation of young people living in four public housing projects. They found that dropping out of school, selling and using illegal drugs, and the commission of other crimes were less common in those projects where they found better social organization. In particular, youngsters were less at risk where tenant associations were flourishing and where there was close coordination between tenants and other groups exercising social control in the neighborhood.

In 1993 Harvard political scientist Robert Putnam provided fascinating new evidence of the importance of what social scientists call "social capital" — the trust and networks of mutual support

and obligation that are found, to some degree, in every society. Putnam studied the introduction of a new form of regional government in Italy in the 1970s. In some regions, the new model worked well, while in others, it failed. In the spring 1993 issue of *The American Prospect*, he explained why the new government worked in some regions: "The best predictor is one that Alexis de Tocqueville might have expected. Strong traditions of civic engagement — voter turnout, newspaper readership, membership in choral societies and literary circles, Lions Clubs, and soccer clubs — these are the hallmarks of a successful region."

Like a rich stock of physical capital or human capital, Putnam goes on to say, social capital is also necessary to productivity. "These communities did not become civic simply because they were rich. Precisely the opposite, the historical record strongly suggests: They have become rich because they were civic. The social capital embodied in norms and networks of civic engagement seems to be a precondition for economic development, as well as for effective government."

Robert Putnam suggests that in the United States over the past 25 years we have seen an erosion of social capital. Fewer Americans are attending PTA meetings and church socials, joining the Jaycees and labor unions, leading Scout troops, and voting. Partly as a result of the entry of women into the paid workforce and the tendency of all wage-earners to work more hours, Americans' involvement with community organizations of nearly every kind is declining. And overall, Putnam notes, there has been a steady decline in trust among us.

The erosion of networks of trust

and of a sense of common interest is expressed in the growing alienation between cities and suburbs, between adults and youth, and between the people and their government. Against this background, two developments deserve our notice and support. One is a new trend in community organizing, and the other is the proliferation of new broad-based collaborations for the public good in communities across the country. By lending these efforts our energetic support, we answer those who tear at the social fabric.

Beyond Adversarial Problem-solving

Community organizers have traditionally helped people in poor neighborhoods press for action from an entity defined as the enemy — often a government agency or official. But now, in community organizing as in other fields, a less adversarial, more cooperative approach is being tried. Organizers today often cannot identify a single actor with the power to effect change, however great the pressure from a neighborhood. Solutions to a neighborhood's problems depend on cooperative work over the long term by community groups, government, business, and others with a stake in the outcome. Even as social capital seems to be eroding, a new kind of organizing based on consensus is emerging.

One leading practitioner of this style is Mike Eichler. In an interview last year, Eichler talked about the steps in consensus organizing. The importance of building new networks of trust is a constant theme.

"First there must be an individual or institution, locally or nationally, with vision, who has an idea for solving a problem. But if you're going to do something local, you cannot have a national

player come in and be the driving force.... That has to shift immediately ... to a local player.

"Then the key local player goes out and sells the idea across the political spectrum.... Those who normally would be interested are not enough.

"The third step is to find a 'surprising partner' ... some person or institution who will raise people's eyebrows — maybe a major player who has been totally inactive.

"The fourth step is to demonstrate evidence of leverage — to prove you have support.... The easiest way to demonstrate serious commitment is through money. The next is direct involvement of high-level people.

"The last step is to demonstrate results."

Eichler makes the point that participants from both the "downtown institutions" (banks, businesses, foundations) and the neighborhood feel isolated, disconnected, and pessimistic about solving the problems confronting their community. "Nobody thinks anybody else cares about making things happen." And "fear is rampant in all the elements we're bringing together." By involving people from all sides of a problem and showing them examples of success, from nearby and elsewhere, organizers help "neighborhoods make connections to the greater community through respect. That connection is extremely powerful, and it's what improves a community."

Collaboration

Adversarial approaches to problem-solving are not obsolete, of course. There may be situations in which citizens are most effectively mobilized and a grievance most quickly redressed by focusing people's

discontent on one responsible party. But our society is being atomized by changes in the family, residential patterns, communications, and employment. Approaches that build on common concerns and values may have a better chance of creating sustainable solutions.

One early example is the collaboration among businesses, county government, and foundations in the Pittsburgh area beginning in the 1980s. They organized new community development corporations and local support organizations to confront the extreme economic decline in the Monongahela Valley. The result was the development not only of housing and other physical assets, but also of strong community organizations and a generation of leaders.

Similarly in Portland, Oregon, community groups, the business sector, farmers, and government officials with a common commitment to the quality of community life have developed an approach to limiting the geographic growth of the city while also protecting livelihoods and the environment.

In Chicago, a recent survey identified more than 30 city-wide or neighborhood-level collaborations, in which diverse individuals and groups are working by consensus toward social change. These collaborations are uniting city agencies, business, and non-profit organizations to prepare youth for college or the workplace; to save natural resources and improve the urban environment; to help young low-income fathers stay involved with their children; and to bring health services, housing, the arts, and a host of other assets to Chicago neighborhoods. Community policing, in Chicago as elsewhere, brings police and neighborhood residents

together to work in partnership to reduce crime and provide a constructive environment for young people.

In Santa Fe, New Mexico, a roundtable of leaders of non-profit groups is working with local financial institutions and the city government to address the need for affordable housing. A difficult problem for any city, in traditionally Hispanic Santa Fe the need for affordable housing has been accentuated by the recent influx of wealthy Anglos. According to the 1990 census, for the first time in Santa Fe history there were more Anglo than Hispanic residents. At the same time, 75 per cent of the native population could not afford housing in Santa Fe. The roundtable (with support from the Pew Charitable Trusts and others) is working to preserve housing units owned by low-income residents and to encourage the development of mixed-income neighborhoods.

Companies, too, have come to recognize the value of social capital and seek to develop it by encouraging collaboration in the workplace. Firms such as Motorola that have found ways to involve workers and management in joint problem-solving have seen, in most cases, an increase in productivity.

A number of newspapers and other media outlets around the country are finding ways to support community efforts at self-renewal through collaboration. One leading example is the *Dallas Morning News*, which in March 1995 published a major eight-day series about citizens' efforts in Dallas and many other cities. The editors point out that the name of the series — "The We Decade: Rebirth of Community" — "comes not just from the current of community building that pulses across the United States, but also from the

growing realization among Americans that our lives and problems are intertwined."

Collaboration is not without its costs. It calls on individuals and organizations to share their scarce resources. They are asked to share control and decision-making authority and to share credit if the venture flourishes. These requirements run counter to the culture of virtually any organization, perhaps government agencies most of all. The partners in a collaboration see the act of entering a relationship of interdependence as a sacrifice of autonomy and accountability. In short, collaboration costs time and puts the partners at risk.

Building Social Capital

Foundations and others seeking to help solve problems, local and global alike, must encourage partnerships between traditional allies and between unlikely partners.

But certain conditions must be created if such partnerships are to flourish. We must strengthen the individuals and the individual organizations that will form these partnerships.

Those entering partnerships must recognize that in collaboration, the total cost of an effort may well be higher than the sum of all working separately. That means that the cost for each partner may be higher than if working alone. These costs are justified, I would argue, by the fact that the goal cannot be reached without collaboration: success, in a sense, costs more than failure. In planning for allocation of resources in connection with a collaborative effort, the extra cost of collaboration must be recognized (by funders, among others).

While the stock of social capital in the United States has shrunk significantly in the past 25 years, it is not exhausted. The cre-

ation of new, nontraditional partnerships should not be our only strategy. We should, at the same time, acknowledge, strengthen, and protect surviving networks of trust working for the common good.

We must also take into account the cost of destroying social capital. Local grassroots organizations in the United States have become expert at pointing out the ways in which efforts at urban renewal have undermined social capital in poor neighborhoods. Organizations in global civil society are beginning to hold the World Bank and other multilateral institutions accountable for one by-product of some of their projects: the destruction of long-time relationships of trust and cooperation in communities affected by development projects.

Cost-benefit calculations by such agencies must include this cost. This is a challenge to economists, among others, who have yet to develop and adopt analytical approaches that take social capital into account.

Like most other resources, social capital

is far easier to preserve than to create. The preservation effort will succeed only if social capital is given value in the political process at local, national, and international levels, and if the many but scattered examples of community collaboration become common practice.

ADELE SIMMONS

President

In 1993 the Donors Forum of Chicago and the MacArthur Foundation launched the Collaboration Project to collect and communicate information about collaboration and to understand the processes through which it occurs. This essay is based in part on work done by the Collaboration Project.

For further information, contact Susan Lloyd, Center for Urban Affairs and Policy Research, Northwestern University, 2040 Sheridan Road, Evanston, IL 60208, tel. (708) 491-3395, fax (708) 491-9916.

For copies of project publications, contact Diane Mikus, Donors Forum of Chicago, 53 West Jackson Blvd., Suite 426, Chicago, IL 60604, tel. (312) 431-0260, fax (312) 431-1113.

Jerome Wiesner 1915 – 1994

On October 21, 1994, Jerome Wiesner died at age 79. Science advisor to President John F. Kennedy and an advisor on science and international issues to other presidents and many institutions, he also served from 1971 until 1980 as president of the Massachusetts Institute of Technology.

Jerome Wiesner was a director of the MacArthur Foundation from 1979 until his death. In that role he was one of the architects of the Foundation's programs in international security, education, and media. He waged peace with intelligence and passion, and he is dearly missed.

Across Programs, Areas of Common Focus

Over the past year, many of the eight programs of the Foundation have modified their activities as part of their continuing evolution. In some cases, there has been a shifting of resources among geographic areas or from one aspect of a problem to another. In others, the program has adopted a relatively new problem as a focus of its work. The primary consideration in each case is how the purpose of the program can best be achieved under the new conditions of the present. But a second consideration plays an important role as well: How the program, while concentrating on its principal purpose, can contribute to Foundation-wide impact on certain issues that concern us but are not the subject of separate programs.

In reporting on the past year, I have emphasized our work on some of these issues, addressed not through a single program, but through several programs. I have taken the topic of children and youth as a case in point, while also describing other areas more briefly. A picture of the Foundation's work is complete only if it combines these distributed themes with the themes that are the focus of the eight programs.

Children and Youth

Of children under six in the United States, one in five lives in poverty, and the percentage is increasing. The United States ranks behind 22 other industrialized countries in

infant mortality. Immunization rates are declining. Gun violence is the leading cause of death among African Americans between 15 and 24 years old. And the suicide rate among adolescents 10 to 14 has risen 120 per cent over the last 12 years.

The complex factors leading to the unhappy prospects for children in the U.S. are a concern to the MacArthur Foundation. Rather than addressing the situation of children and youth through a single program with that focus, the Foundation makes grants through several programs addressing many facets of the problem.

About 12 per cent of grants authorized each year benefit children and youth. Over the last seven years, the total of such grants has been about \$120 million.

The program most explicitly focused on improving the outlook for children and youth is the Education Program. In 1994 the Foundation revised the guidelines of that program to focus on those who are most central to the improvement of

children's in-school education: teachers and principals. Through a three-year, \$2.5 million investment in a joint initiative with the Spencer Foundation, the program will support research on the most promising approaches to the professional development of teachers and principals. The Education Program will also continue its support for the development of improved standards and methods of assessment in education; for research on the teaching of the skills of critical and creative thinking; and for work on ways of financing public education.

In 1994 the Foundation marked the midpoint of its ten-year, \$40 million commitment to supporting reform of the local school system through the Chicago Education Initiative. Under the initiative, the Foundation promotes the involvement of parents and other members of the community in the effort to improve schools; the restructuring of schools and the central administration; and researching and reporting on the impact of school reform.

In the Health Program, several research networks and one major research project focus on children and youth. A recently formed network is seeking to understand the biological, psychological, and cultural factors at play in successful development through childhood, with a special focus on the transition to school. The researchers, from a range of disciplines, are studying how factors in the school, the family, and the community interact to promote success in the early years of schooling.

The Health Program's research network on psychopathology and development is studying, among other issues, what factors allow children with hyperactivity or conduct disorders to return to a normal trajectory.

Why some children become antisocial while others do not is a question that may hold important information for policymakers, educators, and all who would create healthier communities. In 1994, after several years of conceptual work and the testing of the research design, the Project on Human Development in Chicago's Neighborhoods began fieldwork. Through a longitudinal study of 11,000 subjects, the project seeks to understand how community factors influence the development of children and youth.

The transition from school to work is a central concern both in the Chicago Education Initiative mentioned above and in the Community Initiatives Program, which sees youth development as one element in its overall strategy to reduce poverty in Chicago and Palm Beach County. During 1994 the Community Initiatives Program supported, for example, efforts to meet the employment needs of young people, particularly 17- to 21-year-olds who are out of school; and the development of a new center to help students, educators, and employers to prepare young people to enter the labor force. The grant-making in arts and culture under the Community Initiatives Program shares this special orientation to the needs of children and youth. The Foundation believes that the arts, both in school and out, provide young people with opportunities to develop the skills they need to reach their human potential.

These large commitments in three programs to children and youth are reinforced and complemented by a number of grants made through other programs of the Foundation. The General Program, for example, supports organizations seeking to increase the involvement of youth

in public service around the country. (The Community Initiatives Program supports a number of such programs in the Chicago area.)

Working in Brazil, India, Nigeria, and Mexico, the Population Program addresses several issues affecting adolescents. Grants are made, for example, to develop guidelines and materials for sex education in Mexico, for training health workers and others to teach adolescents about family planning in Nigeria, and for research on knowledge and beliefs about AIDS among adolescents in Brazil.

The World Environment and Resources Program recognizes that children and youth are a critical audience for conservation education activities. In many of its grants supporting efforts to preserve biodiversity in selected areas, the program has included funding for the development of curriculum materials and for the development of science education by museums and zoological parks.

In all of its work on children and youth, the Foundation emphasizes reducing the factors that place young people at risk and enhancing the likelihood that children will develop in healthy ways. This orientation to positive youth development — investing in prevention and promotion — expresses the Foundation's overall concern with finding systemic and sustainable approaches to major problems.

Other Areas of Common Concern

One of the conditions for human development and productivity is the protection of the rights of individuals, particularly from abuse by governments. Whether called civil rights in the U.S. or human rights in other countries, these rights are central to peace and to healthy communities. The

Foundation supports work on human rights through several programs, each with a distinctive but complementary approach.

The largest investment is made through an initiative in the General Program, which supports U.S.-based organizations that monitor and report on human rights violations worldwide. By bringing to public notice — and to the notice of other governments — instances in which the rights of citizens are being abused or neglected by their own states, these organizations help end such abuse and create conditions that discourage abuse in the future.

In 1994 the human rights initiative in the General Program extended its focus by developing a special interest in efforts to protect the rights of refugees. With the end of the cold war and the creation of very large populations of refugees unable to find asylum outside their home countries, the world needs new policies and strategies for protecting refugees. For example, women and children constitute a large percentage of the world's refugee population, but most international refugee agencies are led and staffed primarily by men. One organization supported by the Foundation has helped to bring the special needs of women and girls to the attention of the international community, with the result that the treatment of refugee women and girls has begun to improve.

Through the Program on Peace and International Cooperation, under its focus on sustainable democracy, the Foundation seeks to strengthen independent citizen organizations in Mexico and certain countries of Central America. As democracy grows stronger in these countries, a vigorous civil society is essential to its maintenance. Prominent among groups supported in this spirit are local human rights organizations

— often the first voices to be heard when governments abridge the principles of democracy and citizens are put at risk.

The protection of the reproductive rights of women is at the center of the Population Program's work. In 1994 the program helped to ensure that the United Nations' International Conference on Population and Development in Cairo would strengthen global commitment to these rights. The outcome was a plan, agreed to by more than 180 countries, that affirms the right of women to manage the health of their own bodies.

In the environment program, the protection of biodiversity often requires the protection of the rights — particularly land rights — of local populations of farmers.

The new digital telecommunications technologies have confronted all of the programs with opportunities and challenges. In this emerging area of common concern, the programs support efforts to make the new networking capability a practical, affordable tool for the organizations working in each program's field. The peace program, for example, has been a long-time supporter of the Institute for Global Communications. Through PeaceNet and other networks, the institute has developed affordable worldwide electronic com-

munications for scholars and non-profit organizations concerned with creating a sustainable world.

Although MacArthur Fellows are selected without favoritism for any field or issue, Fellows are named from time to time in all of our cross-cutting areas of interest. Among Fellows named in 1994, for example, one is doing pioneering work with at-risk youth in San Francisco; another involves children in creating and producing plays, so that they may learn about themselves and their world; and a third is a leader in bringing higher education to Native American youth through tribally controlled community colleges.

Because grantmaking on these issues is distributed among programs, the Foundation has developed ways to encourage coherence without creating new bureaucratic structures. In several of these areas, a working group of colleagues from several programs meets from time to time to coordinate work on the common theme. At the same time, we look for emerging issues that might properly become the focus of new Foundation-wide attention.

VICTOR RABINOWITCH
Senior Vice President

Summary of Grants Authorized 1994

Foundation-Wide Initiatives	\$ 5,302,405
Community Initiatives Program	22,581,179
Education Program	11,744,633
General Program and Program-Related Investments	23,746,293
Health Program	21,883,511
MacArthur Fellows Program	6,498,136
Program on Peace and International Cooperation	20,487,489
Population Program	12,545,050
World Environment and Resources Program	16,199,121
TOTAL AUTHORIZATIONS	\$140,987,821

As of March 1, 1995

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**PROGRAM EXAMPLES FROM
FOUNDATION ANNUAL REPORT**

Program-Related Investments

ASOCIACIÓN SALVADOREÑA DE APOYO INTEGRAL (ASAI), <i>San Salvador, El Salvador</i>	500,000
To support credit programs for microenterprise and housing development.	
ASAI promotes economic opportunity for displaced and repatriated Salvadorans through a credit program that has made more than 2,000 loans to individuals and groups in war-torn communities. The organization also provides training and technical assistance related to community, agricultural, and small business development.	
CALVERT SOCIAL INVESTMENT FOUNDATION, <i>Bethesda, Maryland</i>	1,500,000
To launch a High Impact Fund to meet the capital needs of community-based organizations.	
This new program of "high impact" investments will tap into an underutilized source of funding for community-based institutions: the hundreds of thousands of individual investors across the country who want to invest their money in socially responsible ways. The fund will capitalize community and economic development lending institutions in the United States and abroad.	
CANDELA PERU, <i>Lima, Peru</i>	390,000
In support of an economic development project based on the sustainable use of Brazil nuts and other rain forest resources. Candela is part of an Andean-wide network of groups marketing non-timber forest products as a means of protecting biological diversity.	
CORPORATION FOR ENTERPRISE DEVELOPMENT, <i>Washington, D.C.</i>	300,000
In support of research, policy development, and technical assistance in the areas of urban poverty and economic revitalization. The corporation's primary activities include consulting for state and local governments, development projects financed by private foundations, and the publication of materials concerning economic development issues.	
DELAWARE VALLEY COMMUNITY REINVESTMENT FUND, <i>Philadelphia, Pennsylvania</i>	1,000,000
In support of the Collaborative Lending Initiative, Inc., a new non-profit subsidiary to streamline the community development financing process.	
Since 1985, the Delaware Valley Community Reinvestment Fund has made loans totaling more than \$19 million in low-income neighborhoods. The new lending initiative will be used primarily for short-term construction financing ranging from \$250,000 to \$1,000,000—loans that many banks do not undertake because of low volume and the specialized expertise required.	
FOUNDATION ADVISORS, INC., <i>Charlottesville, Virginia</i>	400,000
In support of investment services that provide the benefits of sophisticated financial management to small and medium-sized private and community foundations.	
LOCAL INITIATIVES MANAGED ASSETS CORPORATION, <i>New York, New York</i>	1,000,000
In support of this tax-exempt organization, which was created to increase the amount of capital available for community development.	

A "time to sow"

Central American Initiative/Nitlapán

Nitlapán is an indigenous word for a "time to sow." In Nicaragua, it has also come to mean a network of local banks and other institutions that is changing the lives of the

nation's poorest citizens.

Nitlapán is an institute of the Central American

University. Its director, Father Peter Marchetti, is a long-time observer of land reform movements in Central America. Unlike other development programs that followed in the wake of Nicaragua's devastating civil war, Nitlapán "didn't introduce new skills or new technology," says Marchetti. "We wanted to mobilize the resources that these remote rural areas already had. What

we did was something no one had done before: we went to the peasants and asked them what *they* could do."

The answer was straightforward: they wanted the chance to run their own businesses and to use their credit without the conditions and technologies imposed by outsiders. Since 1989, Nitlapán banks have made loans as small as \$150 to help finance orchards, cattle, coffee, and other crops, chicken raising operations, artisan studios, and other entrepreneurial efforts.

By the end of 1995, Nitlapán banks will have distributed \$1.1 million. Most important, Nitlapán has helped change the prevailing mentality of dependency by placing all decision-making and administration under local control. "The people have a sense of

ownership about these banks," says Marchetti. "In the past, money that came from 'the outside' was treated as a gift—even when it was a loan."

The result: Nitlapán banks have a 92 percent loan recovery rate—which surpasses the state banks' 62 percent and private banks' 85 percent.

Nitlapán is not the only credit program of its kind at work in Central America. Another Nicaraguan organization, the Nicaraguan Council of Protestant Churches, focuses on community development efforts. In El Salvador, the Asociación Salvadoreña de Apoyo Integral directs its credit to areas that have been neglected by other relief and development projects. While the institutional goals of the three groups vary, all are committed to the idea that lasting peace lies in the revitalization of their countries' economies at the micro-level. It's a strategy that appears to be paying off: armed conflict has reappeared in many rural areas in the region, but to a much lesser degree where these credit programs are at work.

"To have democracy," says Marchetti, "we have to help these marginalized cultures organize and relate to the rest of the country as equals. Credit is the easiest way to do it. This is what brings peace and democracy. Democracy is not just voting."

(See grant listing, page 95.)



Nitlapán has helped finance coffee growing, among other entrepreneurial efforts. Shown above, coffee picking in Matagalpa province, Nicaragua.

THE NEIGHBORHOOD INSTITUTE, <i>Chicago, Illinois</i>	250,000
In support of a specific project focused on Chicago's West Side community of Austin that seeks to combine labor force development with enterprise development. The project trains residents for employment while increasing local job opportunities through a business expansion and development program.	
NICARAGUAN COUNCIL OF PROTESTANT CHURCHES (CEPAD), <i>Managua, Nicaragua</i>	250,000
In support of rural community development outreach programs that provide technical assistance, grants, and loans to community development groups. CEPAD emphasizes projects that allow local communities to increase their ownership of resources that produce future income, increase employment, and raise the community's standard of living.	
NITLAPÁN, <i>Managua, Nicaragua</i>	500,000
To capitalize Nitlapán's Local Bank Fund. As part of a broad program to foster local development, Nitlapán manages a network of local banks and other organizations that serves much of Nicaragua's war-affected population. The Foundation's loan will enable the organization to expand credit for medium-sized rural enterprises. (See story, page 94.)	
ROCKY MOUNTAIN INSTITUTE RESEARCH ASSOCIATES DBA E SOURCE, INC., <i>Boulder, Colorado</i>	300,000
In support of public information efforts regarding energy conservation. This organization fosters a more efficient utilization of energy resources through research and advocacy. The sale of publications is combined with training, consulting services, and newsletters targeted to utilities and others interested in energy conservation.	
SOUTH-NORTH NEWS SERVICE, <i>Hanover, New Hampshire</i>	300,000
For the production, marketing, and distribution of <i>WorldWise</i> , an educational newspaper focusing on international affairs for high school students.	

JAMES RON, <i>Oakland, California</i>	15,000
"Violations of Human Rights During the Palestinian Intifada: Testimony by Israeli Soldiers" (over seven months).	
JAMES C. SCOTT, <i>New Haven, Connecticut</i>	65,000
"Understanding Development Failures: State Simplifications and High Modernism Versus Local Knowledge" (over 18 months).	
SIMONA SHARONI, <i>Washington, D.C.</i>	27,700
"Gender, Identity and Conflict Resolution: Thinking About Peace and Security from the Perspectives of Palestinian and Israeli Women" (over 18 months).	
ABBAS F. SHIBLAK, <i>Ramallah-West Bank, Israel</i>	30,567
"Residency Status and Civil Rights of Palestinians in Host Arab States" (over 18 months).	
NIKOLAI N. SOKOV, <i>Ann Arbor, Michigan</i>	61,500
"From the Soviet Union to Russia: Changes in the Patterns of Interest Group Impact upon National Security Strategy."	
PATRICIA SPRINGBORG, <i>Washington, D.C.</i>	58,996
"Solvents of Primordialism: Nationalism, Orientalism, Occidentalism, Fundamentalism."	
ANGELA E. STENT, <i>Washington, D.C.</i>	33,000
"Russo-German Relations After the Cold War and Their Impact on European Security."	
DON STILLMAN, <i>Washington, D.C.</i>	48,000
"South African Union and Democratic Transition: From Resistance to Reconstruction" (over 17 months).	
JEREMIAH D. SULLIVAN, <i>Urbana, Illinois</i>	39,600
"Theater Missile Defenses: Policy, Technology, and Arms Control."	
JOHN E. TALBOTT, <i>Santa Barbara, California</i>	59,007
"Mind Wounds: A History of Combat-Induced Mental Disorders from the Civil War Through the Great War" (over 18 months).	
NICOLE WATTS, <i>Santa Rosa, California</i>	20,000
"Alternatives to Blood: Prospects for Solving Turkey's Kurdish Crisis Within a Democratic Political Framework."	
JANINE WEDEL, <i>Washington, D.C.</i>	65,000
"Western Governmental Assistance and its Consequences for Post-Communist Europe" (over 18 months).	

INSTITUTIONAL FELLOWSHIPS

CORNELL UNIVERSITY, <i>Ithaca, New York</i>	516,120
For the research and training project "Technology and Security" (over three years).	

The project focuses on three themes that address the complex relationship between technology and policy: 1) technical expertise applied to security issues; 2) defense conversion, technology policy, and reindustrialization; and 3) the application of science and technology studies to security issues.

Encouraging cross-disciplinary perspectives

Minnesota-Stanford-Wisconsin Consortium
on International Peace and Cooperation

In 1993, the Universities of Minnesota and Wisconsin-Madison, along with Stanford University, formed a unique interdisciplinary and inter-university consortium to encourage new perspectives on a number of urgent topics: ethnicity, the state, and security; effective democracy and self-empowerment; and sustainable development. The next year, 54 faculty members and students representing 13 disciplines in the natural and social sciences convened for the consortium's first week-long summer institute. Here are some reflections from three participants.



Michael
Goldbach

Michael Goldbach is a third-year Ph.D. student in engineering-economic systems at Stanford University. He is particularly interested in

deforestation in western Africa.

"The crossdisciplinary discussions spurred us to rethink the intellectual frameworks we take for granted—and to discover common ground. For example, I found I shared a great deal with the people looking at ethnicity and ethnic conflict. They were struggling with assumptions within certain disciplines that people operate as autonomous, rational, selfish actors, which is the same problem I am having with the field of natural resource economics. Although we were coming at our studies from different directions, we were confronting a prevailing perspective that allows little room for ethical concerns, social responsibilities, or cultural constraints."

Nilgün Uygun, a native of Turkey, is a third-year Ph.D. student in political science at the University of Minnesota. Her area of interest is the relationship between secular and Muslim identities and how they relate to democracy and feminism.

"The institute forced each of us to see our own work in relation to multiple themes, from different angles, and with a broader global picture in mind. We began with the balance tilted toward cold war paradigms, so not all of us initially saw our work as linked to the terms of 'security.' But the discussions soon brought to the forefront other meanings and aspects of security—questions of identity, economic security, distribution of resources, gender conflicts, and ecological disasters."



Nilgün Uygun

Karen Booth is in her final year of graduate studies in sociology at the University of Wisconsin-Madison. She is at work on a dissertation examining the politics of AIDS control in Kenya.



Karen Booth

"The institute provided a forum for some fascinating debate over the definitions of democracy, civil society, and the public and private spheres. I discovered that my work on Kenya's health policy and gender politics shares a great deal with that of feminist political scientists who see international and transnational feminism as a potentially democratic movement. I really can't exaggerate the value of the discussions I have had with people from Stanford and Minnesota, and the impact they have made on my research and my commitment to the study of international relations. It's the kind of learning community that could never have developed within the confines of a single discipline, department, or institution."

(See grant listing, page 131.)

- HARVARD UNIVERSITY, CENTER FOR INTERNATIONAL AFFAIRS, *Cambridge, Massachusetts* 375,000
 For the research and training project "Joint Program on Transnational Security Issues," in collaboration with the Massachusetts Institute of Technology (over three years).
 The program will develop working groups of students and faculty from both universities to study the causes of security problems that cross national boundaries, such as economic globalization; intergroup conflict; human rights abuses; and the movements of refugees. The program also will provide fellowship support and seed money for related research projects.
- KING'S COLLEGE, LONDON, *London, England* 600,000
 In support of the research and training program "Regional Security in a Global Context" (over three years).
 Participants are addressing a number of global security issues, including the management of local conflicts in a multipolar world; the definition of military and nonmilitary threats to security; the relationships between states and nongovernmental organizations; alternative methods of conflict resolution; and regional organizations as peacekeepers.
- MASSACHUSETTS INSTITUTE OF TECHNOLOGY, *Cambridge, Massachusetts* 375,000
 For the research and training project "Joint Program on Transnational Security Issues," in collaboration with Harvard University (over three years).
- MINNESOTA-STANFORD-WISCONSIN CONSORTIUM ON INTERNATIONAL PEACE AND COOPERATION 2,603,993
 STANFORD UNIVERSITY, CENTER FOR INTERNATIONAL SECURITY AND ARMS CONTROL, *Stanford, California*
 UNIVERSITY OF MINNESOTA, MACARTHUR INTERDISCIPLINARY PROGRAM ON PEACE AND INTERNATIONAL COOPERATION, *Minneapolis, Minnesota*
 UNIVERSITY OF WISCONSIN, MADISON, GLOBAL STUDIES RESEARCH PROGRAM, *Madison, Wisconsin*
 In continued support of the research and training community created by the MacArthur Institutional Fellowships grants (over three years).
 The consortium will focus on four themes: 1) ethnicity, the state, and security; 2) effective democracy and popular empowerment; 3) sustainable development; and 4) global processes, transnational networks, and international governance. The grant will fund the training of graduate students; the establishment of interdisciplinary learning communities; and the interaction of these groups through joint research initiatives, student exchanges, workshops, annual summer institutes, and other activities. (See story, page 130.)
- NEW SCHOOL FOR SOCIAL RESEARCH, *New York, New York* 620,450
 For a research and training program on global change and liberalism (over three years).
 This multidisciplinary education and advanced research program explores the implications of global realignment and resulting economic uncertainty for liberal and fledgling democracies. The grant will support the development of policy options for governments, especially in the former Eastern bloc, that are seeking to achieve positive reforms while retaining public confidence.

Closing the Third World information gap

Tides Foundation, Institute for Global Communications

Like many developing countries facing severe health care problems, Zambia needs access to the most recent medical knowledge. Yet the cost of a subscription to a single Western medical journal equals the annual salary of a Zambian professor.

To open the gates of information to and from developing nations, the Institute for Global Communications helps non-profit organizations in these countries gain access to global computer networks.

"As more and more communication is shifted from print to electronic form, the gap between the information-rich and information-poor threatens to grow," says Geoff Sears, institute director. "We're addressing that gap—and in doing so helping developing countries address serious envi-

ronmental, population, health, and security challenges."

A case in point: a group of Peruvian attorneys was given just seven days to write a comprehensive provision on environmental protection to include in Peru's new constitution. The group made the deadline by using EcoNet and the Internet to obtain model provisions and other input from around the world.

Sears believes the democratizing effect of information access is even more important than its scientific benefits.

"The networks move information directly from those who collect it to those who use it—without delay, filtering, or censorship by governments, corporations, media, or other multinational institutions," says Sears. "This helps level the playing field between non-profit activists and the powerful

institutions they seek to influence. By tracking shipments of toxic waste from industrialized nations to Third World dumping grounds, networked activists can rally grassroots opposition. By exposing irresponsible harvesting of resources by companies in Siberia or Brazil, opponents can motivate consumer boycotts on the other side of the globe."

Information access also advances human rights. "Amnesty International says its best chance to obtain release for a political prisoner comes in the first 72 hours after the arrest. Instantaneous communication among activists often makes the difference," Sears says. "Information flow is the natural enemy of government repression: remember how computers and FAX machines made it nearly impossible for the Chinese government to hide its attacks on Tienamen Square demonstrators in 1992."

Sears adds that there is a special urgency to getting non-profit organizations on global networks now. "If the world's electronic networks continue to develop with technology that's geared only to the needs of commerce, non-profits will be frozen out. That's why we are evangelists about getting non-profits worldwide to grasp the potential of the electronic network."

(See grant listing, page 133.)



Public interest environmental lawyers in Indonesia learning to use electronic mail

PRINCETON UNIVERSITY, CENTER OF INTERNATIONAL STUDIES, <i>Princeton, New Jersey</i>	538,200
For the research and training program "Globalization and Fragmentation: Cultural, Political, and Economic Challenges to the Nation State" (over three years).	
The program's research agenda focuses on three themes: 1) the processes of globalization, examining consumer cultures, political and economic orthodoxies, and the worldwide movement of capital and goods; 2) the monitoring of state adherence to environmental codes; and 3) democratization and self-determination.	
UNIVERSITY OF CALIFORNIA, BERKELEY, INSTITUTE OF INTERNATIONAL STUDIES, <i>Berkeley, California</i>	750,000
For the research and training program "Problems of International Security: The Politics of Cultural Identity and Multilateralism" (over three years).	
The institute will establish working groups to study two post-cold war issues: 1) the politics of identity in societies in transition from authoritarian regimes; and 2) the strengths and weaknesses of multilateralism as a strategy for responding to global political, economic, legal, and environmental challenges.	
UNIVERSITY OF CALIFORNIA, SAN DIEGO, INSTITUTE ON GLOBAL CONFLICT AND COOPERATION, <i>La Jolla, California</i>	749,079
For the research and training program in peace and international cooperation (over three years).	
Research will focus on: 1) regional relations, with emphasis on Africa, the Asia-Pacific, the Middle East, Latin America, and the former Soviet Union; and 2) international environmental policy.	
UNIVERSITY OF CHICAGO, SOCIAL SCIENCES DIVISION, COUNCIL FOR ADVANCED STUDIES ON PEACE AND INTERNATIONAL COOPERATION, <i>Chicago, Illinois</i>	900,000
For a research and training program in peace and international cooperation (over three years).	
Overlapping research groups will focus on issues of nationalism, war prevention, culture and policy, and interstate order and cooperation. The grant supports these studies as well as graduate student research and related training activities.	

SPECIAL INITIATIVES

AFRICA FUND, <i>New York, New York</i>	20,000
To monitor the national elections in Mozambique.	
BIRZEIT UNIVERSITY, <i>Birzeit, West Bank</i>	150,000
In partial support of graduate student and visiting faculty fellowships to strengthen the university's standing in the region and to enhance its capacity in social science teaching and research (over three years).	
BROOKLYN COLLEGE FOUNDATION, <i>Brooklyn, New York</i>	23,200
In support of a conference on the future of Algeria.	
PARTNERS FOR DEMOCRATIC CHANGE, <i>San Francisco, California</i>	150,000
In support of the Ethnic Conciliation Initiative in eastern Europe (over two years).	
TIDES FOUNDATION, INSTITUTE FOR GLOBAL COMMUNICATIONS, <i>San Francisco, California</i>	430,000
To improve accessibility of its computer network and expand services in developing countries, in collaboration with the World Environment and Population programs (over three years). (See story, page 132.)	

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OPEN SOCIETY INSTITUTE

GEORGE SOROS
CHAIRMAN

ARYEH NEIER
PRESIDENT

KAREN J. GREENBERG
EXECUTIVE DIRECTOR

Biographic Information on Aryeh Neier

Since September 1993, Aryeh Neier has served as President of the Soros Foundations and of the Open Society Institute, an operating foundation established by George Soros. For the previous twelve years, he was Executive Director of Human Rights Watch, and prior to that, he served for fifteen years with the American Civil Liberties Union, including eight years as National Director.

Mr. Neier served as an Adjunct Professor of Law at New York University for more than a dozen years. He is a columnist for The Nation, a frequent contributor to The New York Review of Books, and has also published in such periodicals as The New York Times Magazine, The New York Times Book Review, and Foreign Policy, and in a number of law journals. He has contributed more than a hundred op-ed articles to newspapers including The New York Times, The Washington Post, The Boston Globe, The Los Angeles Times and The International Herald Tribune. Author of four books, with a fifth in progress, Mr. Neier has also contributed chapters to more than twenty-five books. He has lectured at most of the country's leading universities and has appeared frequently on such television programs as "Nightline," the "McNeil-Lehrer Newshour," and the "Today Show."

Mr. Neier has played a leading role in the effort to establish an international tribunal to prosecute those responsible for war crimes and crimes against humanity in the former Yugoslavia. He has conducted investigations of human rights abuses in more than forty countries around the world. Over the past decade, he has been directly engaged in many global debates about bringing to justice those who have committed crimes against humanity, the subject of his forthcoming book.

Mr. Neier was born in Nazi Germany and became a refugee at an early age. He is the recipient of honorary doctorates from the State University of New York (Binghamton), Hofstra University and Hamilton College and of the American Bar Association's Gavel Award.

[February 1995]

TRUSTEES JOHN ALLEN • LEON BOTSTEIN • ARYEH NEIER • ANDREW ROMAY • GEORGE SOROS

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**STATEMENTS FROM
FOUNDATION ANNUAL REPORT**

Chairman's Statement

FOR the last five years I have devoted exactly half my income and a substantially larger portion of my time and energy to my foundation network, which now covers 22 countries in the former Soviet empire and two outside: South Africa and Haiti. I did so because I realized that the collapse of the Soviet system was a historic event. What kind of regime would take its place would determine the shape of the world for many years to come.

My aim was to help the transition from communism to what I call an open society. By open society I mean something akin to what we have in Western Europe and North America. To most people living under a communist regime it was a very attractive idea so, in promoting it, I was supporting the aspirations of the people in the countries concerned. Open society not only allows but requires everyone to think for himself and make his own choices. This brings freedom, innovation, and prosperity, but it requires laws and institutions to enable people with different opinions and different interests to live and work

The cardinal lesson of the last five years is that it takes more than the pursuit of self-interest to bring about an open society:

together in peace. It cannot be accomplished from one day to another. But after the collapse of communism it would have been possible to use the heat of the revolutionary moment to set the pattern and establish the direction—if only the open societies of the West had been willing to seize the moment.

Unfortunately, that is not what happened. Six years into the revolution, new regimes are beginning to take shape, but they are far from open societies. Instead, what we are seeing emerge are nationalist ideologies combined with big business interests—the classic recipe for fascism or national socialism. This is a broad generalization, and it does not apply to every country. Even where it does, neither the ideology nor the business interests are yet fully developed, and the leadership is not always firmly in the saddle.

In some countries, of which Russia is the most important, the business interests are better established than the leadership or the ideology. The control of the state is up for grabs, and the outcome is far from decided. One thing is certain: whoever wants to win the support of the people will have to adopt a somewhat nationalistic, xenophobic rhetoric because people are disillusioned and angry with the West. In other countries, of which Ukraine is the most important, the pattern is not yet set, and there is now a good chance that events will take a more positive direction, especially as the West seems to have finally awakened and is providing significant assistance.

Although it is too early to despair of the region, it is not too early to ask what went wrong—and I am increasingly preoccupied with that question. It is clear that I misjudged the open societies of the West. I thought that they shared my belief in open society as a desirable form of social organization and were ready to exert themselves to help bring it about. I was misled by the West's history, because the West did fight for the values of open society in the Second World War and willingly made sacrifices to establish those values in the aftermath of the war. America's treatment of Germany and Japan set a shining example

which I thought might be followed in the aftermath of the collapse of communism. But in that regard I was sadly disappointed. The West seems to have lost the values for which it was willing to take a stand in the past.

Nowhere is this more evident than in the case of Bosnia. The tragedy of Bosnia demonstrates the moral bankruptcy of the West. Prior to Bosnia—for instance, at the time the Yugoslav army bombarded Dubrovnik—we should have worried about the fate of Eastern Europe; now, because of our lack of moral courage, we must worry about ourselves, about the future of Western civilization.

What do we stand for? I don't think anybody has a clear answer to this question any more. Insofar as there is a prevailing view, it is that everybody should be guided by self-interest. This holds true in economics, where the market mechanism is supposed to assure the best allocation of resources. It holds true in politics, where politicians are supposed to represent the interests of their constituents without much regard to universal values. And it holds true with even greater force in international relations. States don't have principles, only interests.

I don't believe this set of values is adequate to sustain our civilization. What is missing is the concept of the common interest. Without such a concept, no society can hold together.

It can be argued, and it is being argued with considerable vigor, particularly in the United States, that the untrammelled pursuit of self-interest represents the common interest. I contend that the argument is false. It exalts competition to the detriment of cooperation. Competition is a source of innovation and improvement and, even more importantly, it provides freedom of choice. But competition is not sustainable without some measure of cooperation. Unless competition is circumscribed and contained by rules and standards of behavior, it becomes utterly destructive. This is clearly visible in the international arena where the rules and standards are inadequate, but it is no

*People may be
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less true internally. Indeed, the cardinal lesson to be learned from the history of the last five years is that it takes more than the pursuit of self-interest to bring about an open society. The collapse of a closed society does not automatically lead to the creation of an open society.

Open society is a more complex, more sophisticated form of organization. Indeed, its main drawback is that it is too abstract and it is not properly understood. We had better exert ourselves to understand it, because our civilization cannot endure without it. Our civilization is very advanced, and it has become global in scope. It entails a tremendous increase in our power over our environment. If our understanding cannot keep pace with our power, we are risking a catastrophe of unprecedented proportions.

The concept of open society is based on the recognition that our understanding of the world in which we live is inherently imperfect. That is why we need a form of social organization which allows people with different opinions and different interests to live together in peace. By and large, we have established such an organization in the Western democracies, but we are sadly deficient as far as international relations are concerned. The Western democracies are not without their internal deficiencies, either. Once you recognize that our understanding is inherently imperfect, this should not come as a surprise. But the great merit of our imperfect understanding is that it can be improved.

Is there a way out of the moral bankruptcy of the Western democracies? I believe there is. We must establish some common values which will hold our civilization together. Where can we find such values when our civilization is global in scope and encompasses many different cultures? I believe there is only one solution. We must recognize the concept of open society, which allows people with different beliefs and different interests to live together in peace. Open society is a common interest that must take precedence over the pursuit of narrow self-interest.

Open society does not preclude the pursuit of self-interest. On the contrary, in the absence of perfect knowledge, it is best left to the indi-

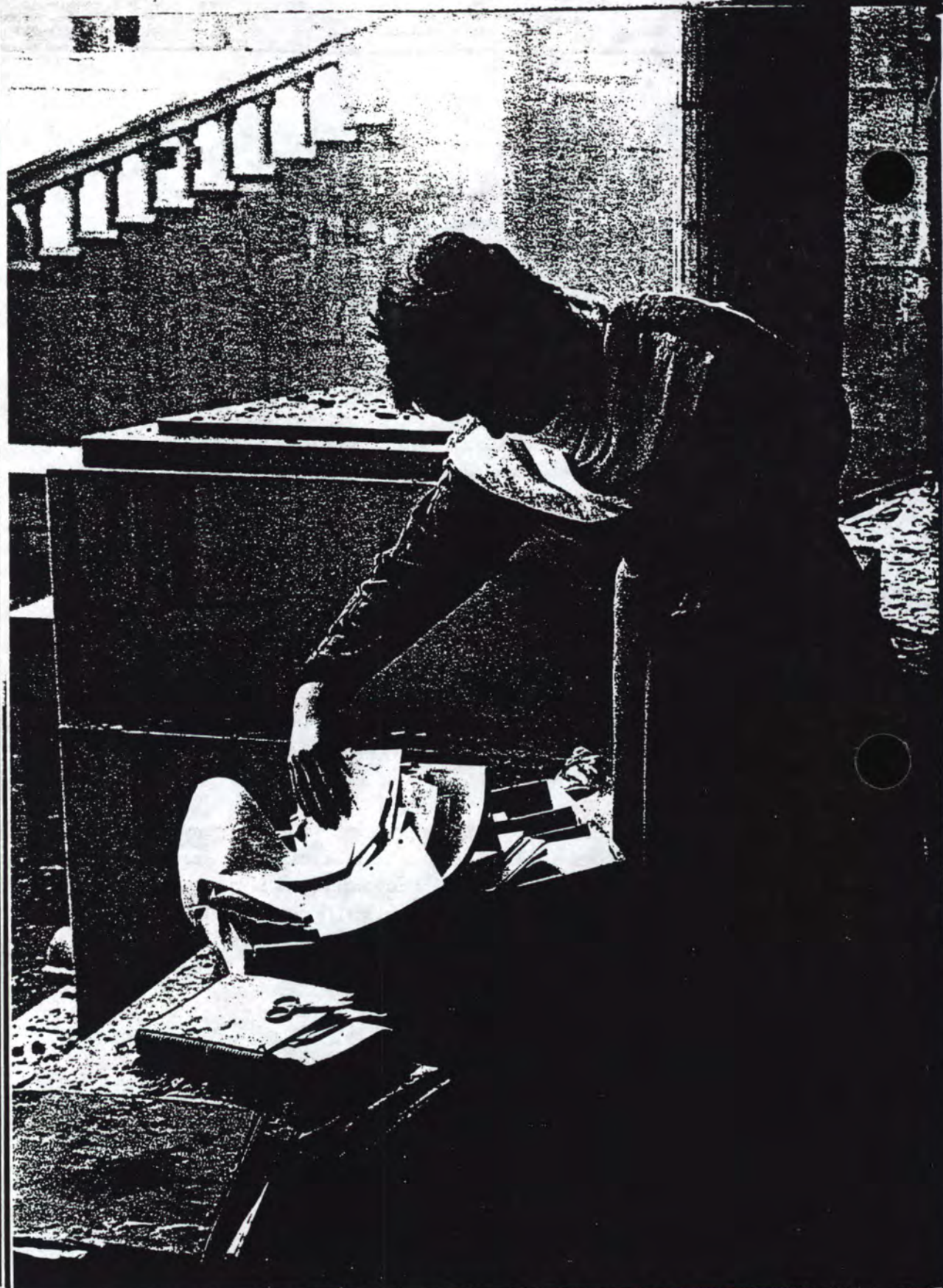
vidual to define what his interests are, and it is best left to the market mechanism to reconcile those interests. But, in the absence of perfect knowledge, it cannot be left to the individual to protect the common interest. You need institutions which take precedence over the individual. These institutions are bound to be flawed, but, if they belong to an open society, this fact will be recognized in their constitution and there will be a never-ending endeavor to correct the deficiencies. That is what makes open society such a subtle and sophisticated concept.

Are we capable of understanding and accepting open society as a desirable goal? Can we base our values on the recognition that we may be wrong? Values represent what we believe to be right. Can we hold beliefs which may be wrong? Yes, but only if we attribute a positive value to recognizing that we may be wrong. That is the intellectual hurdle we must overcome.

How can open society compete with simpler, more concrete ideas such as "my family," "my tribe," "my country, right or wrong?" People may be willing to die for king and country; are they willing to die for open society? Judging by the example of Bosnia, clearly not. But it may be unfair to invoke Bosnia in this context, because in Bosnia the issues were never clearly defined.

The world is badly in need of some guiding principles to govern relations between states and also within states. The maxim that states have only interests but not principles is clearly inadequate. I believe that the concept of open society offers a better guide. How can it be translated into rules and institutions that will preserve peace in the world? That is a difficult question which requires careful deliberation. I cannot answer it on my own; we must work it out together.

George Soros



President's Message

AS a spectator with a ringside seat from the beginning, I thought I was familiar with the network of foundations established by George Soros. I was mistaken. After joining the staff of the foundations a few months prior to the period covered by this report, I soon discovered that I had only the barest inkling of their scope.

During my first year, it seemed that every day I discovered some significant effort in which the foundations are engaged that I had not known about previously. Even today, after another year has passed, I still occasionally find out about programs of some magnitude and importance of which I had been unaware, or barely aware.

The process of learning about the work of the foundations has been accompanied by a changing understanding of their role. I joined the foundations because I thought they were useful vehicles to undertake certain important programs. In particular, the disastrous wars in the former Yugoslavia preoccupied me and made me eager to undertake programs that might contribute to the avoidance of such conflicts in

The foundations are the principal embodiment within their countries of an alternative vision of the future.

other countries and that would provide assistance and legal redress for those directly victimized. Also, I was eager to help launch some of the projects that the Open Society Institute has established in New York such as those dealing with the culture of dying in America, drug addiction, forced migration, and Burma. Indeed, dealing with such matters has been part of my own work at the foundations.

Yet I have also learned that the national foundations have an intrinsic significance that transcends the particular activities in which they engage. As foundations of the countries in which they are located, they are centers within those countries that combine a commitment to the principles of open society and a devotion to innovation and experimentation, and they are an independent source of support to encourage and facilitate the efforts of the many persons contributing to the transition from repression to openness.

In country after country, the foundations make it possible for independent media to exist; for approaches to education that foster critical thought to replace rote learning and Marxist-Leninist indoctrination; for artists to obtain support for innovative work; for the publication of important books in the language of the country; for minorities to engage in efforts to preserve and develop their cultural identity; for nongovernmental organizations concerned with a great range of issues to emerge; and for the development of a host of other programs that enable citizens to participate in the transformation of these countries from the stifling rigidity that is their legacy. In a number of cases, the foundations are the principal embodiment within their countries of an alternative vision of the country's future.

Inevitably, in countries where repressive tendencies persist, the foundations are controversial. In a few countries, they have come under sustained political attack. Often this takes the form of campaigns in media that are controlled by or associated with the government.

In Russia, such a campaign, apparently fomented by the FSK (successor to the KGB) led to a hearing in the Duma that resulted in a resolution praising the work of the foundation. On the other hand, in the Federal Republic of Yugoslavia, after a particularly vicious and extended media assault, the continued legal existence of the foundation is under threat.

It has only been possible in the pages that follow to provide an overview of the activities of the foundations. Nevertheless, I believe that the information in this report will make clear why the foundations have achieved their significance, and also why their activities sometimes make them controversial.

Aryeh Neier

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**PROGRAM EXAMPLES FROM
FOUNDATION ANNUAL REPORT**

Soros Foundation-Hungary

Hungary is one of the most stable countries in Central and Eastern Europe. In the last decade, the country has made considerable progress in the transition to a market economy, in setting up a system of democratic institutions, and in guaranteeing human rights. The democratic, multiparty elections under peaceful circumstances in 1990 gave legitimacy to the transition. With the dissolution of the Warsaw Pact and the withdrawal of Soviet troops in 1991, the country gained total independence. In the last four years, Hungary has taken major steps toward integration into Europe as a member of the Council of Europe and as an applicant for full membership in the European Union.

The transition to a market economy has had important social costs. As enterprises, faced with market competition, laid off employees, unemployment rates rose sharply. Unemployment reached 14 percent in the first half of 1993 though it seemed to decline slightly in the summer of 1995 to 10 percent.

Many ordinary citizens, perhaps 25 to 30 percent, have fallen below the minimum subsistence level, owing to decreasing real income and increasing unemployment. In the past few years, a great number of people became poor and a few became rich. A middle class, in the Western sense of the word, has not yet evolved in Hungary. Social problems are on the rise, and the size and impact of marginalized groups have increased.

Human rights are guaranteed and their violation is punished in Hungary. From time to time, the interpretation of the content and range of freedom of expression and the press are disputed, but the majority of citizens do not feel restrained in the exercise of their rights. The social circumstances of the Roma, however, are catastrophic in many places, and their chances of escaping poverty are limited.

The number and range of newspapers available to the public has

increased tremendously in the past few years. The Hungarian non-governmental sector, containing some 30,000 organizations, is developing dynamically, playing an expanding role in satisfying social needs.

The Soros Foundation-Hungary, established in 1984, initiates and supports programs to create and nurture the elements of open society, independent thinking, and free expression in the areas of culture, science, education, and health care.

Education. Through the Higher Education Support Program, the foundation gives funding to a variety of programs to help restructure the country's higher education system. The foundation has sent many researchers to American and European universities, and has assisted thousands of scholars in attending conferences and going on field trips abroad. Student advising centers provide information about higher education opportunities abroad. Subsidies also assist the publication of Hungarian scientific papers in foreign journals. Travel grants to high school students assist them in learning about other cultures. The foundation is supplying computers to secondary schools and participating in the Regional Preschool Project for low-income children.

Media and Publishing. Instead of providing direct support to the media, the foundation intends to support training in investigative journalism and publishing of books on the subject. It also helps independent civil groups obtain access to electronic media so that the public has alternative sources of information.

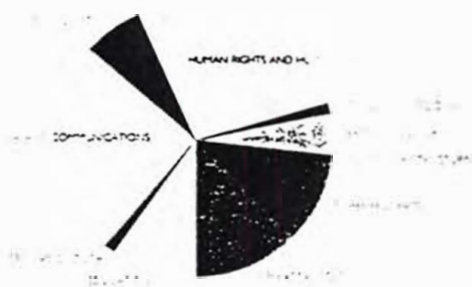
Cultural Life. The Soros Foundation-Hungary provides prizes and grants to outstanding researchers and writers, whose creative work serves as an intellectual compass for Hungarian social, cultural, and political life. The foundation has awarded grants to 350 writers, poets, essayists, and literary historians, and about 500 social scientists. In the performing arts, the foundation has supported some 100 music ensembles, orchestras, and theater companies that receive little or no government funding. Through support to publishers and libraries, the foun-

dation assures the availability of valuable cultural and scientific books, Hungarian journals, and other contemporary periodicals.

Civil Society and Social Welfare. The Soros Foundation-Hungary assists the NGO sector by training its leaders, creating communications networks, providing consultation/advisory services, and publishing and disseminating relevant information. The Help to Help program supports family counseling and groups such as the Hungarian Maltese Charity Organization, which works with the underprivileged. The foundation, in partnership with parents and local communities, provides breakfast to schoolchildren.

Health. The foundation has helped introduce advanced methods and devices in health care by donating medicine, supplies, and books, and providing medical training abroad. It promotes better health through its participation in the Regional Health Education Program's instruction of schoolchildren about drugs and alcohol, sexuality, AIDS, smoking, and nutrition.

<i>Hungary</i>	<i>1994 Expenditures</i>	<i>Percent of Budget</i>
Education	\$ 1,594,000	
Children and Youth	100,000	
Media and Communications	4,023,000	
Civil Society	1,117,000	
Human Rights and Humanitarian Aid	4,023,000	
Science and Medicine	253,000	
Arts and Culture	735,000	
Economic Restructuring	50,000	
Other Programs	1,702,000	
Operating Costs	1,956,000	
TOTAL	\$15,959,000	



International Renaissance Foundation (Ukraine)

Since gaining its independence in 1991, Ukraine has faced two huge problems: the transformation to an open society and the building of a state. Progress in both areas has been slow, severely hampered by the legacy of the past.

Some positive developments occurred in 1994. Preterm parliamentary elections were held and, on the whole, were judged to be free and fair. Despite fierce opposition from the conservative parliament, the new administration is sticking to a course of market reforms. The outer trappings of democracy exist—for the most part, people feel free to express their opinions, vote for whom they wish, practice their own religion, preserve or revive their ethnic culture, and travel abroad. Yet, to a large extent, this democracy is illusory. The lack of democratic traditions in all spheres of social and political life are evident, particularly the inability of politicians to hold constructive dialogues to resolve the country's problems.

Centuries of being divided between empires, only to be reunited under the Soviet empire, have taken their toll on Ukraine. Differences exist between the nationally oriented West and the Sovietized East, and separatist sentiment runs high in Crimea. Despite these problems, the country has managed to avoid ethnic conflicts and bloodshed.

Overshadowing all other concerns, however, is Ukraine's economic crisis. The sharp decline in production and high inflation continued in 1994. Crime and corruption are rapidly on the rise, medical and other social services are being cut back, education and research are in decline for lack of funding. The positive effects of economic reform will not be felt for some time. In such a situation, the electorate is more susceptible to populism, and more willing to accept authoritarian rule to improve the economic situation and to "restore order."

In this social, economic, and political context, the International Renaissance Foundation (IRF) placed the greatest emphasis in 1994 on supporting educational reforms. Without changes in the education of new generations, no long-lasting changes in society can be expected.

First Steps to Educational Reform

The foundation's Transformation of the Humanities Program awarded grants to over 500 authors to write new textbooks and supported programs to develop new pedagogical methods. The IRF funded innovative educational reform efforts at the Kyiv-Mohyla Academy, the International Management Institute, and other institutions. The IRF also supported programs for English language learning and teaching, business education in high schools (Junior Achievement), management training, and health education for teenagers. Through its network of seven "Osvita" centers, the IRF advised students about study opportunities abroad.

In cooperation with the Regional Preschool Project, the IRF launched First Steps, which introduces student-centered teaching and parental involvement into Ukraine's preschool educational system. Another important program, the regional International Soros Science Education Program, supports excellence in science teaching in high schools and universities and helps stem the tide of science educators leaving their profession due to extremely low salaries.

At the break-up of the Soviet Union, the country was left with armed forces numbering around 800,000. The government plans to reduce this number to less than 300,000. In 1994, to ease social tensions, the foundation's Retraining of the Military Program, a model for the government, provided training in civilian professions and job placement services to 10,000 released or retired servicemen and their families.

The IRF promoted economic reform through support for conferences, training programs, research, study trips, periodicals and other economic publications. The foundation offered advice and assistance to

the government through the International Center for Policy Studies and the Council of Advisors to the Parliament of Ukraine, and helped train a new breed of civil servants through the Institute of Public Administration and Local Government.

The IRF provided support to newly established nonstate media organizations and to fledgling NGOs, many of which focused on raising civic consciousness and protecting minority rights. The Cultural Development Program awarded grants aimed at promoting diversity in arts and culture while the Soros Center for Contemporary Arts helped contemporary visual artists through its documentation, grants, and exhibition programs. The IRF provided grants to independent publishers and libraries, and launched the Awakening Program, whose public education mission will lead to better prevention and treatment programs for alcoholics, drug addicts, and codependents.

Finally, the International Renaissance Foundation played an important role in the establishment and continued support by George Soros of a number of important institutions in Ukraine, including the Ukrainian Legal Foundation, the International Center for Privatization, Investment and Management, three Soros International House English language schools, and the International Institute for Global and Regional Security.

<i>Ukraine</i>	<i>1994 Expenditures</i>	<i>Percent of Budget</i>
Education	\$1,747,000	
Children and Youth	121,000	
Media and Communications	932,000	
Civil Society	1,400,000	
Human Rights and Humanitarian Aid	3,000	
Science and Medicine	606,000	
Arts and Culture	779,000	
Economic Restructuring	341,000	
Other Programs	1,049,000	
Operating Costs	1,260,000	
TOTAL	\$12,598,000	

Notes: Covers 12 months, December 1, 1993 to December 31, 1994. Includes grants of the Ukrainian Legal Foundation.



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ROCKEFELLER

Divider Title: _____

THE ROCKEFELLER FOUNDATION

TO: Colin Campbell, President, Rockefeller Brothers Fund

FROM: Dara Major, Executive Assistant to the President 

DATE: 5 January 1996

Peter C. Goldmark, Jr.
President

I write on Peter Goldmark's behalf to confirm that he will attend the 4 March meeting in Washington, DC with Jim Wolfensohn. Please find attached a copy of our most recent annual report and additional background on the Foundation's programs.

An amended version of Peter's bio follows:

Peter C. Goldmark, Jr., The Rockefeller Foundation

Peter C. Goldmark, Jr. was elected the eleventh President of The Rockefeller Foundation in June 1988. Prior to this appointment he was Senior Vice President in charge of five Eastern Newspapers for the Times Mirror Company. Before joining the Times Mirror Company in 1985, Mr. Goldmark served for eight years as Executive Director of The Port Authority of New York and New Jersey. From 1975 to 1977 he was Director of the Budget for the State of New York and for four years prior to that served as Secretary of Human Services for the Commonwealth of Massachusetts. Mr. Goldmark also served in the budget office of New York City for four years, and was Assistant Budget Director for Program Planning and Analysis before becoming Executive Assistant to the Mayor in 1971. Mr. Goldmark received a Bachelor's Degree in government from Harvard University.

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Best wishes.

Peter C. Goldmark, The Rockefeller Foundation

Mr. Peter C. Goldmark is president of The Rockefeller Foundation. He assumed this position in June of 1988. Prior to this appointment he was Senior Vice President in charge of five eastern newspapers for the Times Mirror Company. Before joining the Times Mirror Company in 1985, Mr. Goldmark served for eight years as Executive Director of The Port Authority of New York and New Jersey. From 1975 to 1977 he was Director of the Budget for the State of New York and for four years prior to that he served as Secretary of Human Services for the Commonwealth of Massachusetts. Mr. Goldmark also served in the budget office of New York City for four years, and was Assistant Budget Director for Program Planning and Analysis before becoming Executive Assistant to the Mayor in 1971. Mr. Goldmark attended Harvard University.

**STATEMENTS FROM
FOUNDATION ANNUAL REPORT**

The Foundation

The Rockefeller Foundation is a philanthropic organization endowed by John D. Rockefeller and chartered in 1913 "to promote the well-being of mankind throughout the world." It is one of America's oldest private foundations and one of the few with strong international interests. From the beginning, it has sought to identify, and address at their source, the causes of human suffering and need.

While concentrating its efforts on select programs with well-defined goals, the Foundation adjusts its course to reflect needs and opportunities as they arise. Its work lies in three principal areas: international science-based development, the arts and humanities, and equal opportunity. Within science-based development, the focus is the developing world, with emphasis on the global environment; the agricultural, health, and population sciences; and several special African initiatives.

The balance of the Foundation's grant and fellowship programs supports work in U.S. school reform, international security, international philanthropy, and other special interests and initiatives. Moreover, the Foundation maintains the Bellagio Study and Conference Center in northern Italy

for conferences of international scope and for residencies for artists, scholars, policymakers, and other professionals from around the world.

The Foundation is administered by its President through a staff drawn from scholarly, scientific, and professional disciplines. An independent Board of Trustees, which meets four times a year, sets program guidelines and financial policy and approves all appropriations. Information on applying for grants and fellowships begins on page 130.

This chart depicts—by program and division—the grants, appropriations, program-related investments, and fellowships approved in 1992 totalling \$94,818,638.

How can we hope to live together if 500,000 human beings are slaughtered and the world community does essentially nothing to prevent it?

When we think of 1994 we will always see those nightmarish pictures of murdered Rwandans, their disjointed bodies piled by the roadside, sprawled in churchyards.

As the last years of the 20th century unfold, the consequences of failing frameworks and systems become more painful and the need for purposeful adaptation on a global scale more urgent. Old institutions and ideas no longer serve us well; we seek the problem-solvers who will build new institutions.

The world's international institutions were designed a half century ago to broker top-to-top relations among nation-states that have since become increasingly fragmented and ineffective. Yet in many ways the world operates as if national borders no longer existed: weapons are bought and sold secretly, destructive technology is for sale to the highest bidder, money hides offshore, speculators defeat central banks, illegal migration mounts; without respect for borders water is contaminated and water tables depleted, disease and germ plasm move invisibly, narcotics and technology are smuggled around the world, Christians, Jews, and Muslims send money to their religious compatriots in other countries for causes that sometimes exacerbate tension and hostility, terrorists can threaten anywhere, and television penetrates everywhere.

The need for thoroughgoing reform is more acute than we have grasped. Yet, astonishingly, no major head of state has pressed either on the international agenda or in the consciousness of his own constituency the urgency of building a new set of institutions through which we can cope with these phenomena. What are the ideas and institutions that will help us adapt to these forces? What is the path we must follow? The gap between what needs to be done and what is actually being done demands innovation, change, and new voices. The Foundation's job is to support these voices as they explore new frameworks for thought and action.

In 1994, seven foundations and three major financial institutions—Prudential, J. P. Morgan, and Metropolitan Life—as well as the U.S. Department of Housing and Urban Development launched a second round of investment by a consortium that supports community-development corporations in decayed neighborhoods in 23 cities. This effort is large in the world of philanthropy. But it is small in a country where poverty is growing, crime is rising, drug use is becoming more deeply entrenched, and a President and a Congressional majority from opposing parties vie to cut taxes in the face of an operating deficit and a total national debt of growing dimensions.

The vignettes inset throughout this essay describe Foundation activities that address the issues and problems described in this message.

"Our wish list is not that complicated," says Nora Lichtash, the executive director of the Women's Community Revitalization Project (WCRP) in Philadelphia. "We want a child-care center, good lighting, trees around, and to be able to see the kids playing in the courtyard from the kitchen window."

The National Community Development Initiative helps nonprofit community-development corporations like WCRP renew inner-city neighborhoods.

WCRP has been remarkably successful in making its wish list come true. In the past seven years it has built eight row houses and 24 townhouses in one of Philadelphia's inner-city neighborhoods. But its strategy for neighborhood revitalization goes beyond housing development—it rebuilds neighborhoods socially as well as physically by organizing tenants to shape their own communities. As a result, those row houses and townhouses now have an adjacent child-development center, and a community health-care network and a primary health-care facility are being developed within the neighborhood, and residents are being linked with job-training opportunities. WCRP has learned that once community members gain access to desperately needed housing or child care for their children, they get involved, organize around important issues such as school reform, literacy, and health care, and in the process become strong community leaders.

Seven years ago when Lichtash and two neighborhood residents developed the idea of creating a neighborhood economic development organization that would create small business opportunities, they were discouraged by the prospect of women entering what they perceived to be a traditionally male field. "We didn't feel confident that we had the skills to do the work. However, we resisted the stereotype, got appropriate training, and started believing in ourselves."

The American system of welfare is a vivid example of an institution that has drifted far from its original context and purposes. It was created to provide temporary assistance to the unemployed and longer-term support for the disabled. Today, by almost every measure, the system is a resounding failure: it does not lead to work, and it does not contribute to the independence and self-sufficiency of those who benefit from it. As a result, it has become a hot-button target for those who pay for it.

High on our nation's agenda, therefore, must be the task of redefining the terms of the contract between society and the unemployed. The Rockefeller Foundation will support new ideas, new experiments, and new local approaches to the challenge of generating employment for these individuals.

But the most profound dilemma that links every human being on earth is one that cannot be easily glimpsed through the headlines and images of 1994. It is the divergence between the global course of Western-style industrialization on which we are presently embarked and the path of sustainable development that we must find.

Troublesome signs are beginning to appear in the agricultural sector. In the next five to seven years, it will become apparent that the world is moving from an era of food surplus to one of increasing food scarcity. Too many trends converge:

- <> the loss each year of valuable fertile land, particularly in China and Africa;
- <> the absence of large tracts of new arable land;
- <> the flattening of yield-productivity curves for most crops in many parts of the world;
- <> the addition of 90 million children to the world's population each year;
- <> the depletion and contamination of freshwater aquifers;
- <> severe strains on the world's major fisheries; and
- <> a move in some developing countries to richer diet patterns that place even greater demand on grain production.

The coming food crunch is not the only trend that should concern us. There are other signposts to tell us that the road we are on does not lead to viability or opportunity:

- <> our patterns of industrial and energy production and consumption lead to increased pollution and the depletion of our natural resources.
- <> the disparity in income between the poor and the rich in almost every part of the world places enormous pressure on fragile societies, creating increased poverty and greater ethnocentrism—which, in turn, lead to violence, environmental degradation, war, genocide, and disease.
- <> the availability of weapons of mass destruction continues to increase, as does the vulnerability of human society to their use.

"The crossing at Panmunjom was a bizarre and disturbing experience, evidence of an incredible lack of communication and understanding. For more than forty years, the Koreans and Americans have stared across the demilitarized zone with total suspicion and often hatred and fear. We were the first persons permitted to cross the DMZ to and from Pyongyang—since the armistice was signed in 1953!

"There was no doubt that Kim Il Sung was in full command and could make the final decisions. After thanking me for accepting his three-year-old invitation, he asked me to speak first. I described my unofficial role, my briefings, my visit with South Korean President Kim Young Sam, and then made the presentation that I had prepared before leaving home. I outlined the entire situation to be sure that he was fully aware of all concerns about North Korean nuclear policies.

"Finally, in effect, he accepted all my proposals...

During the [boat] trip, President Kim [Il Sung] and I had a long discussion about future relations between North and South Korea. He described several North-South discussions that had been held, but stated that no good results had ever materialized. He stated that fault for lack of progress lay on both sides, and responsibility for mistakes had to be shared. He expressed pleasure that President Kim Young Sam had proposed a summit meeting during his political campaign, and President Kim Il Sung said it should be done without preconditions or extended preparatory talks."

The task of finding and following the path to sustainable development will be immensely difficult, and it will be the first managed transition we have attempted as a global community. We do not march into the future in a straight line. Much of who we are and how we interpret, react, and adapt is passed on from generation to generation through our culture and customs, our stereotypes of ourselves and others, and our definitions of happiness, fulfillment, and obligation. This cultural DNA that we receive and bequeath through the world of art, ritual, and human expression shapes the future powerfully.

The two decades following World War II saw a series of broad directions that established a new pattern of international relationships: the creation of the Bretton Woods institutions, the rebuilding of Europe and Japan, and the gradual decolonization of Asia and Africa. The Atlanticists—the generation of Western leaders who guided this transition—learned from the mistakes of the post-World War I period. The institutions they created were effective and relatively flexible, and the attitudes and values that infused these institutions were basically forward-looking and open to the inclusion of previously excluded regions and new nations.

But several of the key assumptions under which the world has operated since World War II are no longer viable: that indefinite expansion of Western-style industrialization and consumption is both possible and desirable; that most of the world's natural resources can be regarded as unlimited in supply; and that most problems are amenable to technological solution.

These ideas once seemed so self-evident that often they were not even articulated. But today each of them is open to serious question. A large part of the transition to a path of sustainable development consists in identifying and applying a new set of assumptions.

What are some of the ideas that will replace the assumptions of the Atlantic era? What does this new path look like? Because we are only in the initial stages of defining it, we cannot describe this path in great detail. But we can go beyond describing it only as the opposite of the negatives listed above. Some of

the characteristics of the new path will be as follows:

⟨⟩ Consumption patterns of less use, more reuse and recycling, and greater efficiency.

⟨⟩ More renewable energy and far greater energy efficiency.

⟨⟩ Efficient use of water resources and conservation of fresh water.

⟨⟩ Concentrated efforts to develop sustainable crop yield, storage, and transportation.

⟨⟩ Quality family planning and reproductive health services available to every woman and family in the world.

⟨⟩ Acceptance of the limits of our natural resources and concerted efforts to anticipate and prevent interruptions in natural biological, meteorological, and hydrologic cycles.

⟨⟩ National income accounts, economic policies, and pricing mechanisms that reflect a commitment to safeguarding environmental resources, and that capture more of the unseen costs of both present consumption patterns and the headlong substitution of short-term human investments for long-term natural investments.

⟨⟩ A concept of progress less linear, less concerned with overall growth and acquisition, less obsessed with short-term return on investments, and more concerned with balance and enhancing the quality of life.

⟨⟩ Concepts of equity more related to educational opportunity and less concerned with material goods. Education will be a particularly decisive force in society, since this critical investment in human talent will be needed to open the way to more innovative forms of agriculture, industrial production, and information processing.

To frame all this, understand the need for it, nurture the attitudes whereby a species can begin to cope with the consequences of its own collective behavior... all of this will require the knowledge to understand our differences, particularly the ethnic, religious, and cultural differences that propel our enmities and impede cooperation.

Dramatic changes will be needed in the North in the areas of consumption, energy generation, and the production and treatment of hazardous waste.

In the large countries of the North, this process has barely begun.

The countries of the South are engaged in discussion, but it has not yet been translated into a viable plan of action. Thailand, China, India, Iran, Malaysia, Indonesia, the Philippines, South Africa, Brazil, Chile, Mexico, and Argentina are well along the road to development. But it is a development much like that of the United States, Europe, and Japan. Put bluntly, many developing countries have made significant progress toward a goal that has proven to be the wrong one for the conditions of the 21st century. And scores more are just setting out toward that same non-viable goal. Where do we see signs of those who are groping toward the goal of sustainable development? Can any of us come up with a list that includes any country other than Costa Rica?

And where do we find institutions that are building for the new era? Where do we find thoughtful people who will sit down with one another to puzzle through the policies and institutional forms of cooperation that the new era will require?

The job of a foundation includes finding such leaders, supporting them, and putting them in touch with one another. It is our job to help them find the missing links—the scrap of material, the piece of research, a network of like-minded innovators.

We find them at a meeting in Mauritius, off the east coast of Africa, where female ministers of education press their drive to achieve gender parity for young girls in primary and secondary education.

FAWE

An overcrowded meeting room in Mauritius is hushed as 18 male African ministers of education and permanent secretaries and nine female ministers confront their own roles in the pervasive sexual bias that denies African women their full rights as human beings.

As the afternoon wears on, tension in the room grows as the female ministers embolden their male counterparts to acknowledge gender bias and inequality in their school systems.

Finally a minister of education who has served as a senior leader in his nation's fight for independence questions where the conversation is leading: "Are you saying that women should behave like men?" "No," comes the response from one of the female leaders. "Both men and women are disadvantaged by their current gender roles. We must talk about developing our whole being, about developing a caring community."

The Forum for African Women Educationalists (FAWE) is an organization of female ministers of education in Africa. It is the first continent-wide organization to be devoted to the education of young girls, and it is making its presence felt both in Africa and in the donor community.

Various countries are taking specific steps to reduce the dropout rate among young girls. Having thought through the attrition that results from pregnancy, Guinean education minister and FAWE member Aicha Bah signs a decree permitting unmarried pregnant girls to re-enter the educational system after taking maternity leave. Alice Tiendrebogo, Burkina Faso education minister and FAWE member, tackles the problem by keeping schoolgirls close to home in satellite schools and encouraging parents to take more interest in their daughters' education.

In the battle to treat girls equally, success stories are important. Recently, two girls' schools in Kenya—Precious Blood and Alliance Girls' School—made history by becoming the top schools in the certificate examination of Kenya's new educational system. Of the 245 girls from these schools who sat for the exam, a full 94 percent gained direct university admission in 1994.

We find them in Geneva, where representatives of multilaterals, non-government organizations (NGOs), and foundations are working out a new agenda and vision for the United Nations Environment Programme, and we find them in rural Gansu Province, in China, in an experiment with photovoltaic energy.

Energy Transition

In 1993 a \$50,000 energy transition grant was made to the Solar Electric Light Fund to test the economic and technical reliability of rural solar electrification in Gansu, China, 1,200 miles west of Beijing.

One villager from MaGiacha village, a poor, unelectrified rural village of some 850 people, stood up at a public meeting and reported on his experience with the project.

"Not long ago we only had kerosene lamps, which gave us a little light, like the stars do. It's so difficult for us to do any work in the evening time. The most dangerous thing was when we got up in the morning—our noses and mouths were filled with black ashes. If one continually worked for four or five hours under the kerosene lamp, he must feel dizzy in the head and dim of sight.

"Now there is bright light in the houses with fresh air! If you are on the way to MaGiacha, you may notice the change and wonder if it is a city, for the bright lighting, beautiful music from the TV mixed with the talk and laughter of people will give you a picture of a city."

We find them at a meeting of the Consultative Group on International Agricultural Research (CGIAR), a unique network of donors and research institutions devoted to developing the germ plasm and agricultural technologies required for the 21st century. We find them in maize trials in James village, Malawi.

Building Crop Management Capability in Africa

I am on a visit with Webster Sakala, a young agronomist from the Malawi Department of Agricultural Research, to James village, which lies in rolling country some 15 kilometers from the nearest trading center. Sakala's field surveys have shown that many farmers in Malawi apply their fertilizer too late. He wants to run some simple trials with farmers to show them how much they are losing by putting their fertilizer on late—and he also wants to better understand why farmers do this. We walk across the fields, explaining to the chief and his farmers what we need in a trial site and why we want to do the experiment. Several farmers are interested and we soon select two good sites.

From the back of the truck Sakala lifts several labeled bags, some marker pegs, and a record file. He sits down in the shade of a nearby tree with Lyson Nyilenda, a field staff worker, and talks with the farmers.

The price for new fertilizer is more than twice what it was last year, and everyone is worried that they will no longer be able to afford it. "You must treat your maize like you would your child," says Sakala. "You know that if children don't get enough to eat, they don't grow properly. Your maize is just the same. You must feed it early—and stop the weeds from robbing it of food—if the plant is to be strong enough to produce grain. If you allow a plant to become weak when it is young, it will never produce a good crop."

Another farmer joins the discussion. "I have a field that always has weak maize no matter what I do to it—I don't think it is worthwhile using fertilizer at all," he says. Several others agree. We go over to see some of the problem fields and Sakala carefully takes soil samples from them. Dr. John Kumwenda and Dr. Sieglinde Snapp have been working on problem soils for several years. Their analysis of soil and plant samples indicates that existing fertilizers do not contain all the nutrients the plants need to grow vigorously.

John Kumwenda sets up another set of trials to confirm the analytic results. He uses a new fertilizer compound with added nutrients of zinc and sulfur, developed by a local fertilizer company that attended a research presentation organized by Kumwenda and his colleagues.

The trial confirms Kumwenda's diagnosis—the sites with the added nutrients give twice the yield of those without. Webster Sakala's trials also show much higher maize yields (2t/ha vs. 1.2t/ha) when fertilizer is applied at the right time. During the growing season, we hold several field days to discuss the experiments—with the people of James village, farmers from neighboring areas, and researchers, policymakers, and fertilizer companies in attendance.

*Report from Malcolm J. Blackie
The Rockefeller Foundation Field Staff*

And we find them at Cairo in September 1994 at the International Conference on Population and Development. Unlike the Rio de Janeiro conference on the environment in 1992, the Cairo conference succeeded in reaching a broad global consensus on the direction that should be taken in developing policies and programs in the field of family planning and women's reproductive health. One of the reasons the conference was an important milestone on the path to sustainable development, rather than a noisy recapitulation of the differences that divide the industrialized world from the developing world, is that

NGOs played a primary role in shaping the consensus, both in public and behind the scenes. NGOs from countries all over the world were able to work as equals and shape a framework for the future in which everyone had a stake. This was a remarkable achievement, and the first of its kind. The delegates to the conference grappled with sensitive issues such as abortion and services for adolescents, and they developed an approach that very nearly commanded universal support while respecting the religious traditions and institutions of individual countries.

Family Planning and Reproductive Health Services for Adolescents in Zimbabwe

The Zimbabwe National Family Planning Council set about with great caution to identify effective models for delivering contraception and other reproductive health services to adolescents. They sought the ideas and involvement of young people as well as those of community and political leaders. The Council expected to have difficulty finding community organizations that were willing to experiment in an area as sensitive as contraception and reproductive health for adolescents.

Instead, they were surprised to find that youth organizations with primary interests in everything from soccer to religion had already identified the acute lack of information and services for adolescents as a major concern—in rural as well as urban areas—and were eager to work with the Council to test models for services. The problem turned out to be one the Council had not anticipated: how to find groups willing to serve as no-service comparison groups so that the impact of programs could be evaluated.

We find them at the Inter-American Development Bank, as it works with groups in Brazil, Ecuador, and Uruguay to expand the role of the civil society in development. Throughout the developing world, including the Muslim world, there is ferment and exploration as a new generation seeks to define the role of nongovernmental entities and activity in the broad scheme of sustainable development and equity.

Dialogue at Casablanca

For the past three years, the Rockefeller Foundation and the Aga Khan Trust for Culture have been partners in a series of international meetings on the theme "Pluralism and Its Cultural Expressions." The series has brought together institutions from Indonesia to Morocco in an exploration of a new breed of emerging NGOs—research centers, cultural centers, journals of opinion, history study groups—and the roles they play in different Muslim-majority societies.

The series has shown that opportunities for public debate are increasing. But many of these institutions remain subject to powerful conformist pressures. These pressures took on a particular significance in the context of the final meeting in the series held in Casablanca, Morocco, at the King Abdul Aziz al-Saud Foundation for Islamic and Human Sciences in January 1995. One of the participants, Riad al-Rayyes, learned that Lebanese police had just confiscated three books issued by his publishing house. In an account of these events published in several Arabic-language newspapers as an open letter to the prime minister of Lebanon, al-Rayyes underscored the ambiguities facing autonomous cultural institutions like his: "[At] the [Morocco] conference, I had suggested that [the journal] *an-Naqed*, in Lebanon, host the next conference being prepared by those three institutions [Rockefeller, Aga Khan, King Abdul Aziz] for the world's cultural magazines next spring. But after the confiscation decision and

its aftermath, I don't know if it is still possible to hold the meeting in Beirut...[It] is unfortunate that as the books of as-Sadeq an-Nayhoum are being impounded in Lebanon, their translation is beginning elsewhere, and an international cultural conference agrees to make Beirut the venue of a meeting of cultural magazines. What irony!"

The Rockefeller Foundation continues to support efforts by cultural and intellectual institutions across the Muslim world to strengthen open debate and expression in their societies.

The Foundation's resources are enlisted in this broad effort to find and pursue the path to sustainable development. Our core strategies are grouped around three critical dimensions of that task: searching for the technologies and policies of sustainable development, with primary focus on the developing world; addressing in the United States that part of the equation that has to do with equity and opportunity; and helping people bridge differences of ethnicity, religion, and cultural heritage through knowledge, communication, and the arts.

It has now been two years since the Foundation restructured its approach around nine core strategies. Those strategies and the annual program expenditures associated with them are listed as part of this message (see page 11). The process of reconfiguration around the core strategies has forced us to develop new tools for program design and management and has encouraged us to devote more thought to the theories of change involved in our major undertakings.

In designing strategies, we focus on the following attributes:

- ⟨⟩ long-term time horizon, which in some cases is measured in decades;
- ⟨⟩ a theory of change which identifies the mechanisms that have the potential to alter expectations, knowledge, or patterns of behavior;
- ⟨⟩ a commitment to critical, outside evaluation of progress and shortcomings along the way;

⟨⟩ each strategy's capacity to enhance or influence positively the other core strategies; and

⟨⟩ a clear sense of what comparative institutional advantages the Foundation can contribute or acquire in order to execute these strategies.

This repositioning around core strategies was not accomplished without difficulty. Approximately 80 percent of our expenditures are now devoted to these nine core strategies. To accommodate this new appropriation, some \$25 million of programming was phased out, allowed to conclude naturally, or terminated over a two-year period.

To keep us on course, we also adopted the discipline of setting targets for the strategies. We have not yet established targets for every strategy, but we find that doing so is a wonderful stimulus to concentration and a useful tool for structuring and managing the strategy itself. Thus for Crop Yield, one of our targets is to double the yield per hectare of maize in four African countries by the year 2015.

This is frighteningly specific. The target has a date, a quantitative goal, and a geographic area. It is also very ambitious, but we believe that it may just be possible. Growth in maize yield is one of the keys to sustaining a reliable food source in Africa, and if yield can be doubled or tripled in experimental field trials, then it can reasonably be expected to double on average in Kenya, Malawi, Uganda, and Zimbabwe—the four countries in which our efforts are currently being concentrated. And if maize yield can be doubled in these four countries in the next two decades, then it can be expected to increase substantially in sub-Saharan Africa as a whole, and thus affect Africa's overall food productivity and output.

The setting of targets introduces a sense of accountability and focus that is achieved in the public world by the need to face the electorate and in the private world by the need to produce an annual income statement. It cannot be applied rigidly or mindlessly, but it imposes a discipline that has proved to be invaluable.

The broad sweep of this movement toward equitable and sustainable development encompasses thousands of institutions ranging from massive multilaterals to small NGOs; it is important for a foundation to be realistic, modest, and rigorous about its role in this process. The pursuit of complex, uphill, long-range strategies is inherently dangerous, for nothing in the human experience suggests that we can chart and follow a fixed course for very long without winding up lost or irrelevant or both. And yet we cannot shrug off our conviction that the course on which we are presently proceeding demands adjustment if it is to lead us toward the goals of sustainable development, individual rights, and equity that we seek.

There is unavoidable hubris and risk in the very act of attempting to define and pursue this new course. How do we reconcile the arrogance of aspiration inherent in philanthropy with the need to be bold and tenacious? The best answer we have come up with is this: if one addresses what one perceives to be the most serious problems of one's time, then one incurs the risk of being more wrong than right, more nearsighted than far-seeing, more pretentious than humble, more self-serving than generous, and more presumptuous than adaptive. We are all engaged in an adventure that will test whether we can muster the capacity for cooperative effort that is an integral part of defining and pursuing the new path. The human foibles that have hobbled such efforts in the past have not disappeared, and they must be reckoned with every step of the way.

The pictures from Rwanda bode ill. Is there an optimistic counterpoint?

The most hopeful answer does not come from Europe, the continent that has made the greatest progress toward the economic and political integration of nation-states. The most powerful lesson does not come from Asia, where the most dramatic economic growth and advance against poverty have taken place recently. The most inspiring example does not come from the Western Hemisphere, where the most striking recent movement away from dictatorship and toward democracy has occurred.

The paradoxes are painful. For Europe is also the continent where ethnic and religious madness has run unchecked in Bosnia, in NATO's backyard. Asia is the continent where the barely acknowledged genocidal holocaust of the Cambodians took place under the eyes of all the major Pacific powers. And the Americas are the hemisphere whose poorest country was ruled for two years by thugs who had overthrown a democratically elected government—and done so in the shadow of the most powerful democratic military power the world has ever known.

The most hopeful answer, the most powerful lesson, and the most inspiring example come, ironically, from the same continent in which Rwanda is located—the continent that some observers profess to find devoid of hope. That continent is Africa, and the answer of hope comes from South Africa and its transition to a pluralist democracy.

It is wise to be cautious and to expect that enormous difficulties lie ahead for this newly reconstructed nation. But it is equally important to take the measure of what has been achieved to date. What is the lesson of South Africa?

Many predicted that South Africa would endure an unavoidable ordeal of bloodshed and tragedy; that an entrenched minority would never voluntarily share power; that the knot of apartheid was so tightly bound as to defy the possibility of any loosening, let alone reworking.

And yet the story of the past five years in South Africa must be reckoned on the most optimistic end of any scale of probable outcomes that we could have imagined.

How small is our capacity to imagine the range of outcomes in human affairs. How grossly we underestimate the impact of strong leadership and clear moral vision. The work of Mandela and his countrymen and women provides a dramatic inspiration for any group of people undertaking difficult, seemingly impossible work in the face of daunting circumstances and against discouraging odds. And they have given us a brilliant and practical demonstration of what it means to refashion old institutions for new purposes.

If the forecast of discouraging trends and daunting problems in this essay is broadly on target, then it is the responsibility of institutions that can focus on the future to prepare for it by supporting those who assemble new knowledge, think through the design of new institutions, and introduce approaches to action and policy that address the emerging agenda. To change institutions that no longer work, we need to support bold, tenacious, creative leaders who understand present needs, can negotiate differences, and will build new and inclusive frameworks based on today's learning and designed for tomorrow's challenges. Foundations are among the organizations that can undertake this task. This foundation accepts a share of such responsibility—and it is willing to be judged on how intensely, imaginatively, rigorously, humanely, and tenaciously it strives to fulfill that responsibility.



Peter C. Goldmark, Jr.
27 March 1995

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**PROGRAM EXAMPLES FROM
FOUNDATION ANNUAL REPORT**

Program Goals

Foundation programs are organized around nine core strategies aimed at the goals listed in the first column at left, below. Together, these strategies constitute the Foundation's commitment to helping to define and pursue a path toward environmentally sustainable development consistent with individual rights and a more equitable sharing of the world's resources.

Goal toward which program strategies contribute:	Annual Program Budget:	Unit:
International		
Help ensure availability of high-quality reproductive health and family-planning services to all women in the developing world over the next decade.	\$14.2 million	Population Sciences
Increase food production in selected developing countries — 20% increase in rice productivity and 50% increase in maize productivity by 2015.	\$17 million	Agricultural Sciences
Increase quality and equity of health outcomes 20% with preventive and accessible care in developing countries by 2005.	\$13.1 million	Health Sciences
Close the gender gap in school enrollment and achievement in sub-Saharan Africa by 2005.	\$2.25 million	African Initiatives
Train the next generation of leaders in multidisciplinary, multisector approaches to ecologically sound development.	\$6.1 million	Global Environment
International & Domestic		
Support efforts to understand diversity and to bridge differences in culture, class, ethnicity, generation, and tradition.	\$12.5 million	Arts and Humanities
Develop models for ecologically sound and economically efficient patterns of energy use.	\$4.8 million	Global Environment
Domestic		
Create job opportunities and community supports that enable all those who can work to join the mainstream economy.	\$7.4 million	Equal Opportunity
Reform urban public school systems to enable full integration of all youths into society, especially those deemed "at risk."	\$4.6 million	School Reform

Agricultural Sciences Grants

The Agricultural Sciences division supports projects that lead to the development and application of new molecular and cellular technologies for the genetic improvement of selected food staples; to the improvement of food production systems of resource-poor farming families in sub-Saharan Africa; and to increased knowledge of how natural resources contribute to sustainable food production, and how agriculture in turn impacts natural resources, to the application of this knowledge to improve agriculture and resource use.

INCREASING CROP YIELD THROUGH BIOTECHNOLOGY

Biotechnology for Marginal-Land Food Crops
[1994-\$600,000]
To continue building and strengthening biotechnology research networks working on tropical food crops grown on marginal lands.

International Center for Tropical Agriculture (CIAT)
Cali, Colombia
[1994-\$25,600 in addition to remaining funds from prior year appropriations]
For research on the molecular mapping of cassava and its wild relatives.

\$20,000
Toward the costs of the Second International Meeting of the Cassava Biotechnology Network (CBN II) held in Bogor, Indonesia. August 22-26, 1994.

\$13,000
To provide technical assistance to the Collaborative Study of Cassava in Africa (COSCA), undertaken by the International Institute of Tropical Agriculture, Ibandan, Nigeria.

Shenyang Agricultural University
China
\$40,000
For research on the molecular marker mapping of genes that control aphid resistance in sorghum lines from China.

University of Guelph,
Ontario, Canada
\$55,200
For research on the transformation of cassava by co-cultivation of axillary nodes with Agrobacterium.

Biotechnology Training in Latin America and Africa
[1991-\$300,000 in addition to remaining funds from prior year appropriations]
To help develop and support crop biotechnology training programs at selected institutions in Latin America and Africa.

Cold Spring Harbor Laboratories
New York
\$4,200
To enable two scientists from Latin America to attend the course "Molecular Markers in Plant Genetics and Plant Breeding," taught at Cold Spring Harbor Laboratory, November 8-21, 1994.

Cassava Biotechnology
[1993-\$270,000 in addition to remaining funds from prior year appropriations]
In support of the further development of an international network for biotechnology research on cassava.

Cold Spring Harbor Laboratories
New York
\$3,000
Toward the costs of a meeting of the International Grass Genome Initiative held at Cold Spring Harbor's Banbury Center October 31-November 2, 1994.

Commonwealth Scientific and Industrial Research Organization (CSIRO)
Australia
\$50,000
For research on apomixis in Arabidopsis thaliana.

International Academy of the Environment
Geneva, Switzerland
\$10,050
Toward the costs of publication and distribution of a book on developing and enacting biosafety regulations.

International Service for the Acquisition of Agri-Biotech Applications (ISAAA)
Ithaca, New York
\$50,000
Toward the costs of assisting developing countries with the implementation of biosafety regulations.

National Priorities for Rice Biotechnology
[1992-\$600,000 in addition to remaining funds from prior year appropriations]
To develop a quantitative, systematically derived basis for allocating rice biotechnology research resources in several Asian countries.

Center for Environmental and Agricultural Policy Research, Extension and Development (CEAPRED)
Kathmandu, Nepal
\$82,400
For a study entitled "Nepal: Rice Recommendation Domains and Implications for Biotechnology Initiatives."

Stanford University
California
\$67,600
For use by the Food Research Institute for a study of research reform in China, focused on the privatization of rice biotechnology as well as the conventional research system and seed industry.

Rice Biotechnology Program Authorization
[1994-\$17,325,000 for three years in addition to remaining funds from prior year appropriations]
To continue support for the Foundation's international program on rice biotechnology.

Albert Ludwig University
Freiburg, Germany
\$65,000
For research on the functional expression of carotenogenic enzymes in rice endosperm.

Gregory Armstrong
Zurich, Switzerland
\$35,400
For research on the genetic engineering of provitamin A biosynthesis in rice endosperm.

Beijing Agricultural University
China
\$50,000
For research on salt-tolerance mechanisms in rice.

Biotechnology Research Center
Ho Chi Minh City, Vietnam
\$60,000
Toward the costs of strengthening research capability in rice biotechnology.

Bose Institute
Calcutta, India
[1994-\$130,000 in addition to remaining funds from prior year appropriations]
For research on the production of transgenic indica rice plants with useful genes.

Center of Research and Advanced Studies (CINVESTAV)
Irapuato, Mexico
[1994-\$10,000 in addition to remaining funds from prior year appropriations]
For research on a biochemical and molecular approach to increasing rice productivity by manipulating sucrose metabolism.

China National Rice Research Institute (CNIRRI)
Hangzhou
[1994-\$110,000 in addition to remaining funds from prior year appropriations]
For research leading to the application of novel strategies to the improvement of rice in China.

\$25,000
Toward the costs of a Technology Transfer Fellowship to enable Dr. Zhikang Li, Associate Research Scientist, Texas A&M University, to conduct research at CNIRRI on mapping the genes that contribute to heterosis in rice.

\$40,100
For a study of the genetics and molecular bases of heterosis in hybrid rice (Oryza sativa), to be undertaken by Biotechnology Career Fellow Dr. Liu Xiaochuan under the direction of Dr. M. A. Saghai Maroof, Department of Crop and Soil Environmental Sciences, Virginia Polytechnic Institute and State University, Blacksburg.

Chinese Academy of Sciences
Beijing

[1994-\$60,000, in addition to
remaining funds from prior year
appropriations]

For use by its Institute of Microbiol-
ogy for research on rice yellow stunt
virus.

[1994-\$60,000, in addition to
remaining funds from prior year
appropriations]

For use by its Institute of Genetics,
Beijing, for research to complete and
apply the Restriction Fragment
Length Polymorphism (RFLP) map
for rice.

\$50,000

For use by its Institute of Botany,
Beijing, for research on photoperiod-
sensitive male sterility in Chinese
varieties of rice.

[1994-\$60,000, in addition to
remaining funds from prior year
appropriations]

For use by its Institute of Genetics,
Beijing, for research on the transfer-
ence of genes in rice.

[1994-\$3,307 in addition to
remaining funds from prior year
appropriations]

For use by its South China Institute
of Botany, Guangzhou, for research
on the genetics of hybrid rice.

[1994-\$50,000 in addition to
remaining funds from prior year
appropriations]

For use by its South China Institute
of Botany, Guangzhou, for research
to induce and develop a new source
of male sterility in indica rice by
tissue and cell culture.

[1994-\$60,000 in addition to
remaining funds from prior year
appropriations]

For use by the Shanghai Institute of
Plant Physiology for research on the
regulation of expression on the rice
waxy gene.

Cornell University
Ithaca, New York

[1994-\$150,000 in addition to
remaining funds from prior year
appropriations]

For research on cloning, characteriz-
ing, and transferring genes in rice.

John Dille

Rock Hill, South Carolina

[1994-\$46,500 in addition to
remaining funds from prior year
appropriations]

Toward the costs of publication of
the Rice Biotechnology Quarterly.

Foundation for Research in
Applied Biology (FIBA)

Mar del Plata, Argentina

[1994-\$10,000 in addition to
remaining funds from prior year
appropriations]

For research on a biochemical and
molecular approach to increasing
rice production by manipulating
sucrose metabolism.

French Institute of Scientific
Research for Cooperative
Development (ORSTOM)

Paris, France

\$93,840

Toward the costs of establishing a
rice-transformation training center.

Guangxi Agricultural University
Nanning, China

\$32,800

For a study of the genetic transfor-
mation of rice plants with the major
intrinsic protein gene (*rMip1*) and
the tonoplast intrinsic protein gene
(*rTip1*) for drought and salt resistance.
To be undertaken by Biotechnology
Career Fellow Dr. Liu Qiang under
the direction of Professor Hirofumi
Uchimiya, Institute of Molecular
and Cellular Biosciences, University
of Tokyo, Japan.

Health Research Incorporated
Buffalo, New York

\$87,035

For use by the Roswell Park Cancer
Institute toward the costs of develop-
ing Map Manager genetic mapping
software for multiple computer
systems.

Huazhong Agricultural University
Wuhan, China

\$60,000

For research on the genetic manipu-
lation of antifungal substances from
bacteria.

[1994-\$75,000 in addition to
remaining funds from prior year
appropriations]

For research on RFLP mapping and
identifying the gene for photoperiod-
sensitive male sterility in rice.

Hunan Hybrid Rice Research
Center

Changsha, China

\$50,000

Toward the costs of research on
exploiting heterosis in rice and on
the identification of quantitative
trait loci (QTLs) from wild rice
species.

Institute of Agriculture and
Animal Science

Rampur, Nepal

\$45,023

For research on the genetic diversity
of *Xanthomonas oryzae* pv *oryzae*
in Nepal.

Institute of Biotechnology
Hanoi, Vietnam

\$100,400

Toward the costs of establishing a
facility for genetic mapping and
application to the improvement of
rice.

Institute of Crop Breeding and
Cultivation

Beijing, China

\$60,000

For research on the population
structure and genetic diversity of
Xanthomonas oryzae pv *oryzae* in
China.

International Center for Tropical
Agriculture (CIAT)

Cali, Colombia

[1994-\$150,000 in addition to
remaining funds from prior year
appropriations]

To support biotechnology research
on rice RFLP mapping, rice hoja
blanca virus, and rice anther culture.

International Rice Research
Institute (IRRI)

Manila, Philippines

[1994-\$700,000 in addition to
remaining funds from prior year
appropriations]

For the continuation of research on
the application of biotechnology to
rice improvement, including wide
hybridization, rice genetics and rice
genome mapping, molecular tech-
niques in rice pathology, the use of
Bacillus thuringiensis genes for
insect pest control, and crop genetic
engineering.

\$34,400

For collaborative research with the
South China Institute of Botany,
Chinese Academy of Sciences, on
genes that control cytoplasmic male
sterility in rice.

\$60,300

For research on developing marker-
aided selection techniques for
identifying flood-tolerant rice
genotypes.

\$14,000

For research on developing marker-
aided selection techniques for
identifying flood-tolerant rice
genotypes.

\$20,500

For collaborative research with the
Biotechnology Research Center,
Chinese Academy of Agricultural
Sciences, on the production of
transgenic rice containing insect
resistance.

\$34,000

For research on the molecular
mapping of genes that control cyto-
plasmic male sterility and fertility
restoration in rice.

International Service for the
Acquisition of Agri-Biotech
Applications (ISAAA)

Ithaca, New York

\$100,000

Toward the costs of transferring
biotechnology applications from
Japan to other rice-dependent
countries of Asia.

Kansas State University
Manhattan, Kansas

[1994-\$10,000 in addition to
remaining funds from prior year
appropriations]

To support research on genes for
resistance to the sheath blight
pathogen of rice.

\$2,000

Toward the costs of a training
course on recombinant DNA
techniques held at the University
of the Philippines at Los Baños,
October 14-23, 1994.

Lehman College

New York, New York

[1994-\$89,250 in addition to
remaining funds from prior year
appropriations]

For research on improvement of
the carotenoid content of rice
endosperm.

M. G. Science Institute
Ahmedabad, India

\$40,600

For a study of carotenoid biosynthe-
sis in rice endosperm, to be
undertaken by Biotechnology Career
Fellow Dr. Vivek N. Upasani under
the direction of Dr. Eleanore T.
Wurtzel, Department of Biological
Sciences, Lehman College, The City
University of New York.

Maharaja Sayajirao University
of Baroda
India

[1994-\$153,000 in addition to
remaining funds from prior year
appropriations]

Toward the costs of research on the
genetic engineering of rice, with
emphasis on resistance to the blast
fungus *Pyricularia oryzae*.

Malaysian Agricultural Research and Development Institute
Kuala Lumpur
[1994-\$47,150 in addition to remaining funds from prior year appropriations]
For screening of transgenic rice expressing coat protein(s) of rice tungro spherical virus (RTSV) for resistance against the tungro disease.

Marappagounder G. Maheswaran,
Tamil Nadu Agricultural University Coimbatore
India
[1994-\$1,080 in addition to remaining funds from prior year appropriations]
For research on the molecular characterization of genes for disease and insect resistance in rice.

Poonsak Mekwatanakarn,
Ubon Rice Research Center
Ubon Ratchthani
Thailand
\$24,400
For research on characterizing the genetic structure and virulence diversity of the rice blast fungus in Thailand, to be conducted at Purdue University under the direction of Dr. Morris Levy.

Michigan State University
East Lansing
[1994-\$15,500 in addition to remaining funds from prior year appropriations]
For research on the genetic analysis of brown plant-hopper biotypes.

National Center for Genetic Engineering and Biotechnology (NCGEB)
Bangkok, Thailand
[1994-\$32,000 in addition to remaining funds from prior year appropriations]
For research on the characterization of rice blast populations by lineage using DNA fingerprinting, to be conducted by Poonsak Mekwatanakarn at Kasetsart University.

\$187,500
Toward the costs of establishing integrated rice biotechnology research and human resource capacity building in Thailand and Southeast Asia.

Nuclear Institute for Agriculture and Biology (NIAB)
Faisalabad, Pakistan
[1994-\$672 in addition to remaining funds from prior year appropriations]
For research on improvement of salt tolerance of rice through wide hybridization.

Ohio State University Research Foundation
Columbus, Ohio
[1994-\$152,403 in addition to remaining funds from prior year appropriations]
For research on the enhancement of nitrogen assimilation and proline synthesis in rice.

Grienggrai Pantuwan, Rice Research Institute of Thailand
Bangkok
\$85,000
For research on drought resistance in rice leading to a Ph.D. degree at the University of Queensland.

Philippine Rice Research Institute
Maligaya Munoz
Nueva Ecija
\$120,000
For biotechnology research on the genetic improvement of rice in the Philippines.

Punjab Agricultural University
Ludhiana, India
\$18,208
To enable Punjab Agricultural University (PAU) staff member Virash Kamal Gupta to receive training in rice biotechnology at the International Laboratory for Tropical Agricultural Biotechnology/The Scripps Research Institute (ILTAB/TSRI), La Jolla, California.

Purdue University
Indiana
[1994-\$200,000 in addition to remaining funds from prior year appropriations]
For research on indexing genotypic diversity in the rice blast fungus by DNA fingerprinting analysis.

Research Laboratory for Agricultural Biology and Biochemistry (RLABB)
Kathmandu, Nepal
[1994-\$45,000 in addition to remaining funds from prior year appropriations]
For research to develop anther culture techniques to increase the efficiency of rice breeding.

Salk Institute for Biological Studies
San Diego, California
[1994-\$52,083 in addition to remaining funds from prior year appropriations]
For research on the molecular mechanisms for induction of rice defense responses to microbial disease.

The Scripps Research Institute
La Jolla, California
\$79,071
Toward the costs of establishing a rice-transformation training center.

Shandong Agricultural University
Taiwan, China
\$40,000
For research on the establishment of efficient rice-transformation systems and bioengineered resistance of rice to insects.

Shanghai Institute of Plant Physiology
China
\$50,000
For research on elicitors that can induce hypersensitive response in rice.

South China Agricultural University
Guangzhou, China
\$20,000
For research on the molecular mapping of genes that control cytoplasmic male sterility and fertility restoration in rice.

SPIC Science Foundation
Madras, India
[1994-\$145,000 in addition to remaining funds from prior year appropriations]
Toward the costs of research on the characterization of the mitochondrial genome in rice and its role in the expression of cytoplasmic male sterility.

Tamil Nadu Agricultural University (TNAU)
Madurai, India
\$15,690
To enable Tamil Nadu Agricultural University (TNAU) staff member P. Balasubramanian to receive training in rice biotechnology at the International Laboratory for Tropical Agricultural Biotechnology/The Scripps Research Institute (ILTAB/TSRI), La Jolla, California.

\$5,000
Toward the costs of research on the improvement of rice grain quality, to be conducted by Dr. A. Manickam at the Catholic University of Leuven, Belgium.

Texas A&M University
College Station, Texas
\$109,360
For research on mapping genes that contribute to heterosis in rice.

Texas Tech University
Lubbock, Texas
[1994-\$150,000 in addition to remaining funds from prior year appropriations]
For research on the use of molecular tools for the genetic analysis of root penetration in rice.

University of California
Davis
\$92,000
Toward the costs of maintenance and distribution of a rice bacterial artificial chromosome (BAC) library.

University of Florida
Gainesville
\$52,000
For research on betaine accumulation in rice.

University of the Philippines
Los Baños
[1994-\$44,000 in addition to remaining funds from prior year appropriations]
Toward the costs of research on specific probes for rice pathogen detection and monitoring of *Xanthomonas oryzae* pv *oryzicola*.

Washington State University
Pullman
[1994-\$83,333 in addition to remaining funds from prior year appropriations]
For research on the control of starch synthesis during rice endosperm development.

\$120,000
For research on the characterization of the rice blast fungus *Pyricularia oryzae* from upland rice-screening sites.

West Africa Rice Development Association (WARDA)
Bouaké, Cote d'Ivoire
\$235,000
For research on the application of anther culture to the improvement of varieties of African rice.

Zhongshan University
China
[1994-\$30,000 in addition to remaining funds from prior year appropriations]
For research on the molecular biology of wide compatibility genes in rice.

[1994-\$30,000 in addition to remaining funds from prior year appropriations]
For research on transformation techniques for the improvement of rice.

Foundation-Administered Project
[1994-\$100,000 in addition to remaining funds from prior year appropriations]
Toward the administrative costs of the program.

Sorghum and Millet
Biotechnology
[1992-\$700,000 in addition to remaining funds from prior year appropriations]
To further the development of molecular genetic techniques for sorghum and millet improvement and to train developing-country scientists in their use.

Swaminathan Research
Foundation
Taramani, India
\$10,000
Toward the costs of the Second Asia-Pacific Conference on Agricultural Biotechnology, held in Madras, India, March 6-10, 1994.

United States Department of
Agriculture for use by the Plant
Genome Research Program
of the Agricultural Research
Service
Beltsville, Maryland
\$10,000
To support the travel of scientists from developing countries attending the Plant Genome II meeting held January 24-27, 1994, in San Diego, California.

Yale University
New Haven, Connecticut
\$30,000
To fund a collaboration with the John Innes Institute to explore the potential for blocking the transmission of viruses by aphids via the introduction of antiviral genes into the symbiotic bacteria of aphids.

BUILDING CROP MANAGEMENT CAPABILITIES IN AFRICA

African Association for Farming
Systems Approach to Research
Extension and Training
Nairobi, Kenya
\$7,000
Toward the costs of its First Regional Symposium, held February 2-March 4, 1994.

African Centre for Technology
Studies
Nairobi, Kenya
\$10,650
For the publication and dissemination of a Kenyan edition of the book *More People, Less Erosion*.

Cary Farley
Gainesville, Florida
\$8,250
Toward the costs of a research project on soil resource management and agricultural change in the highlands of southwest Uganda.

Fertilizer-Efficient Maize for
Southern Africa
[1992-\$120,000]
To evaluate selected maize varieties for their tolerance to nutrient-poor-status soils in Mozambique and elsewhere in southern Africa.

International Maize and Wheat
Improvement Center (CIMMYT)
Mexico
[1994-\$8,000 in addition to remaining funds from prior year appropriations]
Toward the costs of a project on n-efficient maize in Mozambique, Malawi, and Zimbabwe.

\$12,500
Toward the costs of a training initiative with Eduardo Mondlane University, Mozambique, related to a project on n-efficient maize in Mozambique and Zimbabwe.

Forum on Agricultural Resource
Husbandry in Sub-Saharan Africa
[1994-\$900,000 in addition to remaining funds from prior year appropriations]
To strengthen graduate education at selected faculties of agriculture in eastern and southern Africa through an Africa-directed competitive grants program that encourages faculty members and students, in collaboration with nonuniversity research personnel, to undertake multidisciplinary field research on crop and resource management.

Africa University
Mutare, Zimbabwe
\$5,000
For a preparation grant for a research project entitled "Study of Soil Management Options for Improved Groundnut Production in Zimbabwe."

\$50,000
For soil-management options for improved groundnut production in Zimbabwe.

Makerere University
Kampala, Uganda
\$5,000
For a preparation grant for a research project entitled "Integration of Forage Legumes into Maize-Crop/Livestock Farming Systems for Sustainable Food Production."

\$65,000
For support of a project entitled "Utilization of Agricultural Plant Residues for Sustainable Crop Production."

\$41,600
For research on the current status, constraints, and potential of upland rice production in Uganda.

University of Malawi
Zomba
\$26,500
For use by Bunda College for a research proposal, "An investigation of the Potential for Adoption of Maize-Based Agroforestry Technologies by Smallholder Farmers in Zomba North RDP in Southern Malawi."

\$5,000
For use by Bunda College for a preparation grant for a research project dealing with striga management in maize-based production systems in Malawi.

\$5,000
For use by Chancellor College for a preparation grant for a research project dealing with termite control in smallholder maize-based farming systems in Malawi.

University of Nairobi
Kenya
\$60,000
For research on the economics of fertilizer use in maize production among smallholder farmers in Kenya.

\$75,000
For a research project entitled "Agricultural Resource Management in Smallholder Highland Systems."

University of Zimbabwe
Harare
\$5,000
For a preparation grant for a project to evaluate and implement a soil management package for variable rainfall conditions in Zimbabwe.

\$79,500
For a project to evaluate and implement a soil management package for variable rainfall conditions in Zimbabwe.

\$3,250
For a preparation grant for a study of the ecological relationships between soil nematodes from selected habitats as bioindicators of sustainable land use in marginal areas of southern Africa.

\$30,830
For use by the Department of Crop Science for an integrated crop management research project to improve maize yields for smallholder farmers in Zimbabwe.

\$45,850
For a research project on integrated draught animal and crop management in the context of improved crop productivity.

\$23,770
For a project entitled "Soil Moisture Characteristics of Zimbabwean Soil."

\$103,080
For a project entitled "Influence of Land Use on Rates of Deep Seepage Through Soils and Aquifer Recharge in Zimbabwe."

Wye College, University
of London
England
\$30,000
To develop a distance learning course on research methods and data analysis for agronomists.

Foundation-Administered Projects
\$160,000
For the administrative costs of the Agricultural Resource Husbandry program.

\$55,000
For the first FORUM grantees meeting, held in Kampala, Uganda, August 30-September 2, 1994.

Government of Malawi
Lilongwe
\$50,000
To continue strengthening the capacity of Malawi's Department of Agricultural Research to design and conduct a maize program directed to the needs of smallholder farmers.

Integrated Banana Research in
Uganda
[1994-\$750,000 in addition to remaining funds from prior year appropriations]
To define the role of pests and pathogens in constraining banana production in Uganda and to devise biological control measures for the most important insects.

International Institute of Tropical Agriculture (IITA)
Ibadan, Nigeria
\$88,645
For research into the genetic variability in the Highland Banana in Uganda.

Makerere University
Kampala, Uganda
\$14,067
To complete the funding of Phase II of the Uganda banana-based cropping systems research project.

\$77,350
For use by the Department of Crop Science for equipment for its banana tissue culture project.

\$51,000
For use by the Department of Crop Science in conjunction with its work on the Uganda National Banana-Based Cropping Systems Project for improvement of its research facilities and support of research assistants.

National Agricultural Research Organization
Kampala, Uganda
\$375,870
To support Phase III of the banana-based cropping systems project.

International Centre for Insect Physiology and Ecology (ICIPE)
Nairobi, Kenya
[1994-\$325,000 in addition to remaining funds from prior year appropriations]
To continue support for its Social Sciences Interface Research Unit.

\$10,000
For the Third International Conference on Tropical Entomology, held in Nairobi, October 30 - November 4, 1994.

International Institute of Tropical Agriculture (IITA)
Ibadan, Nigeria
\$14,500
To support participation by African researchers from its Root & Tuber Improvement Program at the Tenth Symposium of the International Society for Tropical Root Crops.

\$30,000
For further support of the Collaborative Study of Cassava in Africa, to include research on the urban utilization of cassava in Tanzania and to initiate the study in Zanzibar.

Kenya Agricultural Research Institute (KARI)
Nairobi
\$6,500
For use by the National Agricultural Research Centre (NARC) Muguga for Integrated Pest Management training for an entomologist at NARC Muguga.

Maize Research in Malawi
Lilongwe
[1994-\$350,000 in addition to remaining funds from prior year appropriations]
To continue strengthening the capacity of Malawian researchers to design and conduct a maize research program that addresses the needs of smallholder farmers.

Government of Malawi
Lilongwe
\$62,600
To the Department of Agricultural Research in support of research on striga control undertaken by Mr. Vernon Kabambe of the Maize Agronomy Commodity Team.

\$70,500
To support maize breeding programs in Malawi.

Makerere University
Kampala, Uganda
\$60,000
For the Second Crop Science Conference for Eastern and Southern Africa and development of an African crop science journal.

\$5,500
To support the fourteenth conference of the Soil Science Society of East Africa.

Michigan State University
East Lansing
\$34,000
For a workshop and book on Africa's Maize-Based Green Revolution.

Ministry of Lands, Agriculture and Rural Resettlement, Government of Zimbabwe
Harare
[1994-\$300,000 in addition to remaining funds from prior year appropriations]
To fund university-level correspondence course training for experienced field officers of the National Agricultural Extension Organization.

Rehabilitation of Arid Environments Charitable Trust
Nairobi, Kenya
\$30,000
For a model project at Baringo District, Kenya, to create a database for establishing viable land-management practices.

Rene Dubos Center for Human Environments, Inc.
New York, New York
\$15,000
For organizing a conference entitled "Technological Prospects for Sustainable Agriculture," to be held at the Bellagio Study and Conference Center.

Soils Management to Overcome Yield Constraints
[1994-\$1,900,000 in addition to remaining funds from prior year appropriations]
To identify and evaluate ideas for overcoming soil-based limitations to sustainable, economic yields in banana and maize cropping systems in the principal agricultural soils of eastern and southern Africa.

Department of Agricultural Research, Government of Malawi
Lilongwe
\$181,000
To support research of the Malawi Maize Agronomy Team.

\$65,000
To support the maize research of the Soils Commodity Team.

Elizabeth Dyck
Nairobi, Kenya
\$44,600
For research on soil fertility constraints and potential interventions in the low-input, permanently cropped maize systems of highland Kenya.

Ian Hayes, Malawi Agroforestry Extension Project
Lilongwe
\$60,000
To research the economics of soil fertility in maize production.

International Centre for Research in Agroforestry (ICRAF)
Nairobi, Kenya
\$25,000
To refine research priorities for natural resource management research in the highlands of eastern and central Africa.

\$42,900
For continuation of research on hedgerow intercropping for soil fertility improvement using Calliandra calothyrsus and Leucaena leucocephala in Embu, Kenya.

International Institute of Tropical Agriculture (IITA)
Ibadan, Nigeria
\$8,200
To support the workshop activities of its Soils and Plant Analytical Laboratory Network for Africa (SPALNA).

International Maize and Wheat Improvement Center (CIMMYT)
Mexico City, Mexico
\$150,000
Toward the further development of a maize database, a collaborative project with the Kenya Agricultural Research Institute.

\$209,200
For the development of a soil fertility research network to improve the productivity of smallholder maize-based cropping systems in countries of southern Africa.

\$130,890
For the development, in conjunction with the Kenya Agricultural Research Institute and the International Fertilizer Development Center, of an integrated approach to assessing soil fertility and climatic interactions in pilot maize-producing areas of Kenya.

Kenya Agricultural Research Institute (KARI)
Nairobi, Kenya
\$140,000
For the establishment of the Socio-Economics Unit of the Institute.

\$107,000
For a collaborative project with the Tropical Soils Biology and Fertility Programme (TSBF) and the Wageningen Group. The Netherlands, monitoring nutrient transfers to quantify the productivity and sustainability of agroecosystems and the NUTMON project.

\$60,000
For research on the intercropping of forage legumes with maize and fodder grasses.

Ministry of Lands, Agriculture and Rural Resettlement
Government of Zimbabwe
Harare
\$84,500
For use by the Department of Research and Specialist Services for research on improving the feed supply to draft animals by using multipurpose perennial legumes.

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ROCKEFELLER BROTHERS

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COLIN G. CAMPBELL

Colin G. Campbell is president of the Rockefeller Brothers Fund, a position he assumed in September of 1988. As president of the Fund, Mr. Campbell guides a grantmaking program which emphasizes the concept of global interdependence, concentrating on the two areas of sustainable resource use and world security. The Fund also makes grants to promote the health of the nonprofit sector both nationally and internationally, to address concerns relating to the quality of life in New York City, to increase the number and quality of minority teachers and improve early childhood education in public schools, and to support basic education in South Africa.

Before joining the Fund, Mr. Campbell was president of Wesleyan University, a position he held for eighteen years. Mr. Campbell came to Wesleyan in 1967 from his post as vice president of the Planning and Government Affairs Division of the American Stock Exchange. Before joining the stock exchange, he was an associate at the law firm of Cummings & Lockwood of Stamford, Connecticut.

Among his many civic activities, Mr. Campbell is currently chairman of Winrock International Institute for Agricultural Development in Arkansas, and of the University of Cape Town Fund. He is a director of the Charles E. Culpeper Foundation, the Council on Foundations and PBS. A trustee of the Colonial Williamsburg Foundation, Institute for the Future, the New York City Ballet, the New York Historical Society and a member of the Overseas Development Council and the Council on Foreign Relations. Mr. Campbell also serves on the boards of Pitney Bowes, Sysco, Hartford Steam Boiler Inspection and Insurance Company and Rockefeller Financial Services.

STATEMENTS FROM
FOUNDATION ANNUAL REPORT

CHAIRMAN'S INTRODUCTION

In 1994, several occasions led me as chairman of the RBF to reflect upon the continued importance of philanthropy in civil society and the role that the Fund and the Rockefeller family have played in defining and promoting philanthropy, both in the United States and abroad. In the spring, the Rockefeller Brothers Fund opened the Pocantico Conference Center, and in the fall I attended my first major conference there, a meeting of the Independent Working Group on the Future of the United Nations. Recently, I spoke at a Council on Foundations gathering on family foundations about wealth and the transfer of family values. Each in its own way provided much food for thought.

The creation of the Fund's Pocantico Conference Center is both satisfying and exciting for me. The wide variety of conferences there continues five decades of commitment to bringing together people of passion and expertise in an effort to find paths to greater peace and stability, domestically and internationally, and ways to promote the well-being of all mankind. In addition to the conference programs, the RBF administers the surrounding site, known as the Pocantico Historic Area. The property

was bought in 1893 by my great-grandfather, John D. Rockefeller, and added to and developed by his son, John D. Rockefeller, Jr. Later, his sons gave much of this Westchester county land for a New York state park. Now Pocantico itself, which has provided generations of our family with a sense of place, will serve as a seat of thought and concern about our own communities and the world we live in.

Concern for the environment is a hallmark of our family, and is a primary focus of the RBF; the two come together in the careful stewardship of the Pocantico property. In addition to Pocantico, the Rockefeller family has been deeply involved in the preservation of the historic Hudson Valley. Laurance S. Rockefeller was a key figure in the establishment of the Westchester "greenway," a concept now being copied in other parts of the world. Beyond this area, the family has helped create national parks across the country through the acquisition and donation of unique lands, such as Acadia National Park in Maine or Greenacre, the urban park in New York City established by my mother, Abby R. Mauzé.



Abby M. O'Neill (left) and Colin G. Campbell at the opening of the Pocantico Historic Area.

Rockefeller involvement in international affairs has also been long-standing. Institutions like the Rockefeller Foundation have played a crucial role in international development, beginning with the dedication in 1921 of Peking Union Medical College, still the major medical center in China. The Rockefeller Foundation, with the Ford Foundation, launched the Green Revolution, with its amazing success in providing corn and rice for burgeoning populations. Today, the Winrock International Institute for Agricultural Development, founded by Winthrop Rockefeller and importantly supported by the RBF with both funds and leadership, plays a significant role in alleviating rural poverty and promoting sound agricultural development in developing countries around the world.

Over its 54-year history, the RBF has provided critical support to a number of institutions that have been created to address the philanthropic values of the Rockefeller family. In the 1950s, long before it was popular to do so, John D. Rockefeller 3rd spoke out courageously on population and women's issues and created the Population Council to address these concerns. David Rockefeller provided the strong leadership for the founding of important institutions dedicated to increasing international understanding, such as the Americas Society and the Trilateral Commission. He and other family members also played important roles in such organizations as the Council on Foreign Relations, the Asia Society, and the Japan Society. In the Philippines, the family helped create the Ramon Magsaysay Awards, which recognize extraordinary individual achievement in rural and social development throughout Asia. International House in New York City, with several generations of Rockefeller involvement, has provided for seventy years a rich learning experience in international brotherhood and leadership for graduate students from ninety-five countries.

The United Nations offers a good example of the enduring quality of our family's philanthropic efforts. In 1945, the newly conceived United Nations was looking for an appropriate location for its headquarters. At first, a suitable site could not be found. John D. Rockefeller, Jr., and his sons offered their Pocantico home and land. When this suburban location was rejected, Grandfather learned of a 17-acre site in New York City on the East River that was available for development and offered to buy it. Nelson Rockefeller teamed up with architect Wallace Harrison; together, they negotiated the purchase of this site, and arranged for all the necessary city, state, and federal permits and waivers. Grandfather then donated the \$8.5 million property to the UN. This entire process, unbelievably, was accomplished in thirty-six hours. It therefore is fitting that on the occasion of the UN's 50th anniversary, the RBF provided the Pocantico Conference Center as the meeting place for the Ford Foundation-funded Independent Working Group on the Future of the United Nations. This panel of distinguished leaders, led by Moeen Qureshi, former prime minister of Pakistan, and Richard Von Weizsäcker, former president of Germany, convened to deliberate on the challenges facing the UN and to make recommendations to strengthen the institution.



Secretary General Boutros Boutros-Ghali and Abby M. O'Neill attending a meeting of the Independent Working Group on the Future of the United Nations.

Reflecting on all these developments, I am struck by the tremendous amount that can be accomplished through philanthropy. In our times, many important issues require attention. Two that are addressed by the RBF's One World program are the continuing fight to protect dwindling natural resources and the many security dangers that have developed as the world evolves and grows more interdependent. At home, we are faced with a sense of dispiritedness triggered by the lack of a national consensus on values and a loss of confidence in our democratic processes. Though deeply concerned by these circumstances, I am also heartened by the explosion of nongovernmental organizations and community groups, as well as the growing recognition of the importance

of civil society. Through hard work and creativity, such groups are helping to mitigate some of our most troublesome problems.

Meanwhile, foundations continue to make enormous contributions to the betterment of mankind with their ability to identify, and then fund, innovative ideas and initiatives. They play a quiet but crucial role in advancing innumerable fields of human endeavor. In my view, it is important for foundations at this time both to make their voices heard more effectively, and to make clear to the larger society the critical power of philanthropy, and this is precisely what the RBF is attempting to do.

Today, great fortunes continue to be made, yet the size of the "philanthropic pie" has not kept pace over the last ten years. At a recent Wingspread Conference, attended by my cousin and fellow RBF trustee Richard G. Rockefeller, it was estimated that an intergenerational transfer of approximately 10 trillion dollars will occur by the year 2040. If only a small portion of this wealth can be invested in philanthropy, meaningful strides can be made to resolve problems of education, health, and poverty, to mention only a few. I will continue to address the issues of the transfer of wealth and the transmission of values through my participation in the

CHAIRMAN'S INTRODUCTION

RBF programs, the Council on Foundations committee on family foundations, and elsewhere. As a family, we remain, as we have for five generations, actively committed to, and will continue to speak out regarding, the importance of philanthropy and the capacity of each person to make a difference.

Abby M. O'Neill

PRESIDENT'S REPORT

The well-being of the nonprofit sector has been a focus of Rockefeller Brothers Fund grantmaking for nearly twenty years. On the several occasions when the trustees might have determined, after a review of this program area, to reallocate resources in favor of other pressing issues, they have chosen to reaffirm that earlier commitment. This consistent endorsement of nonprofit sector funding has been based on the conviction that nonprofits play a critical role in addressing human aspirations, needs and concerns in a free society, are heavily relied on by ordinary citizens as

well as governments in many parts of the world and, not incidentally, are the primary recipients of foundation grants. For these reasons, the trustees have concluded that the sector, of which the Fund is a constituent, needs and deserves continuing attention and support. The fact that only a handful of foundations has identified the nonprofit sector as a specific program interest has served to reinforce that view.

The emphases of the Fund's nonprofit program have shifted in significant ways since it was first introduced. Initially, concern about the paucity of reliable research on the sector and about limited public understanding of its role and functioning resulted in considerable attention to these matters. This continued throughout the 1980s and beyond, although to a lesser degree in more recent years in large measure because academic centers concerned with nonprofit activity and philanthropy have increased significantly in number and have proved themselves able to garner support for their work. The research done at the centers, though sometimes criticized as being more useful to scholars than to practitioners, has made valuable contributions to the field and provides a solid base on which to explain the sector more effectively.

The need to enhance philanthropic resources available to nonprofits by increasing corporate and individual giving and by developing new sources of funds was also recognized early on as a priority for the Fund as was the importance of improving nonprofit management in response to the imperative of using limited resources wisely and efficiently. Although there has been some change in focus, the importance of both promoting philanthropy and improving nonprofit management is reflected in current grantmaking. Today, more attention is being given to helping smaller nonprofits broaden their base of support and develop mechanisms for taking advantage of sophisticated fundraising techniques. As part of the more recent



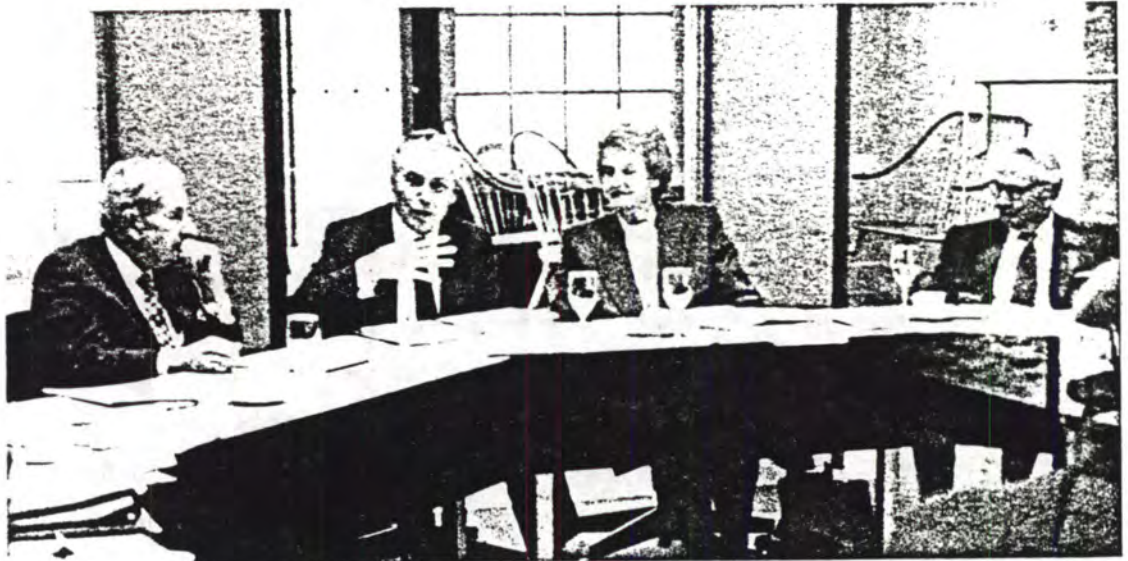
Abby M. O'Neill, Colin G. Campbell, and Laurance S. Rockefeller at the Pocantico Conference Center.

decision to emphasize the sector's human resources needs — with respect to both professionals and volunteers — the concern about management issues has been linked with an initiative to promote civic responsibility and public service.

As a complement to the Fund's One World Program, introduced in 1984, the trustees asserted at that time the importance of enlarging international funding efforts and endorsed grantmaking intended to accomplish that objective. The increasing interest in, and understanding of, the role of philanthropy and of nonprofit activities in other countries that has been revealed and encouraged by its programs in East and Central Europe and East Asia has inevitably led the Fund to seek to promote philanthropy and to foster the development of the appropriate infrastructure and practices for nonprofit organizations worldwide. In both instances, special attention continues to be given to those regions where the Fund is engaged in other aspects of its grantmaking program.

A key rationale for the priority given to the Fund's nonprofit sector program in the mid-1980s was the "crushing new demands" that were perceived at that time to represent a serious challenge to the sector. Yet, a decade later, the pressures on nonprofits are far greater. Their roles have expanded. Their power to influence decision-making on a range of issues of public concern has grown demonstrably, as is especially evident through their presence and activism in international forums. Not surprisingly, the expectations of citizens, in terms of services they want nonprofits to provide and in their hope that through nonprofits they will have a meaningful voice in policy debates, are vastly higher, particularly in situations where government is perceived not to be responsive or functioning satisfactorily, or simply is not trusted. These expectations, which are evident in both established and emerging democracies, create significant challenges for nonprofits in the United States and abroad.

Given these circumstances, it is regrettable that public understanding of nonprofits — what they do, how they do it, the difficulties they face — continues to be so seriously limited. Unfortunately, public views of the sector are too often formed as the result of scandals involving charges of misappropriation of funds, excessive and irresponsible spending, and self-dealing. These highly publicized breaches of trust, although involving only a tiny fraction of nonprofits, contribute in no small measure to public skepticism. Concern as to whether some organizations are really independent of government control or domination when they often rely heavily on government funding, and, increasingly, act in partnership with government agencies, also adds to public confusion and doubts. The cost of management, usually resulting from the need for sufficient staff depth and capacity to assure quality performance as well as for satisfying the reporting requirements of public and private funders, is another, often groundless, source of criticism. Taken together, the misconduct of a few nonprofit leaders and limited public knowledge of the way nonprofits function on their own and in



David Rockefeller, Colin G. Campbell, Abby M. O'Neill, and Laurance S. Rockefeller at a meeting at the Peconic Conference Center.

collaboration with others adversely affect donor attitudes and, therefore, can be costly in revenue terms. They also lead to understandable demands for more effective governance, greater accountability, and reliable assessment processes, demands which often only add to the organizational expenditure base.

It is now obvious that earlier efforts to broaden and deepen understanding of the role of nonprofits, though an important start and appropriate for the time, did not anticipate the rapid growth, expanded mission, and increasing complexity of the sector. Moreover, although progress has been made in addressing the resources and management challenges facing nonprofits, these issues remain significant concerns requiring creative and energetic responses.

The resource issue is probably endemic given the unreliable ways nonprofits are funded. For example, many organizations face the prospect of reduced government support in the United States for activities in which they now play a major role. Although this development is primarily a result of shifting views on the role of government and continuing pressures on the federal budget, its likely effect on nonprofits, and the fact that these organizations may not be in a position to continue to do what people expect of them, has not been taken fully into account. In addition, because of mergers, acquisitions, and preference given to other financial priorities, corporate support has not kept pace with inflation. And, most unfortunately, private giving for human services appears to be declining in the face of increased demand on nonprofits as government support is cut back. Internationally, the problem of attracting funding for nonprofits may be simpler to articulate but

even more challenging to overcome: Supporting nongovernment activity through private funding is not in the tradition of most countries. Clearly, spreading the gospel of American style philanthropy is a slow process at best and may not be realistic in some cases, even for the longer term, much less to meet short-term needs.

From a management perspective, the initiative of and pressure on nonprofits to take on more challenging tasks (for example, sponsoring housing projects or addressing complex environmental issues) assume a degree of staff competence which is in relatively short supply and, often for financial reasons, extremely difficult for nonprofits to attract. And yet, training programs for nonprofit staffs are limited in availability and comprehensiveness. On the job training, which is time-consuming and wastes resources, is the only alternative. Moreover, planners and financial managers are sometimes viewed as unaffordable luxuries, or at least expendable in times of mounting financial pressures, even by nonprofit boards and funders; yet their absence can lead to inefficiency and abuse. Finally, the level of sophistication required for more effective collaboration with business and government, as well as to garner resources, is increasingly beyond reach of many nonprofit organizations.

While considering with some sense of urgency how to assist nonprofits in coping with this array of challenges, it is important also to be mindful of the dramatically increased power and impact of the sector, not only in terms of the ever widening range of services these organizations are called upon to provide but also in connection with their active engagement in major policy debates in this country, in other regions, and in relation to the global agenda. This new prominence and policy role are in themselves phenomena worthy of greater attention. Because of their lively presence and important contributions at major international meetings, beginning particularly with UNCED in Rio de Janeiro in 1992 and continuing at United Nations sponsored sessions in Cairo in 1994 and Copenhagen in 1995, there may well be greater understanding of the significance of nonprofits in respect to addressing global issues than there is of the nature of their domestic activities. In this country a variety of cross currents and sometimes sharp differences of philosophy and opinion among leaders of nonprofits in the same fields—the environment and health care come to mind—may tend to undermine the critical role these organizations are playing. Or it may be that most nonprofits are just taken for granted and therefore not perceived to have such enormous impact nor to be part of a huge and immensely important component of American society.

There is much to do in order to maintain the health and vitality of the sector, domestically and internationally, and to seek new and more effective ways of addressing critical financial and human resource issues as the Fund has done for two decades. At the same time, the need to substantially increase public understanding of the role of nonprofits in modern society must include more searching and more thoughtful analysis of all aspects of that role. An example is the increasing advocacy work of nonprofits which is seen

in the most positive light by those who agree with the cause being advocated but is often viewed by others as unfair and even inappropriate for institutions receiving substantial benefits under the tax laws. At the least, a spirited public debate about providing government funds to nonprofits which engage in advocacy, particularly if that advocacy is not deemed to be consistent with current legislative or executive initiatives, seems inevitable. Over time the tax status itself of nonprofits could become an issue among those who are strongly opposed to nonprofit advocacy activities. These would be steps in the wrong direction. The Fund has long held to the view that providing the public with information about critical issues and, in cases where the information seems to clearly justify public action, using that information to encourage citizen participation, is fully appropriate in a democratic society regardless of who is doing the funding and regardless of the position being advocated.

There is no question about the central role that nonprofits play in all aspects of life in this country and increasingly abroad. What needs to be thought through under these circumstances are the implications of that role for governments domestically, at the local, state, and regional level, as well as internationally. In the United States this means developing a clearer sense of when nonprofits should assume full responsibility, including for funding of activities often identified as government-supported; when government support is likely to be required and appropriate; and, finally, when partnering with government would be the most workable approach. The impact of nonprofits on both international institutions and international problem-solving is also a subject of major import. On the one hand, these nonprofits can and have been viewed as meeting a variety of needs more effectively and more appropriately than governments. On the other hand, there is increasing concern that they may represent a "piling-up of special interests," making it more difficult for governments to take actions, even those that are favored by a majority of the citizenry.

The Rockefeller tradition of philanthropy as embodied in the goals and objectives of the Rockefeller Brothers Fund has always assumed and in fact relied on a prospering voluntary sector to accomplish a range of worthy objectives. The strength of the sector today, the scope of its work geographically and substantively, the challenges it faces, the potential for abuses that have been revealed, the pressing needs of the global society which the sector is helping to meet and, perhaps most importantly, the continuing lack of public understanding that has been a Fund concern since the sector was designated as a program interest, all suggest that this continues to be an area of largely unrecognized need deserving greater attention from the funding community.

Colin G. Campbell

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TRUSTEES

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⁵ Until October 31, 1994

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BUSINESS EXPERIENCES :

1993-present	President The Sasakawa Peace Foundation
1986-present	Executive Director The Sasakawa Peace Foundation
1982-1986	Representative, Tokyo Office The United States-Japan Foundation
1980-1982	Regional Sales Director Japanese National Railways (then)
1977-1980	Manager, Marketing the Americas Japan Airlines, New York Office

RECENT ACTIVITIES :

Involved in various activities related to nonprofit sector both domestically and internationally. Activities include giving lectures on philanthropy in Japan and overseas, contributing articles and papers to various magazines and institutions. Also serving as board member and adviser of many institutions.

Recently published "Foundation as Societal Phenomenon" (NHK Publication, 1992) and "America's Nonprofit Sector - Primer" by Lester M. Salamon (Japanese translation, Diamond Inc., 1994).

**PROGRAM EXAMPLES FROM
FOUNDATION ANNUAL REPORT**

1994-2000

Responding to Ongoing Upheaval on the World Stage

The Second Midterm Program

In its second midterm program, SPF set forth a revised set of operational guidelines and objectives for its activities in the remaining years of the 20th century. The new program reflects no change in our basic commitment to grasping and tackling issues from a broad, international perspective. However, the rapidly changing global scene has raised a number of new issues that have captured the Foundation's attention.

An important development has been the emergence of new actors on the stage of international problem-solving. The autonomous initiatives of this burgeoning sector, which includes volunteer citizens' groups, local communities and NGOs, are now attracting much attention as effective alternatives and supplements to the efforts of national governments and international bodies.

One of the factors which engendered this change is the worldwide diversification of values. How to achieve harmonious coexistence amid such cultural and ideological diversity remains, however, a problem requiring new approaches and innovative strategies. Moreover, values and sociocultural forms are intimately bound up with religious, political and economic systems. For this reason, understanding and articulating all aspects of the complex structure of today's world is crucial to the task of nurturing coexistence based on mutual understanding.

Based on this perspective, SPF has advanced its program for the remainder of this century from the previous emphasis on global interdependence to that of global interaction, in the form of joint initiatives by a diverse range of actors throughout the world.



Building a New Global Framework amid Diversifying Values: Fostering Cooperative Interaction



Global Policy Issues: A New
Global Order and the
Nation-States in Peril



The world is once again dividing into two distinct zones, one of turmoil and the other of relative stability. The result is a situation which requires new alternatives to the approaches taken in the past to the task of fostering international community. Recognizing this need, SPF will pursue three themes under its Global Policy Issues framework. Under the banner "A New Global Order and the Nation-States in Peril: Creating Innovative International Frameworks and Approaches," we intend to promote mechanisms for informal international dialogue, encourage joint initiatives for promoting regional cooperation, address the link between culture and the promotion of inter-ethnic harmony, and explore Japan's contribution to building a new global society. Meanwhile, the focus in the second component, labeled "Development and Transitional Economies: Introducing East Asian Growth Models," will be on sharing East Asia's development experience and advancing the transition process in former communist states. Finally, the third initiative, "Conserving the Global Environment," will concentrate on fostering globally oriented environmental policy leaders.

Fostering Mutual Understanding
in a Rapidly Changing Global
Landscape: Working to Build
Action Networks



As the world continues to make agonizing changes under the effects of civil war, famine, poverty, environmental destruction and other natural and man-induced catastrophes, there is a growing body of private specialists and ordinary citizens working to overcome these pressing problems. One of the key tasks for the future will be to expand these community-level efforts through international networking. To that end, SPF aims to generate a ripple effect in international cooperative activities by supporting innovative projects in three theme-areas: "Cultivating International Networks among Cities, Towns and Villages," where the focus will be on promoting cooperative unity and international exchange in Japan's local communities; "Fostering International Research Networks," through joint projects each involving advanced research institutions from at least three countries that together comprise a significantly large geographic region; and "Promoting Japanese as a Language for Intercultural Communication," focusing on Japanese language-related information exchange and the development of innovative teaching methods for the new generation of learners in the coming years.

Strengthening Internationally
Oriented Private Nonprofit
Activities: Invigorating and
Raising Public Awareness of
Nonprofit Activities



All over the world, increasingly high expectations are being placed upon private nonprofit organizations to help meet a range of social needs. SPF identifies three key questions common to all such NI activities: how NPOs should interact with government and business in providing public welfare; what role the recipients of welfare services expect of NPOs; and what conditions must be met to make nonprofit activities vibrant and sustainable. While considering these questions within an international context, we will support a range of activities under three categories: "Surveys and Research on Private Nonprofit Activities"; "Capacity-Building to Enhance Private Nonprofit Activities"; and "Institutionalization of Nonprofit Initiatives and Activities."

Pursuing a Dual Program Strategy

In addition to the Regular Projects funded from our basic endowment, SPF also administers projects through five Special Funds. Whereas the Regular Projects are focused on specific issues, four of the five Special Funds target specific geographical regions. Working in collaboration with international foundations and nonprofit organizations in various countries, each of these funds pursues its own program aimed at helping to solve the specific problems of its respective region. We believe this dual approach of administering issue-oriented Regular Projects concurrently with region-oriented Special Funds gives further depth and breadth to SPF's program as a whole.

Besides these project activities, SPF houses the Tokyo Headquarters of the Sasakawa African Association and the Tokyo Office of the Fondation Franco-Japonaise Sasakawa, and provides extensive logistic support for the public-interest activities of The Sasakawa Peace Foundation U.S.A.

Developing Globally Oriented Projects through Innovative Special Funds



The Sasakawa Pacific Island Nations Fund

Endowment: ¥3 billion

Established: April 1989



This fund supports a range of projects aimed at contributing to the development of the island nations throughout Melanesia, Micronesia and Polynesia and promoting mutual understanding and exchange between them and other countries, including Japan. In providing assistance, the Fund places priority on projects initiated by Pacific island communities themselves and emphasizes the importance both of respecting each area's unique culture and of promoting intraregional cooperation in the pursuit of the common interests of all the Pacific island states.

The Sasakawa Japan-China Friendship Fund

Endowment: ¥10 billion

Established: December 1989



Particularly in today's turbulent international climate, strengthening the long-standing ties between Japan and China is crucial to world peace. This fund supports an array of projects under three main categories: "People Exchanges," aimed at promoting broad mutual understanding and friendship between the two countries; "Study Exchanges" to give Chinese from various fields

opportunities to study counterpart activities in Japan that may help smooth China's transition to a market economy; and "Training Exchanges" through which specialists from either country conduct research or undergo training in the other.

The Sasakawa Central Europe Fund

Endowment: ¥4 billion

Established: March 1991



This fund was established to provide support for projects aimed at facilitating the transition to market economies in Hungary, Poland, Slovakia and the Czech Republic, all currently undergoing radical reform in the post-Cold War era. Concrete efforts to that end include the promotion of small businesses, development of educational programs, support for Central European NGOs grappling with the region's environmental problems, and training programs for leaders and policy makers in various fields.

The Sasakawa Southeast Asia Cooperation Fund

Endowment: ¥4 billion

Established: March 1992



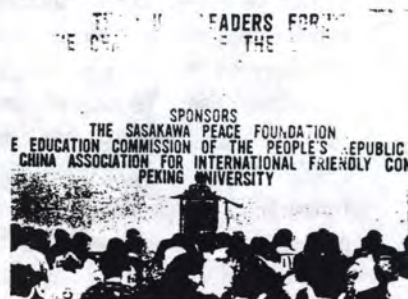
This fund was set up to spur the processes of reconstruction in Vietnam, Laos and Cambodia, countries currently undergoing the transition from centrally planned to market economies and in urgent need of development assistance,

particularly from Japan and other neighbors in Asia. Under such themes as personnel exchange, human resource development and policy studies, Fund's activities include extending assistance to NGOs working to promote the region's development and sponsoring meetings and seminars to discuss development-related issues.

The Sasakawa Fellowship Fund

Endowment: ¥3.02 billion

Established: March 1991



Aimed at nurturing potential leaders in various fields, this fund provides scholarships to promising graduate students at selected universities. At present the Fund comprises two components: a program providing scholarships to students from developing countries in the Asia-Pacific region to attend the World Maritime University; and a follow-up program for the Ryoichi Sasakawa Young Leaders Fellowship Fund (SYLFF), which provides institutions of higher learning around the world with endowments of US\$1 million each for the establishment of scholarship funds to support graduate-level students in the humanities and social sciences. The follow-up program emphasizes exchanges among SYLFF fellows in endowed institutions around the world, and it features the JREX program, which funds collaborative research and exchange projects conducted among the fellows, inter-university student and faculty exchanges, and regional seminars among other activities.

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Making Application for an SPF Grant

SPF welcomes proposals for innovative projects aimed at promoting international understanding, exchange, or cooperation.

Proposal submission

- 1) No special form or format is required for submitting proposals.
- 2) Proposals should be prepared on 3 or 4 pages of A4-sized paper.
- 3) No particular submission deadline or grant ceiling has been set.
- 4) Proposals should be written in either English or Japanese.

Grant conditions

- 1) Proposal should be for projects that coincide with SPF's program focus as outlined in its second midterm program guidelines.
- 2) The following areas are excluded from funding consideration:
 - (1) Purchase of real estate or fixed property and construction of buildings
 - (2) Support of an organization's deficit operation
 - (3) Purely theoretical academic research
 - (4) Projects of a commercial nature
 - (5) Emergency or disaster assistance

SPF Publications

To help those interested to gain a better understanding of our programs, SPF provides, free of charge, publications about its program and also literature on the achievements of its specific projects. The following regular publications are issued in English: "Guidelines for the Second Midterm Program of The Sasakawa Peace Foundation," "Annual Report," and quarterly "SPF Newsletter." For details, please contact the Foundation at (81-3) 3769-2081 (tel) or (81-3) 3769-2090 (fax).

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W. ALTON JONES

Divider Title: _____

W. ALTON JONES FOUNDATION

232 EAST HIGH STREET

CHARLOTTESVILLE, VIRGINIA 22902-5178

John Peterson Myers

J. P. Myers is Director of the W. Alton Jones Foundation, a private foundation supporting work to protect the global environment and to reduce the likelihood of nuclear warfare.

Myers was trained in biology and psychology at Reed College and in zoology at the University of California, Berkeley, where he received a doctorate in 1979. He has held research positions at U.C. Davis's Bodega Marine Laboratory and the Academy of Natural Sciences of Philadelphia, where he was Associate Curator of Systematics until 1987. During this period he was also a member of the adjunct faculty of the University of Pennsylvania and the University of Oregon.

Myers's scientific research began with studies on the behavioral ecology of migratory birds and in wetland conservation, fields in which he has published over 50 scientific articles. His work during the last decade has moved increasingly toward public policy issues in environmental protection, first for matters related to wetland conservation, and then more broadly into other issues of environmental protection, including the potential impacts of climate change on biological diversity and the human and wildlife impacts of endocrine disruption. From 1987 to 1990 he was Senior Vice President for Science at the National Audubon Society, with responsibilities for research programs in ecosystem management, global warming, energy and the environment, and the ecological impacts of deploying biotechnology, among others.

As Director of the W. Alton Jones Foundation, Myers oversees the Foundation's programmatic and administrative activities, with a special emphasis on economic and ecosystem sustainability.

In 1992 Myers was appointed to a four-year term to the Virginia Pesticide Control Board by Governor Douglas Wilder. He has served on the board of the National Audubon Society and is President of the Board of the Consultative Group for Biological Diversity, a consortium of 37 foundations collaborating on biodiversity issues.

STATEMENTS FROM
FOUNDATION ANNUAL REPORT

W. ALTON JONES FOUNDATION

The W. Alton Jones Foundation was established in 1944 by W. Alton Jones
"to promote the well-being and general good of mankind throughout the world."

The goals of the Foundation are to

build a sustainable society by developing new ways for humanity to interact
responsibly with the planet's ecological systems, and

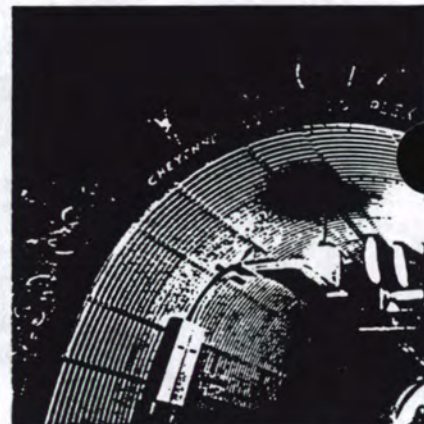
build a secure world by eliminating the possibility of nuclear war and by providing
alternative methods of resolving conflicts and promoting security.

CHARLOTTESVILLE, VIRGINIA

FOUNDATION INITIATIVES

The W. Alton Jones Foundation works principally through Foundation-defined programs addressing its priority issues. These initiatives usually take the form of coordinated grants to multiple institutions, each of which focuses on a part of the solution needed to further the Foundation's mission. Proposals for participation in these initiatives are by invitation only.

Activities supported by the Foundation range from applied research and scholarship that define or explore new solutions to problems, to litigation, to efforts that help policymakers and the public to understand issues and opportunities. The Foundation strongly encourages widespread dissemination of the results of programs it funds. It also is committed to encouraging citizen activism at all levels.



Clockwise from upper left: Logger felling cedar in ancient forest on Graham Island, Haida Gwaii, British Columbia, Canada. Sandy MacDonald; North American Air Defense Command (NORAD) in Cheyenne Mountain, Colorado Springs, Colorado. Paul Shambroom; Spewing statue coat children with carbon in an industrial region of Romania. James Nachtwey/Magnum Photos, Inc.; Poison dart frog, *Dendrobates histrionicus*, Amazonia, Ecuador. Mark Moffett/Minden Pictures

Shoreline at dusk on Reef Island, Haida Gwaii, British Columbia, Canada.
Graham Osborne

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Secretary for Trustees and Receptionist

**PROGRAM EXAMPLES FROM
FOUNDATION ANNUAL REPORT**

Eco Northwest
Eugene, OR \$40,000
To analyze management plans proposed by the U.S. Forest Service for National Forests on the east slope of the Cascades, and to analyze the economic impacts of internalizing the environmental costs of resource-extraction activities.

GRASSROOTS
1,000 Friends of Florida
Tallahassee, FL \$40,000
To assess linkages specific to Florida between economic development and environmental protection, and to promote sustainable solutions to these issues.

Multilateral Development Bank (MDB) Reform

Bank Information Center
Washington, DC \$100,000
To advocate for peoples adversely affected by the environmental impacts of multilateral development bank activities in the developing world.

Bank Information Center
Washington, DC \$10,000
To design and implement a network of nongovernmental organizations in Asia monitoring Asian Development Bank activities.

Both Ends
Amsterdam, Netherlands \$50,000
To provide educational information to other nongovernmental organizations in developing countries and to educate Dutch policymakers on multilateral development bank issues.

Erklärung von Bern
The Berne Declaration
Zurich, Switzerland \$50,000
To promote environmentally sustainable lending practices at the World Bank.

Fundación Natura
Quito, Ecuador \$50,000
To educate decision-makers on the need to incorporate environmental considerations into multilateral development bank projects in Ecuador.

Sierra Club of Canada
Ottawa, Ontario, Canada \$35,000
To promote environmentally sustainable lending practices at MDBs through research, analysis, coordinating the activities of nongovernmental organizations, and policymaker education.

Urgewald
Sassenberg, Germany \$50,000
To educate the general public and policymakers about the need to reform Germany's multilateral aid policies.

World Economy, Ecology & Development Association
Bonn, Germany \$50,000
To educate the general public and policymakers about the need to reform Germany's multilateral aid policies.

Economic Models

American Council for an Energy-Efficient Economy
Washington, DC \$36,500
For research and development of an energy tax and industrial investment tax credit proposal.

National Taxpayers Union Foundation
Washington, DC \$50,000
For public education about subsidies that are a burden to taxpayers and harmful to the environment.

For current grants in this initiative, retrieve file "Economics" from the Foundation e-mail INFOBOT. See page 82.

Institute for Economic and Environmental Studies
California State University
Fullerton, CA \$200,000
To analyze the economic and air quality impacts of vehicular regulations in the Los Angeles region from 1966 to 1990.

Radio and Television News Directors Foundation
Washington, DC \$38,000
For regional workshops for journalists and editors on air emissions and on solutions offered by low-emission and zero-emission vehicles.

GRASSROOTS

American Lung Association of Connecticut
East Hartford, CT \$30,000
To develop a multi-constituency coalition in Connecticut working to educate government officials and the general public about zero-emission and low-emission vehicle programs.

Coalition for Clean Air
Santa Monica, CA \$40,000
To organize a grassroots and organizational base of support in the Los Angeles area for California's Zero-Emission Vehicle Mandate.



Masked biker in New York City.
Martha Cooper/Peter Arnold, Inc.

Delaware Valley Citizens Council for Clean Air
Clean Air Council
Philadelphia, PA \$28,000
For local advocacy in Pennsylvania to support implementation of a zero-emission vehicle program.

New Jersey Environmental Education Fund
Trenton, NJ \$40,000
To promote a zero-emission vehicle program in New Jersey.

Planning and Conservation League Foundation
Sacramento, CA \$25,000
To promote a zero-emission vehicle program in California.

Rural Renewable Energy in Developing Countries

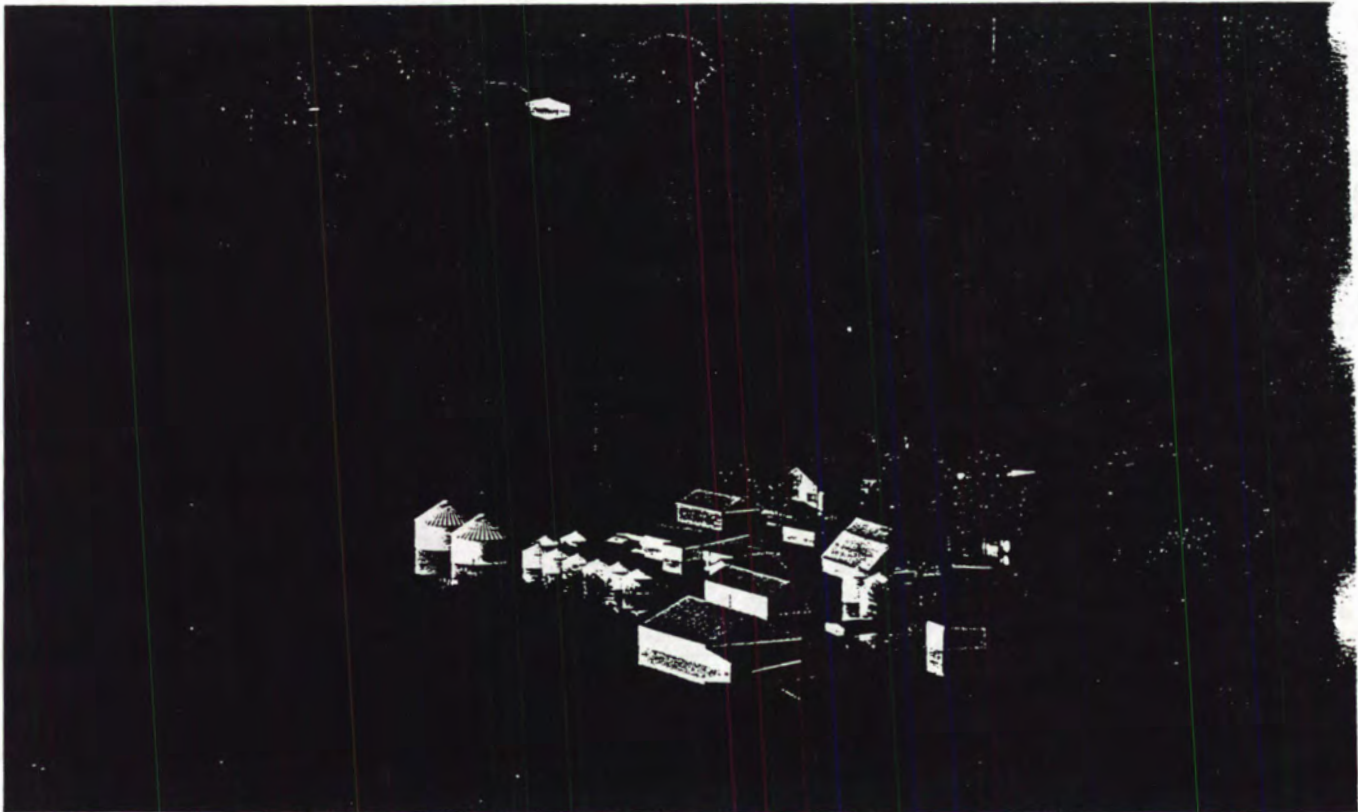
Least Cost Energy Analysis Project
A project of the Tides Foundation
San Francisco, CA \$41,000
To develop a cost-effective renewable energy and "demand-side" plan for the city of Manaus, Brazil.

Climate Treaties and Related Protocols

Climate Network Europe
A project of the Stockholm Environment Institute
Brussels, Belgium \$60,000
To facilitate the coordination of European nongovernmental organizations on global climate change and related issues.

Environmental and Energy Study Institute
Washington, DC \$100,000
To provide educational opportunities for congressional leadership on global climate change and fiscal reform issues.

Environmental Defense Fund
New York, NY \$200,000
To conduct scientific research on climate change; to carry out public and policymaker education on technology and policy options; and to pursue strengthening of international climate accords.



Floods along the Mississippi River foretell the impacts of climate change.

Les Stone/SYGMA

International Project for Sustainable Energy Paths

A project of the Natural Resources Defense Council
El Cerrito, CA \$60,000
To publish and disseminate research on the economic costs of climate stabilization.

U.S. Climate Action Network

A project of the Tides Foundation
Washington, DC \$50,000
To promote exchange of information on human-caused climatic disruption.

Verification Technology Information Centre

London, England \$51,000
To analyze technical issues critical to developing practical verification procedures under the United Nations Framework Convention on Climate Change.

For current grants in this initiative, retrieve file "Energy" from the Foundation e-mail INFOBOT.
See page 82.

PROGRAM AREAS AND APPLICATION PROCEDURES

THE SUSTAINABLE WORLD PROGRAM

Seeks to build a sustainable society and support biological diversity on earth.

Maintain Biodiversity:

- In three watersheds:
 - Amazon
 - Coastal Louisiana
 - Pantanal and the Paraná-Paraguay River watershed
- In three forest ecosystems:
 - Pacific Northwest
 - (including Southwestern Canada)
 - Irian Jaya
 - Siberia
- Through international agreements and treaties related to:
 - Biodiversity
 - Forests

Promote Economics for a Sustainable Planet:

- Create models which value biodiversity, balance the economy with the environment and assess the full cost of human activity on the planet
- Promote the understanding and economic value of biodiversity
- Balance economic and environmental needs
- Promote sustainable trade policies through international agreements, with an emphasis on the Western Hemisphere
- Promote wise policies in the multilateral development banks
- Promote the sustainable use of biological resources

Develop new sources of energy usage and address the related climate changes:

- Promote renewable energy in developing countries
- Develop renewable urban energy policy in Brazil, Russia, Ukraine and the other Newly Independent States
- Promote a hydrogen economy (transportation and stationary sources)
- Support multinational climate treaties

Eliminate Systemic Contamination:

- In aquifers
- In three areas affecting the health of children:
 - Pesticides and endocrine disrupters
 - Air pollution
 - Lead poisoning
- In Eastern Europe, Russia, and the other Newly Independent States

Environmental Law and Media:

Promote and develop activities that complement the Foundation's areas of environmental grantmaking