

# The Rockefeller Foundation

*nineteen eighty-two*



**THE PRESIDENT'S REVIEW  
AND ANNUAL REPORT  
1982**

**THE ROCKEFELLER FOUNDATION**

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## **CONTENTS**

<b>ORGANIZATIONAL INFORMATION</b>	<b>5</b>
<b>THE PRESIDENT'S REVIEW</b>	<b>13</b>
<b>GRANTS AND PROGRAMS</b>	
<b>Agricultural Sciences</b>	<b>22</b>
<b>Arts, Humanities &amp; Contemporary Values</b>	<b>31</b>
<b>Education for Development</b>	<b>48</b>
<b>Equal Opportunity</b>	<b>49</b>
<b>Health Sciences</b>	<b>57</b>
<b>International Relations</b>	<b>65</b>
<b>Population Sciences</b>	<b>71</b>
<b>Special Interests and Explorations</b>	<b>79</b>
<b>Fellowships</b>	<b>94</b>
<b>FINANCIAL STATEMENTS</b>	<b>101</b>
<b>INDEX</b>	<b>111</b>



**ORGANIZATIONAL**

**INFORMATION**

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*December 31, 1982*

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*December 31, 1982*

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\*Died January 15, 1983.

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**(as of January 1, 1983)**

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## **ORGANIZATIONAL INFORMATION**

### **Meetings**

The annual meeting of the Board of Trustees was held on April 7, a stated meeting of the board was held on December 6-7, and a special meeting of the board was held on September 13. Two regular meetings and one telephone conference meeting of the Executive Committee of the trustees were held to take actions within the general policies approved by the board.

### **Trustees and Principal Officers**

The Reverend Theodore M. Hesburgh retired from the Board of Trustees, effective June 30. He was elected a trustee in 1961 and served as Chairman of the Board from 1977 until his retirement. He also served as chairman of the Nominating Committee, as a member of the Executive Committee, and as an ex officio member of the Audit and Finance Committees.

Clifton R. Wharton, Jr., succeeded Father Hesburgh as Chairman of the Board, effective July 1. Dr. Wharton has been a trustee since 1970, and has served on the Executive Committee and as a member and chairman of the Nominating Committee.

Cyrus R. Vance retired from the Board of Trustees, effective June 30. He served as a trustee from 1970 until assuming the office of Secretary of State in 1977, and joined the Board again in 1980. He served as Chairman of the Board from 1975 until 1977. He also served as a member of the Executive and Finance Committees.

Henry B. Schacht resigned from the Board of Trustees, effective December 6. Mr. Schacht was elected a trustee in 1977 and served as a member and chairman of the Audit Committee and as a member of the Finance Committee.

Harold Brown, Distinguished Visiting Professor at the Johns Hopkins School of Advanced International Studies and former Secretary of Defense, was elected a trustee, effective September 13.

John R. Evans, Director of the Department of Population, Health, and Nutrition at the World Bank, was elected a trustee, effective September 13.

Tom Johnson, Publisher and Chief Executive Officer of the Los Angeles Times, was elected a trustee, effective September 13.

Alice M. Rivlin, Director of the Congressional Budget Office, was elected a trustee, effective September 13.

Rajaram Ramanathan was elected Comptroller, effective April 8. Mr. Ramanathan came to the New York office in 1971, and was appointed Assistant Comptroller in 1978 and Associate Comptroller in 1980.

John A. Pino, Director for Agricultural Sciences since 1970, resigned from this position, effective November 15. Dr. Pino was a member of the Foundation's field staff in Mexico for eight years before joining the New York staff in 1965 as Associate Director for Agricultural Sciences. He now serves as Senior Scientist in the Agricultural Sciences Division.

Clarence C. Gray III was appointed Acting Director for Agricultural Sciences, effective November 16. Dr. Gray was appointed Associate Director in 1970, Deputy

Director in 1971, and Associate Director and Foundation Representative for the Southeastern United States in 1975.

At the December meeting Jack R. Meyer, Deputy Comptroller of the City of New York, was elected Treasurer and chief investment officer, effective February 15, 1983. Mr. Meyer succeeds Theodore R. Frye, who will retire in 1983 after 20 years of service with the Foundation.

At the June meeting Alberta Arthurs was elected Director for the Humanities, effective August 14. From 1977 to 1982 Dr. Arthurs served as President and Professor of English, Chatham College. She had previously served on the faculties of Harvard, Rutgers, and Tufts. At the December meeting the Arts and Humanities divisions were combined into a single division, Arts and Humanities. Dr. Arthurs was appointed Director of this new division and Howard Klein was appointed Deputy Director, effective January 1, 1983.

J. George Harrar, former President and a Life Fellow of the Foundation, died on April 18. Dr. Harrar, a brilliant leader, was the architect of the Foundation's agricultural programs, beginning in Mexico during the 1940s, and was in large part responsible for the so-called Green Revolution. He led in the formation of several agricultural research centers and in the founding of the Consultative Group on International Agricultural Research.

Michael M. Stewart, Vice-President of the Foundation since July 1981, died on January 15, 1983. An internist and specialist in community medicine, Dr. Stewart served on the Foundation's field staff in Thailand from 1969 to 1973; he was chief of the division of general medicine and director of the office of primary care education at Columbia University when he rejoined the Foundation.

**THE**

**PRESIDENT'S**

**REVIEW**

## THE PRESIDENT'S REVIEW

Like people everywhere, Americans often have difficulty adjusting to change. It is natural for human beings to be most comfortable with familiar things, and to rely more heavily on habit than they would care to admit.

For the national mythology runs in quite the other direction. From the outset of our history, we Americans have been very conscious of our opportunity to build a New World, different from all other human societies, and dedicated to new approaches to the solution of human problems. Indeed, we are sometimes accused of confusing mere movement with progress, and viewing innovation as good in itself, more or less synonymous with improvement.

In recent years, however, a sense of profound, probably irreversible change has pervaded American life and produced a degree of uneasiness and pessimism about the future that is perhaps without precedent in this country. We see our once dominant position in the world of nations, both economically and strategically, eroding, and we fear that this erosion may continue. Institutions and attributes once seen as the bedrock upon which American democracy was built appear threatened: the family, personal and civic morality, public education, even the reliance upon English as a common, unifying language. Under such circumstances, a pervasive malaise is hardly surprising. What is surprising, in fact, is the continuing strength of our democratic traditions and the absence, thus far, of any internal threat to those traditions comparable to the Know Nothings of the 1850s or the McCarthyite hysteria of a century later.

The nation's attempts to respond to changing conditions at home and abroad have tended to be somewhat confused, even contradictory. The election of President Reagan clearly owed much to the widespread conviction that a change of direction was needed. After 15 years of effort and the expenditure of untold billions of dollars, Lyndon Johnson's "Great Society" seemed in 1980 as far away as ever from becoming a reality, whatever its individual achievements. American power was threatened by burgeoning Soviet military strength, and mocked by a crudely reactionary regime in a faraway developing country whose capacity to humiliate us was not even suspected until it was made manifest. The sense that our federal government had become simultaneously more intrusive and less effective was present, in varying degrees, all across the political spectrum.

Yet, in spite of all this, the Reagan "landslide" fell a good deal short of such earlier electoral triumphs as 1932, 1936, or 1964. Many Americans either did not think a change was necessary or did not believe that any available alternative was worth supporting. Only 54 percent of Americans of voting age went to the polls, which meant that Reagan was elected by just 27.4 percent of the potential electorate. Not only that, but the same voters retained the Democratic majority in the House of Representatives, suggesting something far short of a sweeping conviction that major change was needed. Subsequent developments, including the mid-term elections last year, merely underline the fact that, politically, we are far from sure where we want to go or how we might best get there.

In the midst of all this, the task of self-definition for private foundations may seem a somewhat minor matter. Our behavior and direction are not a matter of lively concern for most Americans. The total resources in the hands of such foundations amount to \$48.2 billion, or about one-fourth of the anticipated federal deficit for FY '83. In the last few years, corporations have, for the first time, given away slightly more money than the foundations. And, as the pundits rediscover almost daily, the true engine of philanthropy in the United States remains private individuals, whose donations comprise nine-tenths of all the money given charitably each year.

Under these circumstances, it would hardly seem necessary for the foundations to keep on announcing that they are incapable of "filling the gap" left by budget-cutting in Washington. Yet the very acuteness of people's needs tends to make them ever hopeful. Public understanding of and support for the foundations is often, and rightly, described as "a mile wide and an inch deep." To most people, names like Rockefeller, Carnegie, Ford, and Mellon connote money, lots of it. The fact remains that even were the foundations to stop all that they are doing and devote their entire giving to gap-filling, they would fall some \$400 million short of making up the cuts recommended in the President's 1984 budget request in the following areas alone: training and employment, food stamps, education, energy assistance for low-income families, and welfare.

Not only are the foundations' resources wholly inadequate to assume the burdens of the modern welfare state, or even a substantially reduced version thereof, but to look to them for this purpose is to misread their role in American life. That role is not a simple one, given the diversity of foundations as to size, stated aims, and methods of operation. It is often pointed out that there are some 22,000 private foundations in the United States. Less often is it said that only 3,363 meet the minimum criteria for inclusion in *The Foundation Directory*: possession of at least \$1 million in assets *or* gifts in the most recent year of record totaling at least \$100,000. In fact, almost half of all foundation assets are held by the 58 foundations with \$100 million or more in assets.

A few of these larger institutions are community foundations, with spending mandates that are usually quite broad in terms of subject matter, but restricted geographically to the metropolitan area or region that constitutes the "community" in question. Many independent foundations, including some large ones, are limited to very specific subjects. One of the largest, the Robert Wood Johnson Foundation, with assets of more than a billion dollars, concentrates entirely on matters related to health. The Robert A. Welch Foundation distributes about \$8 million annually to fund "long-range fundamental research in the broad field of chemistry within the state of Texas only." The John and Mary R. Markle Foundation, with assets of \$51 million, works on "strengthening the performance of the media and understanding the potential of communications technology"—a big task, certainly, but not one that penetrates very far into the vast array of activities that have lost or are losing federal funding.

Not only are the subjects pursued by foundations many and varied, but our funding—especially that of the larger ones—tends to focus on opportunities to test

new ideas or to support new ventures on a one-time basis. We are not well positioned to carry on broad programs involving multiple disbursements and predictable year-in, year-out funding. If we overuse the word "catalyst" to describe what we do, it is nevertheless an accurate indication of the kind of role we see for ourselves: a role that is necessarily limited in scope and focused on opportunities for facilitating change.

In the decades immediately before and after World War I, foundations, though far fewer than today, loomed large because government's role was so narrowly construed. The point has been made, often with more than a touch of nostalgia, that in those days the Carnegie and Rockefeller foundations between them were spending considerably more money on educational and social programs than was the federal government. Those days are long gone and, more clearly than ever, foundations must nowadays choose their targets with care and look for opportunities to make a difference with small amounts of money.

Occasionally, a foundation may be fortunate enough to think of something useful to do with its money that no one else has thought of at all. The hope of doing so may sometimes tempt a foundation into imagining that a new idea will automatically be useful *because* it is new.

More often, however, foundations may choose to do useful things that are not wholly original, but which others, particularly governments and corporations, are constrained from doing, either by the need to demonstrate visible results in the short term or by the desire to avoid controversy or the risks associated with doing unpopular things. The establishment of population studies and of family planning as an acceptable objective of public policy was largely accomplished by the many years of work and funding contributed by private foundations at a time when no government could have touched the subject. It is highly doubtful whether any government-sponsored study of the race problem in the United States could have produced in the early 1940s so seminal a work as that which resulted from the expenditure of \$286,500 by the Carnegie Corporation: Gunnar Myrdal's *American Dilemma*.

Ironically, however, foundations often feel constraints quite like those felt by governments or corporations. Staff members and trustees alike, being human, tend to extol the virtues of risk-taking in theory but shy away from it in fact. They can be as anxious to see quick results as the next person, and may be *more* concerned than corporate or government people to move on to something else once the results of a successful initiative have become apparent. Nor can they afford simply to ignore the potential damage that can accrue from doing unpopular things. The political unpopularity of a handful of foundation actions surely had a lot to do with the antagonism built up in some sections of the Congress in 1969, antagonism that for a time threatened to result in severely restrictive legislation. In the end, the damage was for the most part contained, and some desirable reforms enacted. But recollections of the dangers then narrowly averted linger on.

Recognizing all this, some observers have become disillusioned with foundations, arguing that they are generally much closer to old-fashioned charities, applying Band-Aids to the serious problems of society, than to the foundations'

preferred self-image as bold seekers after the root causes of those problems, with a view to radical solutions (radical in the dictionary sense of fundamental).

We probably should confess that we feel constant pressures to play it safe. But, while confessing, we can also resist yielding to those pressures. And, today, with such tremendous forces for change at work all around us, even relatively unadventurous philanthropoids should be able to find developments and problems that challenge them out of the ruts of routine grant-making.

Some big developments may appear to be wholly beyond our reach. Whether the economy turns around, and how powerful and sustained the recovery then turns out to be, will do far more to determine the material welfare of most Americans than any conceivable changes in the direction of philanthropic outlays. But nagging questions remain and invite our attention as foundation officers. Will the technological revolution that is well underway, even during the recession, produce the kind of limited, short-term technological unemployment, soon to be erased by a fresh spurt of economic growth, that we have so often encountered in the past? Or have we a radically new phenomenon on our hands, which, according to one estimate, could lead to a permanent loss of 8 million jobs in manufacturing and 10 to 15 million in service trades? In such an event, we shall see not only the permanent exclusion from prosperity of the much-discussed "underclass" of the educationally unprepared, but also the lasting displacement of millions of skilled and hitherto prosperous workers as well.

No foundation or group of foundations can hope to make much of a dent in a set of problems so vast. Yet it is hard to see how any foundation not barred by its charter from involvement in such matters can simply turn its back on the need for thoughtful analysis and evaluation of this sea change in our circumstances. Governments are notoriously weak at thinking through a problem and its proposed solution before undertaking to act. And they generally have difficulty evaluating the effects of an attempted solution once these become detectable. Foundations, collaborating with nonprofits ranging from research universities to community-based organizations, ought to be able to provide some of this thoughtfulness.

A similar point might be made concerning world affairs. The economic well-being of the less developed countries no doubt depends more upon the health of the American economy, even in these days of our diminished power, than upon any efforts on the part of philanthropy to assist world economic development abroad. Yet, questions of great moment remain in need of the kind of independent thinking and analysis that foundations can encourage.

What might be done about the massive, much-lamented American insularity and ignorance of things foreign? How can American institutions and practices reflect the growing interdependence among nations and regions? What might be done to make global interdependence seem less of a threat and more of a constructive, positive turn in the world's affairs? After all, if mankind's fate is hanging in the balance, it may be all to the good that people learn how much they need each other.

In a rapidly changing and heavily charged atmosphere, how can a reasonable and compassionate (but not sentimental) concern for poor people in poor countries be sustained in an America that is itself suffering from economic difficulties and loss

of confidence? In areas such as population, production of and access to adequate food supplies, and provision of health care in poor countries, research, crucially targeted training and help with designing strategies for attacking the problems are not beyond the reach of foundations, even though the direct provision of services may be unrealistic. What possible improvements in the ways in which nations deal with each other, and in the structure of international and transnational institutions, might be explored preliminary to getting them placed on the world's agenda? The Rockefeller Foundation in particular remains committed to concerns of this kind. There are welcome signs of emerging or growing interest in such questions on the part of others in the philanthropic sector.

Finally, whether or not the superpowers, the U.S.A. and the U.S.S.R., manage to carry out their awesome responsibilities to the rest of the human race is a question far beyond philanthropy's power to address comprehensively. Yet, day-to-day policy-makers, including those in the superpowers, have great difficulty seeing beyond their most immediate pressing problems. We can try to open some perspectives by strengthening the capacity of relevant institutions to carry out policy studies, especially where such institutions are few and not yet strongly supported by the societies they seek to serve. We can also call attention to, and contribute toward remedying, the serious shortage of people trained to cope with issues in global, or at least nonparochial, terms.

In short, there are certainly gaps that we in the foundation world can help to fill—perhaps “bridge” is a better word. Bridges are urgently needed between the world of yesterday (which many in any generation tend to see as the world of today) and that of tomorrow. What kind of world can be more closely bound by ties of economic interdependence and military vulnerability, yet at the same time more tolerant of differences, better prepared to share a planet of shrunken size and limited resources? What kind of society will emerge when the wave of electronic miracles has indeed produced the much-heralded “Information Society,” with sweeping impact on education, production of all sorts, communications, personal privacy, the way people do or do not relate to one another?

Needless to say, foundations will not resolve these questions; we are in no sense unique repositories of wisdom and understanding. But we can, if we will, possess the virtues of flexibility, responsiveness, and the capacity to look ahead without the constant pressures of the profit-and-loss statement or the political process. Our limited resources can make a difference, if foundation leadership directs those resources with courage, humility, and foresight.

The year 1982 saw the retirement of the Chairman of the Board of Trustees, the Reverend Theodore M. Hesburgh, and a former Chairman, the Hon. Cyrus R. Vance. Between them their total service on the Rockefeller Foundation Board was 30 years. But no measurement of time can begin to reflect the impact that each of these extraordinary individuals had on the Foundation. To the extent that it has been able to act as a force for good, and to do so internationally with a real feeling for “the well-being of mankind throughout the world,” the Foundation owes a special debt to them both. They will be very much missed.

The Rockefeller Foundation suffered a tragic loss in January 1983 with the death

of Vice-President Michael M. Stewart, M.D., M.P.H. At the age of 46, and only a year and a half after coming to the Foundation, Dr. Stewart succumbed to complications in the aftermath of surgery. From 1969 to 1973 Dr. Stewart was a member of the Foundation's field staff in Thailand. His experience there, and his training in medicine and in public health, gave him a compassionate perspective on the difficulties and suffering of people in less-developed countries. His talents and insights were broad and diverse, well suited to comprehending the problems that the Foundation works to resolve. His loss is indeed a severe one for all of his colleagues here.

*April 1983*

*Richard W. Lyman*



**GRANTS**

**AND**

**PROGRAMS**

## **AGRICULTURAL SCIENCES**

The Foundation seeks to improve agricultural production and the quality of rural life in developing regions of the world. In 1982, the grants that it made for these purposes were organized chiefly into these categories:

- Increasing food production by strengthening the international agricultural research and development system
- Strengthening agricultural research, with special reference to the food legumes, hemoparasitic diseases of animals, aquatic species, and new dimensions of plant breeding, physiology, and disease resistance
- Utilization of fragile environments and marginal lands, such as tropical rain forests, arid lands, and hill areas
- Food and agricultural policy, particularly production, distribution, and nutrition in the developing countries

### **INCREASING FOOD PRODUCTION BY STRENGTHENING THE INTERNATIONAL AGRICULTURAL RESEARCH AND DEVELOPMENT SYSTEM**

Since 1943, the Foundation has supported efforts to develop appropriate technologies designed to increase international production of the crops and animals that contribute most to food supplies. This kind of support was first accomplished through in-country programs, established by the Foundation at host-government request and staffed by professional Foundation field personnel. An important part of this effort drew upon a new generation of agricultural scientists, native to developing areas, who successfully adapted modern agricultural technologies to their societies. At the same time, the Foundation fostered cooperative efforts among local universities and governments to encourage the growth of national agricultural institutions that would carry forward the research required to develop food production.

The success of such field staff programs led to the establishment of a series of international agricultural research centers, funded jointly with the Ford Foundation. The first of these, the International Rice Research Institute, was established in the Philippines in 1960 at the invitation of the Filipino government. By 1972, the two foundations had established similar centers in Mexico, Colombia, and Nigeria, in cooperation with each of those governments.

Recognition of the significant contribution of the centers to food production in developing countries led to the establishment in 1972 of the Consultative Group on International Agricultural Research (CGIAR), sponsored by the United Nations Development Programme, the International Bank for Research and Development, and the Food and Agriculture Organization. The CGIAR has assumed responsibility for securing support for the centers and channeling it to them, and has acquired as members over 30 governments, international agencies, development banks, and

foundations, which, in 1982, contributed some \$152 million to worldwide agricultural operations.

In 1982 the Foundation contributed to centers in the CGIAR system and to other international organizations. These grants are listed below under the heading International Agricultural Center System. It also gave funds to other organizations working to improve food production in developing countries. Among these were the Centro de Investigaciones y Desarrollo de la Educación (CIDE), a project started in 1980 by the citizens of Portezuelo, Chile. Through the popularization and organized development of a model garden by the local school, and subsequent family gardens based upon the school model, the CIDE project has begun noticeably to supplement the fruit and vegetable supply of a depressed area. CIDE has introduced the appropriate technology for growing local gardens efficiently, but, more importantly, it has utilized the community's school students as agents of change. The school itself is revising its curriculum to satisfy the changing local needs that are evolving as a result of the project, and the citizens of the community are beginning to participate actively in the project as it enters the commercialization stage.

Another organization working for community-level agricultural development is the Comité International de Liaison du Corps pour l'Alimentation (CILCA). This program, based at Brandeis University, initiates Food Corps projects in developing countries. Food Corps projects work on the principle that the citizens of a community or village must be involved actively in planning and executing their agricultural production, adapting modern technology to the unique requirements of their locale. Food Corps projects are modelled on the Sarvodaya Shramadana Movement that originated some years ago in Sri Lanka, where it is estimated that one in 20 adult citizens has been a volunteer for or beneficiary of village self-help activities. The Sarvodaya Shramadana Movement has become international and is presently testing methods to increase the food production capabilities of villages in Mali. The Foundation, in 1982, helped support the operations of both organizations.

The Foundation also continued to support the work of the International Agricultural Development Service. IADS, a nonprofit organization devoted to helping developing nations increase production of crops and livestock and raise their rural incomes, offers assistance in agricultural planning, strengthening research systems, training personnel, and implementing programs. Since 1976, IADS has supplied specialists—some 40 as of 1981—who have worked for national agencies in Bangladesh, Botswana, Ecuador, Indonesia, and Nepal. In addition, it has provided as many as 60 short-term consultants a year to 17 countries.

## **GRANTS:**

### ***International Agricultural Center System***

INTERNATIONAL AGRICULTURAL DEVELOPMENT SERVICE, Arlington, Virginia, for its program of technical assistance and support services to help developing countries improve food and agricultural production.                           \$1,265,000

**INTERNATIONAL CENTER FOR LIVING AQUATIC RESOURCES MANAGEMENT**, Metro Manila, Philippines, in support of its program to develop small-scale, labor-intensive fisheries and aquaculture systems adaptable to local environments and traditions in the Pacific Basin Region. \$1,700,000

**INTERNATIONAL CENTER OF TROPICAL AGRICULTURE**, Palmira, Colombia, for support in developing agricultural technology to increase the quality and quantity of basic food commodities in the tropics, particularly cassava, field beans, rice, and beef. \$150,000

**INTERNATIONAL MAIZE AND WHEAT IMPROVEMENT CENTER**, Texcoco, Mexico, for programs to develop superior germplasm of maize and wheat in order to provide higher and more stable yields and better nutritional quality in these crops.

\$300,000

**INTERNATIONAL RICE RESEARCH INSTITUTE**, Los Baños, Philippines, for support in developing and promoting improved strains of rice, adaptable to the regions of the world where they are grown. \$150,000

#### ***Other Food Production Grants***

**CENTRO DE INVESTIGACION Y DESARROLLO DE LA EDUCACION**, Santiago, Chile, to develop school and family vegetable and fruit gardens as a means of supplementing the food supply in the town of Portezuelo in Chillán province.

\$20,000

**CHINESE ACADEMY OF AGRICULTURAL SCIENCES**, Beijing, China, toward the costs of establishing a national plant genetic resources center. \$173,000

**COMITE INTERNATIONAL DE LIAISON DU CORPS POUR L'ALIMENTATION**, Brandeis University, Waltham, Massachusetts, to initiate and implement Food Corps programs aimed at improving village-level agriculture in developing nations. \$300,000

**INSTITUTE OF INTERNATIONAL EDUCATION**, New York, New York, to conduct a study of agricultural training needs and opportunities in developing countries.

\$14,061

**RICHARD P. LANDO**, Baton Rouge, Louisiana, for research on cropping systems in central and northern Thailand. \$5,600

**SARVODAYA SHRAMADANA MOVEMENT**, Moratuwa, Sri Lanka, to adapt its low-cost experimental methods to increase food production at the household level in villages of Mali. \$35,000

## **STRENGTHENING AGRICULTURAL RESEARCH**

The Food and Agriculture Organization of the United Nations has estimated in recent years that, in the case of the major food crops, field losses from diseases caused by fungi, bacteria, and viruses average 12 percent worldwide, with specific levels often significantly higher in developing countries. Many of the chemicals once employed as control agents are no longer effective or have been retired from use because of deleterious environmental side effects.

One new approach to disease control is aimed at taking greater advantage of the numerous mechanisms by which plants protect themselves. Basic research on plant-pathogen relationships, which the Foundation has supported extensively since 1974, has led to a number of promising implications. An example: a plant cell, undergoing attack by a pathogen, can release chemical signals that synthesize phytoalexins, toxic compounds which, in turn, are capable of killing fungal and bacterial pathogens. If the molecular structure of such compounds is identifiable, synthetic analogs can be manufactured to control pathogens. Another example: infection of one portion of a plant, even a single leaf, may render the rest of the plant resistant to further attack. Researchers have noted that such resistance will persist through a growing season, is transferable from one plant to another by grafting, and can be induced by agents other than the pathogen itself. Current research with such "immunized" plants is determining the validity of this concept as a practical disease control measure. Research efforts based on the plant-pathogen relationship received Foundation support in 1982 at Cornell University and the universities of Colorado, Kentucky, and Wisconsin.

Other university research projects receiving Foundation aid are concerned with cell-based approaches to genetic manipulation as a means to improvement in major food crops. A grant to the University of Minnesota aided research to develop morphological variability in maize. One of the world's most important food crops, maize is difficult to grow and manipulate in single-cell culture format. The University's research team, by means of somatic embryogenesis, has developed procedures which allow for routine regeneration of plants that show high levels of variability—a step that appears promising as a means to improve the species. Another grant, to the University of Nebraska, was made for research aimed at regenerating sorghum plants from protoplasts. Success in this effort would ease the way to advanced techniques for improving sorghum, a primary food grain of the dry-land tropics and a species currently quite vulnerable to diseases and plant pests.

Rice blast is one of the most intractable diseases afflicting a major crop. Consequently, new and more sophisticated approaches to breeding rice for resistance to the disease are being used in research programs such as the one being shared by Pennsylvania State University, the University of California at Davis, and CIAT—the Centro Internacional de Agricultura Tropical—which is located in Colombia. The research includes pyramiding of major genes, horizontal resistance, dwarfing of low-yielding but resistant parent plants through irradiation, and the use of varietal mixtures. Results to date indicate that stable blast resistance is an achievable goal. For several years, the Foundation has supported this collaborative program in which theoretical and laboratory studies done at the universities of

Pennsylvania State and California are followed up by field testing carried out by CIAT.

Two 1981 Foundation grants to the University of Florida were extended in 1982. One supported research on genetic means to improve the banana species. As a major food crop of the humid tropics, bananas provide sustenance for an estimated 100 million people, yet most commercial varieties so far have not been amenable to genetic experiments that endeavor to increase yields and resistance to disease. The other grant to the University supported similar research aimed at the improvement of peanuts, cowpeas, and pigeon peas, which are among the most important protein-rich crops of the lowland tropics and subtropics.

#### **GRANTS:**

**CENTRO INTERNACIONAL DE AGRICULTURA TROPICAL**, Cali, Colombia, for collaborative research with Pennsylvania State University on developing new genetic strategies to stabilize blast disease resistance in rice. \$23,000

**CORNELL UNIVERSITY**, Ithaca, New York:

For research on the mechanisms of plant resistance to pathogens. \$70,000

For research on luteovirus transmission by aphids. \$11,138

**HARVARD UNIVERSITY**, Boston, Massachusetts, for use by the School of Public Health for research on arthropod transmission of parasitic diseases of plants and animals. \$36,290

**INSTITUTO TECNOLOGICO Y DE ESTUDIOS SUPERIORES**, Monterrey, Mexico, for a review and evaluation of its master's degree program in agricultural research station management. \$10,000

**KANSAS STATE UNIVERSITY**, Manhattan, Kansas, to determine if potato hybrids resulting from protoplast fusion techniques will have improved horticultural characteristics. \$35,000

**LOUISIANA STATE UNIVERSITY**, Baton Rouge, Louisiana, for a research project on factors affecting plant toxicity in the acid sulfate soils of Southeast Asia. \$20,000

**MASSACHUSETTS INSTITUTE OF TECHNOLOGY**, Cambridge, Massachusetts, in support of an international nutrition planning program (joint grant with the Health and the Special Interests and Explorations programs of the Foundation). \$3,900

**MONELL CHEMICAL SENSES CENTER**, Philadelphia, Pennsylvania, for research on chemical compounds that stimulate feeding behavior in herbivorous fish.

\$34,993

**NITROGEN-FIXING TREE ASSOCIATION**, Honolulu, Hawaii, for a Bellagio conference on leguminous tree germplasm resources.

\$7,000

**ROCKEFELLER FOUNDATION**, New York, New York:

To initiate a palm germplasm collection and evaluation program in the Amazon River region.

\$50,258

For a workshop, held at the Winrock Conference Center, on strategies for strengthening U.S. agricultural research.

\$12,000

Toward costs of establishing a governing board for a proposed Centre for Exploitation of Trypanotolerant Cattle in The Gambia.

\$35,000

**UNIVERSITY OF CALIFORNIA**, Berkeley, California:

For use by its Department of Plant Pathology for research on arthropod transmission of parasitic diseases of plants and animals.

\$33,196

For use by its School of Public Health for research on the mosquito as a vector of parasitic disease.

\$33,985

**UNIVERSITY OF CALIFORNIA**, Davis, California:

For a conference on recent advances in plant genetic engineering and their application to crop improvement.

\$10,000

For research by its Department of Agronomy and Range Science on ways to achieve durable pest resistance in crop plants.

\$50,000

**UNIVERSITY OF COLORADO**, Boulder, Colorado, for research on the mechanism of plant resistance to pathogens.

\$70,000

**UNIVERSITY OF FLORIDA**, Gainesville, Florida:

For use by the Agricultural Research and Education Center, Homestead, Florida, to develop *in vitro* methods for the improvement of bananas as a basic food crop.

\$30,000

For use by the Institute of Food and Agricultural Sciences to develop *in vitro* cellular methodologies for breeding peanuts and cowpeas.

\$30,000

**UNIVERSITY OF ILLINOIS**, Urbana, Illinois, in support of the Second International Conference on Malaria and Babesiosis. \$10,500

**UNIVERSITY OF KENTUCKY**, Lexington, Kentucky, for research on mechanisms of induced systemic resistance in plants. \$35,000

**UNIVERSITY OF MINNESOTA**, St. Paul, Minnesota, for research in cellular methods and somatic embryogenesis to improve maize. \$30,000

**UNIVERSITY OF MINNESOTA**, Minneapolis, Minnesota, for research on the role of institutional innovations and constraints in agricultural development. \$28,500

**UNIVERSITY OF NEBRASKA**, Lincoln, Nebraska, to develop *in vitro* cellular methodologies for improving the resistance of sorghums to diseases and insects. \$30,000

**UNIVERSITY OF WISCONSIN**, Madison, Wisconsin, for research on the mechanisms of plant resistance to pathogens. \$35,000

**WASHINGTON STATE UNIVERSITY**, Pullman, Washington, for research on hemoparasitic diseases of livestock. \$35,000

**YALE UNIVERSITY**, New Haven, Connecticut:

For research on immune resistance of cattle to ticks. \$31,224

For use by its Arbovirus Research Unit for a reference system classifying and identifying viruses pathogenic to insects. \$10,000

### **UTILIZATION OF FRAGILE ENVIRONMENTS AND MARGINAL LANDS**

In most developing countries the land area that is marginal for intensive agriculture far exceeds the area of prime agricultural land. The environmentally fragile marginal lands include millions of hectares in the nutrient-poor humid lowland tropics, steep-sloped hill areas, and semiarid regions. In the aggregate, they remain relatively unused for agriculture, but due to the growth of indigenous populations and the pressures of economic development, agricultural production on marginal lands is being expanded and intensified. Too often, however, inappropriate agronomic practices are used, resulting in degradation of the resource base and loss of long-term agricultural potential.

For a number of years the Foundation has supported projects aimed at sustainable agricultural development and natural resource protection in fragile environments

and marginal lands. The objectives are to improve human nutrition, alleviate environmental stress, and increase the income of rural populations.

## **GRANTS:**

INSTITUTO NACIONAL DE INVESTIGACION Y PROMOCION AGROPECUARIA, Lima, Peru, for the establishment of an agricultural research network comprising countries with territory in the Amazon River region. \$10,000

NORTH CAROLINA STATE UNIVERSITY, Raleigh, North Carolina, for research on soil nutrient problems in the Amazon Basin. \$200,000

ROCKEFELLER FOUNDATION, New York, New York, for a conference on plant improvement for irrigated crop production under increasing saline conditions.

\$30,000

## **FOOD AND AGRICULTURAL POLICY**

The Foundation supports policy research and training by national and international institutions to assist nations in formulating policies to improve the production and more equitable distribution of food. The emphasis is on helping to strengthen national food policy capability. The largest grant was made to the International Food Policy Research Institute (IFPRI), one of the 13 international agricultural research centers supported by the Consultative Group on International Agricultural Research (CGIAR).

Over a 13-year period beginning in 1969, the Foundation assisted the Government of Turkey in building one of the strongest cereals research centers in the developing world. The production systems developed by its research team brought the Green Revolution for the first time to dry-land agriculture, producing four consecutive record harvests in Turkey. Despite these production gains, pockets of serious malnutrition persisted. A food and agricultural policy grant was made in 1982 to the Foundation for Development Studies, a private Turkish organization based in Ankara, to carry out a nationwide analysis of food demand and consumption. The project, in progress for two years, will provide basic information for the formulation of the nation's five-year plan. Leadership of such an applied policy research project by a Turkish private foundation represents an important institutional innovation. The project received the full support of the Turkish State Planning Office and the Ministry of Agriculture and included faculty from the Nutrition Institute of Hacettepe University, the Public Policy Department of Ankara University, and the professional staff of the Turkish State Institute of Statistics. Adding this policy research dimension to the earlier research activity will help to assure a more widespread distribution of the benefits of Turkey's Green Revolution.

**GRANTS:**

FOUNDATION FOR DEVELOPMENT STUDIES, Ankara, Turkey, to complete a nationwide food demand and consumption survey. \$33,050

INTERNATIONAL FOOD POLICY RESEARCH INSTITUTE, Washington, D.C., in support of its program of research in national and international food policy issues. \$200,000

ROCKEFELLER FOUNDATION, New York, for a Bellagio workshop on strengthening national food policy capability. \$42,000

## **THE ARTS, THE HUMANITIES & CONTEMPORARY VALUES**

Until the end of 1982, within its program of Arts, Humanities and Contemporary Values, the Foundation maintained separate divisions of Arts and of Humanities. As of January 1, 1983, the two divisions are to be combined into a single division of Arts and Humanities. Guidelines for the new division will be reviewed by the Board of Trustees during 1983. Until the review is complete, the guidelines below continue to be useful descriptions of Foundation activities in the arts and the humanities.

### **THE ARTS**

The Foundation's objective in making grants in the arts is to stimulate efforts that enrich people's lives aesthetically, emotionally, and intellectually. In 1982 it followed these grantmaking guidelines:

- Support of the creative individual
- Increasing international opportunities for the arts
- Exploration of issues involving the arts and American society

### **SUPPORT OF THE CREATIVE INDIVIDUAL**

The Foundation recognizes the creative individual as central to work in the arts, just as it sees the role of the arts as central to society. Foundation grants are awarded in some cases directly to artists for their current creative work. Increasingly, however, the Foundation has put into place grant programs that provide support and, at the same time, link the artists with institutions that disseminate or exhibit their work. In such programs, which are national in scope, Foundation grants are made directly to institutions, which then channel them to participating artists.

In music the Foundation supported a program that fosters a creative relationship between the composer and the major symphonic ensemble. Administered by Meet The Composer, it places composers in residence with seven major symphony orchestras in the United States. Residencies last for two years, during which time the participants write commissioned works for their orchestra and plan and prepare a new-music series that their orchestra will undertake. Participating orchestras were the San Francisco Symphony, the Los Angeles Philharmonic, the St. Louis Symphony, the Pittsburgh Symphony, the Dallas Symphony, the New York Philharmonic, and the Minnesota Orchestra. Composers were John Adams, William Kraft, Joseph Schwantner, John Harbison, Robert Rodriguez, Jacob Druckman, Stephen Paulus, and Libby Larsen. The Exxon Corporation and the National Endowment for the Arts joined the Rockefeller Foundation in funding Meet The Composer for this program.

A Rockefeller Foundation grant gave continued support to Carnegie Hall for its

International American Music Competitions, which in 1982 completed their fifth season. The competitions have followed a three-year cycle: the first year for pianists, the second for singers, and the third for violinists. Designed to promote a greater awareness and interest in American music composed since 1900, they are also intended to aid the career development of artists who excel in the repertory. There is no age limit nor any restriction as to nationality. The 1982 competition, held in Carnegie Hall in New York City, included competitors from France, Italy, Russia, the United States, and the United Kingdom. In all, there were 314 applicants. First place was won by Henry Herford of Great Britain, and second place was shared by sopranos Margaret Cusack and Diana Walker-Leuck, both of the United States.

In the visual arts the Foundation supported a round of awards and exhibitions in the Awards in the Visual Arts program, administered by the Southeastern Center for Contemporary Art, which is located in Winston-Salem. Under the program, funded jointly by the Foundation, the Equitable Life Assurance Society, and the National Endowment for the Arts, ten artists, selected through nominations from ten regions of the country, receive grants of \$15,000. Their work, gathered into a traveling exhibition, tours at least three regions of the country. The winners of the 1982 round of judging, for which 480 nominations were received, were Philip Allen of New York City; Herman Cherry of East Hampton, New York; Emmet Gowin of Newtown, Pennsylvania; Doug Hall of San Francisco; Marvin Harden of Chatsworth, California; John McNamara of Brookline, Massachusetts; Ada Medina of Des Moines; Jesus Bautista Moroles of Dallas; Blue Sky of Columbia, South Carolina; and Gloria Thomas of Lexington, Kentucky.

The Southeastern Center for Contemporary Arts also shares administration of an artist-in-residence program with two other Winston-Salem organizations: Wake Forest University and the North Carolina School of the Arts. In 1982, with Foundation support, the program brought to the community for long-term residencies three artists who pursued their own creative work, worked with students and the public, and spoke in seminars. In addition, some 35 artists were invited to participate in short-term residencies entailing similar activities.

Another organization, the Atlantic Center for the Arts, received Foundation support for its program of residencies. The Center brings prominent artists to its New Smyrna Beach, Florida, location for three-week stays, during which they spend time not only in creative activity of their own but in community and educational outreach programs. Resident artists of the Center's 1982 season included poet and novelist James Dickey, composer David Del Tredici, playwright Edward Albee, sculptor Duane Hanson, novelist Reynolds Price, and sculptor Mia Westerlund Roosen.

## **GRANTS:**

 ATLANTIC CENTER FOR THE ARTS	New Smyrna Beach, Florida, in support of its artist-in-residence program.	\$35,000
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BAY AREA VIDEO COALITION, San Francisco, California, to improve its postproduction and editing facilities and provide services to artists. \$50,000

BLACK FILMMAKER FOUNDATION, New York, New York, to provide a wide range of services to black artists in film and video. \$15,000

CARNEGIE HALL SOCIETY, New York, New York, for competitions designed to encourage the performance, by musicians from the United States and abroad, of works by American composers. \$396,300

CARTER FAMILY MEMORIAL MUSIC CENTER, Hiltons, Virginia:

For the recording and production of an album of Carter Family songs. \$4,725

To publish the memoirs of Janette Carter, a composer of traditional Appalachian music. \$9,000

CITY UNIVERSITY OF NEW YORK, Brooklyn College, Brooklyn, New York, toward the development of its Center for Computer Music. \$30,000

COOPERATIVE ARTIST-IN-RESIDENCE PROGRAM

In 1982, the Foundation continued to support an artist-in-residence program jointly administered by three institutions in Winston-Salem, North Carolina: North Carolina School of the Arts, Southeastern Center for Contemporary Art, and Wake Forest University. \$80,600

JAMES DASHOW, composer, Rome, Italy, toward creative costs associated with the production of his opera *The Little Prince*. \$10,000

DAVID DIAMOND, composer, Rochester, New York, toward the costs of completing his opera *The Noblest Game*. \$10,975

DOWNTOWN COMMUNITY TELEVISION CENTER, New York, New York, for a series of television arts workshops and a summer video program for young people. \$20,000

EAST CAROLINA UNIVERSITY, Greenville, North Carolina, toward artists' fees for its American Music Festival. \$2,250

ED EMSHWILLER, Valencia, California, to support production of "Resolutions," a series of video sequences showing different ways in which art and science can be combined as aspects of consciousness. \$10,000

KIT FITZGERALD and JOHN SANBORN, video artists, New York, New York, to enable them to devote time to their creative work in video. \$25,000

JON GIBSON, composer, and JOANNE AKALAITIS, theatre artist, New York, New York, toward production of the opera *The Voyage of the Beagle*. \$15,000

ALLEN GINSBERG, New York, New York, to enable him to pursue his creative work in poetry. \$10,000

CORDELL HO, composer, Philadelphia, Pennsylvania, to complete his string quartet combining Chinese instrumental techniques with Western musical concepts. \$3,000

DAVID HYKES, composer, New York, New York, for his creative work concentrating on the production and compositional use of overtones in vocal music. \$25,000

LARRY LITTLEBIRD, Albuquerque, New Mexico, to continue making a film based on Pueblo Indian life in the 1930s. \$25,000

INGRAM MARSHALL, composer, San Francisco, California, for his creative work. \$8,300

MEET THE COMPOSER, New York, New York, in support of its program to enable American composers to serve residencies with symphony orchestras. \$175,000

MUSEUM OF HOLOGRAPHY, New York, New York, for its artist-in-residence program. \$25,000

NEW WORLD FESTIVAL, Miami, Florida, to commission new works by creative artists. \$25,000

NORTHWESTERN UNIVERSITY, Evanston, Illinois, toward artists' fees for its festival of American music. \$2,250

STEVENSON J. PALFI, New Orleans, Louisiana, to create films documenting the personalities and performances of New Orleans jazz musicians. \$20,000

POMONA COLLEGE, Claremont, California, in support of the Padua Hills Writers' Workshop. \$10,000

PRINCETON UNIVERSITY, Princeton, New Jersey, for a concert-lecture on the music of jazz musician Benny Carter. \$2,500

PUERTO RICAN TRAVELING THEATRE COMPANY, New York, New York, for its program to provide support to Hispanic American playwrights. \$10,000

RECORDED ANTHOLOGY OF AMERICAN MUSIC (New World Records), New York, New York, to enable it to design a marketing campaign to disseminate further the Recorded Anthology of American Music, a collection of 100 discs spanning the history of American music. \$22,500

REICH MUSIC FOUNDATION, New York, New York, to support the creative work of composer Steve Reich. \$20,000

JAY REISE, Philadelphia, Pennsylvania, to enable him to compose a work for the Long Island Philharmonic Orchestra. \$10,000

KENNETH ROBINS, theatre/television artist, New York, New York, to develop made-for-television theatre pieces integrating visual, musical, and dramatic elements of the performing arts. \$28,000

SOLARIS DANCE THEATRE, New York, New York, for the creative work of choreographer Henry Smith. \$17,500

SOUTHEASTERN CENTER FOR CONTEMPORARY ART, Winston-Salem, North Carolina, toward the costs of a program of national fellowships for visual artists. \$93,916

STANFORD UNIVERSITY, Stanford, California, in support of the artist-in-residence program at its Center for Computer Research in Music and Acoustics. \$30,000

MORTON SUBOTNICK, composer, Valencia, California, for his creative work. \$7,000

SUNDANCE INSTITUTE FOR FILM AND TELEVISION, Salt Lake City, Utah, in support of its program to develop and promote the creative work of independent filmmakers. \$30,000

THEATRE INCORPORATED, New York, New York, for the Phoenix Theatre's program to develop new works for theatre. \$5,000

WHITNEY MUSEUM OF AMERICAN ART, New York, New York, for a retrospective exhibition of video art by Nam June Paik. \$10,000

CHARLES WUORINEN, composer, New York, New York, for his creative work. \$20,000

## **INCREASING INTERNATIONAL OPPORTUNITIES FOR THE ARTS**

The Foundation has made grants to stimulate an exchange of artists between the United States and other countries, and in 1982 it awarded one such to the British American Arts Association. Artistic interaction with England has been inhibited by a fee structure that forces American groups to subsidize their own appearances and by the lack of a network to facilitate touring. To redress this situation, the Association, established in 1979 in London, has steadily increased its services to artists and arts groups, providing coordinated information for artists and administrators, organizing auditioning and selecting methods, and contracting for specific projects.

Foundation efforts at stimulating artistic exchange between the United States and sub-Saharan Africa began with 1978 and 1980 grants to the African-American Institute. These helped to sponsor five tours in the United States and Africa. The first, in Africa in 1980 by the Solaris Dance Theatre, gave American artists an opportunity to participate with artists of Senegal, Ghana, and the Republic of the Congo in dance workshops and performances. As a result of the tour, Solaris developed dance works incorporating African movement and themes, and subsequently performed them in Paris and the United States. Also well received were Institute-sponsored workshop and performance tours in the United States by prominent young African artists. The first, in 1979, brought over seven artists from Mali, Zaire, and Zambia; the second, ten Nigerian musicians, dancers, and actors; and the third featured the 28-member National Dance Theatre of Zaire in *Nkenge*, a dance-opera by the company's artistic director.

A 1982 grant to the La Mama Experimental Theatre Club is continuing this program of exchange of artists from the United States and sub-Saharan African countries. Under the direction of Ellen Stewart, founder of La Mama, up to 30 artists will participate in workshops at sites in the United States and Africa. At least three will be in African countries previously participating in the project: Senegal, Ghana, Nigeria, the Republic of the Congo, Zaire, Mali, Zambia, the Ivory Coast, Kenya, and Cameroon.

Since 1977 the Foundation has sponsored a yearly meeting known as the International Public Television Screening Conference (INPUT). In 1982 a Foundation grant was made to the Canadian Broadcasting Corporation to help meet its costs in administering the 1983 and 1984 INPUT conferences. The conferences foster increased public television programming across national boundaries; the participants, who are producers, broadcasters, and researchers, come from a number of countries. Topics currently receiving major attention at INPUT are the screening of non-U.S. programs for broadcast over American PBS stations and the need in public television throughout the world of continuous and flexible training for managers, scriptwriters, and directors.

A grant to the American Center for Students and Artists in Paris, France, provided support for its artists-in-residence program. The program enables talented American artists and troupes to work with non-American artists and students and to

present their work to audiences in Paris. Since its inception in 1979, 135 artists in the fields of dance, music, theatre, the visual arts, film, video, and poetry have participated in the program.

A Foundation grant also helped the La Mama Experimental Theatre Club to mount a ten-performance production of *Wielopole*, *Wielopole*, a contemporary Polish play on themes of war and religion in Poland. Actors of the Cricot 2 Theatre Company, a Polish troupe now based in Italy, performed the play in New York as part of a North American tour.

## GRANTS:

AMERICAN CENTER FOR STUDENTS AND ARTISTS, Paris, France, to enable talented American artists and troupes to work with non-American artists and students and to present their work to audiences in Paris. \$150,000

BRITISH AMERICAN ARTS ASSOCIATION, London, England, to encourage and facilitate artistic exchange between the United States and the United Kingdom. \$35,000

CANADIAN BROADCASTING CORPORATION, Toronto, Canada, to enable U.S. and foreign television producers to view, evaluate, and discuss each other's work, and increase understanding of uses of the medium, through annual International Public Television Screening Conferences. \$110,000

COMMUNITY SCHOOL OF PERFORMING ARTS, Los Angeles, California, to purchase Western music scores for use by Chinese musicians in China. \$5,000

PETR KOTIK, composer, conductor, and flautist, Buffalo, New York, for an American music lecture and concert tour of South America. \$10,000

LA MAMA EXPERIMENTAL THEATRE CLUB, New York, New York:  
In support of its Third World Institute of Theatre Arts Studies. \$4,000

For a New York production of the play *Wielopole*, *Wielopole*, by the Cricot 2 Theatre Company. \$20,000

To carry out workshops involving artists from both the U.S. and black sub-Saharan African countries. \$200,000

## **EXPLORATION OF ISSUES INVOLVING THE ARTS AND AMERICAN SOCIETY**

The Foundation makes grants in the arts not only to foster creativity but to help establish and develop the arts in practical ways. Needs of this kind may include bringing meritorious art of the past to public attention or funding the means to preserve it for future study, utilizing practical business methods to maintain and promote the arts economically and efficiently, and supporting programs that develop or encourage artists' awareness of their relationship to society so that their work will be of benefit to the public as well as themselves.

A 1982 grant was made to help the Arts and Business Council of New York expand its Business Volunteers for the Arts program. Located for the most part in Chambers of Commerce, the BVAs provide a way for business executives to work with arts organizations on a variety of administrative problems. The program, begun in 1979 with Foundation assistance, has been praised by national leaders, including the President, for its role in providing pragmatic assistance to arts organizations in times of economic stress.

### **GRANTS:**

**ARTS AND BUSINESS COUNCIL**, New York, New York, in support of its national program to encourage arts organizations to improve their fund raising methods and their administrative skills and services. \$66,000

**FUND FOR ARTS AND SCIENCE FILMS**, New York, New York, to produce a pilot for a proposed television series on the history of American art entitled *Visions of America* (co-sponsored by the Humanities program). \$25,000

**JUPITER SYMPHONY**, New York, New York, toward administrative and artistic costs of its third season. \$35,000

**NATIONAL ALLIANCE OF MEDIA ARTS CENTERS**, New York, New York, toward the cost of its administrative and service activities. \$18,000

**NIKOLAIS/LOUIS FOUNDATION FOR DANCE**, New York, New York, to edit films that record the work of choreographer Murray Louis. \$20,000

## **THE HUMANITIES**

The Foundation has long supported advanced humanistic research on contemporary values, contemporary issues, and on neglected aspects of the American cultural heritage. Support takes various forms: major appropriations of more than \$50,000 to institutions for large-scale projects, and grants in lesser amounts for cooperative research ventures or teaching experiments of various kinds. The Humanities program awards fellowships to individual scholars through an annual competition. The program has also supported with modest grants media and other projects that are designed to increase public understanding and appreciation of the humanities.

In 1982, Foundation grants in the humanities were made in accordance with these guidelines:

- Contemporary values: clarification of fundamental goals, beliefs, and values in the modern world
- Contemporary issues: historical, philosophical, and cultural perspectives on significant problems confronting contemporary society
- American cultural heritage: preservation and revitalization of the American cultural heritage through the humanities

## **CONTEMPORARY VALUES**

The Foundation encourages humanities activities that clarify fundamental goals, beliefs, and values in the modern world.

The program's interest in international understanding through the humanities was reflected in several grants in 1982. A grant enabled Howard University to bring African participants to the annual conference of the African Literature Association. The conference brought literary scholars together with experts in fields such as history, folklore, and philosophy to discuss contributions these disciplines can make to an understanding of African literature. The Foundation also helped to support a 10-day symposium at the Asia Society in which performers of Noh, Korean shaman dance, Yoruba drama, and other forms of ritual drama met with anthropologists and scholars to develop a cross-cultural perspective on ritual and theatre. At the Foundation's conference center in Bellagio, Italy, poets, novelists, and scholars were brought together from the United States, Europe, Latin America, the Soviet Union, and Israel, to discuss the continuity and transformation of Jewish cultural and religious values since World War II. At Scripps College, scholars, writers, and artists from Europe and the United States gathered to confront various national points of view concerning modernism in the effort to reassess the movement's esthetic and social significance.

Other grants under the Contemporary Values guideline helped to advance educational innovations important both to educational institutions and to the broader

society. At the University of North Carolina, Chapel Hill, a grant-in-aid carried forward a program which gives journalists a semester of concentrated study in religion. The goal of this program is to provide reporters of religion and general news the background necessary to interpret the role of religion within contemporary culture. Another grant funded conferences to assist the philosophy departments of Bryn Mawr, Temple, the University of Pennsylvania, and Villanova to form a consortium intended to promote cross-registration by graduate students, the development of graduate and undergraduate courses, and collaborative research on the human sciences.

## **GRANTS:**

**BRYN MAWR COLLEGE**, Bryn Mawr, Pennsylvania, for a series of conferences on the philosophy of the human sciences and problems of interpretation.      \$31,165

**CITY UNIVERSITY OF NEW YORK**, for a conference at the Graduate School and University Center on the work of Ortega y Gasset.                          \$1,500

**HOWARD UNIVERSITY**, Washington, D.C., for a conference to examine African literature from the viewpoints of social-science and humanistic disciplines.                          \$21,650

**NEW YORK UNIVERSITY**, New York, New York, in support of its Gallatin Division Writer at Work Series of lectures and discussions on the creation of literature in the 1980s.                          \$10,000

**ROCKEFELLER FOUNDATION**, New York, New York, for a Bellagio conference on the survival and transformation of Jewish cultural and religious values in literature written since World War II.                          \$45,000

**SCRIPPS COLLEGE**, Claremont, California, for a conference to reassess the aesthetic and social significance of the modernist movement in literature and art.                          \$20,870

## **UNIVERSITY OF CHICAGO, Chicago, Illinois:**

For a symposium on the dynamics of interpretation and the relation between interpretation and creation in contemporary thought.                          \$10,000

For its Divinity School to conduct a symposium evaluating patterns of renewed religious activity in 20th-century Western civilization.                          \$28,000

**UNIVERSITY OF NORTH CAROLINA**, Chapel Hill, North Carolina, in support of its

program to provide journalists with study fellowships to increase their scholarly understanding of religion as a cultural factor in contemporary affairs. \$45,000

WENNER-GREN FOUNDATION FOR ANTHROPOLOGICAL RESEARCH, New York, New York, for an international symposium of theatrical performers and anthropologists to develop a cross-cultural perspective on theatre and ritual, evolve a method for analyzing performance, and create a model for research in which performers and scholars can collaborate. \$30,000

YALE UNIVERSITY, New Haven, Connecticut, in support of Peter Gay's research on 19th-century middle-class culture from a psychoanalytic perspective. \$9,000

### ***Rockefeller Foundation Humanities Fellowships***

Under its contemporary values component, the Foundation operates a Humanities Fellowships competition. In 1982, thirty-three awards were made for scholarly projects which illuminate contemporary social and cultural concerns. Projects ranged from a history of Islam in Southeast Asia and a social history of the Caribbean to studies of American millennialism and of anti-Semitism in medieval France. Full information on this program, including deadlines and procedures for application, may be obtained by writing to the Foundation.

In 1982, at the recommendations of an outside panel of distinguished humanists, the following awards were made:

SUNDAY O. ANOZIE, visiting professor, State University of New York, Buffalo, professor of English, Imo State University, Nigeria—*theoretical foundations of African literary criticism*.

LAWRENCE C. BECKER, professor of philosophy, Hollins College—*reciprocity: a theory of nonvoluntary obligations*.

PAUL BOYER, professor of history, University of Wisconsin, Madison—*nuclear weapons in American thought and culture, 1945-1980*.

JOSEPH BRUCHAC III, director, The Greenfield Review Literary Center—*themes of continuance in contemporary American Indian poetry*.

LINDA DOWLING, free-lance writer—*language and decadence in the Victorian fin de siècle*.

NANCY SCHROM DYE, associate professor of history, University of Kentucky—*a history of childbirth in modern America*.

CHARLES FANNING, associate professor of English, Bridgewater State College—*the Irish voice in America*.

**GEOFFREY G. FIELD**, associate professor of European history, State University of New York, Purchase—society and culture in England, 1930-1970.

**JOHN FUEGI**, professor of Germanic, Slavic, and comparative literature, University of Maryland, College Park—the politics of performance: a stage biography of Bertolt Brecht.

**ROBERT K. FULLINWIDER**, research associate, Center for Philosophy and Public Policy, University of Maryland, College Park—equality of opportunity and American social policy.

**PAUL M. GASTON**, professor of history, University of Virginia—history of Fairhope, Alabama.

**SANDRA GILBERT**, professor of English, University of California, Davis—the place of the woman writer in the 20th century.

**PHILIP J. GREVEN, JR.**, professor of history, Rutgers University—a history of millennialism in America.

**JAN T. GROSS**, assistant professor of sociology, Yale University—Soviet rule in Poland, 1939-1941.

**PHYLLIS GROSSKURTH**, professor of English, University of Toronto—Melanie Klein: a biography of a British psychoanalyst.

**WILLIAM C. JORDAN**, professor of history, Princeton University—the medieval background of French anti-Semitism.

**TEMMA KAPLAN**, associate professor of history, University of California, Los Angeles—female consciousness and political mobilization in Spain, 1873-1982.

**EDITH KURZWEIL**, associate professor of sociology, Rutgers University—four faces of Freud: the effect of national culture on conceptions of psychoanalysis.

**ROSETTE C. LAMONT**, professor of comparative literature, Queens College and the Graduate Center, City University of New York—the metaphysical farce: studies in contemporary European and American drama.

**GEORGE LEVINE**, professor and chairman of the Department of English, Rutgers University—science and modernism: transformation of reality in English writing, 1859-1894.

**JANE J. MANSBRIDGE**, associate professor of political science, sociology, and urban affairs, Northwestern University—an empirical and philosophical study of the relation of envy to egalitarianism.

**SIDNEY MINTZ**, professor of anthropology, Johns Hopkins University—a social history of the Caribbean region.

**CHARLES MOLESWORTH**, professor of English, Queens College, City University of New York—social and political visions in contemporary American poetry.

**RICHARD OHMANN**, professor of English, Wesleyan University—a study of mass culture in the United States.

**PAUL ROBERGE**, assistant professor of Germanic languages and general linguistics, Princeton University—linguistic attitudes in South Africa: the evolution of Afrikaans.

**WILLIAM R. ROFF**, professor of history, Columbia University—a social, intellectual, and institutional history of Islam in Southeast Asia.

**JOHN C. ROWE**, professor of English, University of California, Irvine—Vietnam in American literature.

**ROGERS SMITH**, assistant professor of political science, Yale University—the concept of citizenship in the American constitutional tradition.

**PETER STEINER**, assistant professor of Slavic literature, University of Pennsylvania—modern Czech fiction in its historical context.

**DEBORAH TANNEN**, assistant professor of linguistics, Georgetown University—the dynamics of literary language and ordinary conversation.

**WILLIAM TAUBMAN**, professor of political science, Amherst College—Khrushchev's American policy.

**ROBERT C. TUCKER**, professor of politics, Princeton University—Stalin: a study in history and personality.

**KENDALL L. WALTON**, professor of philosophy, University of Michigan, Ann Arbor—representation in the arts.

## **CONTEMPORARY ISSUES**

In the category of contemporary issues the Foundation supports work in the humanities that provides historical, philosophical, and cultural perspectives on significant modern problems. Of particular interest is the relationship of the individual scholar to the institutions of society. A 1982 appropriation, intended for future release, was made to the American Philosophical Association and the American Historical Association for a fellowship program designed to place historians and philosophers on the staffs of members of the United States Congress. Another appropriation enabled the two associations, as well as the Modern Language Association, to establish awards for outstanding scholarship by historians, philosophers, and literary specialists not affiliated with universities and to encourage effective exchange among these humanists and their colleagues traditionally employed.

Other grants reflect the program's growing concern with the quality of precollegiate education in America. The Council for Basic Education was awarded a grant to enable scholars concerned with the effects of television on literacy and learning to discuss uses of television with primary and secondary school administrators. In response to *The Humanities in American Life*—the 1980 report of the Foundation-sponsored Commission on the Humanities—the Council of Chief State School Officers has undertaken a state-by-state analysis of educational guidelines in the humanities, particularly at the secondary level. With Foundation support, this study will produce recommendations to state agencies for strengthening the role of the humanities in the standard curriculum.

The Humanities program also supports efforts that provide humanistic perspective on other program interests of the Foundation. In 1982, Humanities cooperated with Health Sciences in a grant to Rockefeller University for a film on contemporary medical problems. It also joined with several other divisions in implementing a fellowship program designed to stimulate research on alternatives for American policy concerning immigration. A conference sponsored by the *Journal of Interdisciplinary History* explored the historical influence of hunger on humankind's cognitive performance and creativity, population trends, migrations, and conflicts, and promoted interaction among leading historians and scientists. Another conference, to be held in 1983, will bring together historians, social scientists and development specialists to examine the effects of industrial development on women.

Domestic social problems of the kind that have traditionally interested the Foundation were addressed in humanities grants to Jonathan Kozol for a study of black-Jewish tensions among school and college-age youth in the United States, to the Cabin Creek Center for research and development toward a documentary film on plant closings in the American workplace, and to Case Western Reserve University for a conference on the history of the Social Security system and other programs for the elderly.

## **GRANTS:**

**AMERICAN COUNCIL OF LEARNED SOCIETIES**, New York, New York, in support of its travel grants programs to help American scholars attend international conferences. \$30,000

**ASSOCIATION OF FORMER MEMBERS OF CONGRESS**, Washington, D.C., to explore ways of incorporating humanities concerns into the content of its Congressional Fellows Program, which arranges for former legislators to visit American college campuses. \$28,500

**CABIN CREEK CENTER FOR WORK AND ENVIRONMENTAL STUDIES**, New York, New York, in support of research and development for a documentary film on plant closings and their effect on American communities. \$25,000

CASE WESTERN RESERVE UNIVERSITY, Cleveland, Ohio, for a conference of social, demographic, and medical historians on the development of public and private programs for the elderly. \$26,000

CORNELL UNIVERSITY, Ithaca, New York, for a Bellagio conference on women and the industrialization process in historical and modern perspective. \$37,000

COUNCIL FOR BASIC EDUCATION, Washington, D.C., for a conference to address how the educational system can best meet the challenge and opportunities of television. \$24,200

COUNCIL OF CHIEF STATE SCHOOL OFFICERS, Washington, D.C., for an analysis of all U.S. state policies and practices in connection with the humanities in public education. \$14,720

EMORY UNIVERSITY, Atlanta, Georgia, for a conference on human rights in the 20th century, conflicting notions of rights, and the effects of economics on human rights. \$20,000

JAMES THOMAS FLEXNER, New York, New York, for a biography of Simon and Abraham Flexner (co-sponsored by the Health program). \$15,000

HARVARD UNIVERSITY, Cambridge, Massachusetts, for a conference combining historical and social-scientific studies to assess the influence of China's past on revolutionary China from 1949 to the present. \$20,200

JOURNAL OF INTERDISCIPLINARY HISTORY, Massachusetts Institute of Technology, Cambridge, Massachusetts, for a conference on the impacts of hunger, food, and nutrition on human history. \$35,000

JONATHAN KOZOL, Boston, Massachusetts, for a study of black-Jewish tensions among school- and college-age youth in the United States. \$30,400

LONG BOW GROUP, Philadelphia, Pennsylvania, for scholarly research to be incorporated into a documentary film on Long Bow, a rural community in China. \$31,500

NATIONAL COUNCIL ON FOREIGN LANGUAGE AND INTERNATIONAL STUDIES, New York, New York, in support of its program to improve national levels of competence in foreign languages and international studies in the United States. \$115,000

NEW YORK COUNCIL FOR THE HUMANITIES, New York, New York, for a

conference on historical, cultural, and foreign policy issues in Central America and the Caribbean. \$7,000

QUEENS COLLEGE OF THE CITY UNIVERSITY OF NEW YORK, New York, to produce and promote a newsletter on the use of computers to improve the flow of information in the humanities and social sciences. \$3,000

ROCKEFELLER UNIVERSITY, New York, New York, for research and development of a book and television series on the history of scientific discovery in the fight against major world diseases (co-sponsored by the Health program). \$17,500

UNIVERSITY OF MINNESOTA, Minneapolis, Minnesota, for a symposium on the state of Western European collections in American libraries and trends in the acquisition, control, and use of resources from and about Western Europe. \$7,045

### **AMERICAN CULTURAL HERITAGE**

Within this component, the program fosters research on neglected areas of the country's social and cultural heritage. Several of the 1982 grants reflect the Foundation's long encouragement of new scholarship in the humanities. The National Archives Trust Fund Board will undertake with Foundation help major archival projects devoted to the papers of Elizabeth Cady Stanton and Susan B. Anthony (co-founders and leaders of the American women's movement in the nineteenth century), Jane Addams (a leading 20th-century feminist and pacifist and one of the architects of the modern welfare state), and Emma Goldman (a radical theorist and feminist). The gathering and ordering of this material is a necessary step toward the accurate assessment of the activities of these women and the causes they espoused, including feminism, black emancipation and labor organization. The program's interest in minority history and culture was reflected in support of the Duke Ellington Oral History at Yale University and in an interpretative social history of Beale Street in Memphis, Tennessee.

### **GRANTS:**

CENTER FOR SOUTHERN FOLKLORE, Memphis, Tennessee, toward the costs of a study by George McDaniel entitled "If Beale Street Could Talk: A Social History of a Black Urban Community in the South, 1862-1980." \$25,000

FUND FOR ARTS AND SCIENCE FILMS, New York, New York, to produce a pilot for a proposed television series on the history of American art entitled *Visions of America* (co-sponsored by the Arts program). \$25,000

LOUISIANA STATE UNIVERSITY, Baton Rouge, Louisiana, to continue development of the Eighteenth-Century Short-Title Catalogue for North America, a computer-based record of books printed in English during the 18th century.

\$77,000

NATIONAL ARCHIVES TRUST FUND BOARD, Washington, D.C., for costs of preparing comprehensive microfilm editions of the collected papers of Elizabeth Cady Stanton, Susan B. Anthony, Jane Addams, and Emma Goldman.

\$300,000

UNIVERSITY OF ARIZONA, Tucson, Arizona, for an interdisciplinary cross-cultural study of women writers' and artists' responses to the landscape of the Southwest as revealed in their creative work.

\$30,750

YALE UNIVERSITY, New Haven, Connecticut, for its Duke Ellington oral history project.

\$20,000

## **EDUCATION FOR DEVELOPMENT**

In December 1977, Foundation trustees decided to phase out Education for Development (initiated in 1963 as University Development) as a separate program, within the period necessary for responsible termination of current activities. Long-term projects at the Universidad del Valle, Cali, Colombia; the University of the Philippines; the University of Ibadan, Nigeria; Makerere University, Kampala, Uganda; the University of Nairobi, Kenya; and the University of Dar es Salaam, Tanzania, were terminated by the end of 1980. Those at Kasetsart, Mahidol, and Thammasat universities in Bangkok, Thailand, and the National University of Zaire were terminated during 1981, and the programs at Gadjah Mada University in Indonesia and the Federal University of Bahia in Brazil will be completed by the end of 1983.

In addition to the university projects cited above, the Foundation during 1982 continued support for several other EFD initiatives in the developing countries: training and research projects conducted by the national universities in collaboration with ministries of education of Kenya and Tanzania, designed to develop local capacity for social science research and evaluation of educational issues in the two countries; an experimental educational project in rural development in Colombia; and training and research programs in public-sector management in the LDC's.

### **EFD CENTER GRANTS:**

#### **Federal University of Bahia**

*Salvador, Bahia, Brazil*

Support of teaching, research, and service activities relevant to the rural and urban needs of northeastern Brazil.

\$356,000

#### **Gadjah Mada University**

*Yogyakarta, Indonesia*

Support of teaching and research programs in the health sciences, agricultural sciences, social sciences, and the humanities designed to help Indonesia meet national goals.

\$224,184

## **EQUAL OPPORTUNITY**

Through its Equal Opportunity program the Foundation focuses on racial inequality in American life. Since the program was initiated in 1963, it has funded efforts to achieve equal educational opportunities, strengthen minority leadership capabilities, and promote greater participation by black and other minority groups in public and private institutions that have a substantial impact on the quality of life in minority communities.

To meet some of the challenges of the 1980s the foundation awards grants to:

- Identify and assist in the adoption of effective strategies for improving the employment and income opportunities of minorities
- Increase educational opportunities for minorities in the natural and life sciences and economics
- Secure and protect basic rights of all citizens

## **EXPANDING ECONOMIC OPPORTUNITIES**

A new program initiative, approved by the Foundation's board of trustees in 1981 and launched in 1982, is aimed at increasing employment opportunities for minority-group, female, single parents through services provided by selected community-based organizations. The Foundation selected six agencies to receive funding for this program: in Providence, Rhode Island, the Opportunities Industrialization Center; in Manhattan, the National Council of Negro Women; in Brooklyn, the National Congress of Neighborhood Women; in Washington, D.C., Wider Opportunities for Women; in Atlanta, Georgia, the Urban League; and in San Jose, California, the Center for Employment and Training. Under the terms of the project, these agencies offer minority-group, female, single parents services such as counseling, job training, and placement in the private sector, and, when necessary, child care assistance. To increase the funds available for their services the six organizations intend to match Foundation support with contributions obtained from other private and public sources. To measure its impact on participants and public policy, the program will be monitored and evaluated by Abt Associates, a nationally known social research firm.

Under a grant approved in 1980, Jobs for America's Graduates, a nonprofit organization, expanded its innovative education/work-experience program from Delaware and Arizona into three additional locations: southeastern Massachusetts, St. Louis and Kansas City, and Memphis. The favorable post-high school placement experiences observed in Delaware, the pilot project for the organization, also have been observed in the other sites for which data are available, and comparative analysis shows that minority-group youth gain relatively more than others from participation in the program. In 1982 the Foundation renewed support for Jobs for America's Graduates for two additional years.

Several potentially valuable research and evaluation projects received grants during 1982. One, at Columbia University, investigated the changing structure of employment in the American economy and emphasized the significance of such change for occupational advancement among minorities. In addition, grants to the University of Texas and to MDC, Inc., a nonprofit organization for improving the employment opportunities of blacks and the Appalachian poor, enabled research scholars to evaluate the use made of discretionary funds under the Comprehensive Employment and Training Act to state governors in the South to provide skills training and employment opportunities to disadvantaged minorities. The study is expected to inform new national legislation, which, in replacing the Comprehensive Employment and Training Act of 1974, greatly increases the role of the states and the private sector in planning and implementing employment and training policy.

The Foundation also supported Urban Institute projects on the participation of minority female youth in job training programs and assessing the reliability of help wanted ads in local newspapers as a measure of local labor demand.

## **GRANTS:**

### **New Program-Initiative Grants**

ATLANTA URBAN LEAGUE, Atlanta, Georgia, toward the costs of an employability development program for minority-group, female, single parents.

\$250,000

CENTER FOR EMPLOYMENT TRAINING, San Jose, California, toward the costs of an employability development program for minority-group, female, single parents.

\$250,000

NATIONAL CONGRESS OF NEIGHBORHOOD WOMEN, Brooklyn, New York, toward the costs of an employability development program for minority-group female, single parents.

\$200,000

NATIONAL COUNCIL OF NEGRO WOMEN, New York, New York, toward the costs of an employability development program for minority-group, female, single parents.

\$200,000

OPPORTUNITIES INDUSTRIALIZATION CENTER OF RHODE ISLAND, Providence, Rhode Island, toward the costs of an employability development program for minority-group, female, single parents.

\$250,000

WIDER OPPORTUNITIES FOR WOMEN, Washington, D.C., toward the costs of an employability development program for minority-group, female, single parents.

\$250,000

### **Other Economic-Opportunity Grants**

**CLARK COLLEGE**, Atlanta, Georgia, to strengthen the capacity of its Southern Center for Studies in Public Policy to conduct policy-oriented studies on inequality in labor markets and family income. \$400,000

**COLUMBIA UNIVERSITY**, New York, New York, for use by its Conservation of Human Resources research institute:

For a study of the changing structures of employment within large and medium sized firms and their implications for the employment and career opportunities available to minority-group workers. \$34,853

For research on minority-group access to expanding and changing occupations. \$13,650

**HARVARD UNIVERSITY**, Cambridge, Massachusetts, for a study on the effect of past discrimination on black parents' investments in their children's development and economic achievement. \$33,526

**JOBS FOR AMERICA'S GRADUATES**, Washington, D.C., to support expansion of its program for the transition of youth from school to work. \$750,000

**MDC, INC.**, Chapel Hill, North Carolina, for a study of Comprehensive Employment and Training Act funding in the southeastern United States, in relation to the system of federal block grants to individual states. \$30,000

**MEXICAN AMERICAN CULTURAL CENTER**, San Antonio, Texas, in support of its program to provide youth with skills and qualifications for managerial and executive positions in the job market. \$25,000

**NATIONAL COMMITTEE FOR FULL EMPLOYMENT**, Washington, D.C., in support of its program to inform community groups of public policy developments affecting employment opportunities for minorities and the economically disadvantaged. \$35,000

**NATIONAL PUERTO RICAN COALITION**, Washington, D.C., for a study to assess the impact of block grants and federal cutbacks on the employment opportunities of Puerto Ricans in the continental United States. \$29,700

**DANIEL H. SAKS**, Washington, D.C., for the completion of research projects on federal employment and training policy and on welfare reform. \$14,850

**SAN FRANCISCO STATE UNIVERSITY**, San Francisco, California, for research on how social program cuts have affected the low-income population of San Francisco. \$15,437

**UNIVERSITY OF TEXAS**, Austin, Texas, to study the impact of changes in CETA funding on minority groups in the southwestern United States. \$30,000

**URBAN INSTITUTE**, Washington, D.C., for a study on career mobility paths of minorities and women in the federal government during the 1970s. \$81,000

### **BROADENING CAREER OPPORTUNITIES**

While progress has been made in recent years toward increasing the access of minorities to higher education, they are still substantially underrepresented in the fields of the natural sciences, mathematics, and economics where careers require advanced study. Opportunities to expand minority-group participation in higher education, scholarly research, and public policy analysis are seriously constrained by the limited pool of minorities in the selected scientific fields.

During 1982, under a grant co-sponsored by the Foundation's population program, assistance was given to Howard University to coordinate a summer work-experience project for minority-group youth. The University's project selects minority students drawn, for the most part, from high schools. It then places them in summer jobs in the biomedical research laboratories of some 50 universities and research centers throughout the nation. At each laboratory a university scientist agrees to work out a project geared to a particular student's qualifications; the student becomes a colleague for the summer, taking part in the planning of the project and discussions of the techniques to be used, the experimental design, and the plans for writing up the results. The intent is for the students to experience the world of scientific discovery as participants, not as mere helpers with menial tasks, and to ascertain that a career in the biomedical and health-related fields does not lie beyond their achievable goals. The program began on a pilot basis in 1978, and that summer Howard University accommodated five students. All five are currently in colleges; four of them enrolled as premedical and preveterinarian undergraduates, another enrolled in a school of nursing.

### **GRANTS:**

**CITY UNIVERSITY**, New York, to enable its Graduate School and University Center to establish a summer program demonstrating to minority-group high school students the tasks of a research career in the natural and social sciences.

\$18,800

**HOWARD UNIVERSITY**, Washington, D.C., for its program to encourage summer employment of minority-group high school students as apprentices in life-science research laboratories at universities.

\$200,000

## **SECURING AND PROMOTING BASIC RIGHTS**

The Foundation assists organizations that undertake research, advocacy, and, if necessary, litigation in support of public policies designed to protect American minority-group access to education, employment, and voter participation. Its grantmaking in this area concentrates on national and regional organizations and emphasizes issues related to economic opportunities, equality of educational opportunity, and the equal opportunity practices of state and local governments.

During 1982 the Foundation renewed its support of activities aimed at the protection of voting rights. Its grants enabled seven organizations to undertake field investigations, public education projects, and litigation related to the Voting Rights Act of 1967, as amended in 1982. Although the projects of these organizations were separately funded, all activities supported under the Foundation's grants to them were intended to heighten public awareness of the importance of continuing to protect equal access to the ballot.

Two grants were also awarded to minority-group public affairs organizations to strengthen their capacity to pursue policy-oriented research and public information activities, define and analyze policy issues from a minority-group perspective, and communicate their views to public and private decision-makers. One, to the National Council of La Raza, supported policy analysis of public issues of special interest to Hispanic groups; the other, to the Joint Center for Political Studies, aided similar work of importance to the black community.

Under its research fellowship program for minority-group scholars the Foundation made awards to 17 persons to undertake policy-oriented social science and humanistic research on issues affecting minority-group citizens. The men and women who received the fellowships are listed in the grants section that follows.

### **GRANTS:**

#### **Voting Rights Grants**

AMERICAN CIVIL LIBERTIES UNION FOUNDATION, New York, New York, for its program to support voting rights activities. \$60,000

LAWYERS' COMMITTEE FOR CIVIL RIGHTS UNDER LAW, Washington, D.C., for its program to support voting rights activities. \$60,000

MEXICAN AMERICAN LEGAL DEFENSE AND EDUCATIONAL FUND, San Francisco, California, for its program to support voting rights activities. \$60,000

NAACP LEGAL DEFENSE AND EDUCATIONAL FUND, New York, New York, for its program to support voting rights activities. \$50,000

NAACP SPECIAL CONTRIBUTION FUND, Brooklyn, New York, for its program to support voting rights activities. \$50,000

**NATIONAL COALITION ON BLACK VOTER PARTICIPATION**, Washington, D.C. for its program to support voting rights activities. \$20,000

**PUERTO RICAN LEGAL DEFENSE AND EDUCATION FUND**, New York, New York, for its program to support voting rights activities. \$60,000

**SOUTHERN REGIONAL COUNCIL**, Atlanta, Georgia, for its program to support voting rights activities. \$20,000

**SOUTHWEST VOTER REGISTRATION EDUCATION PROJECT**, San Antonio, Texas, for voter registration education and research activities in aid of Mexican Americans. \$35,000

**UNIVERSITY OF SOUTH ALABAMA**, Mobile, Alabama, for its program to support voting rights activities. \$25,000

**VOTER EDUCATION PROJECT**, Atlanta, Georgia, for its program to support voting rights activities. \$35,000

### **Other Basic Rights Grants**

**ANNA A. HEDGEMAN**, New York, New York, for a study of the contributions of black women to American society, especially in the area of civil rights. \$10,950

**MASSACHUSETTS INSTITUTE OF TECHNOLOGY**, Cambridge, Massachusetts, for a conference of administrators and faculty from black and white educational institutions, convened to discuss issues at predominantly white colleges. \$15,000

**NATIONAL CONGRESS OF AMERICAN INDIANS**, Washington, D.C., toward preparation of a revised version of the American Indian Tribal Government Studies textbook. \$13,700

**NATIONAL COUNCIL OF LA RAZA**, Washington, D.C., in support of its program to produce professional analyses of current public policy questions of special concern to Hispanic Americans. \$150,000

**NATIONAL URBAN LEAGUE**, New York, New York, for a colloquium of scholars, civil rights advocates, educational administrators, and League executives to assess the status of busing and school desegregation. \$7,000

**PUERTO RICAN LEGAL DEFENSE AND EDUCATION FUND**, New York, New York, in support of its programs to train selected Puerto Rican attorneys in civil rights law and to provide legal services for Puerto Ricans in the United States. \$140,570

**A. PHILIP RANDOLPH EDUCATIONAL FUND**, New York, New York, to support its program to provide minority-group trade union members with training necessary to secure positions of union leadership and responsibility. \$108,000

**SEATTLE OPPORTUNITIES INDUSTRIALIZATION CENTER**, Seattle, Washington, for a forum on the impact on career opportunity in the southeastern United States of work laws, unionism, racial discrimination, and block-grant funding. \$24,000

**SOUTHERN EDUCATION FOUNDATION**, Atlanta, Georgia, for a program of research and analysis on issues of education and public policy in the southern United States. \$25,000

**RAY WITLIN**, New York, New York, for a film demonstrating how the typical images of the American Indian in literature and art from 1492 until the present have influenced and been influenced by race relations. \$30,000

#### **Rockefeller Foundation Research Fellowships for Minority-Group Scholars**

The purpose of the Foundation's program of research fellowships for minority-group scholars is to enable outstanding men and women to undertake policy-oriented social science and humanistic research on issues of high priority affecting minority citizens. In 1982 the following awards were in effect:

WALTER R. ALLEN, assistant professor, University of Michigan

HOUSTON BAKER, JR., professor, University of Pennsylvania

J. HERMAN BLAKE, provost of Oakes College, University of California at Santa Cruz

ALBERT CAMARILLO, professor, Stanford University

DUANE CHAMPAGNE, teaching fellow, Harvard University

LINDA M. CHATTERS, Ph.D. candidate, University of Michigan

LORRAINE DONG, Venice, California

GLADYS-MARIE FRY, associate professor, University of Maryland

BRUCE R. HARE, assistant professor, State University of New York

FRANCINE E. JEFFERSON, instructor, University of Pittsburgh

LESLIE B. MCLEMORE, professor, Jackson State University

RICHARD RUIZ, assistant professor, University of Wisconsin

MARTA SANCHEZ, assistant professor, University of California

LAMONT E. STALLWORTH, assistant professor, Loyola University

JOHN H. STANFIELD, assistant professor, Yale University

STANLEY SUE, professor, University of California

MARGARET WILKERSON, director of Center for the Study, Education and Advancement of Women, University of California

## **SPECIAL PROGRAM IN THE SOUTHEAST**

At the end of 1982, activities under this guideline, established in 1975, were discontinued as a separate interest of the Foundation. Throughout the span encompassing these activities, Foundation support was directed mostly toward initiating and developing strategies through which community-based, self-help organizations in the southeastern United States could be assisted in expanding their efforts to improve the socioeconomic status of minority communities. Previous Foundation grants, made under the program, have helped a consortium of black colleges and universities in Alabama to mobilize existing state resources in support of local community development; have enabled Tuskegee Institute to demonstrate the feasibility of research on small-farm technology, which, as a result, generated expanded federal government support for agricultural research by the 1890 land-grant colleges; and have assisted Mississippi Action for Community Education, an organization that aids citizens in the Mississippi Delta with self-help community action projects.

A Foundation grant was made in 1981 to the National Association for the Southern Poor to support its project to introduce the Virginia Assemblies concept to the urban setting of Norfolk. In the rural areas and some small towns, the assembly concept has achieved practical working results in development initiated by the community—ranging from putting in street-lights to building housing projects and a high school. Now, after a year of testing the concept in Norfolk, the National Association for the Southern Poor has established that the Assembly of Norfolk is well recognized by people throughout the city as a potential force for community improvement. More time and effort, however, are required in a large urban area to obtain active citizen participation in community development projects. To help the Association expand its Norfolk Assembly program the Foundation extended support in 1982.

### **GRANTS:**

#### **NATIONAL ASSOCIATION FOR THE SOUTHERN POOR, Norfolk, Virginia:**

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|--|----------|
| To test in Norfolk the Virginia Assemblies method of organizing low-income neighborhoods to improve their circumstances. | \$67,514 |
| For a feasibility study on fund raising for the Virginia Assemblies.   | \$12,700 |

- |  |          |
|--|----------|
| SOUTHERN UNIVERSITY, Baton Rouge, Louisiana, for its special program to increase, through the use of improved materials, practices, and cooperative marketing, the agricultural production and incomes of farmers in Louisiana parishes. | \$13,770 |
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## **HEALTH SCIENCES**

In 1913, when the Rockefeller Foundation was established, it was averred that "disease is the supreme ill in human life." Thus, the first large-scale project of the organization, an attempt to control hookworm disease, became a global campaign that had major effects on sanitary practices. There followed, in 1915, other large-scale Foundation projects to control malaria and yellow fever, efforts that led in 1935 to the development in Foundation laboratories of a vaccine for yellow fever.

Influenced by Abraham Flexner's seminal report, which in 1910 had delineated the shortcomings of medical schools in the United States, the Foundation early on began to foster scientifically oriented medical education. In the United States and abroad it played a major role during the 1920s and 1930s in improving medical schools and founding schools of public health. In the 1930s the Foundation made numerous grants to encourage growth in the fields of neurology, psychiatry, and molecular biology.

After World War II, as government support of health interests burgeoned, Foundation funding declined somewhat. Nevertheless, the Foundation maintained various interests in the health field. It supported a worldwide network of laboratories to accumulate information on causative agents and to seek remedies for the wide variety of maladies caused in human beings and animals by arthropod-borne viruses. On the island of St. Lucia the Foundation cooperated with the local government to set up a research project on methods for controlling the inroads of schistosomiasis into the island's population, methods that might be applied globally against the disease. And through its field staff it conducted community health programs throughout the developing world.

In 1977 the Foundation began a major new program in support of research to improve health, particularly in the developing world. In 1982 the program's components were:

- Biomedical research on the great neglected diseases of the developing world
- Development of clinical epidemiology to foster efficient means of maintaining and improving the health of populations
- Development of selective information systems for managing the burgeoning biomedical and health services literatures and health statistics

### **THE GREAT NEGLECTED DISEASES OF MANKIND**

Diseases such as malaria, schistosomiasis, amebiasis, filariasis, and the recurrent diarrheas and respiratory infections of children may be said to be great in that they afflict hundreds of millions of people, largely in the developing world. They may also be thought of as neglected in that they have received relatively little attention from either the global biomedical research community or the major national and international funding agencies.

In 1978 the Foundation began to make grants for a global research network of clinical, pharmacological, and immunological research units. Located in the United States, Mexico, Sweden, the United Kingdom, Israel, Egypt, Thailand, and Australia, and headed by leading scientists, the units are investigating the causes and seeking out ways to control the great neglected diseases. In 1982 they were working collaboratively with 22 different countries in the developing world.

The Foundation also provided a variety of grants and fellowships to other institutions and scientists throughout the world in order to foster similar research to control the great neglected diseases.

## **GRANTS:**

### **GND Network Grants**

**BRIGHAM AND WOMEN'S HOSPITAL**, Boston, Massachusetts, for use by its Robert B. Brigham Division to support an immunoparasitology division in its Department of Medicine. \$150,000

**CASE WESTERN RESERVE UNIVERSITY**, Cleveland, Ohio:

In support of a pharmacoparasitology research unit in its Department of Pharmacology. \$150,000

For overseas research by its Division of Geographic Medicine. \$50,000

**CENTER FOR RESEARCH AND ADVANCED STUDIES**, National Polytechnic Institute, Mexico City, Mexico, for the study of the pathogenesis of invasive amebiasis, onchocerciasis, and American trypanosomiasis. \$53,769

**WALTER AND ELIZA HALL INSTITUTE OF MEDICAL RESEARCH**, Melbourne, Australia, in support of an immunoparasitology research unit. \$150,000

**MAHIDOL UNIVERSITY**, Bangkok, Thailand, for its Department of Biochemistry to develop a division of parasite biochemistry. \$50,000

**MINISTRY OF HEALTH**, Cairo, Egypt, for use by the Biomedical Research Center for Infectious Diseases of Cairo for a program of research and training in tropical medicine. \$150,000

**ROCKEFELLER FOUNDATION**, New York, New York, for the fifth annual meeting of the international network of biomedical groups concerned with the great neglected diseases of mankind. \$100,000

**ROCKEFELLER UNIVERSITY**, New York, New York, in support of a pharmacoparasitology research unit. \$150,000

**TUFTS UNIVERSITY**, Boston, Massachusetts, in support of a division of geographic medicine. \$150,000

**UNIVERSITY OF OXFORD**, Oxford, England, in support of a tropical medicine research unit in its Nuffield Department of Clinical Medicine. \$150,000

**UNIVERSITY OF STOCKHOLM**, Stockholm, Sweden, for a joint research unit, with Uppsala University, on immune regulation of parasitism. \$150,000

**UNIVERSITY OF VIRGINIA**, Charlottesville, Virginia, in support of a division of geographic medicine in its Department of Medicine. \$150,000

**UNIVERSITY OF WASHINGTON**, Seattle, Washington, in support of a geographic medicine unit in its Department of Medicine. \$150,000

**WEIZMANN INSTITUTE OF SCIENCE**, Rehovot, Israel, in support of a unit for molecular biology of parasitic diseases. \$150,000

#### **GND-Related Grants**

**JERROLD J. ELLNER**, DEPARTMENT OF MEDICINE, University Hospitals of Cleveland, Ohio, to continue his study on macrophage arginase and resistance to schistosomiasis. \$12,000

**MARIANO A. GARCIA-BLANCO**, Yale University, New Haven, Connecticut, for research on the effect of interferon on yellow fever virus infection of monkeys. \$4,000

**MAHIDOL UNIVERSITY**, Bangkok, Thailand, for a multidisciplinary research program on opisthorchiasis. \$5,000

**MASSACHUSETTS INSTITUTE OF TECHNOLOGY**, Cambridge, Massachusetts, in support of an international nutrition planning program (co-sponsored by the Agricultural Sciences and Special Interests and Explorations programs). \$3,900

**NATIONAL FOUNDATION FOR INFECTIOUS DISEASES**, Richmond, Virginia, for its program of fellowships for minority-group physicians to undertake research in tropical medicine. \$15,000

**ROCKEFELLER FOUNDATION, New York, New York:**

For a Bellagio conference of scientists meeting to assess the state of parasitology as a biomedical science on a worldwide basis. \$24,389

For a conference, co-sponsored by the Josiah Macy, Jr. Foundation, to help stimulate international efforts in parasitology. \$4,608

**ROCKEFELLER FOUNDATION RESEARCH CAREER DEVELOPMENT  
FELLOWSHIPS IN GEOGRAPHIC MEDICINE**

A. DEAN BEFUS, Department of Pathology, McMaster University Medical Centre, for research on characteristics and functions of mast cells in parasitic infections.

RICHARD GERSHON, Department of Pathology, Yale University, New Haven, Connecticut, to continue the research of Anil Jayawardena on immune response in malaria.

JAMES W. KAZURA, Department of Medicine, University Hospitals, Cleveland, Ohio, for research on immunity in filariasis.

HENRY WILKE MURRAY, Division of International Medicine, Cornell University, Ithaca, New York, for research on the killing of *Leishmania* by host cells.

NADIA NOGUEIRA, Department of Cellular Physiology and Immunology, Rockefeller University, New York, New York, for research on *Trypanosoma cruzi*: cellular immunity *in vitro*.

RUPERT K. A. SCHMIDT-ULLRICH, Department of Therapeutic Radiology, Tufts-New England Medical Center, for studies on immunogenicity of species- and stage-independent malaria antigens.

**ROCKEFELLER UNIVERSITY, New York, New York, for research and development of a book and television series on the history of scientific discovery in the fight against major world diseases (co-sponsored by the Humanities program). \$22,500**

**UNIVERSIDAD DE COSTA RICA, San José, Costa Rica, for field studies on promotion of nutrition, growth, and health in the rural area of Puriscal, Costa Rica. \$25,000**

**UNIVERSIDADE FEDERAL DO RIO DE JANEIRO, Rio de Janeiro, Brazil, for research at the Instituto de Biofísica on immune mechanisms in the susceptibility**

and resistance of animal hosts to experimental *Trypanosoma cruzi* infection.

\$12,000

UNIVERSITY OF CALIFORNIA, San Francisco, California, for research to identify viable targets for chemotherapeutic intervention by means of studying metabolic pathways in parasites.

\$25,000

UNIVERSITY OF MARYLAND, Baltimore, Maryland, to analyze studies of the effects of illness and dietary intake on the growth of children in rural Bangladesh.

\$11,222

XIAO-SU HU, Sichuan Medical College, Chengdu, China, for research on leishmaniasis.

\$10,000

YALE UNIVERSITY, New Haven, Connecticut, for research on immune resistance to infection from ectoparasitic ticks.

\$25,000

#### **Miscellaneous Grants:**

JAMES THOMAS FLEXNER, New York, New York, for a biography of Simon and Abraham Flexner (co-sponsored by the Humanities program).

\$10,000

HARVARD UNIVERSITY, Cambridge, Massachusetts, toward the costs of preparing a book by Julia Walsh and Kenneth Warren, entitled *Selective Primary Health Care: Strategies for the Control of Disease in the Developing World*.

\$25,000

NORTHWESTERN UNIVERSITY, Evanston, Illinois, to develop the Medical School's program to encourage applicants with a broad liberal arts undergraduate background.

\$25,000

### **THE HEALTH OF POPULATIONS**

Health care professionals are well trained to deal with disease in individuals on the basis of an understanding of physiological, cellular, and molecular mechanisms. Although this approach has been undeniably beneficial, maldistributions of expensive manpower, equipment, and facilities are common; small numbers of people receive costly, high-technology, curative care while the vast majority of the population lacks inexpensive preventive primary health care.

The root cause of this imbalance is a dearth of population-based perspectives in the educational, research, and management aspects of the health-care enterprise. The Foundation, therefore, supports the development and improvement of clinical teaching and research in clinical epidemiology and population-based medicine in universities of major international influence. One such global clinical epidemiology

resource and training center, established in recent years with Foundation support at McMaster University, has committed itself to train each year five or six young clinicians from medical faculties in the developing world. A second resource and training center at the University of Pennsylvania has received major Foundation support since 1979; a third such center was established in 1981 at the University of Newcastle, Australia. Some 15 to 18 fellows will be trained annually.

The objectives of this component and of related Foundation grants made in 1982 were to identify universities located in the developing world which demonstrate a clear commitment to establishing a clinical epidemiology unit within a major clinical department and to establish a critical mass of well-trained faculty members to staff these units.

The overall aim of the component is to develop a network of participating institutions and colleagues to share experiences, provide mutual support, and make a collective impact not only on their own countries but also on neighboring countries and on international agencies and organizations. The hoped-for outcome: a cadre of leaders in academic medicine, who have credibility as clinicians and the quantitative skills to determine whether new drugs, vaccines, surgical and diagnostic procedures, and other interventions are likely to do more harm than good; whether new services planned are cost-effective; whether the benefits of new technology outweigh the costs and risks; and whether the manpower, facilities, and equipment available to a country are being deployed so that resources and services meet the health needs of the people served, especially the poor of the periurban slums and the rural areas.

#### **GRANTS:**

■ INTERNATIONAL EPIDEMIOLOGICAL ASSOCIATION, Silver Spring, Maryland, for regional international conferences and publication of a dictionary of epidemiological terms.                         \$40,000

■ McMaster UNIVERSITY, Hamilton, Canada, to develop and test methods to improve the dissemination and application of health care knowledge.                         \$35,000

■ NEW YORK UNIVERSITY, New York, New York, to produce and distribute an annual collection of research abstracts in primary health care.                         \$25,000

■ NORTH AMERICAN PRIMARY CARE RESEARCH GROUP, Richmond, Virginia, to develop and expand its Sentinel Practice Network for the systematic collection of data on specific health problems.                         \$25,000

■ QUEEN'S UNIVERSITY, Kingston, Canada, for a study to develop methods for estimating the population served by a given practice, health center, or clinic.                         \$20,000

**RIJKSUNIVERSITEIT LIMBURG**, Maastricht, Netherlands, for the third meeting of the international Network of Community-Oriented Educational Institutions for Health Sciences.

\$27,500

**ROCKEFELLER FOUNDATION**, New York, New York:

For a Bellagio conference on educational methods in epidemiology that can best be adapted to needs in the developing world. \$28,000

For a Bellagio conference on the development of national health statistical systems. \$16,892

**SHANGHAI FIRST MEDICAL COLLEGE**, Shanghai, China, to collect health data in rural areas. \$15,000

**TUFTS UNIVERSITY**, Medford, Massachusetts, in support of an Yves Biraud seminar on epidemiology and health statistics. \$20,000

**UNIVERSITY OF PENNSYLVANIA**, Philadelphia, Pennsylvania, to expand and strengthen its Clinical Epidemiology Unit as an international resource center for research and training in population-based medicine. \$549,000

**UNIVERSITY OF WESTERN ONTARIO**, London, Canada, for a study of the quality of medical care in family practice. \$35,000

**WORLD HEALTH ORGANIZATION**, Geneva, Switzerland, to publish and distribute the proceedings of the Foundation's 1982 Bellagio conference on health statistics and the provision of primary health care worldwide. \$30,000

### **COPING WITH BIOMEDICAL AND HEALTH INFORMATION**

Information is essential for the rational utilization of resources in both research and the provision of health services. The exponential growth of the biomedical, behavioral, and health services literatures makes it increasingly difficult to identify that small portion of the literature that is of greatest use and significance. Also, the masses of data gathered on health problems, resources, costs, uses, and benefits are too rarely analyzed qualitatively, or subjected to the appropriate statistical methods that would turn data into useful information for the planning, management, and evaluation of more cost-effective health services. Accordingly, the Foundation supports the development of selective information systems to rationalize and expedite the flow of biomedical and health information.

**GRANTS:**

BETH ISRAEL HOSPITAL, Boston, Massachusetts, to combine two bibliographic retrieval systems into an upgraded, computerized system. \$25,000

MOUNT SINAI SCHOOL OF MEDICINE, New York, New York, to set up a pilot data base composed of randomized control trials on acute myocardial infarction. \$30,000

NEW YORK UNIVERSITY, New York, New York, for a project to improve methods of identifying emerging areas of basic biomedical research. \$12,000

PRINCETON UNIVERSITY, Princeton, New Jersey, for a study of editorial responsibility and the falsification of data in science (co-sponsored by the Special Interests and Explorations program). \$10,000

ROCKEFELLER FOUNDATION, New York, New York, for a symposium, jointly sponsored by the Foundation and the China Medical Board and held in China, to present material on current developments in selective information systems to representatives from 20 Chinese medical societies. \$20,539

UNIVERSITY OF WESTERN ONTARIO, London, Canada, to improve access to current family medicine literature. \$25,000

WORLD HEALTH ORGANIZATION, Geneva, Switzerland, to publish and distribute the proceedings of the Foundation's 1982 Bellagio conference on health statistics for the year 2000, especially as they relate to the provision of primary health care worldwide. \$30,000

## **INTERNATIONAL RELATIONS**

The Rockefeller Foundation considers peaceful relations among nations a vital corollary to the objectives of its grantmaking efforts. It provides funding to strengthen the contribution of independent research and policy analysis to the articulation of the long-range interests facing governments in international security and economic cooperation. In this program the Foundation has set the following goals:

1. Within the United States, to strengthen the contribution of nongovernmental international relations research to U.S. foreign policy;
2. In countries other than the United States, to strengthen the analytical capacity of international relations research institutions that can operate substantially without government constraint and have the potential to increase the intellectual underpinnings of these countries' foreign policies;
3. To provide more effective opportunities for public and private experts from different countries to analyze problems jointly and develop practical solutions that can command wide public support;
4. Through its fellowship program and other mechanisms, to identify outstanding young people trained in international relations and increase their opportunities for career development.

## **INTERNATIONAL SECURITY**

Redistribution of political, economic, and military power around the world has intensified and made more complex the national security interests for all countries, especially at the regional level.

During 1982 the Foundation assisted efforts to promote collaborative international research and discussion on regional economic and political issues and their effect on security interests in Latin America. Grants were made to the Centro de Investigación y Docencia Económicas in Mexico City, the International Institute for Strategic Studies in London, the University of California at San Diego, and the Woodrow Wilson International Center for Scholars in Washington, D.C. Collectively, these grants were intended to serve several purposes: (1) to encourage the growth in Mexico of independent policy research on Mexican foreign policy and the nation's emerging role as a regional leader, (2) to encourage close relationships between foreign policy and security analysts in Mexico and those at the International Institute for Strategic Studies in London, where a Foundation-supported program in regional security studies offers opportunities for Mexican participation, (3) to increase cooperative research opportunities for international relations scholars and policy experts in the United States and Mexico, and (4) through this network of scholars and policy experts, to bring new concepts for regional security and economic development in the Caribbean and Central America to the policy community in Washington, D.C.

Other grants were made to the University of Pittsburgh, Johns Hopkins University's School of Advanced International Studies, and Georgetown University's Center for Strategic and International Studies for research and discussion on forces of political and economic change in the Caribbean and Central America, the changing interests of the United States and Western Europe there, and Soviet engagement in the region.

In response to the growing importance of U.S.-Soviet relations, the Foundation at the close of the year appropriated \$2 million to be allocated in 1983 to two independent centers of advanced research and training in the United States, to be selected through a national competition. The purpose of the proposed grants is to strengthen the capabilities of such centers to analyze information about domestic and foreign developments affecting Soviet international behavior and to inform the public debate in the United States about Soviet policies and actions, especially with regard to prospects for nuclear arms control.

## **GRANTS:**

**MERON BENVENISTI**, Jerusalem, Israel, to continue his assessment of current conditions in the West Bank and Gaza. \$50,000

**CENTRO DE INVESTIGACION Y DOCENCIA ECONOMICAS**, Mexico City, Mexico, to strengthen its capacity to carry out international relations policy research and to strengthen its research links with overseas institutions, especially in the United States and Europe. \$100,000

**COMMITTEE FOR NATIONAL SECURITY**, Washington, D.C., for a conference to promote increased participation by women in the national security debate. \$22,000

### **GEORGETOWN UNIVERSITY**, Washington, D.C.:

For use by its Center for Strategic and International Studies for a study on the policy implications of the relationship between the Soviet Union and Latin America. \$25,000

For the Center for Strategic and International Studies to establish an annual review of U.S. security. \$50,000

**GRADUATE SCHOOL AND UNIVERSITY CENTER OF THE CITY UNIVERSITY OF NEW YORK**, New York, for use by its Institute for Middle East Peace and Development to explore alternative approaches for resolving issues in the Middle East. \$10,000

**HARVARD UNIVERSITY**, Cambridge, Massachusetts, for use by its Energy Security Program for a study of the future role of natural gas in world trade and of

related political and security issues, in conjunction with the Institut Français des Relations Internationales, El Colegio de México, and the Institute of Energy Policy of the Norwegian School of Management. \$100,000

INTERNATIONAL ECONOMIC STUDIES INSTITUTE, Washington, D.C., for preparing and distributing a study on closing the gaps between allied defense planning and U.S. arms control policy. \$15,000

INTERNATIONAL INSTITUTE FOR STRATEGIC STUDIES, London, England, toward the costs of its program on regional security and international order in the 1980s. \$110,580

JOHNS HOPKINS UNIVERSITY, Baltimore, Maryland, for use by its School of Advanced International Studies in support of the third in a series of conferences on the topic "A New Atlantic Triangle? Latin America, Western Europe, and the United States." \$10,000

SANFORD C. REBACK, Arlington, Virginia, for research on the vulnerability of the West to nuclear attack. \$7,750

SCIENTISTS' INSTITUTE FOR PUBLIC INFORMATION, New York, New York, for a conference on improving national security by strengthening the productivity of the defense industrial sector. \$10,000

UNIVERSITY OF CALIFORNIA, San Diego, California, for use by its Center for U.S.-Mexican Studies for a program of research and discussion on U.S.-Mexican relations. \$105,000

UNIVERSITY OF NOTRE DAME, Notre Dame, Indiana, for a series of meetings of religious and scientific leaders concerned about the nuclear threat to humanity. \$30,000

UNIVERSITY OF PITTSBURGH, Pittsburgh, Pennsylvania, for use by its Center for Latin American Studies for a conference and publications on Caribbean issues in the 1980s. \$25,000

UNIVERSITY OF WASHINGTON, Seattle, Washington, for use by its School of International Studies for a conference on Japan's changing relations with the Soviet Union, China, and the United States.

WOODROW WILSON INTERNATIONAL CENTER FOR SCHOLARS, Washington, D.C.:

To help its Latin American Program undertake a project to enhance public understanding of U.S.-Caribbean relations. \$100,000

For use by its Latin American Program for meetings of individuals from Latin America and the United States on current inter-American relations and issues.

\$40,000

### **ECONOMIC COOPERATION**

International economic conditions have been characterized by the poor economic performance of most Western industrialized countries, great difficulty in devising national economic policies to cope with inflation and stagnation, and recently a prolonged recession and crisis in the international monetary system.

The Foundation in 1982 supported efforts to improve the international monetary system, encourage trade expansion, increase the flow of private capital to developing countries, improve the functioning of commodity and energy markets, and facilitate the coordination of national economic policies.

### **GRANTS:**

**CITIZENS FOR OCEAN LAW**, Washington, D.C. for meetings and seminars to inform the public on issues of international ocean law. \$15,000

**CONSULTATIVE GROUP ON INTERNATIONAL ECONOMIC AND MONETARY AFFAIRS**, New York, New York, to enable the Group—known as the Group of Thirty—to analyze international economic and monetary problems and to identify and assess consequences of alternative policies and institutional arrangements for dealing with them. \$376,820

**INSTITUTE FOR INTERNATIONAL ECONOMICS**, Washington, D.C., for a conference on trade policy in the 1980s. \$49,000

**KOREA UNIVERSITY**, Seoul, Korea, for use by its Asiatic Research Center for a research project on Korean-ASEAN relations. \$20,363

**MASSACHUSETTS INSTITUTE OF TECHNOLOGY**, Cambridge, Massachusetts, for a study on energy-economy interactions in developing countries. \$25,000

**NATIONAL CHAMBER FOUNDATION**, Washington, D.C. for an assessment of the feasibility of establishing a new mechanism for development assistance, a multilateral investment corporation, to increase the flow of capital to sub-Saharan Africa. \$30,000

**TUFTS UNIVERSITY**, Medford, Massachusetts, for use by its Fletcher School of Law and Diplomacy for a conference on Thailand's national development and international role. \$7,500

## **OTHER INTERNATIONAL RELATIONS GRANTS**

**AMERICAN COUNCIL OF LEARNED SOCIETIES**, New York, New York, to provide Polish academic centers with subscriptions to Western international affairs periodicals. \$3,000

**ASPEN INSTITUTE FOR HUMANISTIC STUDIES**, New York, New York, toward the costs of a meeting of young political leaders from Europe, North America, and Japan to discuss political and economic issues. \$15,000

**PEACE CORPS INSTITUTE**, Washington, D.C., for a project to keep former volunteers informed of current issues in the developing world. \$25,000

**SALZBURG SEMINAR IN AMERICAN STUDIES**, Cambridge, Massachusetts, toward the costs of fellowships for Eastern European scholars. \$30,000

**WORLD PRIORITIES**, Washington, D.C., to expand its research and publications program on international issues. \$120,000

### **Rockefeller Foundation Fellowships In International Relations**

The Foundation's program of international relations fellowships requires that applicants' proposals be centered on a one- to two-year research project involving work overseas. The principal purpose of the fellowship program is to enable, anywhere in the world, men and women who have completed their education and professional training and established their career interests in international relations, to enrich their professional skills and experience. A secondary purpose is the generation of published policy-relevant analyses of international relations problems.

The following awards were made in 1982:

**G. ANANDALINGAM**, Brookhaven National Laboratory, Upton, New York, to study industrial energy conservation in less developed countries.

**CRISTIANO ANTONELLI**, Universities of Calabria and Turin, Italy, to study technological charges and international communications.

**JOSHUA M. EPSTEIN**, Center for International Affairs, Harvard University, to undertake research on global requirements for American general-purpose forces.

**WILLIAM W. HARRIS**, Massey University, Palmerston North, New Zealand, for a study entitled "The Arabs and the Israelis: The Eastern Front in the 1980s."

**MARK KATZ**, Washington, D.C., to study Soviet foreign policy toward southern Arabia.

**ANTONIO MARQUINA BARRIO**, Universidad Complutense, Madrid, Spain, to study security problems affecting the European southern flank of NATO, in particular the Iberian peninsula.

**BARRY R. POSEN**, Center for International Affairs, Harvard University, to study conventional war and nuclear escalation.

**PAUL B. STARES**, University of Lancaster, Lancaster, England, to undertake research on problems and prospects for the 1980s in the orderly exploitation of outer space.

**NAOMI JOY WEINBERGER**, Yale University, New Haven, Connecticut, to undertake a study entitled "Peacekeeping in Southern Lebanon: Actors, Objectives, and Constraints."

## **POPULATION SCIENCES**

The Rockefeller Foundation awards grants in the field of population to advance research on the determinants of fertility and the consequences of population growth, methods of contraception that will meet the world's needs, and scientific and technical subjects relating to the field. These issues have been grouped under three grantmaking guidelines:

- Research in reproductive biology—strengthening of basic research related to fertility regulation, with emphasis on application of molecular biology, and expansion of scientific and technical capacity in developing countries
- Research on contraceptive technology—application of basic research results to contraception research and technology; development of new contraceptive methods, including testing for acceptability; and exploration of health and safety issues relating to existing and new methods
- Policy studies—improvement of understanding of fertility determinants, with emphasis on the status and role of women; of determinants and consequences of population growth in developing countries; and of selected population issues in the United States

### **REPRODUCTIVE BIOLOGY**

Developing improved methods of fertility regulation requires a greater understanding of the hormonal, physiological, cellular, and molecular mechanisms involved in the reproductive system. The Foundation supports research and training in the biology of reproduction, and is currently placing emphasis on work that applies the concepts and principles of molecular biology—the biochemistry of protein synthesis, molecular genetics, membrane and receptor biology, molecular immunology—to the subject of human reproduction. It supports work in the United States and in other countries where established institutional strengths and research talent can be identified.

During 1982, the Foundation made a major grant to the Salk Institute for structure-activity-relationship studies on polypeptides produced by the brain. These polypeptides control the release of pituitary hormones, which, in turn, regulate functions of the ovaries and testes. The Institute's research concerns the synthesis of analogs of natural brain polypeptides that might be used as contraceptives for the regulation of fertility in either men or women. Following another approach, the Foundation also awarded a series of grants to support research on the mechanism of action of steroid hormones in reproduction.

Research on the receptor biology of the male hormone testosterone has revealed new insights into the male reproductive system, and is suggesting greater opportunity for controlling male reproduction at some time in the future. With regard to the female reproductive system, basic studies on the progesterone

receptors of target cells have led to the observation that some synthetic compounds can compete successfully for these receptors, and thereby inhibit the action of progesterone, which is essential for the establishment and maintenance of pregnancy.

The Foundation is now supporting reproductive biology research and training programs in Beijing, Bahia, Santiago, Bangkok, and New Delhi, as well as at selected laboratories in the United States, Western Europe, and Israel. In addition, its fellowship program supports young scientists throughout the world, and, in 1982, it awarded ten fellowships for postdoctoral training in reproductive biology to men and women from China, Finland, India, Israel, Japan, and the United States.

## **GRANTS:**

**CENTRO DE PESQUISAS E CONTROLE DAS DOENÇAS MATERNO-INFANTIS (CEMICAMP), Campinas, Brazil, for a comparative study of pituitary-ovarian function after tubal ligation using two different techniques.** \$25,000

**CHINESE ACADEMY OF MEDICAL SCIENCES, Beijing, China, for chemical studies and solid-phase synthesis of antifertility peptides.** \$25,600

**CHINESE ACADEMY OF SCIENCES, Beijing, China:**

In support of reproductive endocrinology research in its Institute of Zoology. \$40,000

In support of its Institute of Developmental Biology. \$25,300

**CORNELL UNIVERSITY, Ithaca, New York, for use by its Medical College for development of monoclonal antibodies to LH-hCG receptor.** \$25,000

**EAST CAROLINA UNIVERSITY, Greenville, North Carolina, for research on the effect of uterine blood flow on fetal growth and development.** \$24,800

**FEDERAL UNIVERSITY OF BAHIA, Salvador, Brazil:**

For a program of research and training in reproductive biology. \$200,000

For animal studies on immunization with pregnancy-specific antigens. \$25,000

To study the validity of *in vitro* methods for evaluating male fertility. \$25,000

**GORDON RESEARCH CONFERENCES, Kingston, Rhode Island, for a conference on mammalian gametogenesis and embryogenesis.** \$4,000

HOWARD UNIVERSITY, Washington, D.C., for its program to encourage summer employment of minority-group high school students as apprentices in life-science research laboratories at universities. (Co-sponsored by the Foundation's Equal Opportunity program.)	\$100,000
MEDICAL COLLEGE OF WISCONSIN, Milwaukee, Wisconsin, to enable Third World scientists to participate in the First World Congress of Trophoblast Neoplasms.	\$10,000
POPULATION COUNCIL, New York, New York, for research on hormone action and oocyte maturation.	\$25,000
ALEXANDRE PSYCHOYOS, University of Paris, France, for research on uterine blastotoxic factors.	\$25,000
SALK INSTITUTE FOR BIOLOGICAL STUDIES, San Diego, California, for studies of synthetic peptides as possible fertility regulatory agents.	\$200,000
SUNGSHIN WOMEN'S UNIVERSITY, Seoul, Korea, for research on the effect of calcium ions on the development of egg cells.	\$25,000
TEMPLE UNIVERSITY, Philadelphia, Pennsylvania, to provide developmental biology research training for Chinese scientists.	\$25,000
UNIVERSITY OF CALIFORNIA, San Francisco, California, for research on the cell surface glycoproteins involved in mammalian fertilization.	\$25,000
UNIVERSITY OF MARYLAND, Baltimore, Maryland, for research on hormonal control of inhibin-F secretion.	\$25,000
UNIVERSITY OF NEBRASKA, Lincoln, Nebraska, to investigate the mechanism of activation of molecular transport systems at fertilization.	\$25,000
UNIVERSITY OF PENNSYLVANIA, Philadelphia, Pennsylvania, for a research program on oocyte growth and meiosis.	\$4,000
UNIVERSITY OF ROME, Rome, Italy, for research on gonadotropin inhibitors in human sera.	\$25,000
UNIVERSITY OF TEXAS, Houston, Texas, for a study of the hormone relaxin as a regulator of ovarian and tubal function.	\$25,000
WEIZMANN INSTITUTE OF SCIENCE, Rehovot, Israel, to enable developing-country scientists to attend the Sixth International Congress on Hormonal Steroids.	\$5,000

**YALE UNIVERSITY**, New Haven, Connecticut, for studies of hormonal contraceptive agents and embryonic development. \$25,000

**UNIVERSITY OF UPPSALA**, Sweden, for research on inhibition of the action of progesterone. \$25,000

## **CONTRACEPTIVE DEVELOPMENT**

Countries implementing family planning programs seek improved, simplified, inexpensive, safe, effective and culturally acceptable contraceptive methods. No single method may be expected to satisfy the different needs of the world's diverse population. An effective method may be acceptable in one society and have limited value, at best, in another part of the world for reasons of culture, religion, environmental conditions, lack of medical services, or even because of physiological differences. The Foundation's program seeks to involve developing country scientists fully in all aspects of research on contraception in order to bring to the process of contraceptive development the perspectives of women and men sensitive to local needs and socio-cultural factors.

The Population Council's International Committee for Contraceptive Research (ICCR) continued in 1982 to be the major recipient of Foundation grants for contraceptive development. The ICCR, an international group of scientists undertaking collaborative research, seeks to test the effectiveness and safety of potential contraceptive methods and to determine whether they are suitable for large-scale use. Clinical research units from North and South America, Europe and Asia are included in the ICCR network. Over its ten-year history, the ICCR has proven to be a uniquely successful mechanism for mobilizing the best available academic talent to work toward contraceptive product development, and has gained the respect both of the pharmaceutical industry and of governments with health and population programs that can benefit from its research. In recent years, the ICCR has made considerable progress in expanding the field testing of a long-term (five years) steroid implant as a reversible contraceptive method to be offered under national planning programs. Foundation-supported country studies have begun in Egypt, Indonesia, and Thailand.

The Foundation supports research on gossypol, a natural constituent of the cotton plant, as a male contraceptive. Initial observations of gossypol were made by Chinese scientists, and a 1980 Foundation grant to the Chinese Academy of Medical Sciences has helped the staff of Capital Hospital in Beijing to undertake a hospital-based study of gossypol to evaluate its effectiveness and safety. This clinical trial will be completed by the end of 1983, and will serve as the information source for a major policy decision by Chinese authorities regarding their plans for the future use of gossypol as a male contraceptive. The Foundation is also supporting a series of animal studies in a number of countries to learn more about

gossypol safety and mechanisms of action. By the end of 1982, the Foundation had devoted about \$1 million to the subject over a three-year period.

**GRANTS:**

**AL AZHAR UNIVERSITY**, Cairo, Egypt, for use by its International Islamic Center for Population Studies and Research for central statistical analysis of data from coordinated field studies of the acceptability of contraceptive implants. \$28,000

**CHINESE ACADEMY OF MEDICAL SCIENCES**, Beijing, China, to develop methodology for large-scale preparation and purification of gossypol acetic acid.

\$30,000

**CORNELL UNIVERSITY**, Ithaca, New York, for studies of the mechanism of action of the contraceptive substance norethindrone.

\$40,000

**HARVARD UNIVERSITY**, Cambridge, Massachusetts:

For biochemical studies of antispermatic effects of gossypol. \$33,724

For studies of cytotoxic and antifertility effects of gossypol. \$25,000

**MAHIDOL UNIVERSITY**, Bangkok, Thailand, for research on the effects of gossypol on the structure of genetic material and the metabolism of male germ cells.

\$25,700

**POPULATION COUNCIL**, New York, New York, to enable the International Committee for Contraception Research to test the effectiveness and safety of potential contraceptive methods.

\$1,800,000

**SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH**, New York, New York, for research on the interaction of gossypol with human red blood cells. \$39,800

**UNIVERSITY OF ALABAMA**, Birmingham, Alabama, for use by its Cardiovascular Research and Training Center for research on the cardiac effects of gossypol.

\$25,000

**UNIVERSITY OF MICHIGAN**, Ann Arbor, Michigan, for research on the effects of gossypol on reproduction and the conceptus.

\$29,710

**UNIVERSITY OF NORTH CAROLINA**, Chapel Hill, North Carolina, for research on the distribution and effects of gossypol in reproductive tissue.

\$25,000

**UNIVERSITY OF SALZBURG**, Salzburg, Austria, for research on the mechanism of action of gossypol.

\$6,000

**Centers for Disease Control—Rockefeller Foundation International  
Training Program in Family Planning Evaluation and Epidemiology**

In 1979, to help alleviate a critical shortage of epidemiologists and family planning professionals in the developing countries, the Foundation and the Centers established a joint training program. The two-year course, conducted in Atlanta where the Centers are based, is designed primarily for Third World physicians and health professionals and provides experience in applied epidemiology, statistics, and family planning program and evaluation. Entering the course in 1982 were Tai Keun Park of Korea and Aurora Vibal-Fermo of the Philippines.

**POPULATION POLICY**

Developing countries differ considerably in terms of their interest, knowledge, needs, and policy experience in regard to population issues. The Foundation's program has been directed, in accordance with varying needs in different regions and countries, toward expanding technical capacity and developing the population knowledge base required for policy formulation. The Foundation has emphasized the strengthening of graduate-level training and research programs in developing countries and the training of developing-country nationals in regional and U.S.-based institutions. Graduate training and research programs are currently receiving Foundation aid at the Federal University of Minas Gerais in Brazil, El Colegio de México, the University of Ife in Nigeria, the University of Nairobi in Kenya, and the University of the Andes in Colombia. In addition, awards are being provided for pre- and post-doctoral training of developing country scholars, both through the Foundation's fellowship program and through the Foundation's support of the African demography program at the University of Pennsylvania and the Population Council's fellowship program in population studies.

The formulation of population policy requires accurate information on basic demographic indicators, analyses of the interrelations between those indicators and economic and social development, and identification of their underlying determinants. The Foundation has identified four broad topics on which it seeks to improve the data and knowledge base, including: the determinants of fertility with emphasis on the status and role of women; population trends in countries and regions where policy determination requires a substantial improvement in the knowledge base; socioeconomic and other consequences of population growth in developing countries; and policy issues related to population growth and distribution in the United States. In 1982 the Foundation initiated a review of the current state of knowledge on the interrelations between the status of women and fertility in developing countries. It plans to provide research support on this topic in 1983. It also continued support for the Population Council's Center for Policy

Studies, particularly for its work involving the monitoring of population dynamics in developing countries, as well as for selected research projects.

Although the Foundation's program emphasizes support for population policy issues in developing countries, topics that are of specific concern within the United States, such as adolescent pregnancy and immigration, also receive attention. In 1982 the Foundation renewed support to the Alan Guttmacher Institute to enable it to continue policy-oriented research on the determinants of adolescent pregnancy and on measures that could be taken to reduce current levels of teenage pregnancy.

## **GRANTS:**

**BOSTON COLLEGE**, Chestnut Hill, Massachusetts, for a study on the bioethics of assisted rhythm. \$8,000

**CENTER FOR POPULATION OPTIONS**, Washington, D.C., for a conference on the role of the youth-serving agency in preventing adolescent pregnancy. \$7,000

**COLEGIO DE MEXICO**, Mexico City, Mexico, in support of graduate fellowships in demography for second-year students from Latin American countries other than Mexico. \$19,800

**JOY DRYFOOS**, Hastings-on-Hudson, New York, for a review of interventions in the field of teenage pregnancy. \$24,750

**EAST-WEST CENTER**, Honolulu, Hawaii, for a conference on recent population trends in South Asia. \$25,000

**ALAN GUTTMACHER INSTITUTE**, New York, New York, for a policy-oriented research program on adolescent pregnancy—its determinants and the measures that could be taken to reduce its current levels. \$300,000

**KHON KAEN UNIVERSITY**, Khon Kaen, Thailand, for a study of spatial patterns of rural-urban migration in Thailand. \$17,200

**ROBERT J. LAPHAM**, Washington, D.C., to develop criteria for measuring the effectiveness of family planning programs in the developing world. \$24,700

**LATIN AMERICAN SOCIAL SCIENCE RESEARCH COUNCIL**, Buenos Aires, Argentina, in support of its research program on population policy in Latin America. \$35,000

**POPULATION COUNCIL**, New York, New York, for a study of the determinants of socioeconomic fertility differentials in Egypt. \$11,400

## **Ford Foundation—Rockefeller Foundation Research Program on Population and Development Policy**

In 1970, the Rockefeller and Ford foundations initiated a competitive research program in the field of population policy in order to promote the study of the determinants and consequences of population behavior. In 1982, the following awards were made under the research topic of fertility, mortality, and development interrelations in developing countries:

L. P. CHOW, ROWLAND V. RIDER, SAHO XIAN WANG, and CHARLES H. C. CHEN, Johns Hopkins University, Baltimore, Maryland, for studies of mortality and fertility in Beijing, China.

ALBERTO PALLONI and MARTA TIENDA, University of Wisconsin, Madison, Wisconsin, for research on institutional determinants of mortality differentials in Peru.

UNIVERSITY OF SOUTHERN CALIFORNIA, Los Angeles, California, for a manual by Robert W. Hodge on linear causal models, with applications to demography and development.

## **SPECIAL INTERESTS AND EXPLORATIONS**

Special Interests and Explorations is a program category utilized by the Foundation to maintain flexibility in grantmaking. In 1982, this program comprised grants made for two purposes:

- To examine opportunities or support activities of importance not covered by existing Foundation programs
- To support unusually significant activities involving one or more Foundation programs and requiring substantial short-term investment that could not otherwise be undertaken because of the constraints of program guidelines

### **GRANTS:**

ACADEMY OF NATURAL SCIENCES, Philadelphia, Pennsylvania, for a study on the biological, chemical, and physical nature of river systems in the United States.

\$35,000

AFRICAN-AMERICAN INSTITUTE, New York, New York, for a conference entitled "Women in Southern Africa: Strategies for Change."

\$24,600

AGRICULTURAL DEVELOPMENT COUNCIL, New York, New York, in support of its program for the development of rural social sciences in South and Southeast Asia.

\$200,000

AMERICAN COUNCIL OF LEARNED SOCIETIES, New York, New York, for use by the International Research and Exchanges Board for short-term fellowships for Polish intellectuals stranded abroad as a result of the imposition of martial law in Poland.

\$50,000

ANTI-SLAVERY SOCIETY FOR THE PROTECTION OF HUMAN RIGHTS, London, England, in support of its activities to bring child labor issues to the attention of governments and international organizations.

\$20,000

BROOKINGS INSTITUTION, Washington, D.C., for use by its Advanced Study Program for a study on the fiscal capacity of the voluntary sector.

\$22,500

CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE, Washington, D.C., for a working panel on immigration, refugees, and foreign policy. (Funds appropriated from the Foundation's programs in Population, Equal Opportunity, the Humanities, and International Relations).

\$40,000

CENTER FOR EFFECTIVE PHILANTHROPY, Cambridge, Massachusetts, to plan research and analysis in areas of concern to grantmaking organizations. \$10,000

CITIZENS' COMMITTEE FOR IMMIGRATION REFORM, Washington, D.C., for educational activities on the need to reform current U.S. immigration and refugee laws. \$7,500

COLUMBIA UNIVERSITY, New York, New York, for use by its Conservation of Human Resources Project toward the costs of an international comparative study of youth unemployment trends and programs. \$15,085

DANCE THEATER FOUNDATION, New York, New York, for a one-year dance training scholarship for Kefilo Sebitlo, a black South African dancer. \$5,000

EQUITY POLICY CENTER, Washington, D.C., for a conference on women's roles on small farms in the United States and Canada. \$5,000

FOUNDATION CENTER, New York, New York, in support of its activities to gather, analyze, and disseminate factual information about philanthropic foundations. \$50,000

HARVARD UNIVERSITY, Cambridge, Massachusetts, for a meeting of representatives of the Harvard School of Public Health and the Ministry of Health of the People's Republic of China on a cooperative program to improve the use of Chinese health resources. \$7,500

HUNTER COLLEGE, New York, New York, for a conference entitled "Women in Development: Scholars and Practitioners." \$3,900

INTERNATIONAL EXCHANGE OF DEVELOPMENT RESOURCES, New York, New York, for a feasibility study on organizing a cooperative mailing list service for the delivery of development-oriented information to third-world countries. \$4,200

JOHNS HOPKINS UNIVERSITY, Baltimore, Maryland, for use by its School of Hygiene and Public Health for a research and training program for outstanding students from abroad. \$5,820

LATIN AMERICAN SOCIAL SCIENCE RESEARCH COUNCIL, Buenos Aires, Argentina, for a conference held at Princeton University on the current state of democratic government in North and South America. \$7,000

MAHIDOL UNIVERSITY, Bangkok, Thailand, toward the establishment of a Clinical Epidemiology Unit as a component of an Asian Pacific network. \$25,000

MASSACHUSETTS INSTITUTE OF TECHNOLOGY, Cambridge, Massachusetts, in support of an international nutrition planning program (co-sponsored by the Agricultural Sciences and Health programs).	\$3,900
NAACP LEGAL DEFENSE AND EDUCATIONAL FUND, New York, New York, in support of its project to bring Albie Sachs, an exiled South African legal scholar, to the United States for a lecture tour.	\$2,000
NATIONAL ACADEMY OF SCIENCES, Washington, D.C., to enable it, concurrently with its official function of supplying priority research at governmental request, to initiate a program of studies on broader issues of long-range importance.	\$450,000
NATIONAL COUNCIL ON CRIME AND DELINQUENCY, Fort Lee, New Jersey, to develop a community crime prevention program.	\$5,075
NATIONAL EXECUTIVE SERVICE CORPS, New York, New York, in support of its program of volunteer management assistance to nonprofit service institutions.	\$85,000
OVERSEAS DEVELOPMENT COUNCIL, Washington, D.C., in support of its program of information and policy studies on the developing world.	\$112,500
PRINCETON UNIVERSITY, Princeton, New Jersey, for a study of editorial responsibility and the falsification of data in science (co-sponsored by the Health program).	\$7,500
PROGRAM FOR APPROPRIATE TECHNOLOGY IN HEALTH, Seattle, Washington, to produce and distribute a newsletter for primary health care program managers in the developing world.	\$46,500
RADCLIFFE COLLEGE, Cambridge, Massachusetts, for use by its Mary Ingraham Bunting Institute for a project to evaluate the rapidly growing body of published research on women and their lives in the United States.	\$7,935
ROCKEFELLER FOUNDATION, New York, New York:	
For a workshop on women's productivity and decision-making roles in the economic growth of developing nations.	\$20,000
For meetings to assess the development of black South African leadership.	\$30,000
For a program of research on U.S. immigration and refugee issues.	\$15,000

STANFORD UNIVERSITY, Stanford, California, for a study of educational financing and its political ramifications in the developing world. \$5,551

UNIVERSITY OF DAR ES SALAAM, Dar es Salaam, Tanzania:

For faculty training in the Department of Education. \$13,329

For its program to develop local capacity for evaluation of educational effectiveness. \$32,345

UNIVERSITY OF FLORIDA, Gainesville, Florida, for a conference on agriculture, change, and human values. \$7,000

UNIVERSITY OF MICHIGAN, Ann Arbor, Michigan, in support of a data-gathering project designed to show how changing social and economic conditions at national and local levels affect work effort, food expenditure, family income, housing, fertility, divorce, health, morality, and other aspects of life. \$250,000

UNIVERSITY OF NOTRE DAME, Notre Dame, Indiana, to catalogue, prepare, and preserve the papers of Theodore M. Hesburgh. \$25,000

UNIVERSITY OF WISCONSIN, Madison, Wisconsin, to publish the results of cross-national research, funded by the U.S. Social Security Administration, on public policy toward the disabled. \$3,000

URBAN INSTITUTE, Washington, D.C., for a research project on the effect of current federal budget cuts and policy changes on nonprofit organizations in the United States. \$200,000

YALE UNIVERSITY, New Haven, Connecticut:

In support of its project for Yale faculty members and community secondary school teachers to collaborate in developing curricular materials for use in New Haven schools. \$35,000

To assist the Institution for Social and Policy Studies in its research on the nonprofit sector in the United States. \$50,000

To catalogue, prepare, and preserve the papers of Cyrus R. Vance. \$25,000

## **BELLAGIO STUDY AND CONFERENCE CENTER**

The Bellagio Study and Conference Center is an historic estate in the Italian Alps located high on the promontory that divides Lake Como and overlooks the town of Bellagio. Bequeathed to the Foundation in 1959, the Center, also known as the Villa Serbelloni, is administered from the Foundation's New York office by a committee; Michael M. Stewart, M.D., M.P.H., was the chairman in 1982.

The Center has been the venue for a great variety of stimulating meetings for scholars from all over the world who meet in small groups to examine issues of international importance. Bellagio conferences have been the modest beginnings of worldwide cooperative undertakings in agricultural research, population stabilization efforts, and the development and strengthening of universities and training institutes in the developing world. Conferences held at the Center are generally related to the Foundation's own programs. The following 35 meetings were held during 1982:

**EXCHANGE RATE THEORY AND PRACTICE**—Richard C. Marston, National Bureau of Economic Research, Wharton School, University of Pennsylvania, Philadelphia, Pennsylvania.

**ARAB-AFRICAN-OECD ECONOMIC PARTNERSHIP IN DEVELOPMENT**—Dunstan Wai, guest scholar, Woodrow Wilson International Center for Scholars, Washington, D.C., and John Stremlau, associate director for international relations, Rockefeller Foundation.

**POVERTY IN THE FUTURE**—Mihajlo D. Mesarovic, director, Department of Systems Engineering, Case Western Reserve University, Cleveland, Ohio, and Aklilu Lemma, senior scientific affairs officer, United Nations Centre for Science and Technology for Development, New York, New York.

**PROTECTION OF DIPLOMATIC PREMISES AND PERSONNEL**—James B. Holderman, president, and Paul M. Kattenburg, professor of political science and international relations, both of the University of South Carolina, Columbia, South Carolina.

**LOCAL INSTITUTIONS IN NATIONAL DEVELOPMENT: STRATEGIES AND CONSEQUENCES OF LOCAL-NATIONAL LINKAGES IN THE INDUSTRIAL DEMOCRACIES**—Ronald Aqua and Terry Gates, both of the Social Science Research Council, New York, New York, with Michael Aiken, professor of sociology, University of Wisconsin, Madison, Wisconsin, and Terry MacDougall, associate professor of government, Harvard University, Cambridge, Massachusetts.

**FRANCO-AMERICAN RELATIONS**—Scott Thompson, professor of international relations, University of Virginia, Charlottesville, Virginia, and John Stremlau, associate director for international relations, Rockefeller Foundation.

**RADIO AND FILM PROPAGANDA IN WORLD WAR II**—K. R. M. Short, senior lecturer in history, Westminster College, Oxford, England, and Erik Barnouw, Library of Congress, Washington, D.C.

**LABOR MARKET CONSEQUENCES OF THE EXPANSION OF EDUCATION IN DEVELOPING COUNTRIES**—Richard Sabot, International Bank for Reconstruction and Development, Washington, D.C., and Joyce Moock, assistant director for social sciences, Rockefeller Foundation.

**PARASITOLOGY**—John A. Pino, director of agricultural sciences; Kenneth S. Warren, director for health sciences; and John Z. Bowers, consultant, all of the Rockefeller Foundation.

**CLINICAL EPIDEMIOLOGY: PROBLEMS AND PROGRESS IN TEACHING CLINICIANS**  
**EPIDEMIOLOGY**—Kerr L. White, deputy director for health sciences, Rockefeller Foundation.

**URBANIZATION AND SOCIAL CHANGE IN THE ARAB WORLD**—Yassin El-Kabir, associate professor of sociology and philosophy, El-Fatah University, Tripoli, Libya; Vijay Singh, director, University Center for Social and Urban Research, University of Pittsburgh, Pittsburgh, Pennsylvania; and Lee L. Bean, chairman, Department of Sociology, University of Utah, Salt Lake City.

**THE TRANSFORMATION OF DIPLOMATIC TECHNIQUES IN THE 20TH CENTURY**—Jean Baptiste Duroselle, professor, University of Paris-Sorbonne, Paris, France, and Jacques Freymond, professor, Institut Universitaire des Hautes Etudes Internationales, Geneva, Switzerland, both co-chairmen of the editorial board of *Relations Internationales*.

**THE CURRENT STATUS OF LEPROSY AND FUTURE DIRECTIONS IN SEEKING A CURE**—Michael Delaney, executive officer, Leonard Wood Memorial American Leprosy Foundation, Rockville, Maryland.

**REGIONAL PROBLEMS AND POLICIES IN EASTERN AND WESTERN EUROPE**—George J. Demko, professor of geography, Ohio State University, Columbus, Ohio, and Roland Fuchs, professor and chairman, Department of Geography, University of Hawaii, Honolulu.

**SECURITY AND STABILITY IN SOUTHWEST ASIA**—Alvin Z. Rubinstein, professor of political science, University of Pennsylvania, Philadelphia, Pennsylvania, and Aswini K. Ray, professor, Jawaharlal Nehru University, New Delhi, India.

**THE HEALING ROLE OF THE ARTS: A EUROPEAN VIEW**—Michael Jon Spencer, executive director, Hospital Audiences, New York, New York.

**HUNGER AND HISTORY**—Robert Rotberg, editor, *Journal of Interdisciplinary History*, and professor of history and political science, Massachusetts Institute of Technology, Cambridge, Massachusetts.

**THE UTILITY OF FORCE AS AN INSTRUMENT OF POLICY**—William H. Kincade, executive director, Arms Control Association, Washington, D.C., and Christoph Bertram, director, International Institute for Strategic Studies, London, England.

**REDEFINING THE WELFARE STATE: EMERGING APPLICATIONS OF ALTERNATIVE APPROACHES TO SOCIAL WELFARE PROBLEMS IN DIFFERENT NATIONS**—Steven A. Waldhorn, associate director, Center for Policy Analysis, SRI International, Menlo Park, California.

**VICTIMOLOGY: INTERNATIONAL PERSPECTIVES**—Emilio Viano, director, National Institute of Victimology, Arlington, Virginia.

**IMPLICATIONS OF FEMINISM FOR KINSHIP THEORY IN ANTHROPOLOGY**—Jane F. Collier and Sylvia J. Yanagisako, both assistant professors of anthropology, Stanford University, Stanford, California.

**MANAGEMENT SCHOOLS WORKING GROUP ON SOCIAL DEVELOPMENT**—Henry Gomez, dean for research, Instituto de Estudios Superiores de Administración, Caracas, Venezuela.

**INTERNATIONAL CONFERENCE ON AFFIRMATIVE ACTION**—Bernard E. Anderson, director, and Bruce E. Williams, assistant director, both of the social sciences division, Rockefeller Foundation.

**BLACK WOMEN AS PARTNERS IN DEVELOPMENT: TRENDS AND PROSPECTS**—Denise G. Fairchild, director, Pan African Women's Center/Office of International Health and Economic Development, Charles R. Drew Postgraduate Medical School, Los Angeles, California.

**INTERNATIONAL COOPERATIVE GROUP ON THE SPECTRUM OF ACTIVITY OF B. THURINGIENSIS**—Howard T. Dulmage, location/research leader, Cotton Insects Research, U.S. Department of Agriculture, Brownsville, Texas.

**MEETING TO FORM AN INTERNATIONAL HELSINKI MOVEMENT**—Jeri Laber, executive director, Helsinki Watch Committee, New York, New York.

**NITROGEN FIXING TREES**—James Brewbaker, president, and Jake Halliday, director of the Nitrogen Fixation of Tropical Agricultural Legumes Project, both of the Nitrogen Fixing Tree Association, Waimanalo, Hawaii; and Judith M. Lyman, plant scientist in agricultural sciences, Rockefeller Foundation.

**HEALTH STATISTICS FOR THE YEAR 2000**—Kerr L. White, deputy director for health sciences, Rockefeller Foundation.

**THE GLOBAL DIMENSION OF AFRICAN CONFLICTS: EAST/WEST CONSIDERATIONS AND REGIONAL DISPUTE SETTLEMENT**—Richard D. McDonnell, development executive, International Peace Academy, New York, New York.

**PLANT IMPROVEMENT FOR IRRIGATED CROP PRODUCTION UNDER INCREASING SALINE CONDITIONS**—Carl Leopold and Richard Staples, both of the Boyce Thompson Institute, Cornell University; Ulrich Lattge, Institut für Botanik, Darmstadt, West Germany; and Gary H. Toorniessen, assistant director for agricultural sciences, Rockefeller Foundation.

**STRENGTHENING NATIONAL FOOD POLICY CAPABILITY**—Charles K. Mann, associate director for agricultural sciences, Rockefeller Foundation.

**RATIONALITY AND ITS LIMITATIONS**—Max Black, president, Institut International de Philosophie, and professor of philosophy emeritus, Cornell University, Ithaca, New York.

**RISKS AND RETURNS IN LARGE-SCALE NATURAL RESOURCE PROJECTS**—Ingo Walter, professor of economics and finance, New York University Graduate School of Business Administration, New York, New York.

**CONTINUITY AND TRANSFORMATION: JEWISH LITERATURE SINCE WORLD WAR II**—Steven Lavine, assistant director for humanities, Rockefeller Foundation.

**INPUT SHOW STEWARDS' SELECTION OF PROGRAMS AND THEMES**—Sergio Borelli, vice-president, International Public Television Screening Conference, Rome, Italy.

In addition to conferences at Bellagio, the Foundation offers on a competitive basis four-week residencies to scholars, writers, composers, and artists engaged in major projects. During 1982 the Center was able to accommodate the following 85 men and women of recognized distinction from 16 countries:

ROY M. ACHESON, head, Department of Community Medicine, University of Cambridge, England—revision of McKeown and Lowe's *Introduction to Social Medicine*.

CLAUDE W. BAKER, JR., associate professor of theory and composition, University of Louisville School of Music, Kentucky—a symphonic work for the Louisville Orchestra.

STEPHEN BANN, reader in modern cultural studies, Rutherford College, University of Kent, England—the relation of contemporary art to knowledge, with particular reference to the problem of abstraction.

WILLIAM BERGSMA, professor of music, University of Washington, Seattle—his fifth and sixth string quartets.

SAMUEL W. BLOOM, professor of sociology and community medicine, Mount Sinai School of Medicine, New York, New York—the history of medical sociology.

MICHAEL BLUMENTHAL, Washington, D.C.—a book-length poem entitled *Laps*.

NEMAI SADHAN BOSE, professor of history, Jadavpur University, Calcutta, India—the concept, tradition, and realities of human rights in India.

MARY LYNN BROE, associate professor, Department of English, State University of New York, Binghamton—a critical biography of Caresse Crosby, international publisher and patron of the arts.

ALEXANDER D. BROOKS, professor of law, Rutgers University, Newark, New Jersey—the role of law in dealing with the problems of the mentally ill in the United States in the 1960s and 1970s.

CHARLES DESMOND COHEN, professor of economics, University of Sussex, England—economic summits: an assessment.

JACOB E. COOKE, John Henry MacCracken professor of history, Lafayette College, Pennsylvania—the American presidency, Truman through Carter.

SALLY CRADDOCK, London, England—a biography of Dr. Cicely Williams.

MICHAEL N. DANIELSON, professor of politics and public affairs, Woodrow Wilson School of Public and International Affairs, Princeton University—the interplay between urban development and the political system in modern Turkey (with Dr. Keles, below).

JOCY DE OLIVEIRA, Rio de Janeiro, Brazil—*Days and Routes Through Maps and Scores*.

REBECCA EMERSON DOBASH, lecturer in sociology, University of Stirling, Scotland—the state and community response to violence in the family: a cross-cultural comparison (with Russell Dobash, below)

RUSSELL DOBASH, lecturer in sociology, University of Stirling, Scotland—the state and community response to violence in the family: a cross-cultural comparison (with Rececca Dobash, above).

SCOTT DONALDSON, professor of English, College of William and Mary, Williamsburg, Virginia—an essay on *The Great Gatsby*, and the annual review of Fitzgerald and Hemingway scholarship published by *American Literary Scholarship*.

RUTH ENGEL-WODAK, university docent, Linguistics Institute, University of Vienna, Austria—the language of love and guilt: communication and interaction between mothers and daughters (with Dr. Schulz, below).

ABDULLAH FAROUK, professor of economics, Dacca University, Bangladesh—the economy of Bangladesh over the last half century.

SHAI FELDMAN, Arms Control and Disarmament Program, Stanford University, California—nuclear proliferation in the Middle East and West Asia: strategic implications.

JACK FROOM, professor of family medicine, State University of New York, Stony

Brook—definitions of diagnostic titles in the international classification of health problems in primary care.

DANIEL R. FUSFELD, professor of economics, University of Michigan, Ann Arbor—the conceptual framework of modern economics.

ISAC HALBRECHT, director, B. Gattegno Research Institute of Human Reproduction and Fetal Development, Tel Aviv University, Israel—immunological factors in normal and disturbed pregnancies.

JOHN F. C. HARRISON, professor of history, University of Sussex, England—a history of the English common people, from medieval times to the present, with emphasis on the experiences of laborers.

J. ROGERS HOLLINGSWORTH, professor and chairman, Program in Comparative World History, University of Wisconsin—the impact political institutions have on distribution of income and changes in productivity levels in France, Great Britain, Sweden, and the United States.

JACK W. HOPKINS, professor and director, International Program, School of Public and Environmental Affairs, Indiana University, Bloomington, Indiana—the eradication of smallpox: organizational learning and adaptive innovation in international health administration.

FAROOQ HUSSAIN, senior scientist, Force Assessment Studies, Supreme Headquarters Allied Powers Europe, The Hague, Netherlands—NATO force planning.

ALEX INKELES, professor of sociology and senior fellow, Hoover Institute on War, Revolution and Peace, Stanford University, California—convergent and divergent trends in educational systems: a global perspective.

ELMORE JACKSON, Newtown, Pennsylvania—the Egyptian-Israeli peace negotiations immediately preceding the 1955 Egyptian-Czech arms supply agreement.

SANFORD H. KADISH, dean, School of Law, University of California, Berkeley—the theory of criminal liability.

ULYSSES KAY, distinguished professor of music, Herbert H. Lehman College, City University of New York—an opera based on the life of Frederick Douglass.

EDMUND LEROY KEEBLEY, director, Creative Writing Program, Princeton University—an essay on Cavafy for a collection of essays entitled *The Greek Poets: Myth and Voice*.

JOHN KEKES, professor of philosophy, State University of New York, Albany—a book entitled *The Examined Life*, a rationally justified account of what makes life worthwhile.

RUSEN KELES, professor of urban studies and local government, Ankara University, Turkey—the interplay between urban development and the political system in modern Turkey (with Dr. Danielson, above).

EDITH KERN, professor emerita, Smith College, Massachusetts—modern farce and its ancient roots.

ARTHUR L. KOCH, professor of biology, Indiana University, Bloomington, Indiana—bacterial shapes and the forces that mold them.

WARREN F. KUEHL, professor of history and director, Center for Peace Studies, University of Akron, Ohio—crossroads of ideology: internationalism in America, 1920-41.

WESTON LABARRE, James B. Duke professor of anthropology emeritus, Duke University, North Carolina—superstition about sexuality from the stone age to contemporary times.

WARREN W. LEHMAN, professor of law, University of Wisconsin, Madison—a new jurisprudence.

MIRA LIEHM, Philadelphia, Pennsylvania—editing interviews with Italian filmmakers for her book entitled *Italian Film After 1942*.

RICHARD LOWENTHAL, emeritus professor of international relations, Free University, Berlin, West Germany—totalitarianism and after: studies in comparative dynamics of communist political systems.

WILLIAM W. LOWRANCE, senior fellow and director, Life Sciences and Public Policy Program, Rockefeller University, New York, New York—technological conscience: human values and modern science, technology and medicine.

FREDERICK C. LUEBKE, professor of history, University of Nebraska, Lincoln, Nebraska—at war with the fatherland: a comparative study of German-Brazilians during World War I.

SALVADOR E. LURIA, institute professor, emeritus, Massachusetts Institute of Technology, Cambridge, Massachusetts—autobiographical study on the process of commitment.

COLIN MACANDREWS, Resources Management International, Jakarta, Indonesia—central/periphery relationships in Indonesia under the New Order (1965-present day).

IRWIN D. MANDEL, director, Division of Preventive Dentistry, School of Dental and Oral Surgery, Columbia University, New York, New York—control of dental caries: restoring oral homeostasis.

PHILIP DAVIS MARSDEN, professor of tropical medicine, University of Brasilia—

"Control of Chagas' Disease and Leishmaniasis," to be included in a book on the control of tropical diseases.

HUGH J. MCLEAN, professor of music, University of Western Ontario, London, Canada—the tonal concepts of the Silbermann organs in Saxony and Thuringia (1714-43) and the organ music of J. S. Bach.

FRANÇOIS MERGEN, Pinchot professor of forestry, Yale University, New Haven, Connecticut—importance of forests and forest resources to healthy development and sound ecology of the developing countries in the tropics.

LEONARD B. MEYER, professor of music, University of Pennsylvania, Philadelphia—a sketch history of music in the nineteenth century for a book entitled *Style in Music: Theory, Analysis, and History*.

JULIA MILES, director, The Women's Project, American Place Theatre, New York, New York—*Fedka*, an original play about a school for peasant children founded and conducted by Leo Tolstoy (with Ms. Mueller, below).

LAEL MORGAN, associate editor, Alaska Northwest Publishing Company, Anchorage, Alaska—a biography of Eskimo publisher Howard Rock, focusing on his work on the Alaska native movement.

LAVONNE M. MUELLER, DeKalb, Illinois—*Fedka*, an original play about a school for peasant children founded and conducted by Leo Tolstoy (with Ms. Miles, above).

RAYMOND J. NELSON, Truman P. Handy professor of philosophy, Case Western Reserve University, Cleveland, Ohio—ethics and collective choice.

BLAKE NEVIUS, professor of English, University of California, Los Angeles—*Henry James: The Backward Vision*.

RUTH NEVO, professor of English literature, Hebrew University, Jerusalem, Israel—Shakespeare's tragicomedies.

EGBOSA OSAGIE, professor of economics, University of Jos, Nigeria—monetary theory and policy of particular relevance to developing countries.

CLAYTON PERSON, professor of botany, University of British Columbia, Vancouver, Canada—genetic investigation of host-parasite interaction, and a biographical study of A. H. Buller.

CYNTHIA OWEN PHILIP, Rhinecliff, New York—a biography of Robert Fulton.

NANCY PRICE, professor of creative writing, University of Northern Iowa, Cedar Falls—the third novel in a series tracing the impact of society upon the individual.

RAM RAHUL, chairman, Central Asian Studies, School of International Studies, Jawaharlal Nehru University, New Delhi, India—the civilizations of Central Asia.

VINCENT H. RESH, associate professor of entomology and parasitology, University of California, Berkeley—the ecology of aquatic insects.

PETER RIESENBERG, professor of history, Washington University, St. Louis, Missouri—the history of citizenship, from the Greeks to the French and American revolutions.

CARLTON C. ROCHELL, dean of libraries, New York University, New York, New York—beyond our grasp: society and its use of information technology.

PATRICIA J. ROOKE, assistant professor, Department of Educational Foundations, University of Alberta, Edmonton, Canada—changing concepts of child rescue in English Canada (1800-1950), analyzing the philosophies and practices involved in institutional, philanthropic, and government care of neglected and dependent children (with Dr. Schnell, below).

JEROME ROSEN, professor of music, University of California, Davis—a composition for vocal soloists, chorus, and orchestra setting selected texts from the works of the American poet Karl Shapiro.

LAWRENCE ROSEN, professor of anthropology, Princeton University, Princeton, New Jersey—the theory and practice of justice in a modern Islamic legal system.

OSCAR SCHACHTER, Hamilton Fish professor of international law and diplomacy, School of Law, Columbia University, New York, New York—the role of law in changing international society.

KLAUS R. SCHERER, professor of psychology, University of Giessen, West Germany—emotion and communication: the role of affect in social interaction.

RUDOLPH L. SCHNELL, professor and head, Department of Policy and Administrative Studies in Education, University of Calgary, Canada—changing concepts of child rescue in English Canada (1800-1950), analyzing the philosophies and practices involved in institutional, philanthropic, and government care of neglected and dependent children (with Dr. Rooke, above).

ALAN L. SCHORR, Leonard W. Mayo professor of family and child welfare, Case Western Reserve University, Cleveland, Ohio—the crisis of the healing profession, and social policy and the real world.

MURIEL SCHULZ, professor of English, California State University, Fullerton—the language of love and guilt: communication and interaction between mothers and daughters (with Dr. Engel-Wodak, above).

CALVIN W. SCHWABE, professor of epidemiology and preventive medicine, School of Veterinary Medicine, University of California, Davis—the third edition of *Veterinary Medicine and Human Health*.

LUIS SEQUEIROS, professor of plant pathology, University of Wisconsin,

Madison—potential applications of induced resistance in plants: problems and prospects.

ALIZA PHYLLIS SHEVRIN, Ann Arbor, Michigan—translating into English a novel by Sholom Aleichem entitled *In the Storm*.

LOUIS SIMPSON, professor of English, State University of New York, Stony Brook—a novel about present-day middle-class Americans and the ideas by which they live.

AUDREY D. SMITH, associate professor, School of Social Work, State University of New York, Albany—egalitarian marriage.

SULAK SIVARAKSA, Asian Cultural Forum on Development, Bangkok, Thailand—his personal philosophy and commitment as a Thai Buddhist, for the year 2000 of the Bangkok era.

EDITA A. TAN, professor of economics, University of the Philippines, Diliman, Quezon City—imperfections and the process of financial development: the Philippine case.

DONALD W. TREADGOLD, chairman, Department of History, University of Washington, Seattle—short history of free societies.

ELLIOT S. VALENSTEIN, chairman, Department of Psychobiology, University of Michigan, Ann Arbor—the history of psychosurgery as a case study in the adoption of radical approaches to complex problems.

JIRI VALENTA, coordinator of Soviet and East European studies, Department of National Security Affairs, Naval Postgraduate School, Monterey, California—a comparative study of Soviet invasions: implications for international security.

JOHAN VON WRIGHT, professor of psychology, University of Turku, Finland—the learning strategies of 14- and 17-year-old students.

OLIVER W. WOLTERS, Goldwin Smith professor of Southeast Asian Studies, Cornell University, Ithaca, New York—Vietnamese history in the Trân period.

RONALD WOOD, head, Department of Pure and Applied Biology, Imperial College of Science and Technology, London, England—a new edition of *Physiological Plant Pathology*.

The 1982 Bellagio Study and Conference Center Annual Report will be available in June 1983.

## **ROCKEFELLER ARCHIVE CENTER**

The Rockefeller Archive Center serves as a permanent repository and research center for the archival material of the Rockefeller University, the Rockefeller Foundation, the Rockefeller Brothers Fund, the Rockefeller family, and other individuals and organizations associated with their activities.

Since it opened in August 1975, a total of 2,372 scholar visits have been made to the Center. Forty-three articles and 33 books are known to have been published by scholars who used the records at the Center. In 1982, 116 scholars made 546 visits to do research. The topics investigated included industrial relations, agriculture, science, medicine, public health, secondary and higher education, and biographies of prominent scientists and educators.

Research grants were made to assist 24 scholars who needed to travel to do research at the Center.

The Center sponsored two conferences in 1982, one on academic medicine and one on the history of money and banking in the United States, which were attended by 73 scholars and educators. A symposium on motion picture film was attended by 24 archivists and librarians from the region, and a meeting of distinguished Sovietologists, sponsored by the Foundation's International Relations program, was held at the Archive Center.

## **FELLOWSHIPS**

There are two categories of Foundation fellowships. One consists of fellowships funded directly by appropriations from Foundation program funds and administered by the programs involved. Awards of this kind that were made in 1981 are listed on previous pages as follows:

- Arts, Humanities and Contemporary Values, pages 41-43
- Equal Opportunity, page 55
- International Relations, page 69
- Population and Health, pages 60 and 78

A second category of fellowships—funded through a separately designated annual Foundation appropriation—is made up of three kinds of awards: general fellowships administered by the Foundation's Fellowship Office, and postdoctoral awards and visiting research fellowships administered in 1982 by the Foundation's Agricultural Sciences program.

### **GENERAL FELLOWSHIPS**

General fellowship awards are made to people from all over the world who show outstanding promise in fields related to the Foundation's area interests. The intention of the general fellowship program is to help prepare award recipients to make significant contributions to research and teaching or public service in the future.

During 1982 a total of 157 persons held general Foundation fellowships. Of this total, 118 that began in previous years continued active in 1982, and 39 new awards became active during the year. Their distribution is as follows:

	<i>Study awards from previous years continued into 1982</i>	<i>New awards in 1982</i>	<i>Number of awards active in 1982</i>
<b>AGRICULTURAL SCIENCES</b>	<b>47</b>	<b>13</b>	<b>60</b>
<b>HEALTH SCIENCES</b>	<b>11</b>	<b>5</b>	<b>16</b>
<b>POPULATION SCIENCES</b>	<b>18</b>	<b>16</b>	<b>34</b>
<b>SOCIAL SCIENCES</b>	<b>41</b>	<b>5</b>	<b>46</b>
<b>HUMANITIES</b>	<b>1</b>	<b>—</b>	<b>1</b>
	<hr/> <b>118</b>	<hr/> <b>39</b>	<hr/> <b>157</b>

Rockefeller Foundation Fellows in 1982, under the general fellowship program, came from the following countries:

	Previous awards	New awards		Previous awards	New awards
<b>Bangladesh</b>	<b>1</b>		<b>Korea</b>		<b>2</b>
<b>Brazil</b>	<b>9</b>	<b>5</b>	<b>Mexico</b>	<b>6</b>	<b>1</b>
<b>China</b>	<b>4</b>	<b>10</b>	<b>Nigeria</b>	<b>3</b>	<b>1</b>
<b>Colombia</b>	<b>1</b>	<b>1</b>	<b>Philippines</b>	<b>3</b>	
<b>Ecuador</b>	<b>1</b>		<b>Poland</b>		<b>1</b>
<b>Egypt</b>	<b>1</b>		<b>Portugal</b>	<b>1</b>	
<b>Ethiopia</b>	<b>1</b>		<b>St. Lucia</b>	<b>1</b>	
<b>Finland</b>		<b>1</b>	<b>Sudan</b>	<b>1</b>	
<b>Ghana</b>	<b>1</b>		<b>Tanzania</b>	<b>5</b>	<b>1</b>
<b>Guatemala</b>		<b>1</b>	<b>Thailand</b>	<b>19</b>	<b>1</b>
<b>India</b>	<b>4</b>	<b>3</b>	<b>Turkey</b>	<b>4</b>	<b>2</b>
<b>Indonesia</b>	<b>22</b>	<b>4</b>	<b>Uganda</b>	<b>1</b>	
<b>Israel</b>		<b>2</b>	<b>United Kingdom</b>	<b>1</b>	
<b>Japan</b>	<b>2</b>	<b>2</b>	<b>United States</b>	<b>14</b>	<b>1</b>
<b>Kenya</b>	<b>5</b>		<b>Zaire</b>	<b>7</b>	
				<hr/>	<hr/>
				<b>118</b>	<b>39</b>

### 1982 GENERAL FELLOWSHIP AWARDS

*Key to abbreviations used in the following sections:*

AS—Agricultural Sciences, GND—Great Neglected Diseases, HS—Health Sciences, HUM—Humanities, IR—International Relations, PS—Population Sciences, RB—Reproductive Biology, SS—Social Sciences.

### AGRICULTURAL SCIENCES

#### China

CAO JUN Heilongjiang Land-Reclaim Agricultural College, 1978. Genetics and Breeding. Appointed from Chinese Academy of Agricultural Sciences, Beijing. Place of study: U.S.A. AS

JIN JI-YUN Ji-Lin Agricultural University, 1977. Soil Fertility. Appointed from Chinese Academy of Agricultural Sciences, Beijing. Place of study: U.S.A. AS

WANG REN Shanxi Agricultural College, 1979. Entomology. Appointed from Chinese Academy of Agricultural Sciences, Beijing. Place of study: U.S.A. AS

WANG SHU-ZHEN Hebei Agricultural University, 1979. Genetics and Breeding. Appointed from Chinese Academy of Agricultural Sciences, Beijing. Place of study: U.S.A. AS

YANG HONG Shanxi Agricultural College, 1975. Soil Microbiology. Appointed from Chinese Academy of Agricultural Sciences, Beijing. Place of study: U.S.A. AS

### **Colombia**

AYARZA MORENO, MIGUEL M.Sc., University of Reading, United Kingdom, 1980. Soil Fertility. Appointed from International Center for Tropical Agriculture (CIAT). Place of study: U.S.A. AS

### **Guatemala**

RUANO ANDRADE, SERGIO ROLANDO M.S., Cornell University, 1980. Rural Sociology. Appointed from Institute of Science and Agricultural Technology (ICTA). Place of study: U.S.A. ss

### **Thailand**

SORNTHEP TUMWASORN M.S., Kasetsart University, 1977. Animal Science-Genetics and Breeding. Appointed from Kasetsart University. Place of study: U.S.A. AS

### **Turkey**

BÜLBÜL, MEHMET Dr. Agr. Econ., University of Kiel, Germany, 1963. Agricultural Economics. Appointed from Ankara University. Place of study: U.S.A. AS

CAKMAK, EROL HASAN M.S., Middle East Technical University, Ankara, 1981. Agricultural Economics. Appointed from Middle East Technical University. Place of study: U.S.A. AS

## **EDUCATION FOR DEVELOPMENT**

### **Brazil**

FERNANDEZ, JOSE CARRERA M.A., Federal University of Bahia, 1981. Economics. Appointed from Federal University of Bahia. Place of study: U.S.A. ss

FRANCO FILHO, EMANUEL B.S., Federal University of Bahia, 1980. Plant Pathology. Appointed from Federal University of Bahia. Place of study: Mexico. AS

GUIMARAES, ANTONIO SERGIO M.S., Federal University of Bahia, 1982. Sociology. Appointed from Federal University of Bahia. Place of study: U.S.A. ss

LANIADO, RUTHY NADIA M.A., University of Essex, United Kingdom, 1977. Political Science. Appointed from Federal University of Bahia. Place of study: United Kingdom. ss

### ***Indonesia***

NASRULLAH, TRISNOWATI IR., Gadjah Mada University, 1975. Horticulture. Appointed from Gadjah Mada University. Place of study: Philippines. AS

SAIRIN SJAFRI M.S., Australian National University, 1981. Anthropology. Appointed from Gadjah Mada University. Place of study: U.S.A. ss

WASITO D.V.M., Gadjah Mada University, 1978. Veterinary Pathology. Appointed from Gadjah Mada University. Place of study: U.S.A. AS

WIBOWO MARTOSISWOYO, ALI M.Sc., University of the Philippines, 1979. Animal Science-Nutrition. Appointed from Gadjah Mada University. Place of study: U.S.A. AS

## **POPULATION AND HEALTH**

### ***Brazil***

ANDRADE, ZILTON A. M.D., Federal University of Bahia, 1950. Electron Microscopy. Appointed from Gonçalo Moniz Research Center, Salvador. Place of study: U.S.A. HS-GND

### ***China***

CHEN DA-YUAN University of Shantung, 1957. Reproductive Biology. Appointed from Academia Sinica, Beijing. Place of study: U.S.A. PS-RB

GUO JIAN ZHONG Chinese Medical College, Beijing, 1970. Reproductive Biology. Appointed from University of Wisconsin. Place of study: U.S.A. PS-RB

LIN GUO-WEI Shanghai First Medical College, 1959. Clinical Epidemiology. Appointed from Shanghai First Medical College. Place of study: U.S.A. HS-GND

SHI QI-XIAN University of Nanjing, 1960. Reproductive Endocrinology. Appointed from Institute of Experimental Medicine and Hygiene, Hangzhou. Place of study: U.S.A. PS-RB

YAN YUAN CHANG Fudan University, Shanghai, 1964. Reproductive Biology.  
Appointed from Shanghai Institute of Cell Biology. Place of study: U.S.A. PS-RB

### ***Finland***

KULOMAA, MARKKU S. PH.D., University of Turku, 1982. Reproductive Biology.  
Appointed from Academy of Finland, Tampere. Place of study: U.S.A. PS-RB

### ***India***

FERNANDEZ, MARILYN PH.D., Loyola University, Chicago, 1982. Demography.  
Appointed from Loyola University. Place of study: U.S.A. PS

RAO, MIRYALA RAMACHANDRA PH.D., Sri Venkateswara University, 1980.  
Reproductive Biology. Appointed from Institute of Basic Medical Sciences. Place  
of study: U.S.A. PS-RB

ROY, SHYAMAL KUMAR PH.D., All India Institute of Medical Sciences, 1980.  
Reproductive Biology. Appointed from All India Institute of Medical Sciences.  
Place of study: U.S.A. PS-RB

### ***Israel***

BAR-AMI, SHALOM PH.D., Weizmann Institute of Science, 1982. Reproductive  
Biology. Appointed from Weizmann Institute of Science. Place of study: U.S.A. PS-  
RB

LEV, BOAS M.D., Sackler Medical School, Tel Aviv University, 1976. Immuno-  
parasitology. Appointed from Sheba Medical Center, Tel-Hashomer. Place of  
study: U.S.A. HS-GND

### ***Japan***

FUKUOKA, HIDEOKI D.M.S., University of Tokyo, 1978. Reproductive Biology.  
Appointed from Washington University, St. Louis. Place of study: U.S.A. PS-RB

SATO, EIMEI PH.D., Kyoto University, 1979. Reproductive Biology. Appointed  
from Kyoto University. Place of study: U.S.A. PS-RB

### ***Korea***

KWON, TAI-HWAN PH.D., Australian National University, 1973. Demography.  
Appointed from Seoul National University. Place of study: U.S.A. PS

MIN, KYONGHEE PH.D., Fordham University, New York, 1982. Demography.  
Appointed from Fordham University. Place of study: U.S.A. PS

### **Mexico**

GOMEZ DE LEON CRUCES, JOSE D.Sc., Harvard University, 1982. Demography. Appointed from Harvard University. Place of study: U.S.A. PS

### **Nigeria**

WILLIAMS, BOLANLE ABIOLA AYENI PH.D., University of Manitoba, Canada, 1970. Immunoparasitology. Appointed from University of Ife. Place of study: U.S.A. HS-GND

### **Poland**

KOLASA, JERZY PH.D., Scuola Normale Superiore, Pisa, Italy, 1976. Epidemiology. Appointed from Yale University. Place of study: U.S.A. HS-GND

### **Tanzania**

KAMUZORA, CHRYSANTH LWECHUNGURA PH.D., University of Pennsylvania, 1978. Demography. Appointed from University of Dar es Salaam. Place of study: Australia PS

### **United States**

LAM, DAVID ALLEN M.A., University of California, Berkeley, 1982. Economic Demography. Appointed from University of California, Berkeley. Place of study: U.S.A. PS

## **AGRICULTURAL SCIENCES POSTDOCTORAL AWARDS AND VISITING RESEARCH FELLOWSHIPS**

The postdoctoral awards program provides an opportunity for young American social and agricultural scientists to conduct research at foreign institutions. Two postdoctoral fellows were appointed in 1982:

MICHAEL BRATTON—a political scientist, conducting research on rural organizations while located at the Departments of Land Management and Political and Administrative Studies, University of Zimbabwe.

WADE O. WATANABE—a zoologist, conducting research on reproduction of fish species utilized in developing-country aquacultural production, as part of the program of the International Center for Living Aquatic Resources Management (ICLARM) at the Institute of Marine Biology, National Sun Yat-Sen University, Taiwan.

The visiting research fellowship program brings young scholars to the Foundation's New York office for a limited period of time. Their responsibilities are divided between defined research projects related to a Foundation program or department objective and internship activities intended to contribute to their understanding of the Foundation and to their professional development. One fellowship was awarded in 1982:

- ROBERT LAURIER THÉBERGE—research on plant protection and agricultural development in Africa.

**FINANCIAL**

**STATEMENTS**

**A detailed financial report that includes a schedule of securities held and  
a summary of transactions may be obtained by writing to the Treasurer.**

## SUMMARY

The grants announced, program costs incurred, and expenditures in 1982 are summarized as follows:

GRANTS AND PROGRAMS:	GRANTS ANNOUNCED AND PROGRAM COSTS INCURRED	EXPENDITURES
Agricultural Sciences	\$ 9,284,754	\$ 8,075,713
Arts, Humanities and Contemporary Values	5,136,855	5,893,644
Education for Development	3,823,134	4,187,147
Equal Opportunity	5,866,763	5,422,062
Health	6,250,096	4,356,260
International Relations	3,069,510	3,056,625
Population	5,601,160	5,237,727
Quality of the Environment	10,000	29,707
Special Interests and Explorations	3,557,307	3,287,035
Deduct: Lapses, refunds, and reversions	(994,079)	
<b>TOTAL GRANTS AND PROGRAMS</b>	<b><u>\$41,605,500</u></b>	<b>39,545,920</b>
General administrative expenditures		4,862,992
Federal excise tax paid		<u>2,184,743</u>
<b>TOTAL</b>		<b><u>\$46,593,655</u></b>

The market value of the Foundation's investments at December 31, 1982 was approximately \$1,002 million (against which net payables on securities were approximately \$10 million). This represents the highest year-end market value in the Foundation's history. For the year, the total portfolio returned 22.6%, compared with 21.1% on the S&P 500, and 31.1% on the Kuhn Loeb Bond Index. At year-end, the portfolio had 67% in equity investments, and 33% in fixed income instruments.

On April 1, the Foundation retained four new equity managers and one new fixed income manager. As a result, the Foundation's securities are now handled entirely by outside investment managers on a fully discretionary basis, with the exception of a small fund invested in cash equivalents that is managed internally.

The combined investment decisions by the new managers resulted in reducing the concentration in oil stocks from approximately 27% of total assets at the beginning of the year to a total of 8% in all energy issues at the end of the year. Thus, the diversification out of donor stocks which had been proceeding at a measured pace since 1959 was speeded up and completed in 1982.

Total earned income on investments was slightly above \$68 million, a decline of approximately \$2.5 million from the peak income of 1981.

Since its founding in 1913, the Rockefeller Foundation has paid out approximately \$1,594 million.

The financial statements for 1982 and 1981, and the opinion of Arthur Young & Company, certified public accountants, are presented on the following pages.

## **ACCOUNTANTS' OPINION**

# **ARTHUR YOUNG**

ARTHUR YOUNG & COMPANY  
277 PARK AVENUE  
NEW YORK, NEW YORK 10172

The Board of Trustees  
The Rockefeller Foundation

We have examined the accompanying statement of assets, obligations and principal fund of The Rockefeller Foundation at December 31, 1982 and 1981 and the related statements of operations and changes in principal fund and changes in financial position for the years then ended. Our examinations were made in accordance with generally accepted auditing standards and, accordingly, included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances.

In our opinion, the statements mentioned above present fairly the financial position of The Rockefeller Foundation at December 31, 1982 and 1981, and the results of operations, changes in principal fund and changes in financial position for the years then ended, in conformity with generally accepted accounting principles applied on a consistent basis during the period.

*Arthur Young & Company*

February 22, 1983

**STATEMENT OF ASSETS, OBLIGATIONS, AND PRINCIPAL FUND**  
**DECEMBER 31, 1982 and 1981**

ASSETS	<u>1982</u>	<u>1981</u>
Marketable securities, at quoted market value (Note 6)	\$1,002,637,424	\$866,543,492
Cash (including interest bearing accounts)	224,074	81,224
Accounts receivable (primarily security sales)	1,744,186	5,942,489
Dividends and interest receivable	8,117,141	8,834,596
Property—at depreciated cost	<u>1,631,467</u>	<u>1,798,291</u>
<b>Total assets</b>	<b><u>\$1,014,354,292</u></b>	<b><u>\$883,200,092</u></b>
<b>OBLIGATIONS AND PRINCIPAL FUND</b>		
Accounts payable and accrued liabilities (primarily security purchases)	\$ 12,592,445	\$ 6,878,733
Federal excise tax payable (Note 2)	3,039,006	2,184,743
Deferred federal excise tax (Note 2)	3,413,497	3,098,952
Appropriations by the Trustees, announced and released for specific purposes but not yet paid (Note 4)	<u>23,682,462</u>	<u>21,701,290</u>
<b>Total obligations</b>	<b><u>42,727,410</u></b>	<b><u>33,863,718</u></b>
<b>Principal fund:</b>		
Appropriations by the Trustees not yet released for specific grantees, and appropriations for program costs and general administrative expenses for the following year (Note 4)	60,775,831	42,969,081
Unappropriated	<u>910,851,051</u>	<u>806,367,293</u>
<b>Total principal fund</b>	<b><u>971,626,882</u></b>	<b><u>849,336,374</u></b>
<b>Total obligations and principal fund</b>	<b><u>\$1,014,354,292</u></b>	<b><u>\$883,200,092</u></b>

*See accompanying notes.*

**STATEMENT OF OPERATIONS AND CHANGES  
IN PRINCIPAL FUND  
YEARS ENDED DECEMBER 31, 1982 and 1981**

	<u>1982</u>	<u>1981</u>
<b>Investment income:</b>		
Dividends	\$ 24,200,944	\$ 36,405,284
Interest	43,662,614	34,114,812
Other	<u>191,977</u>	<u>90,424</u>
	68,055,535	70,610,520
Less: investment expenses	<u>2,880,540</u>	<u>2,257,964</u>
Investment income before federal excise tax	65,174,995	68,352,556
Less: provision for federal excise tax (Note 2)	<u>1,303,500</u>	<u>1,365,291</u>
Net investment income	<u>63,871,495</u>	<u>66,987,265</u>
Grants announced and program costs incurred during the year	41,605,500	42,733,773
General administrative expenses	<u>4,951,408</u>	<u>4,679,060</u>
	<u>46,556,908</u>	<u>47,412,833</u>
Net investment income over grants announced and program costs and general administrative expenses incurred	17,314,587	19,574,432
Principal fund at beginning of year	849,336,374	965,285,329
Decrease in unrealized appreciation of marketable securities net of deferred federal excise tax—1982: provision \$329,000; 1981: reduction \$3,547,000 (Note 2)	(55,803,881)	(197,835,302)
Realized gain on sale of marketable securities net of provision for federal excise tax—1982: \$1,721,051; 1981: \$878,269 (Note 2)	160,773,494	62,304,285
Contributions to the Foundation	<u>6,308</u>	<u>7,630</u>
Principal fund at end of year	<u>\$971,626,882</u>	<u>\$849,336,374</u>

*See accompanying notes.*

**STATEMENT OF CHANGES IN FINANCIAL POSITION**  
**YEARS ENDED DECEMBER 31, 1982 and 1981**

	<u>1982</u>	<u>1981</u>
<b>Sources of funds:</b>		
Investment income before federal excise tax	\$ 65,174,995	\$ 68,352,556
Net change in accounts receivable, dividends and interest receivable, accounts payable and accrued liabilities	10,629,470	(6,170,315)
Cash contributions to the Foundation	6,308	7,630
	<u>75,810,773</u>	<u>62,189,871</u>
<b>Applications of funds:</b>		
Securities and repurchase agreement transactions:		
Purchases	6,065,554,966	3,628,880,383
Less: proceeds from sales	<u>6,036,480,698</u>	<u>3,613,023,177</u>
	<u>29,074,268</u>	<u>15,857,206</u>
Expenditures for grants and programs:		
Agricultural Sciences	8,075,713	7,944,590
Arts, Humanities and Contemporary Values	5,893,644	6,339,964
Education for Development	4,187,147	5,241,857
Equal Opportunity	5,422,062	4,932,767
Health	4,356,260	6,009,702
International Relations	3,056,625	3,741,505
Population	5,237,727	4,966,948
Quality of the Environment	29,707	255,650
Special Interests and Explorations	<u>3,287,035</u>	<u>3,125,304</u>
	<u>39,545,920</u>	<u>42,558,287</u>
General administrative expenditures	4,862,992	4,615,912
Federal excise tax paid	<u>2,184,743</u>	<u>1,221,028</u>
	<u>75,667,923</u>	<u>64,252,433</u>
Increase (decrease) in cash	142,850	(2,062,562)
Cash balance at beginning of year	<u>81,224</u>	<u>2,143,786</u>
Cash balance at end of year	<u>\$ 224,074</u>	<u>\$ 81,224</u>

*See accompanying notes.*

## **NOTES TO FINANCIAL STATEMENTS DECEMBER 31, 1982 and 1981**

### *1. Summary of significant accounting policies*

Marketable securities are reported on the basis of quoted market value and investment income and expense are reported on an accrual basis. Realized gains and losses are calculated based on the average cost method for financial statements and the FIFO cost method for tax return purposes.

Appropriations by the trustees are charged to operations when grants are announced and released for specific grantees. Program costs and general administrative expenses are charged to operations when incurred. Appropriations made but not released for specific grantees and program costs and general administrative expenses for the following year are considered as appropriated principal fund.

Expenditures for capital items and major improvements are included in the property account and depreciated on a straight-line basis over the lives of the respective assets or amortized over the term of the lease. Total depreciation and amortization expense amounted to \$166,824 in 1982 and \$117,986 in 1981.

### *2. Federal excise tax*

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and accordingly is not subject to federal income tax. However, the Foundation is classified as a private foundation and is subject to a federal excise tax of 2% on investment income less investment expenses, and on net realized taxable gains on security transactions. Deferred federal excise tax arises from timing differences between financial and tax reporting relating to investment income and the difference between the tax basis and market value of marketable securities.

Not less than the fair market value at December 31, 1969 of securities owned at that date is used as the basis for determining taxable gains on subsequent sales of such securities. Accordingly, net realized gains on disposition of securities subject to federal excise tax were \$86,052,572 in 1982 and \$43,913,428 in 1981. The basis for calculating taxable gains on securities held at December 31, 1982 is approximately \$839,647,000.

### *3. Pension plan*

The Foundation has a non-contributory pension plan with vesting for regular salaried employees who are at least 25 years old and have completed one year of service or have attained the age of 40. The Foundation makes annual contributions to the Plan equal to the amounts accrued for pension expense which were \$1,691,000 in 1982 and \$1,566,000 in 1981. Annual pension expense under this Plan is determined on a basis which determines costs for future pension benefit accruals and for amortization of the unfunded value of accrued benefits as a level percentage of payroll of plan participants. Prior to 1982, the amount needed for amortization of the unfunded value of accrued

benefits was separately determined as 10% of such amount. The difference in the annual costs is not material. A comparison of accumulated plan benefits and plan net assets is presented below.

	JANUARY 1,	
	<u>1982</u>	<u>1981</u>
	(IN THOUSANDS)	
<b>Actuarial present value of accumulated plan benefits:</b>		
Vested	\$21,018	\$18,845
Nonvested	<u>703</u>	<u>602</u>
	<u><u>\$21,721</u></u>	<u><u>\$19,447</u></u>
 Net assets available for benefits	 <u><u>\$18,676</u></u>	 <u><u>\$17,353</u></u>

The actuarially assumed annual rates of investment return underlying the determination of the value of vested benefits for both 1982 and 1981 were 6% up to retirement, and thereafter 3% to make provision for the cost-of-living augmentation arrangement in effect during the retirement period.

At December 31, 1982 the premiums payable through March 1, 1987 to complete the purchase of annuities for personnel who retired under the Rockefeller Foundation's Retirement Plans in effect prior to April 1, 1975 was approximately \$1,447,000.

#### *4. Appropriations and expenditures*

During 1982, the budget process was changed, and the full 1983 budget of \$45,000,000 was appropriated by the Board at the December 1982 meeting. Of this amount, \$21,088,000 is budgeted for grants over \$50,000 which will require Trustee approval. In previous years, the amount budgeted for grants over \$50,000 was not considered as appropriated until the grant received Trustee approval. This change accounts for the substantial increase in the appropriated principal fund balance between December 31, 1981 and December 31, 1982.

Appropriations and expenditures for the year are summarized as follows:

	TOTAL APPROPRIATED	ANNOUNCED AND RELEASED	APPROPRIATED BUT NOT RELEASED
Balance, January 1, 1982	\$64,670,371	\$21,701,290	\$42,969,081
Appropriations by the Trustees	67,593,300	12,299,323	55,293,977
Less: lapses and refunds	(3,392,111)	(642,281)	(2,749,830)
reversions		(351,799)	351,799
Released from prior years' appropriations		35,089,196	(35,089,196)
Expenditures for grants, program costs, general administrative expenses, and capital items	<u>(44,413,267)</u>	<u>(44,413,267)</u>	<u></u>
Balance, December 31, 1982	<u><u>\$84,458,293</u></u>	<u><u>\$23,682,462</u></u>	<u><u>\$60,775,831</u></u>

#### *5. Long-term leases*

At December 31, 1982 minimum rental commitments under non-cancellable leases, principally for headquarters office space, aggregate approximately \$8,200,000 and are

payable approximately \$720,000 annually until 1994. The Foundation also is required to pay additional amounts for maintenance and taxes for the headquarters office. Rental expense included in the statement of operations was approximately \$1,179,000 in 1982 and \$1,066,000 in 1981.

#### *6. Marketable securities*

	<u>DECEMBER 31, 1982</u>		<u>DECEMBER 31, 1981</u>	
	<u>LEDGER AMOUNT*</u>	<u>QUOTED MARKET VALUE</u>	<u>LEDGER AMOUNT*</u>	<u>QUOTED MARKET VALUE</u>
U.S. Government Obligations	\$201,370,259	\$ 213,940,360	\$230,769,704	\$227,361,112
Canadian Government Obligations	—	—	1,732,898	1,665,757
Money Market Fund	18,700	18,700	—	—
Certificates of Deposit	15,934,210	15,930,179	12,077,000	12,077,000
Corporate Obligations	102,605,002	104,143,279	68,647,310	64,309,948
Other Investment	<u>1,296,910</u>	<u>450,000</u>	<u>1,296,910</u>	<u>960,930</u>
	<u>321,225,081</u>	<u>334,482,518</u>	<u>314,523,822</u>	<u>306,374,747</u>
Convertible Bonds	—	—	985,000	964,650
Preferred Stock	88,200	82,320	340,065	349,250
Common Stocks	<u>484,279,519</u>	<u>668,072,586</u>	<u>298,175,100</u>	<u>558,854,845</u>
	<u>484,367,719</u>	<u>668,154,906</u>	<u>299,500,165</u>	<u>560,168,745</u>
<b>TOTAL</b>	<b><u>\$805,592,800</u></b>	<b><u>\$1,002,637,424</u></b>	<b><u>\$614,023,987</u></b>	<b><u>\$866,543,492</u></b>

\*Fair market value at date of gift or purchase cost.



## **INDEX**

# INDEX

- Academy of Natural Sciences 79  
African-American Institute 79  
Agricultural Development Council 79  
Agricultural Sciences, RF program in 22-30,  
    fellowships 95-100  
Akalaitis, Joanne 34  
Al Azhar University 75  
Almy, Susan W. 10  
American Center for Students and Artists, Paris 37  
American Civil Liberties Union Foundation 53  
American Council of Learned Societies 44, 69, 79  
Anderson, Bernard E. 10  
Anti-Slavery Society for the Protection of Human  
    Rights 79  
Arbab, Farzam 8  
Arthurs, Alberta B. 9, 12  
Arts and Business Council 38  
Arts, Humanities and Contemporary Values, RF  
    program in  
        Arts 31-38  
        Humanities 39-47; fellowships 41-43  
Aspen Institute for Humanistic Studies 69  
Association of Former Members of Congress 44  
Atlanta Urban League 50  
Atlantic Center for the Arts 32  
awards: population and development policy 78
- Barnish, Guy 9  
Bassett, Frances J. 9  
Bay Area Video Coalition 33  
Bellagio Study and Conference Center 83-92  
Benvenisti, Meron 66  
Beth Israel Hospital 64  
Black, Joseph E. 10  
Black Filmmaker Foundation 33  
Blumenthal, W. Michael 6  
Bookmyer, Joseph R. 7  
Borlaug, Norman E. 8  
Boston College 77  
Brademas, John 6  
Brigham and Women's Hospital 58  
British American Arts Association 36, 37  
Brookings Institution 79  
Brooklyn College 33  
Brown, Harold 6, 11  
Bryn Mawr College 40  
Buchwalter, Ellen S. 9  
Byrnes, Francis C. 8
- Cabin Creek Center for Work and Environmental  
    Studies 44  
Campbell, D.R. 8  
Canadian Broadcasting Corporation 37  
Carnegie Endowment for International Peace 79  
Carnegie Hall Society 33; International American  
    Music Competitions 31-32  
Carter Family Memorial Music Center 33  
Case Western Reserve University 45, 58  
Celli, Roberto 7
- Center for Effective Philanthropy 80  
Center for Employment Training 50  
Center for Population Options 77  
Center for Research and Advanced Studies 58  
Center for Southern Folklore 46  
Centers for Disease Control-Rockefeller Foundation  
    International Training Program in Family  
        Planning Evaluation and Epidemiology 76  
Centre for Exploitation of Trypanotolerant Cattle in  
    The Gambia 27  
Centro de Investigación y Docencia Económicas 66  
Centro de Investigaciones y Desarrollo de la  
    Educación 23, 24  
Centro de Pesquisas e Controle das Doenças  
    Materno-Infantis 72  
Centro Internacional de Agricultura Tropical 26  
China Medical Board 64  
Chinese Academy of Agricultural Sciences 24  
Chinese Academy of Medical Sciences 72, 75  
Chinese Academy of Sciences 72  
Citizens' Committee for Immigration Reform 80  
Citizens for Ocean Law 68  
City University of New York  
    Brooklyn College 33, 46  
    Graduate School and University Center 40,  
        52, 66  
    Queens College 46  
Clark College 51  
Colegio de México 77  
Columbia University 51, 80  
Comité International de Liaison du Corps pour  
    l'Alimentation 23, 24  
Committee for National Security 66  
Community School of Performing Arts, Los  
    Angeles 37  
Consultative Group on International Agricultural  
    Research 22  
Consultative Group on International Economic and  
    Monetary Affairs 68  
Cooperative Artist-in-Residence Program, Winston-  
    Salem, North Carolina 33  
Cornell University 26, 45, 72, 75  
Cottingham, Phoebe H. 10  
Council for Basic Education 45  
Council of Chief State School Officers 45  
Court, David 10  
Crowder, Loy V. 8
- Dance Theater Foundation 80  
Dashow, James 33  
Daunys, Alexander 7  
Davidson, Ralph K. 10  
Dayton, Kenneth N. 6  
Deagle, Edwin A., Jr. 9  
Delehanty, George E. 10  
Diamond, David 33  
Dodson, Richard 10  
Douglas, Johnson E. 8  
Downtown Community Television Center 33

- Dryfoos, Joy 77  
Duarte, Julie E. 7
- East Carolina University 33, 72  
East-West Center 77  
Edmundson, Kathryn L. 7  
Education for Development, RF program in 48  
Elliott, Howard J.C. 10  
Ellner, Jerrold J. 59  
Emory University 45  
Emshwiller, Ed 33  
Equal Opportunity, RF program in 49-56;  
  fellowships 55  
Equity Policy Center 80  
Evans, John R. 6, 11
- Federal University of Bahia 48, 72  
fellowships: agriculture 95-100; geographic  
  medicine 60; health sciences 97-99; humani-  
  ties 41-43; population sciences 97-99;  
  social sciences 96
- Fitzgerald, Kit 33  
Fletcher, James C. 6  
Flexner, James Thomas 45, 61  
Food Corps 23, 24  
Ford Foundation-Rockefeller Foundation Research  
  Program on Population and Development  
  Policy 78  
Foundation Center 80  
Foundation for Development Studies 29, 30  
Freeman, Wayne H. 8  
Frye, Theodore R. 7, 12  
Fund for Arts and Science Films 38, 46
- Gadjah Mada University 48  
Gallegos, Herman E. 6  
Garcia-Blanco, Mariano A. 59  
Garfield, Susan E. 7  
Georgetown University 66  
Gibson, Jon 34  
Ginsberg, Allen 34  
Gordon Research Conferences 72  
Grant, James P. 6  
Gray, Clarence C., III 8, 11  
Group of Thirty 68  
Guttmacher (Alan) Institute 77
- Hall (Walter and Eliza) Institute of Medical  
  Research 58  
Harrar, J. George 12  
Harris, Patricia 10  
Harvard University 26, 45, 51, 61, 66, 75, 80  
Health Sciences, RF program in 57-64  
Hedgeman, Anna A. 54  
Hesburgh, Theodore M. 11  
Hess, J. William 7  
Ho, Cordell 34  
House, Leland R. 8  
Howard University 40, 52, 73  
Howe, Charles W. 10  
Hunter College 80  
Hykes, David 34
- INPUT 36, 37  
Institute for International Economics 68
- Institute of International Education 24  
Instituto Nacional de Investigación y Promoción  
  Agropecuaria 29  
Instituto Tecnológico y de Estudios Superiores 26  
International Agricultural Development Service 23  
International Center for Living Aquatic Resources  
  Management 24  
International Center of Tropical Agriculture 24  
International Committee for Contraceptive  
  Research 74, 75  
International Economic Studies Institute 67  
International Epidemiological Association 62  
International Exchange of Development  
  Resources 80  
International Food Policy Research Institute 30  
International Institute for Strategic Studies 67  
International Maize and Wheat Improvement  
  Center 24  
International Public Television Screening Con-  
  ference 36, 37  
International Relations, RF program in 65-70;  
  fellowships 69-70  
International Rice Research Institute 24
- Jackson, Ben R. 8  
Jennings, Peter R. 8  
Jester, Glen T. 7  
Jobs for America's Graduates 51  
Johns Hopkins University 67, 80  
Johnson, Tom 6, 11  
Johnston, James E. 8  
Jordan, Peter 9  
Jordan, Vernon E., Jr. 6  
Journal of Interdisciplinary History 45  
Jupiter Symphony 38
- Kansas State University 26  
Katz, Stephen M. 8  
Kegler, Ella F. 7  
Khon Kaen University 77  
Kirkland, Lane 6  
Klein, Howard 9, 12  
Korea University 68  
Kotik, Petr 37  
Kozol, Jonathan 45  
Krim, Mathilde 6  
Kritz, Mary M. 9  
Kusuma Buana Foundation 76
- La Mama Experimental Theatre Club 36, 37  
Laird, Reggie J. 8  
Lando, Richard P. 24  
Lapham, Robert J. 77  
Latin American Social Science Research  
  Council 77, 80  
Lavine, Steven D. 9  
Lawyers' Committee for Civil Rights under Law 53  
Littlebird, Larry 34  
Long Bow Group 45  
Louis, Murray 38  
Louisiana State University 26, 47  
Lyle, Katherine Ch'iu 9  
Lyman, Judith M. 8  
Lyman, Richard W. 6, 7

- Mahidol University 58, 59, 75, 80  
 Maner, Jerome H. 8  
 Mann, Charles K. 8, 10  
 Marshall, Ingram 34  
 Martinez, Eugenio 8  
 Massachusetts Institute of Technology 26, 54, 59, 68, 81  
 Mauldin, W. Parker 9  
 McClung, A. Colin 8  
 McKelvey, John J., Jr. 8  
 McMaster University 62  
 MDC, Inc. 51  
 Medical College of Wisconsin 73  
 Meet the Composer 34; composer-in-residence program 31  
 Mexican American Cultural Center 51  
 Mexican American Legal Defense and Educational Fund 53  
 Meyer, Jack R. 12  
 Ministry of Health, Egypt 58  
 Monell Chemical Senses Center 27  
 Moock, Joyce L. 10  
 Mount Sinai School of Medicine 64  
 Mullen, Lynda 7  
 Mulligan, Frances 7  
 Musalem, Alberto R. 10  
 Museum of Holography 34
- NAACP Legal Defense and Educational Fund 53, 81  
 NAACP Special Contribution Fund 53  
 National Academy of Sciences 81  
 National Alliance of Media Arts Centers 38  
 National Archives Trust Fund Board 47  
 National Association for the Southern Poor 56  
 National Chamber Foundation 68  
 National Coalition on Black Voter Participation 54  
 National Committee for Full Employment 51  
 National Congress of American Indians 54  
 National Congress of Neighborhood Women 50  
 National Council of La Raza 54  
 National Council of Negro Women 50  
 National Council on Crime and Delinquency 81  
 National Council on Foreign Language and International Studies 45  
 National Executive Service Corps 81  
 National Foundation for Infectious Diseases 59  
 National Puerto Rican Coalition 51  
 National Urban League 54  
 New World Festival 34  
 New World Records 35  
 New York Council for the Humanities 45  
 New York University 40, 62, 64  
 Newbrey, Anne E. 7  
 Nikolais/Louis Foundation for Dance 38  
 Nitrogen-Fixing Tree Association 27  
 North American Primary Care Research Group 62  
 North Carolina School of the Arts 33  
 North Carolina State University 29  
 Northwestern University 34, 61  
 Norton, Eleanor Holmes 6
- Opportunities Industrialization Center of Rhode Island 50
- Oshima, Harry T. 10  
 Osler, Robert D. 8  
 Overseas Development Council 81
- Paik, Nam June 35  
 Palfi, Stevenson J. 34  
 Palmieri, Victor H. 6  
 Patterson, Belknap, Webb & Tyler 6  
 Peace Corps Institute 69  
 Pennoyer, Robert M. 6  
 Pennsylvania State University 26  
 Pfeiffer, Jane C. 6  
 Phoenix Theatre 35  
 Pino, John A. 8, 11  
 Pomona College 34  
 Population and development policy, Ford Foundation—Rockefeller Foundation research program on 78  
 Population Council 73, 75, 77  
 Population Sciences, RF program in 71-78  
 Princeton University 34, 64, 81  
 Program for Appropriate Technology in Health 81  
 Psychoyos, Alexandre 73  
 Puerto Rican Legal Defense and Education Fund 54  
 Puerto Rican Traveling Theatre Company 34
- Queen's University 62
- Rachie, Kenneth O. 8  
 Radcliffe College 81  
 Rajic, Vera 7  
 Ramanathan, Rajaram 7, 11  
 Randolph (A. Philip) Educational Fund 55  
 Reback, Sanford C. 67  
 Recorded Anthology of American Music 35  
 Reich Music Foundation 35  
 Reise, Jay 35  
 Renfro, Bobby L. 8  
 Rijksuniversiteit Limburg 63  
 Rivlin, Alice M. 6, 11  
 Robins, Kenneth 35  
 Robinson, Nan S. 7  
 Rockefeller Archive Center 93  
 Rockefeller Foundation: awards (see entry under *awards*); conferences, seminars, workshops 27, 29, 30, 40, 58, 60, 63, 64, 81, 83-86; fellowships (see entry under *fellowships*); financial information 102-109  
 Rockefeller University 46, 59, 60  
 Romney, Henry 10  
 Roosa, Robert V. 6
- Saks, Daniel H. 51  
 Salk Institute for Biological Studies 73  
 Salzburg Seminar in American Studies 69  
 San Francisco State University 51  
 Sanborn, John 33  
 Sarvodaya Shramadana Movement 23, 24  
 Schacht, Henry B. 11  
 Schad, Marjorie J. 8  
 Scientists' Institute for Public Information 67  
 Scrimshaw, Nevin S. 6  
 Scripps College 40

- Seattle Opportunities Industrialization Center 55  
 Segal, Sheldon J. 9  
 Shanghai First Medical College 63  
 Sheldon, Eleanor B. 6  
 Sloan-Kettering Institute for Cancer Research 75  
 Smeltzer, Dale G. 8  
 Solaris Dance Theatre 35, 36  
 Southeastern Center for Contemporary Art 32, 33, 35  
 Southern Education Foundation 55  
 Southern Regional Council 54  
 Southern University 56  
 Southwest Voter Registration Education Project 54  
 Spain, James M. 8  
 Special Interests and Exploration, RF program in 79-82  
 Sprague, Ernest W. 8  
 Stanford University 35, 82  
 Stewart, Michael M. 7, 12  
 Stifel, Laurence D. 7  
 Stremlau, John 9  
 Subotnick, Morton 35  
 Sundance Institute for Film and Television 35  
 Sungshin Women's University 73  
 Szwaja, Lynn A. 9  
 Tartaglia, Henry S. 7  
 Taylor, Billy 6  
 Temple University 73  
 Theatre Incorporated 35  
 Toenniessen, Gary H. 8  
 Trammel, Webb 7  
 Tufts University 59, 63, 68  
 Universidad de Costa Rica 60  
 Universidade Federal do Rio de Janeiro 60  
 University of Alabama 75  
 University of Arizona 47  
 University of California  
     Berkeley 27  
     Davis 27  
     San Diego 67  
     San Francisco 61, 73  
 University of Chicago 40  
 University of Colorado 27  
 University of Dar es Salaam 82  
 University of Florida 27, 82  
 University of Illinois 28  
 University of Kentucky 28  
 University of Maryland 61, 73  
 University of Michigan 75, 82  
 University of Minnesota 28, 46  
 University of Nebraska 28, 73  
 University of North Carolina 40, 75  
 University of Notre Dame 67, 82  
 University of Oxford 59  
 University of Pennsylvania 63, 73  
 University of Pittsburgh 67  
 University of Rome 73  
 University of Salzburg 75  
 University of South Alabama 54  
 University of Stockholm 59  
 University of Texas 52, 73  
 University of Uppsala 74  
 University of Virginia 59  
 University of Washington 59, 67  
 University of Western Ontario 63, 64  
 University of Wisconsin 28, 82  
 Urban Institute 52, 82  
 Vance, Cyrus R. 11  
 Villa Serbelloni 83  
 Virginia Assemblies 56  
 Voter Education Project 54  
 Wake Forest University 33  
 Warren, Kenneth S. 9  
 Warwick, Everett J. 8  
 Washington State University 28  
 Weizmann Institute of Science 59, 73  
 Wellhausen, Edwin J. 8  
 Wenner-Gren Foundation for Anthropological Research 40  
 Wharton, Clifton R., Jr. 6, 11  
 White, Kerr L. 9  
 Whitney Museum of American Art 35  
 Wider Opportunities for Women 50  
 Williams, Bruce E. 10  
 Witlin, Ray 55  
 Wolfensohn, James D. 6  
 Wolling, Frank J. 7  
 Woodrow Wilson International Center for Scholars 67  
 World Health Organization 63, 64  
 World Priorities 69  
 Wright, Bill C. 8  
 Wuorinen, Charles 35  
 Xiao-su Hu 61  
 Yale University 28, 41, 47, 61, 74, 82  
 Yayasan Kusuma Buana 76  
 Zanelli, Eileen M. 9