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## Carnegie Corporation of New York

### CONTACT

Dorothy Knapp, Secretary  
Carnegie Corporation of New York  
437 Madison Avenue  
New York, New York 10022  
(212) 371-3200

### FINANCIAL SUMMARY

Recent Giving: \$44,375,765 (fiscal 1989); \$40,561,550 (fiscal 1988); \$39,516,588 (fiscal 1987)  
Assets: \$911,300,000 (fiscal 1990 est.); \$905,106,312 (fiscal year ending September 30, 1989); \$803,404,682 (fiscal 1988); \$807,000,000 (fiscal 1987 approx.)

### CONTRIBUTIONS SUMMARY

**Type of Foundation:** general purpose

**Major Priority:** national and international organizations promoting global peace, education, international economic development, and children's health and welfare

**Geographic Distribution:** national, many British Commonwealth nations, and Mexico

**Grant Types:** conference/seminar, department, general support, project, research, and seed money

### DONOR INFORMATION

Andrew Carnegie was born in Scotland in 1835. He moved to the United States 13 years later, beginning work as a bobbin boy in a cotton mill. After holding various jobs with Western Union and the Pennsylvania Railroad, Carnegie resigned in 1865 to establish the Carnegie Steel Company. At the turn of the century, he sold his major Pittsburgh steel company to J. P. Morgan for \$400 million.

Carnegie was one of the first wealthy Americans to believe that the well-to-do had a moral responsibility to assist the less fortunate. Carnegie's personal philanthropy began in his thirties with a large gift to his hometown of Dunfermline, Scotland. One of his earliest interests was the establishment of free public libraries throughout the United States, a cause to which he donated over \$56 million. Other interests included adult education and education in the fine arts. Over the years, Carnegie established seven philanthropic and educational organizations in the United States, and several more in Europe to carry out these and other programs. In the United States, he established the Carnegie Foundation for the Advancement of Teaching, the Carnegie Institute (Pittsburgh), the Carnegie-Mellon University (formed by the 1967 merger of the Mellon Institute and the Carnegie Institute of Technology), the Carnegie Endowment for International Peace, and the Carnegie Institution of Washington. Overseas, Mr. Carnegie established the Carnegie Trust for the Universities of Scotland to assist students and fund expansion and research, and the Carnegie Dunfermline and United Kingdom Trusts to benefit the public primarily through improved education. Mr. Carnegie also established hero funds in the United States, the United Kingdom, and Europe to recognize heroic acts performed in peaceful occupations. In all, Mr. Carnegie's gifts and bequests totaled over \$350 million.

### FOUNDATION PHILOSOPHY

The corporation's charter states that funds are to be used to promote "the advancement and diffusion of knowledge and understanding." While grants are generally educational in nature, they are not limited to the formal educational system or its institutions. It is the

corporation's policy to select a few broad subject areas on which to focus its financial resources over a period of several years. There are four such areas at the present time: education, including science, technology, and the economy; healthy child development, including the prevention of damage to children; strengthening human resources in developing countries; and avoiding nuclear war.

Grants which do not fall into one of these four categories may be made under the corporation's special project grants. These grants support "projects identified with previous grant programs, explorations of new ideas that do not fit current programs, special undertakings related to but broader than specific program priorities, and projects that promote the foundation's long-standing interest in strengthening the nonprofit sector."

The first program, education, is based on the Carnegie Corporation's long-term interest in education. The goal is to help everyone, especially the young, deal with contemporary scientific and technological advances. Emphasis is placed on the improvement of pre-college education in science, mathematics, and technology and on the access of minority group members and women to quality education in these subjects. The corporation is also interested in the impact of science and technology, on the economy and the ways in which educational policy can help society prepare for change.

The corporation's second area of interest, healthy child development, examines academic failure, teenage pregnancy, childhood injury, and substance abuse. Only in the areas of academic failure and teenage pregnancy does the corporation fund unsolicited proposals. The study of academic failure includes efforts to develop preschool education, family support systems, and higher quality minority education. In the area of teen pregnancy, the corporation concentrates on preventing initial pregnancy among teenage girls.

The third program, strengthening human resources in developing countries, applies a multi-disciplinary approach to the analysis of development. It relies on the behavioral, biological, medical, and social sciences. Regional emphasis is on Mexico, the English-speaking Caribbean, and on those African nations that were or are part of the British Commonwealth. Priorities include projects which develop indigenous abilities, reduce levels of maternal mortality and morbidity, and stress cooperation between policy-makers and scientists in developing and developed nations. A major concern in this area is to promote understanding within the United States, both among the general public and at the policy-making level, of the development experience. A special sub-program focuses on South Africa and on programs to improve the status of black South Africans.

The fourth program, avoiding nuclear war, emphasizes interdisciplinary research, science-based scholarship, and the communication of results to the American public. The first phase of this program included several large grants for a multi-disciplinary approach to the study of security and arms control. The corporation does not anticipate making many more grants of this type. The current program supports research and analysis on selected complex problems bearing on the avoidance of nuclear war by experts independent of government. It also supports initiatives to consolidate opportunities for institutionalizing U.S.-Soviet and multinational cooperation and conflict resolution.

### CONTRIBUTIONS ANALYSIS

In fiscal 1989, the Carnegie Corporation's grant allocations by program area were: Education: Science, Technology, and the Economy, 27%; Toward Healthy Child Development: Preventing Damage to Children, 24%; Avoiding Nuclear War, 23%; Strengthening Human Resources in Developing Countries, 16%; and Special Projects, 10%. Broken down by recipient type, civic and public affairs concerns received 53% of the corporation's support. Educational organizations and projects received 31% of the corporation's giving, while international concerns and the arts received 11% and 5%, respectively.

### TYPICAL RECIPIENTS

*Arts & Humanities:* arts associations and public broadcasting

**Civic & Public Affairs:** economic development, environmental affairs, ethnic/minority organizations, international affairs, law & justice, national security, nonprofit management, philanthropic organizations, professional & trade associations, public policy, urban & community affairs, and women's affairs

**Education:** colleges & universities, education associations, health & physical education, international studies, legal education, literacy, medical education, minority education, preschool education, public education (precollege), and science/technology education

**Health:** health organizations, hospitals, medical research, nutrition & health maintenance, and public health

**International:** foreign educational institutions, international development/relief, international health care, and international organizations

**Science:** scientific organizations

**Social Services:** child welfare, community service organizations, family planning, family services, legal aid, and youth organizations

## OFFICERS AND DIRECTORS

**David A. Hamburg:** pres, trust, mem fin & admin comm, mem nominating comm B Evansville IN 1925 ED IN Univ MD 1947 NONPR AFFIL mem: Am Academy Advancement Science, Am Psychiatric Assn, Am Psychosomatic Soc, Assn Research Nervous & Mental Disease, Am Academy Arts & Sciences, Natl Academy Sciences; sr adv: Ctr Social Policy Studies Israel; dir: Rockefeller Univ, Mt Sinai Hosp; mem exec panel adv comm: Chief Naval Opers

**Warren Christopher:** chmn, trust, mem fin & admin comm B Scranton ND 1925 ED Univ Southern CA BS 1945; Stanford Univ LLB 1949 CURR EMPL chmn: O'Melveny & Meyers NONPR AFFIL pres, trust: Stanford Univ; dir: Los Angeles World Affairs Council; fellow: Am Bar Fdn, Am Coll Trial Lawyers; mem: Trilateral Comm, Am Bar Assn, CA Bar Assn, Los Angeles County Bar Assn, Am Law Inst

**Richard B. Fisher:** trust, chmn, mem fin & admin comm B Philadelphia PA 1937 ED Princeton Univ BA 1957; Harvard Univ MBA 1962 CURR EMPL pres, managing dir: Morgan Stanley Group NONPR AFFIL trust: Princeton Univ; dir: Ministers Missionaries Benefit Bd Am Baptist Church

**Fred Michael Hechinger:** vchmn, trust, chmn nominating comm B Nuremberg Germany 1920 ED City Univ NY AB 1943; NY Univ 1938; Univ London 1945; Kenyon Coll LLD 1955 CURR EMPL ed columnist: NY Times NONPR AFFIL dir: Academy Ed Devel, Foreign Policy Assn; mem: Ed Writers Assn; mem adv bd: Yale New Haven Teachers Program; pres: NY Times Neediest Cases Fund PHIL AFFIL pres, dir: NY Times Co Fdn

**Joshua Lederberg:** trust, mem nominating comm B Montclair NJ 1925 ED Columbia Univ BA 1944; Yale Univ PhD 1947 CURR EMPL pres: Rockefeller Univ CORP AFFIL mem bd science adv: Cetus Corp, Celanese Corp, JD Wolfensohn, Hoechst-Celanese Corp; dir: Proctor & Gamble NONPR AFFIL mem study section: Natl Science Fdn, Natl Inst Health; consultant: NASA, Arms Control Disarmament Agency; dir: Chemical Industry Inst Toxicology, NY City Ptnrship; fellow: Am Assn Advancement Science, Am Philosophical Soc, Am Academy Arts & Sciences, NY Academy Medicine; mem: US Defense Science Bd, Natl Academy Sciences, Royal Soc London; NY Academy Sciences PHIL AFFIL trust: Revson Fdn; trust: Dreyfus (Camille & Henry) Fdn

**Ray Marshall:** trust, mem fin & admin comm B Oak Grove LA 1928 ED Millsaps Coll BA 1949; LA St Univ MA 1950; Univ CA (Berkeley) PhD 1954 CURR EMPL Bernard Rapoport Centennial Chair Econ & Pub Affairs: Univ TX (Austin) LBJ Sch Pub Affairs NONPR AFFIL mem: Industrial Rels Research Assn, Am Econ Assn, Southern Econ Assn, Am Arbitration Assn, Am Assn Univ Profs

**Laurence A. Tisch:** trust, mem fin & admin comm B New York NY 1923 ED NY Univ BS 1942; Univ PA MA 1943 CURR EMPL chmn, ceo, dir: Loews Corp CORP AFFIL pres, ceo, dir: CBS; pres: Tisch Hotels; chmn: CNA Fin Corp; dir: Automatic Data Processing, Bulova Watch Co, Petrie Stores Corp, Getty Oil NONPR AFFIL chmn bd, trust: NY Univ; trust: Legal Aid Soc, Metro Museum Art, NY Pub Library; trust at-large: Federation Jewish Philanthropies PHIL AFFIL sr vp, don: Tisch Foundation

**Thomas A. Troyer:** trust, mem nominating comm B Omaha NE 1933 ED Harvard Univ BA 1955; Univ MI JD 1958 CURR EMPL ptnr: Caplin & Drysdale NONPR AFFIL gen coun: Counc Fdns; chmn: Fdn Lawyers Group; dir: Children's Defense Fund, Natural Resources Defense Council; mem: DC Bar Assn, Am Bar Assn PHIL AFFIL dir: Stern Fund

**Eugene H. Cota-Robles:** trust, mem nominating comm CURR EMPL asst vp (academic affairs): Univ CA (Berkeley)

**John Cunningham Whitehead:** trust, mem fin & admin comm B Evanston IL 1922 ED Haverford Coll BA 1943; Harvard Univ MBA 1947 CURR EMPL chmn: AEA Investors CORP AFFIL dir: Am District Tel Corp, Crompton Co, Crompton & Knowles Corp, Dillard Dept Stores, Equitable Life Real Estate Trust, Household Fin Corp, Pillsbury Co, Loctite Corp, NY Stock Exchange NONPR AFFIL pres: Intl Rescue Comm; chmn bd trusts: Haverford Coll; trust: Bryn Mawr Coll; dir: Assocs Harvard Bus Sch, Econ Devel Counc NY, Am Productivity Ctr; mem: Security Industry Assn, NY Chamber Commerce, Ctr Strategic & Intl Studies, Counc Foreign Rels PHIL AFFIL don, trust: Whitehead Fdn; trust: Mellon (Andrew W) Foundation

**Richard I. Beattie:** trust B New York NY 1939 ED Dartmouth Coll BA 1961; Univ PA LLB 1968 CURR EMPL ptnr: Simpson Thacher & Bartlett NONPR AFFIL mem: Bar Assn NY

**James P. Comer:** trust B East Chicago IN 1934 ED IN Univ BA 1956; Howard Univ MD 1960; Univ MI M Pub Health 1964 CURR EMPL prof: Yale Child Study Ctr, Dept Psychiatry; assoc dean: Yale Med Sch CORP AFFIL trust: CT Savings Bank NONPR AFFIL dir: Baldwin-King Sch Project, Yale Child Study Ctr, Dixwell Soul Station, Yale Afro-American House, Children's TV Workshop, Natl Counc Effective Schs; trust: Wesleyan Univ; consultant: Joint Comm Mental Health of Children, Natl Comm Causes Prevention of Violence, Natl Inst Mental Health; mem: Natl Adv Mental Health Counc HEW; mem ad hoc adv comm: CT Research Comm; mem adv coun: Natl Comm for Citizens in Ed; mem adv comm adolescent pregnancy prevention: Children's Defense Fund PHIL AFFIL dir: Field Fdn

**James Lowell Gibbs, Jr.:** trust CURR EMPL Martin Luther King Jr Centennial Prof & Chair, Dept Anthropology: Stanford Univ

**Robert E. Rubin:** trust B New York NY 1938 ED Harvard Univ AB 1960; London Sch Econ; Yale Univ LLB 1964 CURR EMPL vchmn, coo, mem mgmt comm: Goldman Sachs & Co NONPR AFFIL trust: Mt Sinai Med Ctr, Am Ballet Theatre Fdn; dir: Ctr Natl Policy; mem comm: Harvard Univ Resources; mem: investment adv coun: NY City Pension Fund

**Mary Patterson McPherson, PhD:** trust B Abington PA 1935 ED Smith Coll AB 1957; Univ DE MA 1960; Bryn Mawr Coll PhD 1969 CURR EMPL pres: Bryn Mawr Coll CORP AFFIL dir: Provident Natl Bank Philadelphia, Bell Tel Co PA NONPR AFFIL dir: Agnes Irwin Sch, Shipley Sch, Amherst Coll, Brookings Inst, Philadelphia Contributorship, Natl Humanities Ctr; trust: Univ City Science Ctr; mem: Soc Ancient Greek Philosophy, Am Philosophical Soc PHIL AFFIL Macy (Josiah) Jr Fdn

**Newton Norman Minow:** trust B Milwaukee WI 1926 ED Northwestern Univ BS 1949, JD 1950 CURR EMPL ptnr: Sidley & Austin CORP AFFIL dir: Aetna Life Ins Co IL, Aetna Casualty & Surety Co IL, Chicago Pacific Corp, Foote Cone & Belding Communications, CBS, Encyclopedia Britannica; mem intl adv bd: Pan Am World Airways; prof communication law & policy: Northwestern Univ NONPR AFFIL trust: Notre Dame Univ; fellow: Am Bar Fdn; mem: Northwestern Univ Alumni Assn, Am Bar Assn, IL Bar Assn, Chicago Bar Assn; hon chmn: Chicago Ed Television; trust: Rand Corp; professional lecturer: Northwestern Univ Medhill Sch Journalism; dir: Annenberg WA Program

**Shiela E. Widnall:** trust B Tacoma WA 1938 ED MA Inst Technology BS 1960, MS 1961, PhD 1964 CURR EMPL Abby Rockefeller Mauze prof aeronautics: MA Inst Technology CORP AFFIL dir: Chemfab, Aerospace Corp, Draper Labs; editor: Physics Fluids NONPR AFFIL mem: Soc Women Engrs, Am Soc Mechanical Engrs, Natl Academy Engring; fellow: Am Assn Advancement Science, Am Physics Soc, Am Inst Aeronautics & Astronautics

**Caryl Parker Haskins:** hon trust B Schenectady NY 1908 ED Yale Univ PhB 1930; Harvard Univ PhD 1935 CURR EMPL dir: Haskins

Labs *NONPR AFFIL* dir: Counc Library Resources; adv trust: Rand Corp; regent emeritus: Smithsonian Inst; trust: Asia Fdn, Wildlife Preservation Trust Intl, Natl Humanities Ctr; mem coun: Woods Hole Oceanographic Inst; mem: Save-the-Redwoods League; mem visitors comm: Harvard Univ, Johns Hopkins Univ, Tulane Univ; fellow: Am Physical Soc, Am Assn Advancement Science, Am Academy Arts & Sciences, Royal Entomology Soc, Entomology Soc, Entomology Soc Am, Pierpont Morgan Library; mem: NY Zoological Soc, WA Academy Sciences, Natl Geographic Soc, Royal Soc Arts, Faraday Soc, Metro Museum Art, Am Museum Natural History, Am Philosophy Soc, British Assn Advancement Science, Linnean Soc, Natl Academy Sciences, NY Academy Sciences, Audubon Soc, NY Botanical Garden, PEN

**Margaret Carnegie Miller:** hon trust, don daughter

**Barbara Denning Finberg:** exec vp, program chmn (special projects) *B Pueblo CO 1929 ED Stanford Univ BA 1949; Am Univ Beirut MA 1951 NONPR AFFIL* mem: Am Ed Research Assn, Soc Research Child Devel, Counc Foreign Rels; mem accreditation comm: Assn Am Law Schs; mem adv comm: Henry A Murray Research Ctr Radcliffe Coll *PHIL AFFIL* chmn, trust: NY Fdn; program adv: Mailman (AL) Family Fdn

**Dorothy Knapp:** corp secy

**E. Aiden Dunham:** program chmn (ed: science, technology, economy & healthy child devel: prevention of damage to children)

**Adetokunbo O. Lucas:** program chmn (strengthening human resources in developing countries)

**Frederick A. Mosher:** program chmn (avoiding nuclear war) *ED Oberlin Coll BA 1954; Univ MI MA 1955; Harvard Univ PhD 1962*

**Vivien Stewart:** program chmn (healthy child devel: prevention of damage to children) *ED Oxford Univ AB 1967*

## APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** The corporation does not have application forms. Initial contact should be by letter.

**Include Information On:** The initial proposal should include a statement describing the project's aims, methods, personnel, and the amount of financial support required. Corporation officers will request supplementary information or a personal discussion when necessary. The endorsement of the administrative head of the requesting institution need not be sent with the initial proposal, but it will be required before a favorable recommendation is made to the corporation's trustees.

**Deadlines:** There is no deadline for proposals.

**Review Process:** Corporation officers consider each project and forward recommendations to the corporation trustees who must approve all grants.

**Note:** The foundation does not fund basic operating expenses, endowments, or facilities of educational and human service institutions. It does not provide scholarship, fellowship, or travel grants.

**Foundation Publications:** annual report; general information pamphlet; list of grants and appropriations; "Carnegie Quarterly"

## GRANTS ANALYSIS

Total Grants: \$44,375,765

Number of Grants: 409

Average Grant: \$108,498

Highest Grant: \$1,053,365

Typical Range: \$25,000 to \$300,000

Disclosure Period: fiscal year ending September 30, 1989

## RECENT GRANTS

### Arts & Humanities

- 250,000 Educational Broadcasting Corporation, New York, NY — development of a television series on U.S.-Soviet relations

- 250,000 Scientists' Institute for Public Information, New York, NY — science videotape referral service for television journalists
- 200,000 WGBH Educational Foundation, Boston, MA — educational television series and course on Latin America and the Caribbean

### Civic & Public Affairs

- 1,053,365 Carnegie Commission on Science, Technology, and Government, New York, NY
- 500,000 Columbia University, New York, NY — research and training on Soviet international security and arms control issues
- 500,000 Columbia University, New York, NY — national resource center for children in poverty
- 487,500 Stanford University, CA — research on procedures for assessing school teachers
- 452,690 Stanford University, CA — research and training in international security and arms control
- 300,000 Aspen Institute for Humanistic Studies, Queenstown, MD — meetings on U.S. relations with southern Africa for American lawmakers
- 300,000 Brookings Institution, Washington, DC — research on international security issues as affected by U.S.-Soviet relations
- 300,000 Fund for Peace, New York, NY — national security archive
- 277,500 NAACP Legal Defense and Educational Fund, New York, NY — education litigation program
- 250,000 Mexican American Legal Defense and Educational Fund, Los Angeles, CA — program of education litigation and advocacy
- 225,000 Emory University, Atlanta, GA — international negotiation network at the Carter Presidential Center
- 225,000 National Academy of Sciences, Washington, DC — committee on the contributions of behavioral and social science to the prevention of nuclear war
- 207,500 American Red Cross, Washington, DC — technical assistance for Red Cross societies in sub-Saharan Africa and the Caribbean

### Education

- 1,000,000 National Board for Professional Teaching Standards, Detroit, MI
- 700,000 American Association for the Advancement of Science, Washington, DC — national project to reformulate the content of elementary and secondary education in science, mathematics, and technology
- 395,300 Massachusetts Institute of Technology, Cambridge, MA — national program to increase the education of minorities
- 350,000 University of California San Diego, La Jolla, CA — U.S.-Soviet project on the educational use of computers in the elementary school grades
- 350,000 Consortium for the Advancement of Private Higher Education, Washington, DC — general support
- 342,220 Columbia University, New York, NY — development of model comprehensive health and educational services in junior high schools
- 308,500 American Association for the Advancement of Science, Washington, DC — project to improve science and mathematics education for minority, female, and disabled youth
- 275,000 Editorial Projects in Education, Washington, DC — marketing plan to increase readership by public school teachers of Education Week
- 260,000 University of California, Berkeley, CA — great explorations in math and science program
- 248,000 Avance-San Antonio, TX — evaluation of the parent education program

### International

- 285,000 Fundacion Mexicana para la Salud, Avenida Contraria, Mexico — research in maternal and child health and strengthening of health resources in Mexico
- 230,000 World Health Organization, Geneva, Switzerland — program to reduce the health risk of childbearing in sub-Saharan Africa and the Caribbean

- 200,000 University of the West Indies, Kingston, Jamaica — strengthening educational activities in maternal and child health
- 151,000 University of Malawi, Zoaba, Malawi — project on maternal and child nutrition in Malawi conducted by the center for social research

## Carolyn Foundation

### CONTACT

Carol Fetzer  
Executive Director  
Carolyn Foundation  
1300 TCF Tower  
Minneapolis, Minnesota 55402  
(612) 339-7101

### FINANCIAL SUMMARY

Recent Giving: \$989,665 (1989); \$834,140 (1988); \$676,773 (1987); \$660,237 (1985)  
Assets: \$22,243,494 (1989); \$17,543,411 (1988); \$16,440,240 (1987); \$14,985,490 (1985)

### CONTRIBUTIONS SUMMARY

Type of Foundation: general purpose  
Major Priority: program grants to regional social service and civic organizations, and to educational institutions  
Geographic Distribution: metropolitan New Haven, CT; and Minneapolis and St. Paul, MN  
Grant Types: capital, general support, operating expenses, and research

### DONOR INFORMATION

The Carolyn Foundation was established in Minnesota in 1964 under the terms of the will of Carolyn McKnight Christian, who died that year. She was the daughter of real estate entrepreneur and lumberman, Sumner T. McKnight.

### FOUNDATION PHILOSOPHY

The Carolyn Foundation is interested principally in health and welfare, education, culture, the environment, and programs for the disadvantaged. It is a regional foundation and limits funding to Minneapolis, St. Paul, and New Haven, and to some national organizations with programs affecting these areas.

### CONTRIBUTIONS ANALYSIS

In 1988, the foundation gave 34% of its funding to social services and 31% to civic and public affairs organizations. Educational institutions and associations received 26%; the arts, 7%; and health and religion, 1% each.

### TYPICAL RECIPIENTS

**Arts & Humanities:** arts funds, community arts, history/historic preservation, museums/galleries, public broadcasting, and theater  
**Civic & Public Affairs:** environmental affairs, law & justice, nonprofit management, philanthropic organizations, public policy, rural affairs, and women's affairs

**Education:** education associations, literacy, and public education (precollege)

**Health:** geriatric health and health organizations

**Religion:** religious organizations

**Social Services:** aged, child welfare, community service organizations, counseling, domestic violence, drugs & alcohol, family services, religious welfare, and youth organizations

### OFFICERS AND DIRECTORS

Lucy C. Mitchell: chmn, trust

Guido Calabresi: vchmn, trust B Milan Italy 1932 ED Yale Univ BS 1953, LLB 1958; Oxford Univ BA 1955, MA 1959 CURR EMPL Sterling Prof: Yale Univ Law Sch CORP AFFIL pres, dir: Crosby Co NONPR AFFIL fellow: Am Academy Arts & Sciences; mem: Am Assn Univ Profs

Carol J. Fetzer: exec dir, secy, trust

Edwin L. Crosby: treas, trust

Beatrice Crosby Booth: trust

Franklin M. Crosby, III: trust

G. Christian Crosby: trust

Sumner McKnight Crosby, Jr.: trust

Thomas M. Crosby, Jr.: trust B Minneapolis MN 1938 ED Yale Univ BA 1960, JD 1965 CURR EMPL atty: Faegre & Benson NONPR AFFIL mem: Am Bar Assn

Carolyn C. Graham: trust

Eugenie T. Copp: trust

Benton J. Case, Jr.: trust

### APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** There is no application form; written proposals should be sent to the foundation.

**Include Information On:** Applicants must provide the name and address of the contact person; description of the organization; list of officers, directors, and executive staff; IRS number and copy of determination letter; state registration certificate; amount requested; timetable; and purpose, objective, and goals of project. Applicants also should include a history of the project; operational plan; future plans; licensing requirements; evaluation methods; reason foundation is being approached for funding; detailed budget; income from prior three years; provisions for financial support of project in future; audited financial report; and an annual report.

**Deadlines:** The deadline for major contribution funding (\$10,000 or larger) is July 1. Requests for minor contributions should be submitted by March 1.

**Note:** The foundation does not fund individuals, religious organizations for religious purposes, political or veterans organizations, annual fund drives, debts, and legal costs. The foundation generally will not sponsor conferences, seminars, or projects in foreign countries.

### OTHER THINGS YOU SHOULD KNOW

United Way agencies or other umbrella organizations will not be considered for funding without prior written approval from the umbrella organization.

**Foundation Publications:** annual report

### GRANTS ANALYSIS

Total Grants: \$834,140

Number of Grants: 42

Average Grant: \$19,860

Highest Grant: \$150,000

Typical Range: \$3,000 to \$25,000

Disclosure Period: 1988

## GRANTS ANALYSIS

Total Grants: \$8,026,412

Number of Grants: 89

Average Grant: \$22,439\*

Highest Grant: \$2,129,373

Typical Range: \$500 to \$5,000 and \$15,000 to \$50,000

Disclosure Period: 1989

Note: The average grant figure is arrived at by using the total grants paid on grants awarded in 1989 (\$1,997,054). This figure excludes three grants totaling \$2,896,133. The total also excludes \$102,926 in unspecified trustee/employee matching contributions and direct charitable contributions. The balance of 1989 contributions represents funds paid on outstanding grants awarded in previous years.

## RECENT GRANTS

## Civic &amp; Public Affairs

- 50,000 State of Colorado, Denver, CO — support for communities for a drug-free Colorado
- 40,000 Colorado Department of Social Services, Denver, CO — project to develop a uniform assessment instrument for elderly clients in need of long-term care services

## Education

- 109,196 Education Foundation, CO — statewide nursing articulation project to ease academic progression for Colorado nurses
- 32,400 University College, University of Denver, CO — support for advanced certificate programs in health care organizations and systems

## Health

- 133,276 Rural Healthcare Initiative, Arvada, CO — technical assistance, administrative costs, and evaluation expenses for three years
- 54,000 N.U.R.S.E.S. of Colorado Corporation, Denver, CO — support for a statewide peer employee substance abuse assistance program for nurses
- 50,000 Colorado Department of Health, Denver, CO — to develop statewide plan for the future of public health in Colorado
- 40,430 University of Colorado Health Sciences Center, Denver, CO — Colorado nursing home influenza project

## Social Services

- 2,129,373 Presbyterian/St. Luke's Community Foundation, Denver, CO
- 383,380 Colorado Episcopal Foundation, Denver, CO
- 383,380 Presbytery of Denver, CO
- 87,922 Denver Department of Social Services, CO — to develop and implement a comprehensive community service model to support efforts of AFDC families to become self-sufficient
- 50,000 Colorado Initiative on Teen Pregnancy, CO — statewide teen pregnancy prevention program
- 43,980 Lake County School District, CO — to develop and implement a childcare program in six to eight school districts
- 36,837 Artreach, Denver, CO — two-year grant to support programs assisting low-income elderly persons and individuals with handicapping conditions
- 25,787 Colorado Department of Education, Denver, CO — support for coordination of teen pregnancy prevention programs in Colorado
- 25,000 University of Colorado at Denver, CO — national leadership institute on aging
- 20,000 Institute for Creative Aging, Littleton, CO
- 20,000 Gathering Place, Denver, CO — support for day shelter for homeless women and children in Denver
- 16,000 Abusive Men Exploring New Directions (AMEND), CO — victim advocacy for court-ordered men's counseling

- 15,800 Denver Regional Council of Governments, CO — support for planning an information and referral network for the elderly in metropolitan Denver
- 15,000 Pueblo Agency on Aging, Pueblo, CO
- 15,000 Colorado Department of Social Services, Denver, CO — a self-sufficiency client-tracking system for the family opportunity program
- 5,000 Chatfield Rotary Club, Littleton, CO — support for a comprehensive system of prenatal instruction for teenage mothers at Chatfield High School
- 5,000 Whole Family, Lakewood, CO — support for children with developmental disabilities and their families
- 3,075 Boulder County United Way, Boulder, CO — support to automate an information and referral system for elderly persons in Boulder County

## Commonwealth Fund

## CONTACT

Adrienne A. Fisher  
Grants Manager  
Commonwealth Fund  
1 East 75th Street  
New York, New York 10021-2692  
(212) 535-0400

## FINANCIAL SUMMARY

Recent Giving: \$10,553,889 (fiscal 1989); \$7,512,163 (fiscal 1988); \$8,877,000 (fiscal 1987)

Assets: \$314,131,887 (fiscal year ending June 30, 1989); \$281,530,490 (fiscal 1988); \$299,156,099 (fiscal 1987)

Gifts Received: \$15,325,130 (fiscal 1987)

Fiscal Note: The fund received a large contribution from the James Picker Foundation in fiscal 1987.

## CONTRIBUTIONS SUMMARY

Type of Foundation: general purpose

Major Priority: the elderly, high school students, health care, and the promotion of healthier lifestyles

Geographic Distribution: national, some emphasis on New York City  
Grant Types: fellowship, project, and research

## DONOR INFORMATION

The Commonwealth Fund was established in 1918 with a gift of about \$10 million from Anna M. Harkness. Her husband, Stephen (d. 1888), was a founding investor in Standard Oil Company. Her son, Edward S. Harkness, was the fund's president until his death in 1940, and developed the fund's basic programs.

## FOUNDATION PHILOSOPHY

The foundation was established with the broad mission of enhancing the common good. "To carry out this mandate, in the 1980s the Fund has looked for new opportunities to improve Americans' health and well-being and to assist specific groups of Americans who have serious and neglected problems."

"The Fund's five major programs aim to improve health care services, to advance the well-being of elderly people, particularly those living alone, to develop the capacities of high school students, to promote healthier lifestyles, and to improve the health of minorities. Since 1925, the Fund has also awarded Harkness Fellowships to enable young citizens of the United Kingdom, Australia, and New Zealand to study and travel in the United States."

The foundation supports programs to improve the health and well-being of elderly people, along with programs to foster young talent, to support expanded employment opportunities for older Americans who wish to remain in the workforce, to support organizations working with foundations, and to improve the quality of life in New York City.

### CONTRIBUTIONS ANALYSIS

In fiscal 1989, the fund directed 45% of its grants to health concerns, funding primarily hospitals. Educational organizations and projects received 32% of funds, while civic and public policy groups received 19%. Social service concerns were allocated 3%, and the remaining 1% went to the arts.

### TYPICAL RECIPIENTS

**Arts & Humanities:** arts associations and history/historic preservation  
**Civic & Public Affairs:** ethnic/minority organizations, public policy, safety, urban & community affairs, and zoos/botanical gardens  
**Education:** business education, minority education, and social sciences education  
**Health:** health organizations, hospitals, and medical research  
**Social Services:** drugs & alcohol

### OFFICERS AND DIRECTORS

**C. Sims Farr:** chmn *B* Hewlett NY 1920 *ED* Columbia Univ LLB 1948 *CURR EMPL* ptrn, atty: White & Case *NONPR AFFIL* mem bd visitors: Columbia Univ Sch Law; trust: St Luke's-Roosevelt Hosp Ctr, NY Zoological Soc; mem coun: Rockefeller Univ; mem: City NY Bar Assn, NY St Bar Assn, Am Intl Bar Assn, Am Law Inst, Am Soc Intl Law, Am Judicature Soc; fellow: Am Coll Probate Couns, Am Bar Fdn *PHIL AFFIL* vp: Carbonnel Fdn  
**Margaret E. Mahoney:** pres *PHIL AFFIL* dir: MacArthur (John D and Catherine T) Fdn  
**R. L. Ireland, III:** dir *B* Wilkes-Barre PA 1920 *ED* Yale Univ BA 1942, JD 1947 *CURR EMPL* ptrn: Brown Brothers Harriman & Co *CORP AFFIL* chmn: Provident Loan Soc NY; dir, mem exec & pension plan comms: Hanna Mining Co; dir, mem audit comm: Natl Steel Corp; mem devel bd: Yale Univ; dir: MA Hanna Co, Norfolk Southern Corp, Air Reduction Co, Am Security Bank, Am Security Corp, Natl Inter-group; vp: Chemical Bank; treas, trust: Provident Loan Soc *NONPR AFFIL* hon trust: Boys' Club NY; charter trust: Phillips Academy (Andover, MA); mem natl trusts coun: Natl Gallery Art; pres, trust: Waterfowl Research Fdn; mem devel bd: Yale Univ; mem: Econ Club NY, Assn Reserve City Bankers, Counc Foreign Rels *PHIL AFFIL* trust: Ireland Fdn; trust: Archbold Fdn; trust: Pebble Hill Fdn; chmn bd trusts: Oak Alley Fdn  
**Alfred R. Stern:** dir *B* Chicago IL 1922 *CURR EMPL* chmn: Bus Research Pubs *CORP AFFIL* dir: Starwood Corp *NONPR AFFIL* pres: Film Soc Lincoln Ctr; dir: Phoenix Theater, Pub Broadcasting System; trust: Mt Sinai Med Sch, NY Pub Library, WNET, Am Museum Natural History, Intl Inst Communications  
**Harriet Bundy Belin:** dir *NONPR AFFIL* trust: Radcliffe Coll, New England Aquarium  
**Lawrence S. Huntington:** dir  
**Robert M. O'Neil:** dir *B* Boston MA 1934 *ED* Harvard Univ AB 1956, AM 1957, LLB 1961 *CURR EMPL* pres: Univ VA *NONPR AFFIL* mem bd dirs: Counc Post-Secondary Accreditation, Ed Testing Service *PHIL AFFIL* mem bd dirs: Johnson Fdn; trust: Carnegie Fdn Advancement Teaching  
**Helene Lois Kaplan:** dir *B* New York NY 1933 *ED* Barnard Coll 1953; NY Univ 1967 *CURR EMPL* atty: Webster & Sheffield *CORP AFFIL* dir: Verde Exploration Ltd, May Dept Stores, MITRE Corp, Met Life Ins Co, Chem NY Corp, Chem Bank, NY Partnership, First Eagle Fund Am *NONPR AFFIL* chmn, trust: Barnard Coll; trust: Neurosciences Research Fdn, Mt Sinai Hosp Med Ctr & Med Sch, NY Univ Law Ctr Fdn, Olive Free Library; dir: Catskill Ctr Conservation Devel; mem coun: Rockefeller Univ; mem: Bretton Woods Comm, Women's Forum, Counc Foreign Rels, NY City Bar Assn, NY Bar Assn, Am Bar

Assn, NY Gov's Task Force Life & Law *PHIL AFFIL* trust: Guggenheim (John Simon) Meml Fdn; chmn, trust, mem fin & admin comm: Carnegie Corp of NY  
**Roswell B. Perkins:** dir *B* Boston MA 1926 *ED* Harvard Univ AB 1945, JD 1949 *CURR EMPL* atty, ptrn: Debevoise Plimpton Lyon & Gates *CORP AFFIL* dir: Fiduciary Trust *NONPR AFFIL* dir: Sch Am Ballet NYC; mem: Am Bar Assn, NY St Bar Assn; fellow: Am Bar Fdn; pres: Am Law Inst  
**Charles Addison Sanders:** dir *B* Dallas TX 1932 *ED* Univ TX MD 1955 *CURR EMPL* vchmn: Squibb Corp; ceo: Glaxo *CORP AFFIL* dir: Merrill Lynch & Co *NONPR AFFIL* mem: Am Soc Clinical Investigation, Am Physiological Soc, Inst Medicine, Natl Academy Sciences, Am Coll Physicians; mem editorial bd: New England Journal Medicine; mem: Am Federation Clinical Research, Am Coll Cardiology, Soc Hosp Admns *PHIL AFFIL* treas: Day (Cecil B) Fdn  
**Blenda J. Wilson:** dir *CURR EMPL* chancellor: Univ MI Dearborn  
**Thomas Walter Moloney:** sr vp *B* New York NY 1946 *ED* Colgate Univ BA 1967; Columbia Univ MA 1970, MPH 1973, MBA 1975 *NONPR AFFIL* dir: Natl Bd Med Examiners, New England Med Ctr; chmn bd dirs: Grantmakers Health; mem: Inst Medicine, Natl Academy Sciences, Am Assn Advancement Science; assoc: Health Service Research; mem health adv comm: Gen Accounting Off; mem adv coun: Med Sch Univ CA (Davis)  
**John E. Craig, Jr.:** vp, treas  
**Adrienne A. Fisher:** grants mgr

### APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** Applicant should submit a letter in triplicate outlining the issue to be addressed.  
**Include Information On:** Include a description of the nature and importance of the issue; approach to be developed, implemented, or tested; utility of the project; work plan; amount requested; criteria for measuring the project's success or failure; and qualifications of the person(s) who would direct the project.  
**Deadlines:** Applicants may send requests any time.  
**Review Process:** Applications are reviewed by the staff to judge merit. Applicants will be notified within one month of initial review. Those viewed favorably are reviewed and voted upon by the board of directors at board meetings in April, July, and November.  
**Note:** The foundation does not fund individuals, or make grants for general support, buildings, renovations of facilities, or major equipment.  
**Foundation Publications:** annual report

### GRANTS ANALYSIS

Total Grants: \$10,553,889  
 Number of Grants: 134\*  
 Average Grant: \$70,499\*  
 Highest Grant: \$555,000\*  
 Typical Range: \$25,000 to \$200,000\*  
 Disclosure Period: fiscal year ending June 30, 1989  
 Note: Figures include grants made from the president's discretionary fund (30 grants for \$500,000) and do not include fellowships and matching grants, which totaled \$220,256.

### RECENT GRANTS

**Arts & Humanities**  
 20,000 Educational Film Center, Annandale, VA — for a film treatment of the professional life of John W. Gardner

**Civic & Public Affairs**  
 270,000 Manpower Demonstration Research Corporation, New York, NY — evaluation of the career beginnings program  
 100,000 Louis Harris and Associates, New York, NY — study of older people's attitudes toward work

- 86,000 Executive Office of Public Safety of the Commonwealth of Massachusetts, Boston, MA — for the Massachusetts saving lives program  
 75,000 ICF, Fairfax, VA — to study the economic contribution of older workers  
 63,000 City of Lowell, MA — for the Massachusetts saving lives project

**Education**

- 376,500 University of Rochester, NY — for the Commonwealth Fund executive nurse fellowship program  
 317,500 University of Rochester, NY — for the Commonwealth Fund executive nurse fellowship program  
 250,000 Brandeis University, Waltham, MA — development and management of the career beginnings program  
 250,000 Johns Hopkins University, School of Hygiene and Public Health, Baltimore, MD — for the Commonwealth Fund commission on elderly people living alone  
 125,000 Rockefeller University, New York, NY — for the Commonwealth Fund book program  
 112,500 Johns Hopkins University, School of Hygiene and Public Health, Baltimore, MD — "Living Alone Successfully" program  
 100,000 Johns Hopkins University, School of Hygiene and Public Health, Baltimore, MD — support for financing home care for frail elderly people

**Health**

- 555,000 Beth Israel Hospital, Boston, MA — for the Picker/Commonwealth patient-centered care program  
 337,000 Beth Israel Hospital, Boston, MA — for the Picker/Commonwealth patient-centered care program  
 295,000 National Medical Fellowships, New York, NY — for the Commonwealth Fund fellowship program in academic medicine for minority students  
 220,000 National Academy of Sciences, Institute of Medicine, Washington, DC — to develop a national research agenda on aging  
 207,000 Ramsey County Public Health Department, St. Paul, MN — for a project of the living-at-home program  
 180,000 Northwestern University, Center for Health Services and Policy Research, Evanston, IL — an evaluation of the living-at-home program  
 170,000 Association of American Medical Colleges, Washington, DC — for better policy analysis capability for teaching hospitals  
 135,000 Hospital Research and Education Trust, Chicago, IL — to address the nursing shortage  
 80,000 New York University, NY — to improve the ambulance service in New York City  
 74,000 Boston University Hospital, MA — for medical center

**Social Services**

- 75,000 Children's Defense Fund, Washington, DC — for a program concerning adolescent development and the prevention of pregnancy

**FINANCIAL SUMMARY**

**Recent Giving:** \$3,306,653 (1989); \$1,824,117 (1988); \$2,442,406 (1987)  
**Assets:** \$63,575,551 (1989); \$52,711,695 (1988); \$46,020,443 (1987)  
**Gifts Received:** \$112,338 (1987)  
**Fiscal Note:** In 1987, the foundation received contributions totaling \$112,338 from Randolph P. Compton of New York City.

**CONTRIBUTIONS SUMMARY**

**Type of Foundation:** family  
**Major Priority:** civic affairs, with emphasis on environmental issues, and educational interests  
**Geographic Distribution:** national, with complementary regional programs  
**Grant Types:** conference/seminar, endowment, fellowship, general support, project, research, and scholarship

**DONOR INFORMATION**

The Compton Foundation was established in 1973 to serve the public welfare. The organization it succeeded, the Compton Trust, was a charitable trust created in 1946 by members of the Compton family to coordinate family gifts to community, national, and international programs. The trust's founders were Dorothy D. Compton (1895-1974), W. Danforth Compton (1919-1955), Randolph P. Compton (1892-1987), James R. Compton, and Ann C. Stephens.

**FOUNDATION PHILOSOPHY**

The Compton Foundation combines a general program, which is national in scope, with two regional programs. A key component of the foundation's philosophy is its interest in service at the community level. The two regional programs, which are centered on the East and West Coasts, reflect the interests of the foundation's directors within their communities. The general program's interests are often global in range, but overlap with regional programs in that funding may be given to local chapters of international organizations. Civic support currently includes research and education on arms control, international relations, population growth, environmental quality, preservation of natural resources, and protection of individual rights. Educational support focuses on equal opportunity through grants to schools, colleges, and related research and teaching projects. Social service support is concentrated on providing adequate social, health, mental health, and youth services at the community level. Cultural support favors those organizations promoting community participation and individual development. The foundation also provides support for churches and religious programs.

**CONTRIBUTIONS ANALYSIS**

In 1988, about 45% of funds were given in the area of civic and public affairs, with a concentration on environmental affairs. The foundation gave approximately 27% to educational interests; social services and cultural organizations received 15% and 12%, respectively. The remainder of funding went to international affairs, health, religion, and the sciences.

**TYPICAL RECIPIENTS**

**Arts & Humanities:** arts institutes, dance, museums/galleries, music, and performing arts  
**Civic & Public Affairs:** environmental affairs, international affairs, law & justice, and public policy  
**Education:** arts education, colleges & universities, education funds, international exchange, international studies, public education (precollege), special education, and student aid  
**Social Services:** aged, animal protection, child welfare, community service organizations, counseling, delinquency & crime, drugs & al-

**Compton Foundation****CONTACT**

James R. Compton, President  
 Compton Foundation  
 525 Middlefield Road, Suite 115  
 Menlo Park, California 94025  
 (415) 328-0101



- 50,000 Greater Houston Sports Foundation, TX — staffing and money to help in bidding on sports events
- 40,000 YMCA of Greater Houston, TX — \$15 million second century development campaign
- 30,000 Young Life, Houston, TX — urban program

## Culpeper (Charles E.) Foundation

### CONTACT

Linda E. Jacobs  
Program Director  
Charles E. Culpeper Foundation  
Ten Stamford Forum, 8th Floor  
Stamford, Connecticut 06901  
(203) 975-1240

### FINANCIAL SUMMARY

Recent Giving: \$6,461,481 (1989); \$5,752,112 (1988); \$5,141,450 (1987)  
Assets: \$138,290,498 (1988); \$114,954,121 (1987)  
Gifts Received: \$1,762 (1989); \$1,481 (1988); \$1,587 (1987); \$1,962 (1985)

### CONTRIBUTIONS SUMMARY

**Type of Foundation:** general purpose  
**Major Priority:** model projects in areas of health, education, the arts, administration of justice, and youth  
**Geographic Distribution:** wide range of distribution within the United States  
**Grant Types:** capital, matching, multiyear/continuing support, project, research, and scholarship

### DONOR INFORMATION

The Culpeper Foundation was established through the will of Charles E. Culpeper, a pioneer in the bottling and marketing of Coca-Cola. He was born in Rome, Georgia, in 1874, and served as president and chairman of the Coca-Cola Bottling Company of New York. His will gave most of his fortune to establish the foundation. He requested that a portion of the principal be conserved for the benefit of future generations. The foundation was established when he died in 1940.

### FOUNDATION PHILOSOPHY

The foundation has established a medical scholarship program to provide assistance to certain well-qualified physicians who have a high potential for making a significant contribution to medical science. The purpose of the program is to provide up to three years of support, including core research expenses, to the selected physicians for specifically described research.

Foundation support for educational programs, other than those in the medical area, is directed primarily toward undergraduate liberal arts and sciences at private institutions of higher learning. The foundation also gives aid to foreign language teaching programs, particularly those using new technologies, to programs in international and non-western studies, to teaching programs in mathematics, to automation of college libraries and the creation of consortia, and to programs for preservation of library materials.

### CONTRIBUTIONS ANALYSIS

In 1989, the foundation gave 53% of its funding to education, primarily to higher education and medical education. The arts received 18% of giving, and civic and public affairs, 10%. Health, primarily hospitals, received 9%, while social services received 6%. Scientific institutes received 3%, with the remaining 1% going to churches and religious organizations.

### TYPICAL RECIPIENTS

**Arts & Humanities:** arts associations, arts centers, arts institutes, dance, history/historic preservation, libraries, museums/galleries, music, opera, public broadcasting, and theater

**Civic & Public Affairs:** environmental affairs, international affairs, and law & justice

**Education:** colleges & universities, education associations, education funds, faculty development, international studies, legal education, medical education, private education (precollege), science/technology education, and special education

**Health:** hospitals, single disease health associations, and medical research

**Religion:** churches and religious organizations

**Science:** scientific institutes

**Social Services:** child welfare, homes, shelters/homelessness, and youth organizations

### OFFICERS AND DIRECTORS

**Francis Joseph McNamara, Jr.:** chmn bd dirs *B* Boston MA 1927 *ED* Georgetown Univ AB 1949, LLB 1951 *CURR EMPL* ptrn: Cummings & Lockwood *NONPR AFFIL* trust: Fairfield Univ: fellow: Am Coll Trial Lawyers, Am Bar Fdn; mem: Am Bar Assn, Am Law Inst, Fed Bar Assn, CT Bar Assn, Navy League US, Knights Malta, Knights St Gregory Great

**Philip M. Drake:** vp, secy, treas, dir

**Helen D. Johnson:** dir

**Joseph F. Fahey, Jr.:** dir *B* Stamford CT 1925 *ED* Univ Notre Dame BA 1949; Univ CT 1951; Northwestern Univ 1960; Columbia Univ 1965 *CURR EMPL* pres: Stamford Devel Corp *NONPR AFFIL* pres, dir: Stamford Hosp; regent, treas: St Mary's Coll; chmn: Stamford Econ Assistance Corp; mem: Mortgage Bankers Assn, Am Bankers Assn, CT Bankers Assn, CT Chamber Commerce, Conf Bd, Southwestern Area Commerce & Industry Assn *PHIL AFFIL* trust: Stamford Fdn

**Colin Goetze Campbell:** dir *B* New York NY 1935 *ED* Cornell Univ AB 1957; Columbia Univ JD 1960 *CURR EMPL* pres: Wesleyan Univ *CORP AFFIL* dir: Middlesex Mutual Assurance Co, Pitney Bowes, Hartford Steam Boiler Inspection & Ins Co; corporator: Liberty Bank Savings *NONPR AFFIL* dir: Middlesex Meml Hosp; trust: Inst Architecture & Urban Studies

**John A. Huston:** dir

**John C. Rose:** dir

**Michael G. Ulasky:** comptr

### APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** Application forms and guidelines are available upon request.

**Include Information On:** Letters should provide a description of the project and its purpose, a detailed budget, and a copy of the IRS tax-exempt determination letter.

**Deadlines:** There are no deadlines for submitting proposals.

**Review Process:** If the project falls within the scope of the foundation's interests and if there is a possibility that the project will be funded, the applicant will be asked to furnish more detailed information. Interviews and on-site visits are made at the foundation's discretion only after receiving pertinent materials.

**Note:** No grants are made to individuals, or for conferences, conduit organizations, operating budgets, travel, or loans. Funding for endow-

ment or building funds is limited. Grants made for programs, general support, and capital needs are disbursed over a period of one to three years. Grants are made only within the United States. There are no specific dollar limitations.

## GRANTS ANALYSIS

Total Grants: \$6,461,481  
 Number of Grants: 229  
 Average Grant: \$28,216  
 Highest Grant: \$250,000  
 Typical Range: \$5,000 to \$25,000 and \$50,000 to \$150,000  
 Disclosure Period: 1989

## RECENT GRANTS

### Arts & Humanities

- 250,000 WGBH Boston, MA — "Inside Gorbachev's USSR"
- 150,000 National Gallery of Art, Washington, DC — training fellowships in conservation
- 125,000 Carnegie Hall, New York, NY — choral masters workshops
- 100,000 Lincoln Center for the Performing Arts, New York, NY — technical workshop of Lincoln Center Institute

### Civic & Public Affairs

- 113,000 Governance Institute, Washington, DC — judicial and legislative interaction study
- 100,000 Foundation Center, New York, NY — to the center's major gifts campaign
- 75,000 Administrative Conference of the United States, Washington, DC — program to enhance consensual dispute resolution

### Education

- 250,000 Rockefeller University, New York, NY — neuroscientific research project
- 233,373 Association of American Medical Colleges, Washington, DC — to assess the state of curricular revisions in U.S. medical schools
- 150,000 Bowdoin College, Brunswick, ME — library consortium comprised of Bates, Bowdoin, and Colby Colleges
- 124,610 Dartmouth Medical School, Hanover, NH — curriculum reform
- 110,000 Grinnell College, IA — language laboratory
- 108,000 Baylor College of Medicine, Houston, TX — Charles E. Culpeper scholarship in medical science
- 108,000 Duke University, Durham, NC — Charles E. Culpeper scholarship in medical science
- 108,000 New York University Medical Center, NY — Charles E. Culpeper scholarship in medical science
- 108,000 University of California, San Francisco, CA — Charles E. Culpeper scholarship in medical science
- 108,000 University of Texas, Health Science Center, Dallas, TX — Charles E. Culpeper scholarship in medical science
- 108,000 Vanderbilt University, Nashville, TN — Charles E. Culpeper scholarship in medical science
- 103,773 Oregon Health Sciences University School of Medicine, Portland, OR — curriculum review
- 101,000 Swarthmore College, PA — tri-college library consortium of Bryn Mawr, Haverford, and Swarthmore
- 100,000 Widener University, Chester, PA — library automation

### Health

- 110,000 New England Medical Center, Boston, MA — nursing program
- 50,000 Hospital for Special Surgery, New York, NY — amputee rehabilitation program
- 50,000 St. Francis Hospital, Roslyn, NY — equipment purchase

### Science

- 150,000 Bermuda Biological Station for Research, Bermuda — toward purchase of a research vessel

### Social Services

- 25,000 Flowers with Care, Astoria, NY — juvenile offenders program

## Cummings (Frances L. and Edwin L.) Memorial Fund Trust

### CONTACT

J. Andrew Lark, Trustee  
 Frances L. and Edwin L. Cummings Memorial Fund  
 c/o Lark and Sullivan  
 501 Fifth Avenue, Suite 2103-6  
 New York, New York 10017  
 (212) 986-6890

### FINANCIAL SUMMARY

Recent Giving: \$1,748,624 (fiscal 1988); \$1,694,948 (fiscal 1986)  
 Assets: \$25,746,836 (fiscal year ending July 31, 1988); \$28,224,938 (fiscal 1986)

### CONTRIBUTIONS SUMMARY

Type of Foundation: general purpose  
 Major Priority: medical research, with emphasis on cancer and aging populations; the handicapped; education; and human services  
 Geographic Distribution: primarily the New York metropolitan area  
 Grant Types: challenge, endowment, general support, and project

### DONOR INFORMATION

The fund was established by Frances L. and Edwin L. Cummings in 1982.

### FOUNDATION PHILOSOPHY

The foundation's philosophy is to assist organizations seeking to benefit "the health and well-being of mankind." The sole giving restriction is that the "cultural arts" may never be the recipient of foundation funds.

The six major fields of interest for the fund are as follows: clinical and scientific research, primarily medically related, with emphasis on cancer and aging; education and rehabilitation of the physically and/or medically handicapped; medical equipment for worthwhile health care institutions demonstrating special needs; campaigns to build endowments through the establishment of challenge grants; youth-related concerns, especially child abuse prevention; and higher education, particularly for students from disadvantaged backgrounds.

The foundation generally does not approve grant requests for alcoholism and drug prevention projects.

### CONTRIBUTIONS ANALYSIS

In fiscal 1988, approximately 47% of giving went to social service organizations. Hospitals and other medical organizations received about 36% of giving, and educational organizations and civic organizations each received about 8% of giving.

- 50,000 Museum of Science and Industry, Chicago, IL — special fund  
 50,000 Colonial Williamsburg Foundation, VA — endowment fund

**Civic & Public Affairs**

- 50,000 Shedd Aquarium Society, Chicago, IL — capital fund  
 10,000 McDermott Foundation, Chicago, IL — capital fund

**Education**

- 2,032,188 University of Wisconsin Foundation, Madison, WI — special program  
 1,500,000 University of Illinois Foundation, Urbana, IL — endowment and capital funds  
 820,000 University of Wisconsin Foundation, Madison, WI — capital and research funds  
 100,000 Phillips Exeter Academy, Exeter, NH — observatory project  
 100,000 Illinois Institute of Technology, Chicago, IL — capital fund  
 25,000 Delta Tau Delta Educational Foundation, Indianapolis, IN — special program fund  
 10,000 Canterbury School of Florida, St. Petersburg, FL — operating funds  
 10,000 Southern Illinois University, Carbondale, IL — capital fund

**Health**

- 100,000 Rush-Presbyterian-St. Luke's Medical Center, Chicago, IL — endowment fund  
 5,000 Friends of Fermilab, Batavia, IL — special program fund

**Religion**

- 15,000 Community Church of Wilmette, IL — special program fund  
 15,000 Kenilworth Union Church, Kenilworth, IL — special program fund

**Social Services**

- 150,000 Presbyterian Home, Evanston, IL — endowment fund  
 50,000 Chicago Christian Industrial League, IL — special program fund  
 50,000 YMCA of Metropolitan Chicago, IL — capital campaign  
 20,000 Leaning Tower YMCA, Niles, IL — capital fund  
 5,000 Youth Job Center of Evanston, IL — operating fund

**Grant (William T.) Foundation****CONTACT**

Robert Johns Haggerty, President  
 William T. Grant Foundation  
 515 Madison Avenue  
 New York, New York 10022  
 (212) 752-0071

**FINANCIAL SUMMARY**

Recent Giving: \$6,758,322 (1990 est.); \$5,749,523 (1989); \$5,877,004 (1988); \$4,404,581 (1987)  
 Assets: \$163,600,000 (1990 est.); \$154,309,000 (1989); \$130,799,502 (1988); \$127,427,233 (1987)  
 Gifts Received: \$14,359,804 (1986)

**Fiscal Note:** The giving figures above include expenditures of \$401,629 in 1989 and \$304,431 in 1988 for the William T. Grant Commission on Youth. The foundation's objective is 6% annual asset growth.

**CONTRIBUTIONS SUMMARY**

**Type of Foundation:** special purpose  
**Major Priority:** research and evaluation of childhood stress and education; research projects that address the problems of adolescents' transition to adulthood  
**Geographic Distribution:** international, national  
**Grant Types:** endowment, conference/seminar, fellowship, project, and research

**DONOR INFORMATION**

The William T. Grant Foundation, formerly the Grant Foundation, was established in 1936 by William T. Grant. In 1906, Mr. Grant founded the W. T. Grant Company, which became a nationwide chain of retail stores.

**FOUNDATION PHILOSOPHY**

The foundation focuses on five major areas of research on school-age children's mental health issues: stress and coping, problem behavior and mental health, the psychological consequences of chronic physical disease, school-age pregnancy, and school-related programs. The foundation is committed to supporting research that aims to improve the mental health and functioning of school-age children. In addition, the foundation has introduced a new focus on research projects that address the problems of adolescents' transition to adulthood.

**CONTRIBUTIONS ANALYSIS**

Approximately 59% of funding went to health-related programs. Educational programs received about 20%, and roughly 10% each was allotted to the areas of civic and public affairs and the social services.

**TYPICAL RECIPIENTS**

**Civic & Public Affairs:** civil rights, public policy, urban & community affairs, and women's affairs

**Education:** career/vocational education, minority education, colleges & universities, education associations, elementary education, international studies, medical education, social sciences education, and special education

**Health:** health funds, health organizations, hospitals, medical research, and pediatric health

**International:** foreign educational institutions

**OFFICERS AND DIRECTORS**

**Robert P. Patterson, Jr.:** chmn bd trusts B New York NY 1923 ED Harvard Univ AB 1947; Columbia Univ LLB 1950 CURR EMPL atty, ptrn: Patterson Belknap Webb & Tyler NONPR AFFIL mem: Senators Judicial Screening Panel; chmn: Prisoners Legal Services NY; trust: Vera Inst Justice, New Sch Social Research; dir: Legal Aid Soc; mem: Am Bar Assn, NY St Bar Assn, Assn Bar City NY, NY County Lawyers Assn, Am Law Inst, Am Judicature Soc, Counc Foreign Rels, Rockefeller Univ Counc; mem exec comm: Lawyers Comm Civil Rights Under Law

**Robert Johns Haggerty:** pres, trust B Saranac Lake NY 1925 ED Cornell Univ BA 1946, MD 1949 CURR EMPL clinical prof pediatrics; Cornell Univ Med Sch NONPR AFFIL mem: Assn Med Sch Pediatric Dept Chairmen, Am Assn Poison Control Ctrs, Am Academy Pediatrics, Am Pediatric Soc, Ambulatory Pediatric Assn, Assn Am Med Colls, Intl Epidemiology Assn, Soc Pediatric Research, Inst Med; mem visiting comm: Harvard Univ Grad Sch Ed PHIL AFFIL dir (gen pediatrics academy devel program); Johnson (Robert Wood) Fdn  
**William Hardenbergh Chisholm:** trust, treas B New York NY 1917 ED Yale Univ AB 1940 CURR EMPL chmn, dir: Boardroom Consultants Inc CORP AFFIL dir: Lescarden, TER Industries Corp, Unified Data Products NONPR AFFIL trust: Westminster Kennel Fdn; vp, trust: Episcopal Church Bldg Fund

**Lonnie R. Sherrod:** vp programs  
**Eileen Dorann:** contr  
**Mary Goodley-Thomas:** vp, fin and admin  
**William Bevan:** trust emeritus B Plains PA 1922 ED Franklin & Marshall Coll AB 1942; Duke Univ MA 1943, PhD 1948 CURR EMPL prof psychology; Duke Univ NONPR AFFIL trust: Human Rights Resources Research Org; mem adv bd: Univ VA Ctr Advanced Study, Univ Chicago Sch Med, Human Resources Research Org, Am Psychological Fdn, Jackson Meml Lab; fellow: Am Psychological Assn, Am Assn Advancement Science; mem: Inst Medicine Natl Academy Science, Southern Soc Philosophy & Psychology, Am Ecological Soc, Psychonomic Soc, History Science Soc, Soc Experimental Psychologists PHIL AFFIL vp, dir (health program); MacArthur (John D & Catherine T) Fdn  
**Ellis T. Gravette, Jr.:** trust  
**Beatrice Ann Hamburg, MD:** trust B Jacksonville FL 1923 ED Vassar Coll AB 1944; Yale Univ MD 1948 CURR EMPL prof (psychiatry & pediatrics); Mount Sinai Med Sch NONPR AFFIL fellow: Am Academy Child Psychiatry; mem: Am Assn Advancement Science, Inst Med Natl Academy Sciences, Soc Profs Child Psychiatry, Soc Adolescent Med, Am Pub Health Assn, Soc Study Social Biology, Academy Research Behavioral Medicine, Comm Behavior Soc Natl Academy Sciences  
**Martha L. Minow:** trust  
**Henry W. Riecken:** trust B Brooklyn NY 1917 ED Harvard Univ AB 1939, PhD 1950; Univ CT MA 1941 CURR EMPL prof emeritus (behavioral sciences); Univ PA; assoc dir planning: Natl Library Medicine NONPR AFFIL fellow: Am Psychology Assn, Am Academy Arts & Sciences; mem: Am Sociology Assn, Am Assn Pub Opinion Research, Sociology Research Assn, Inst Med Natl Academy Sciences; chmn: Bureau Social Science Research; dir: Fdn Child Devel  
**Kenneth S. Roland:** trust  
**Rivington R. Winant:** trust  
**Thomas C. Barry:** trust

### APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** Applicants should submit a brief summary. If interested, the foundation will request supplementary information, along with six copies of the application.

**Include Information On:** Include proof of tax-exempt status and a description of the nature of the project, its methodology, financial needs, and other pertinent data.

**Deadlines:** Applications may be submitted any time. The board of trustees meets four times each year to review applications.

**Review Process:** Receipt of application is acknowledged by the foundation. Interviews are granted following the review of the application.

**Note:** Except under the Faculty Scholars Program, no grants are made to individuals. The foundation does not fund deficit financing, annual fund-raising campaigns, nonmonetary needs, land acquisition, renovation projects, capital projects, matching grants, or operating budgets of a continuous nature.

**Foundation Publications:** annual report

### GRANTS ANALYSIS

Total Grants: \$4,404,581  
 Number of Grants: 245  
 Average Grant: \$17,978  
 Highest Grant: \$150,779  
 Typical Range: \$10,000 to \$50,000  
 Disclosure Period: 1987

### RECENT GRANTS

#### Education

309,148 Columbia University, New York, NY — coping with junior high school evaluation of a skills-training program

309,148 Columbia University, New York, NY — coping with junior high school evaluation of a skills-training program  
 225,000 National Medical Fellowships, New York, NY — minority medical education  
 225,000 National Medical Fellowships, New York, NY — minority medical education  
 200,000 Columbia University, New York, NY — behavioral pediatric residency training program  
 200,000 Columbia University, New York, NY — behavioral pediatric residency training program  
 175,000 University of Utah, Salt Lake City, UT — Faculty Scholars Program in mental health of children  
 175,000 University of Utah, Salt Lake City, UT — Faculty Scholars Program in mental health of children  
 10,000 University of Louisville, Health Sciences Center, KY — determinants of risk and resilience in first-grade children  
 10,000 University of Louisville, Health Sciences Center, KY — determinants of risk and resilience in first-grade children

#### Health

317,975 National Jewish Hospital — assessment of psychological and physiological stress in children of high genetic risk for the development of asthma  
 317,975 National Jewish Hospital — assessment of psychological and physiological stress in children of high genetic risk for the development of asthma  
 240,188 Cornell University, Ithaca, NY — stress, social support, and the response to ecological transition by school-aged children  
 240,188 Cornell University, Ithaca, NY — stress, social support, and the response to ecological transition by school-aged children  
 175,000 University of Michigan, Ann Arbor, MI — Faculty Scholars Program in mental health of children  
 175,000 University of Michigan, Ann Arbor, MI — Faculty Scholars Program in mental health of children  
 50,000 Columbia University, New York, NY — a study of coping in childhood cancer at times of high and low illness-related stress  
 50,000 Columbia University, New York, NY — a study of coping in childhood cancer at times of high and low illness-related stress

#### Social Services

242,607 Pennsylvania State University, State College, PA — stress, coping, and temperament in school-age children  
 242,607 Pennsylvania State University, State College, PA — stress, coping, and temperament in school-age children  
 225,000 Center for Population Options, Washington DC — evaluation of the on-campus clinic model for reducing adolescent pregnancy  
 225,000 Center for Population Options, Washington DC — evaluation of the on-campus clinic model for reducing adolescent pregnancy  
 224,867 Girls Clubs of America — preventing adolescent pregnancy  
 224,867 Girls Clubs of America — preventing adolescent pregnancy

## Grassmann (E. J.) Trust

### CONTACT

William V. Engel  
 Executive Director  
 E. J. Grassmann Trust  
 P.O. Box 4470  
 Warren, New Jersey 07060  
 (201) 753-2440

Theodore Hart Mecke, Jr.: trust *B Philadelphia PA 1923 ED La Salle Coll 1941 CURR EMPL* pres: Hartwood Assocs *CORP AFFIL* dir: Comerica, Comerica Bank-Detroit, Detroit Legal News *NONPR AFFIL* adv mem: Arts Comm-City Detroit; vp, dir: Detroit Un Fund Marianne Swartz: trust

## APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** Applicants should send a brief letter, signed by a senior officer of the requesting organization.

**Include Information On:** The letter of request should include a brief description of the organization; description of the proposed program, including an explanation of its importance and a clear statement of its goals; detailed income and expense budget for the program; potential sources of other funding; and amount requested and time period during which the funds will be used. Proof of the organization's tax-exempt status is required.

**Deadlines:** Grant requests should be submitted by April 15, August 15, or December 15. Requests received after these dates are reviewed during the next period.

**Note:** The foundation does not make grants for endowments, fund-raising social events, conferences, or exhibits. Also, the foundation does not fund individuals, except under the Hudson-Webber program for Hudsonians. Programs outside the foundation's geographical area of interest are a low priority.

**Foundation Publications:** annual report

## GRANTS ANALYSIS

Total Grants: \$3,579,400\*

Number of Grants: 82\*

Average Grant: \$43,651\*

Highest Grant: \$400,000

Typical Range: \$1,000 to \$15,000 and \$25,000 to \$100,000

Disclosure Period: 1989

**Note:** Figures exclude grants to employees and former employees of J.L. Hudson Company and their dependents and grants honoring retired trustees.

## RECENT GRANTS

### Arts & Humanities

- 300,000 Save Orchestra Hall, Detroit, MI — restoration of Orchestra Hall
- 75,000 Edison Institute, Dearborn, MI — building improvements at Henry Ford Museum
- 35,000 Michigan Association of Community Arts Agencies, Grand Rapids, MI — strategic planning program for Michigan's smaller arts organizations
- 25,000 Music Hall Center for the Performing Arts, Detroit, MI — comprehensive strategic planning
- 24,000 Detroit Historical Society, MI — comprehensive strategic planning
- 13,000 Music Hall Center for the Performing Arts, Detroit, MI — general program support
- 5,000 Edison Institute, Dearborn, MI — general program support of Greenfield Village and Henry Ford Museum

### Civic & Public Affairs

- 125,000 Central Business District Foundation, Detroit, MI — light up Detroit project
- 100,000 Focus: HOPE, Detroit, MI — center for advanced technology
- 100,000 Detroit Zoological Society, MI — construction of chimpanzee exhibit
- 75,000 New Detroit, MI — Detroit Neighborhood Housing Services program
- 50,000 International Exchange Council, Detroit, MI — minority business export trade assistance program
- 5,000 Detroit Zoological Society, MI — general program support

## Education

- 150,000 Wayne State University, Detroit, MI — research building for Wayne State's Medical School
- 60,000 University Cultural Center Association, Detroit, MI — development implementation plan for Vernors area
- 60,000 Detroit Public Schools, MI — for programs at Webber Middle School
- 30,000 University Cultural Center Association, Detroit, MI — cultural center consultation
- 20,000 University Cultural Center Association, Detroit, MI — development strategy for Woodward Corridor

## Health

- 400,000 Detroit Medical Center, MI — campus landscaping
- 250,000 Children's Hospital of Michigan, Detroit, MI — new century project
- 250,000 Harper-Grace Hospitals, Detroit, MI — cancer institute at Detroit Medical Center, cardiology program
- 200,000 Hutzel Hospital, Detroit, MI — Kresge Eye Institute
- 74,000 Harper-Grace Hospitals, Detroit, MI — cancer institute at Detroit Medical Center, colon cancer center
- 50,000 Greater Detroit Area Health Council, MI — AIDS consortium program director
- 35,000 Children's Hospital of Michigan, Detroit, MI — physician referral service

## Social Services

- 150,000 United Foundation, Detroit, MI — operating funds for member agencies
- 75,000 Out-Wayne County Human Services, Northville, MI — expansion of youth assistance program
- 65,000 Community Foundation for Southeastern Michigan, Detroit, MI — general program support
- 39,000 Detroit Recreation Department, MI — Detroit youth restitution program
- 35,000 United Foundation, Detroit, MI — Urban Progress Fund for New Detroit

## Hughes (Howard) Medical Institute

### CONTACT

Joseph G. Perpich, M.D.  
Vice President for Grants and Special Programs  
Howard Hughes Medical Institute  
6701 Rockledge Drive  
Bethesda, Maryland 20817  
(301) 571-0335

**Note:** Information on graduate programs may be obtained from Barbara Filner, Ph.D. Information on the undergraduate program may be obtained from Stephen A. Barkanic. Information on the assessment program may be obtained from David Davis-Van Atta.

### FINANCIAL SUMMARY

**Recent Giving:** \$238,448,000 (fiscal 1989)

**Assets:** \$6,432,000,000 (fiscal year ending August 31, 1989)

**Fiscal Note:** The institute's recent giving figure is comprised of the Medical Research Program (\$196,561,000) and Grants and Special Programs (\$41,887,000).

### CONTRIBUTIONS SUMMARY

**Type of Foundation:** special purpose (medical research)  
**Major Priority:** medical research; graduate and undergraduate science education

**Geographic Distribution:** national and international  
**Grant Types:** fellowship, project, and research

## DONOR INFORMATION

The Howard Hughes Medical Institute was established as a medical research organization in 1953 by aviator-industrialist Howard R. Hughes. The institute was funded through its ownership of the Hughes Aircraft Company whose sole trustee was Mr. Hughes until his death in 1976. New trustees were appointed in 1984, and, in 1985, they decided to sell Hughes Aircraft Company to General Motors Corporation. The proceeds of that sale represent the basis of the institute's present endowment.

## FOUNDATION PHILOSOPHY

The Howard Hughes Medical Institute is a nonprofit scientific and philanthropic organization whose principal purpose is the direct conduct of medical research. According to the institute's charter, "the primary purpose of the Howard Hughes Medical Institute shall be the promotion of human knowledge within the field of the basic sciences (principally the field of medical research and medical education) and the effective application thereof for the benefit of mankind." The institute is qualified as a medical research organization, not as a private foundation, under the federal tax code. It administers a medical research program for the direct conduct of medical research and a grants program for support of science education.

Under the Medical Research Program, the institute employs over 200 scientific investigators in the fields of cell biology and regulation, genetics, immunology, neuroscience, and structural biology. These investigators conduct fundamental biomedical research at more than 40 academic medical centers, hospitals, and universities, and other research institutes throughout the United States. The institute strives to support outstanding researchers whose work addresses fundamental biomedical processes and shows promise for alleviating disease.

As a medical research organization, the institute is required to be involved in the "continuous, direct conduct of research in conjunction with hospitals." Until 1986 this requirement was met by the institute's employing investigators in research units at medical schools. Since then the institute has also been appointing, at a wide range of medical schools, universities, and research institutes, individual scientists who have meaningful scientific relationships with hospitals.

Scientific training and development are also part of the institute's medical research activities. Research experience for postdoctoral associates and graduate students is provided in the institute's laboratories. In addition, a joint program with the National Institutes of Health brings medical students to the facility in Bethesda, Maryland, for a year or more of full-time research.

In 1987, the institute established a grants program to help strengthen education in biology and related sciences, complementing its medical research activities. A principal objective of the grants program is to attract capable students to careers in biomedical research and education and thereby foster future scientific discovery. The emphasis of the grants program is on graduate and undergraduate science education.

A primary objective of the graduate program is to provide graduate level educational opportunities that will contribute to the continued strength and quality of the nation's pool of biomedical investigators. Graduate support is principally for fellowships awarded under three programs, each representing a different level of graduate study in biological sciences. In each program, special emphasis is placed on the institute's research areas, namely, cell biology and regulation, genetics, immunology, neuroscience, and structural biology.

The objective of the Predoctoral Fellowships in Biological Sciences program is to support high quality graduate education for outstanding prospective researchers. Under this program, the institute awards up to 66 fellowships annually for a maximum of five years of full time study toward a Ph.D. or Sc.D. degree in biological sciences.

Medical Student Research Training Fellowships are designed to expand the pool of medically trained researchers, providing support for highly promising medical students to explore a career in research. Up

to 60 students at U.S. medical schools annually can be supported for a year of full time fundamental laboratory research at an academic or research institute in the U.S.

The goal of the Postdoctoral Research Fellowships for Physicians program is to support the research training of outstanding young physicians, to allow them to emerge as highly competent and competitive physician-scientists. Each year the program provides up to 25 fellowships for three years of training in fundamental research at any laboratory offering an appropriate research and training environment. The goal of the institute's Undergraduate Biological Sciences Education Initiative is to strengthen the national quality of college level programs in biology and related sciences, and attract and retain students in careers in scientific research and education. Undergraduate awards are made directly to colleges and universities on the basis of peer review of invited proposals in four program areas.

In the area of student development and broadening access in the sciences, support is provided to encourage undergraduates, especially minority students and women, to pursue advanced study and careers in the sciences. Awardee institutions may employ a range of approaches that includes providing students with hands-on research experience, creating or revising introductory and upper division laboratory courses, and providing special courses and seminars.

Under the faculty-development area, the institute supports programs that recruit new science faculty, encourage faculty scientists to develop and teach undergraduate science courses, and involve undergraduates in faculty research programs.

The institute's funding for its curriculum and laboratory development program supports the creation or modification of science curricula, particularly in important emerging scientific fields, and the integration of biology with related disciplines of chemistry, physics, and mathematics. Grants are made to relate scientific research to undergraduate teaching and may include support for the acquisition of modern laboratory equipment.

Under its outreach and secondary school programs, the institute helps colleges and universities develop linkages in the sciences and mathematics with faculty and students of neighboring secondary and elementary schools, magnet schools, community and junior colleges, and other institutions. Programs may include laboratory research experiences for teachers and students, seminars, equipment loan programs, and other activities.

Each grants program initiative of the institute operates under individual requirements and criteria for support. Grants and fellowship support for the graduate and undergraduate programs are awarded on the basis of national competitions and peer review.

The institute has made exploratory grants in the areas of precollege science education and health sciences policy studies. A grant to the Board on Biology, Commission on Life Sciences of the National Research Council is supporting a national study of high school biology curricula. The Institute of Medicine received support to conduct policy studies on selected topics relevant to health sciences policy, such as technology transfer in biomedicine and the legal and ethical issues arising from the revolution in biology and advances in medicine.

The institute is developing a comprehensive program of assessment that will focus initially on the outcomes of grants in graduate and undergraduate education. It will also monitor trends in science education and resources for science, including public- and private-sector support. Assessments will focus on the impact of institute fellowship and grant awards, such as analysis of physician participation in research; long-term tracking of individuals and institutions, including undergraduate colleges; and other approaches.

## CONTRIBUTIONS ANALYSIS

In fiscal 1989, the institute gave 82% of total expenditures to its Medical Research Program and 18% to its Grants and Special Programs. Under the Grants and Special Programs area, 72% of giving went to undergraduate education, 20% to graduate education, 5% to health sciences policy studies, 2% to program assessment and special programs, and 1% to precollege science education.

**TYPICAL RECIPIENTS****Civic & Public Affairs:** public policy**Education:** colleges & universities, medical education, and science/technology education**Health:** medical research**Science:** scientific institutes and scientific organizations**OFFICERS AND DIRECTORS**

**Irving S. Shapiro:** chmn, trust *B* Minneapolis MN 1916 *ED* Univ MN BS 1939, LLB 1941 *CURR EMPL* atty, of coun: Skadden Arps Slate Meagher & Flom; former chmn, former ceo: E I duPont de Nemours & Co *CORP AFFIL* dir: AEA Investors; sr coun bd counselors: Bechtel Group; mem intl adv coun: Wells Fargo Bank

**Alexander Gordon Bearn, MD:** trust *B* Surrey England 1923 *ED* Univ London MB, BS 1946, MD 1951 *CURR EMPL* adjunct prof: Rockefeller Univ; former sr vp: Merck Sharp & Dohme Intl *NONPR AFFIL* trust: Rockefeller Univ; hon trust: Jackson Lab; mem: Inst Medicine, Am Philosophical Soc, Natl Academy Sciences, Assn Am Physicians, Am Soc Clinical Investigation, Am Soc Human Genetics, Genetics Soc Am, Am Soc Biological Chemists, Soc Experimental Biology & Medicine, Harvey Soc, Assn Physicians Great Britain & Ireland, Med Research Soc Great Britain; fellow: Royal Coll Physicians, Am Assn Advancement Sciences *PHIL AFFIL* trust: Whitney (Helen Hay) Fdn; dir: Macy (Josiah) Jr Fdn

**Helen K. Copley:** trust *B* Cedar Rapids IA 1922 *CURR EMPL* chmn, ceo: Copley Press *CORP AFFIL* chmn: Copley News Service; chmn editorial bd: Union-Tribune Publ Co; publ: San Diego Union, San Diego Tribune *NONPR AFFIL* life mem: San Diego Hall Science, Star India Auxiliary, Zoological Soc San Diego; hon chmn, mem bd dirs: Washington Crossing Fdn; life patroness: Makua Auxiliary; mem: Friends Intl Center, La Jolla Museum Contemporary Art, La Jolla Town Counc, San Diego Soc Natural History, Scripps Meml Hosp Auxiliary, YWCA, Inter Am Press Assn, Am Newspaper Publs Assn, CA Press Assn, Am Soc Newspaper Editors, Am Press Inst, CA Newspaper Publs Assn, Natl Press Club, Greater Los Angeles Press Club, San Diego Press Club, San Francisco Press Club *PHIL AFFIL* chmn, dir: Copley (James S) Fdn

**Frank William Gay:** trust *B* Provo UT *ED* Brigham Young Univ; *CO Coll CURR EMPL* former pres, former ceo: SUMMA Corp *NONPR AFFIL* vp, mem natl exec comm bd trusts: Boy Scouts Am; treas, secy, mem exec comm bd dirs: Polynesian Cultural Ctr; mem bd dirs: Assocs Grad Sch Bus Harvard Univ; mem natl adv coun & sustaining mem: Univ UT *PHIL AFFIL* mem bd dirs: Island Fdn

**James H. Gilliam, Jr.:** trust *B* Baltimore MD 1945 *ED* Morgan St Univ BA 1967; Columbia Univ JD 1970 *CURR EMPL* exec vp: Beneficial Corp *CORP AFFIL* chmn: Beneficial Natl Bank; dir: Bell Atlantic Corp *NONPR AFFIL* chmn: Goldey Beacom Coll; trust, mem bd dirs: Med Center DE; former chmn, dir: DE Chamber Commerce; mem bd overseers: DE Law Sch Widener Univ; mem: Am Bar Assn, Natl Bar Assn, DE Bar Assn

**Hanna Holburn Gray, PhD:** trust *B* Heidelberg Germany 1930 *ED* Bryn Mawr Coll AB 1950; Harvard Univ PhD 1957 *CURR EMPL* pres, prof: Univ Chicago *CORP AFFIL* dir: Cummins Engine Co, Morgan Guaranty Trust Co NY, JP Morgan & Co, Atlantic Richfield Co, Ameritech *NONPR AFFIL* trust: Bryn Mawr Coll; dir: Chicago Counc Foreign Rels, Ctr Advanced Study Behavioral Sciences; fellow: Am Academy Arts & Sciences; mem bd overseers: Harvard Univ; mem: Am Philosophical Soc, Renaissance Soc Am, Natl Academy Ed; hon fellow: Oxford Univ St Anne's Coll *PHIL AFFIL* trust: Mellon (Andrew W) Fdn; dir: Field Fdn IL; dir: Cummins Engine Fdn

**William R. Lummis:** trust *B* Houston TX 1929 *ED* Univ TX BA 1951, LLB 1953 *CURR EMPL* chmn: SUMMA Corp, Hughes Corp *CORP AFFIL* dir: NV Power Co; adm: Howard Hughes Estate *NONPR AFFIL* fellow: Am Coll Probate Counc; mem: Am Bar Assn, TX Bar Assn, Houston Bar Assn

**George W. Thorn, MD:** trust, chmn emeritus *B* Buffalo NY 1906 *ED* Coll Wooster 1923-25; Univ Buffalo MD 1929 *CURR EMPL* prof emeritus: Harvard Univ *NONPR AFFIL* consulting internist: Boston

Psychopathic Hosp; consultant: Children's Med Ctr, US Pub Health Service, US Army Med Services Grad Sch; fellow: Royal Coll Physicians London, Am Coll Physicians; former pres, mem: Am Clinical & Climatological Assn, Assn Am Physicians, Endocrine Soc; mem: Am Soc Clinical Investigation, Am Med Assn, Am Physiological Soc, Royal Soc Medicine, Am Academy Arts & Sciences, Royal Soc Medicine, Royal Academy Medicine Belgium, Interurban Clinical Club, Johns Hopkins Soc Scholars

**James D. Wolfensohn:** trust *B* Sydney Australia 1933 *ED* Univ Sydney BA 1954, LLB 1957; Harvard Univ MBA 1959 *CURR EMPL* pres: James D Wolfensohn Inc *CORP AFFIL* dir: CBS Inc *NONPR AFFIL* chmn: John F Kennedy Ctr Performing Arts; chmn bd dirs: Carnegie Hall Corp; chmn, trust: Inst Advanced Study; trust: Brookings Inst, Rockefeller Univ; mem bd dirs: Joint Ctr Political Studies; managing dir: Metro Opera Assn; mem bd govs: Joseph H Lauder Inst Mgmt & Intl Studies; mem bd: Intl Federation Multiple Sclerosis Soc; mem: Counc Foreign Rels *PHIL AFFIL* chmn: Botwinick-Wolfensohn Fdn

**Purnell W. Choppin, MD:** pres *B* Baton Rouge LA 1929 *ED* LA St Univ MD 1953 *NONPR AFFIL* mem bd dirs: Royal Soc Medicine Fdn; mem gov bd: Natl Research Counc; mem exec comm: Counc of Inst Medicine; fellow: Am Assn Advancement Sciences; mem: Natl Academy Sciences, Assn Am Physicians, Am Soc Clinical Investigation, Am Soc Microbiology, Harvey Soc, Am Assn Immunologists, Soc Experimental Biology & Medicine, Am Soc Cell Biology, Infectious Diseases Soc Am, Practitioners Soc NY, Am Clinical & Climatological Assn, Am Soc Virology, Am Academy Arts & Sciences, Am Philosophical Soc

**W. Maxwell Cowan, MD, PhD:** vp, chief scientific off *B* Johannesburg South Africa 1931 *ED* Witwatersrand Univ (Johannesburg) BSc 1951; Oxford Univ DPhil 1956; BM, BCh 1958; MA 1959 *CURR EMPL* vp, chief scientific off: Howard Hughes Med Inst *NONPR AFFIL* trust: Cold Spring Harbor Laboratory, Neuroscience Research Inst NY; adjunct distinguished prof: Johns Hopkins Univ Sch Medicine; editor: Annual Reviews Neuroscience; fellow: Am Academy Arts & Sciences, Royal Soc (London); mem: Natl Academy Sciences, Inst Medicine, Intl Brain Research Org, Am Assn Advancement Science, Anatomical Soc Great Britain & Ireland, Royal Microscopic Soc, Am Philosophical Soc, Am Assn Anatomists; former pres, mem: Soc Neuroscience; foreign mem: Norwegian Academy Sciences, Royal Soc South Africa

**Graham O. Harrison:** vp, chief investment off *B* Glen Ridge NJ 1923 *ED* Swarthmore Coll BA 1947; Harvard Univ MBA 1949 *CURR EMPL* vp, chief investment off: Howard Hughes Med Inst *CORP AFFIL* dir: Gen Reinsurance Corp; trust: Property Capital Trust *NONPR AFFIL* chmn investment comm: Swarthmore Coll; mem adv comm: NY St Common Retirement Fund

**Joseph G. Perpich, MD, JD:** vp grants & special programs *B* Hibbing MN 1941 *ED* Univ MN BA 1963, MD 1966; Georgetown Univ JD 1974 *CURR EMPL* vp (grants & special programs): Howard Hughes Med Inst *NONPR AFFIL* fellow: Am Psychiatric Assn; diplomate: Am Bd Psychiatry Neurology; mem adv bd: Am Bd Internal Medicine, Technology & Soc Intl Journal; mem editorial bd: Biotechnology Law Report; mem: Bar DC Court Appeals, Am Bar Assn, Am Intellectual Property Law Assn, Am Psychiatric Assn, Am Assn Advancement Science

**William T. Quillen:** vp, gen coun *B* Camden NJ 1935 *ED* Williams Coll BA 1956; Harvard Univ LLD 1959; Univ VA LLM 1982 *NONPR AFFIL* trust: Widener Univ; mem: Am Bar Assn, DE St Bar Assn

**Robert C. White:** vp, cfo *B* South Bend IN 1920 *ED* Yale Univ AB 1942; Harvard Univ MBA 1947 *CURR EMPL* vp, cfo: Howard Hughes Med Inst *CORP AFFIL* dir: Alliance Capital Mgmt Mutual Funds, St Clair Group Mutual Funds, Medstat Systems; consultant: Asarco, Monsanto Co *NONPR AFFIL* mem: Montgomery County Econ Adv Counc

**APPLICATION AND REVIEW PROCEDURES**

**Initial Contact:** For Grants and Special Programs, each of the institute's programs in graduate and undergraduate education has individual eligibility requirements, criteria for support, and methods of

application. Informational brochures, program announcements, and application forms should be consulted prior to contact. These materials are available upon request from the institute's Office of Grants and Special Programs.

**Deadlines:** For Grants and Special Programs, deadlines vary according to the particular program of interest. In the graduate program, deadlines for fellowships are as follows: Predoctoral Fellowships in Biological Sciences, early November; Medical Student Research Training Fellowships, early December; and Postdoctoral Research Fellowships for Physicians, early March. In the undergraduate program, the deadline for invited proposals is the first week of January. Program announcements should be consulted for the exact dates.

**Review Process:** For grants and special programs, applications for graduate fellowships and proposals for undergraduate grants are peer reviewed by panels of experts and an internal scientific committee. Based on these reviews, institute management submits grant recommendations for approval to the trustees for authorization of funding.

**Foundation Publications:** informational brochures, program announcements, and application guidelines

### GRANTS ANALYSIS

Total Grants: \$41,887,000\*

Number of Grants: 163

Average Grant: \$256,975\*

Highest Grant: \$2,000,000

Typical Range: \$20,000 to \$23,000 and \$1,000,000 to \$2,000,000\*

Disclosure Period: fiscal year ending August 31, 1989

Note: The total grants figure does not include \$196,561,000 expended by the institute for its Medical Research Program, bringing the total expenditure figure to \$238,448,000. The average grant figure for the graduate program is \$21,500, and for the undergraduate program, \$1,200,000. The typical range for the graduate program fellowships is \$20,000 to \$23,000; and for institutional grants in the undergraduate program, \$1,000,000 to \$2,000,000.

### RECENT GRANTS

#### Education

2,000,000	Cornell University, Ithaca, NY
2,000,000	Indiana University, Bloomington, IN
2,000,000	University of Chicago, IL
2,000,000	University of Colorado, CO
1,500,000	Colorado State University, Ft. Collins, CO
1,500,000	Duke University, Durham, NC
1,500,000	Tufts University, Medford, MA
1,500,000	University of Arizona, Tucson, AZ
1,500,000	University of Illinois at Urbana-Champaign, IL
1,500,000	University of North Carolina, Chapel Hill, NC
1,400,000	City College of the City University of New York, NY
1,200,000	Carnegie-Mellon University, Pittsburgh, PA
1,200,000	Case Western Reserve University, Cleveland, OH
1,200,000	New York University, NY
1,200,000	Ohio State University, Columbus, OH
1,200,000	Pennsylvania State University, University Park, PA
1,200,000	University of California, Davis, CA
1,200,000	University of California, Irvine, CA
1,200,000	University of California, San Diego, CA
1,200,000	University of Pennsylvania, Philadelphia, PA
1,200,000	University of Puerto Rico, Rio Piedras Campus, PR
1,200,000	University of Utah, Salt Lake City, UT
1,200,000	University of Wisconsin, Madison, WI
1,200,000	Wayne State University, Detroit, MI
1,000,000	Brown University, Providence, RI
1,000,000	College of William and Mary, Williamsburg, VA
1,000,000	Columbia University, New York, NY
1,000,000	Dartmouth College, Hanover, NH
1,000,000	Emory University, Atlanta, GA
1,000,000	Johns Hopkins University, Baltimore, MD

## Hunt (Roy A.) Foundation

### CONTACT

Torrence M. Hunt, Jr.

Trustee

Roy A. Hunt Foundation

One Bigelow Square, Suite 630

Pittsburgh, Pennsylvania 15219

(412) 281-8734

### FINANCIAL SUMMARY

Recent Giving: \$480,550 (fiscal 1989); \$428,000 (fiscal 1988); \$3,182,375 (fiscal 1987)

Assets: \$25,373,739 (fiscal year ending May 31, 1989); \$19,514,824 (fiscal 1988); \$19,918,353 (fiscal 1987)

### CONTRIBUTIONS SUMMARY

Type of Foundation: family

Major Priority: Carnegie-Mellon University for the Hunt Institute for Botanical Documentation; limited support to other educational institutions, civic groups, and religious organizations

Geographic Distribution: primarily Pittsburgh, PA

Grant Types: capital and general support

### DONOR INFORMATION

The Roy A. Hunt Foundation was established in 1966, with funds bequeathed by Roy A. Hunt, former president and chairman of the executive committee of Alcoa. Mr. Hunt was an alumnus of Shady Side Academy and Yale University, and a trustee of the Carnegie Institute of Technology (now Carnegie-Mellon University). Each of these institutions traditionally receives support from the foundation.

Mr. Hunt and his wife founded the Hunt Institute for Botanical Documentation at Carnegie-Mellon in 1961. This institute was formed to receive and supervise Mrs. Hunt's large botanical collections, and remains a substantial recipient of the foundation's annual grants. The late Mr. Hunt and members of his family also set up the Hunt Foundation (c/o Mellon Bank, N.A., P.O. Box 185, Pittsburgh, PA 15230), which gave \$544,789 in 1988.

### FOUNDATION PHILOSOPHY

The foundation primarily supports the institutions with which Mr. and Mrs. Hunt were involved.

### CONTRIBUTIONS ANALYSIS

In fiscal 1989, the foundation gave approximately 85% of its funding to educational institutions, primarily to Carnegie-Mellon University, with specified grants going to fund the Hunt Institute for Botanical Documentation. About 8% went to civic and public affairs, with the remaining 7% supporting the arts.

### TYPICAL RECIPIENTS

Arts & Humanities: museums/galleries and theater

Civic & Public Affairs: environmental affairs, international affairs, national security, philanthropic organizations, and zoos/botanical gardens

Education: colleges & universities and private education (precollege)



35,000	Lavaca County, Hallettville, TX — EMS vehicle
25,000	DeWitt County, Cuero, TX — EMS vehicle
25,000	City of Goliad, TX — EMS vehicle
15,000	City of Edna, TX — EMS equipment
10,000	City of Canado, TX — EMS radio system

**Religion**

45,000	St. Paul's Evangelical Lutheran Church, Wharton, TX — parsonage
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**Social Services**

95,000	City of El Campo, TX — community center
50,000	Lutheran Outdoor Ministry of Texas, Austin, TX — addition to senior citizens facility at LaGrange, Texas
20,000	Tender Loving Care, Victoria, TX — 15 passenger van
10,000	Wharton County Youth Fair, Wharton, TX — debt reduction

## Johnson (Robert Wood) Foundation

**CONTACT**

Edward H. Robbins  
 Proposal Manager  
 Robert Wood Johnson Foundation  
 College Road  
 P.O. Box 2316  
 Princeton, New Jersey 08543-2316  
 (609) 452-8701  
 Note: FAX: (609) 452-1865

**FINANCIAL SUMMARY**

Recent Giving: \$98,150,073 (1989); \$96,983,743 (1988); \$85,451,610 (1987)  
 Assets: \$2,608,347,000 (1989); \$2,054,534,000 (1988); \$899,614,612 (1987)

**CONTRIBUTIONS SUMMARY**

Type of Foundation: special purpose: health care  
 Major Priority: health care organizations  
 Geographic Distribution: national  
 Grant Types: challenge, fellowship, loan, matching, professorship, project, and scholarship

**DONOR INFORMATION**

Robert Wood Johnson, along with his brother J. Seward Johnson, built the small but innovative family firm of Johnson & Johnson into the world's largest health and medical products conglomerate. Involved also in politics, he advocated a larger role for women in politics and fought for environmental concerns. Although offered both the Republican and Democratic nominations for the Senate, he declined them both to pursue his own political philosophy—his responsibility toward society. The constant element in his vision was his sensitivity to the needs of the people who staff and use the larger structures of a society. "We build not only structures in which men and women of the future will work, but also the patterns of society in which they will work."

Robert Wood Johnson's other accomplishments included his service as a brigadier general, and his writings on the ethics and philosophy of business. During his lifetime he concentrated on improving patient care in hospitals.

Although Mr. Johnson established the foundation in 1936, national grant giving did not begin until 1972. Robert Wood Johnson died in

1968, leaving nearly \$1 billion in Johnson & Johnson stock to the foundation.

**FOUNDATION PHILOSOPHY**

Originally the foundation made grants to assist groups improving access to general medical and dental care and its public policy aspects. By 1980, the foundation perceived changes in both health care and organized philanthropy and refocused its efforts to fund projects to improve access to care for people with the most serious geographic, cultural, financial, and other barriers to care; to make arrangements for health care more effective and affordable; and to help people maintain or more quickly regain their functional abilities for everyday life.

In 1987, the foundation redirected its purpose to begin focusing upon improving health services; helping those groups most susceptible to disease; addressing individual health problems on a large scale; and promoting bold, creative approaches and solutions to health concerns. The foundation, therefore, has sought to explore and fund new areas of medical care concerned with infant, child, and adolescent welfare; chronic illness and disability, particularly among the elderly; AIDS concerns; substance abuse; mental illness; the organization and quality of health services; medical ethical issues; quality and availability of health professionals; and the problems arising from technological advances in medicine. Supported programs spanned the areas of education, social services, and civic affairs, yet all related to health interests. In 1989, the foundation announced that it was making available up to \$12 million to support research, evaluation, and demonstration projects that will assess the impact of major changes in the financing and organization of health services on health care costs, quality, and access to care. An additional \$3 million was made available in an effort to strengthen the nation's nursing services, supporting projects that address nursing manpower and educational development.

The foundation recently announced a program to reduce the demand for drugs and alcohol, the "Fighting Back" program, which is intended to mobilize all concerned community groups to assume responsibility for preventing substance abuse and treating abusers. Another foundation program, announced in 1990, will facilitate the integration and coordination of community resources to improve the care of children. In 1990, the foundation announced that it was making available up to \$3 million to stimulate and support research and demonstration projects that will identify new and practical mechanisms to assure the delivery of high quality patient care.

**CONTRIBUTIONS ANALYSIS**

In 1989, about 64% of foundation grants were given to health interests. Health-related educational and social service interests received 30%. Civic organizations received the remaining 6%.

**TYPICAL RECIPIENTS**

**Arts & Humanities:** public broadcasting  
**Education:** colleges & universities, health & physical education, medical education, minority education, and student aid  
**Health:** geriatric health, health care cost containment, health organizations, hospices, hospitals, medical research, medical training, mental health, nursing services, outpatient health care delivery, pediatric health, public health, and single disease health associations  
**Social Services:** aged, child welfare, community centers, community service organizations, disabled, drugs & alcohol, family services, homes, united funds, and volunteer services

**OFFICERS AND DIRECTORS**

**Sidney F. Wentz:** chmn bd trusts B Dallas TX 1932 ED Princeton Univ AB 1954; Harvard Univ LLB 1960 CORP AFFIL dir, chmn exec comm: Crum & Forster NONPR AFFIL Trust: Morristown Meml Hosp; dir: Am Ins Assn PHIL AFFIL chmn, dir: Crum & Forster Fdn

**Leighton Eggertsen Cluff, MD:** pres, trust *B* Salt Lake City UT 1923 *ED* Univ UT BS 1944; George Washington Univ MD 1949 *NONPR AFFIL* mem: Inst Medicine-Natl Academy Sciences, Am Soc Clinical Investigation, Assn Life Sciences-Natl Academy Sciences, Assn Am Physicians, Soc Experimental Biology & Medicine, Am Assn Immunologists, NY Academy Sciences, Am Federation Clinical Research, Harvey Soc, Infectious Disease Soc Am, Am Coll Physicans, Southern Soc Clinical Investigation

**Richard C. Reynolds, MD:** exec vp *B* Saugerties NY 1929 *ED* Rutgers Univ BS 1949; Johns Hopkins Univ MD 1953 *CURR EMPL* prof medicine, prof environment & community medicine, dean: Coll Medicine & Dentistry NJ Rutgers Med Sch *NONPR AFFIL* mem: Am Coll Physicians, Am Med Assn, Am Academy Family Physicians, NJ Academy Medicine

**Alan B. Cohen, ScD:** vp

**Ruby Puryear Hearn, PhD:** vp *B* Winston-Salem NC 1940 *ED* Skidmore Coll BA 1960; Yale Univ MS 1964, PhD 1969 *NONPR AFFIL* trust: Meharry Med Coll; mem: Inst Medicine, Ambulatory Pediatric Assn, Am Assn Advancement Science, Periclean Honor Soc; mem bd overseers: Dartmouth Coll

**Terrance Keenan:** vp (special programs) *B* Philadelphia PA 1924 *ED* Yale Univ AB 1950 *NONPR AFFIL* mem: Pub Rels Soc Am; mem bd overseers: Univ PA Sch Nursing; dir: Am Coll Nurse Midwives Fdn, Grantmakers in Health

**Jeffrey C. Merrill:** vp *B* Brooklyn NY 1943 *ED* Johns Hopkins Univ BA 1964, MPH 1972

**William Raymond Walsh, Jr.:** exec vp (fin), treas, trust *B* Elizabeth NJ 1927 *ED* Rutgers Univ BA 1953 *CORP AFFIL* dir: Peoples Natl Bank Central NJ *NONPR AFFIL* chmn, trust: Robert Wood Johnson Univ Hosp; trust: Am Red Cross Endowment Fund

**Andrew R. Greene:** vp (fin monitoring)

**Thomas P. Gore, II:** vp (communications) *B* Washington AL 1937 *ED* Citadel BA 1960 *NONPR AFFIL* mem: Am Marketing Assn, Am Hosp Assn, Academy Hosp Mktg & Pub Rels

**Joshua Warren Wood, III:** vp, secy, gen coun *B* Portsmouth VA 1941 *ED* Princeton Univ BA 1963; Univ VA JD 1971 *CURR EMPL* special coun: Drinker Biddle & Reath *NONPR AFFIL* mem: Am Bar Assn, Princeton Bar Assn, Natl Health Lawyers Assn, Am Arbitration Assn

**Edward C. Andrews, Jr., MD:** trust *B* Rockland ME 1925 *ED* Middlebury Coll AB 1946; Johns Hopkins Univ MD 1951 *CURR EMPL* pres: ME Med Ctr; prof pathology: Univ VT *NONPR AFFIL* dir: ME Hosp Assn, Am Hosp Assn, Am Assn Med Colls, Portland Chamber Commerce *PHIL AFFIL* mem bd dirs: Dana (Charles A) Fdn

**James E. Burke:** trust *B* Rutland VT 1925 *ED* Coll Holy Cross BS 1947; Harvard Univ MBA 1949 *CURR EMPL* chmn, ceo: Johnson & Johnson *CORP AFFIL* dir: Prudential Ins Co, IBM *NONPR AFFIL* vchmn bus coun bd dirs: Counc Foreign Rels; vchmn: Corp Fund Kennedy Ctr; mem visiting comm bd overseers: Harvard Coll Med Sch & Sch Dental Medicine; dir: Un Negro Coll Fund; mem: Pres Comm Exec Exchange, Pres Private Sector Survey Cost Control Fed Govt, Trilateral & Natl Comm Pub Service, Policy Planning Comm Bus Roundtable

**Lawrence G. Foster:** trust *B* Jersey City NY 1925 *ED* PA St Univ BA 1948 *CURR EMPL* corporate vp (pub rels): Johnson & Johnson *NONPR AFFIL* mem: Overseas Press Club, Soc Prof Journalists, Pub Rels Soc Am, Intl Assn Bus Communicators, Intl Pub Rels Assn

**Leonard F. Hill:** trust *B* New Brunswick NJ 1919 *ED* Rutgers Univ; NY Univ

**Frank L. Hoene Meyer:** trust *B* Cincinnati OH 1919 *ED* Xavier Univ BS 1941; Univ PA (Wharton Sch) MBA 1947 *CURR EMPL* former vchmn: Prudential Ins Co *NONPR AFFIL* trust: Xavier Univ

**John J. Horan:** trust *B* Staten Island NY 1920 *ED* Manhattan Coll AB 1940; Columbia Univ LLB 1946 *CURR EMPL* former chmn, ceo: Merck & Co *CORP AFFIL* dir: NCR Corp, Gen Motors Corp, JP Morgan & Co, Morgan Guaranty Trust *NONPR AFFIL* mem: OIC Natl Industrial Adv Counc, Pharmaceutical Mfrs Assn

**Robert H. Myers:** trust *CURR EMPL* ptnr: Williams Myers & Quiggle

**Jack W. Owen:** trust

**Norman Rosenberg, MD:** trust *B* New York NY 1916 *ED* Univ PA BA 1934; NY Univ MD 1938 *CURR EMPL* surgeon, prof (surgery):

Univ Medicine & Dentistry NJ *NONPR AFFIL* fellow: Am Coll Surgeons, Southeast Surgeons Congress; mem: Intl Cardiovascular Soc, Soc Surgeons NJ, Soc Vascular Surgery, Intl Soc Cardiovascular Surgeons

**Richard B. Sellars:** trust *B* Worcester MA 1915 *ED* Maryville Coll; Am Intl Coll *CURR EMPL* chmn: New Brunswick Devel Corp *CORP AFFIL* dir: Amerada Hess Corp

**Foster Brand Whitlock:** trust *B* Highland Park NJ 1914 *ED* Rutgers Univ 1932; Univ WI 1934; Columbia Univ 1954 *NONPR AFFIL* trust: Overlook Hosp Fdn; mem: Pharmaceutical Mfrs Assn, Intl Federation Pharmaceutical Mfrs Assn

## APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** Initial inquiry should be by a letter no longer than four double-spaced pages on organizational letterhead. There is no standard application form.

**Include Information On:** Letters of inquiry should include a description of need to be addressed, outline of objectives, description of the project, intended goals, organization and personnel credentials and qualifications, grant timetable, budget estimate, other financial sources, amount needed, means of project evaluation, plans for funding after expiration of grant, and name of contact person. Based upon its review of the letter of inquiry, the foundation staff may request a full proposal. Applicants will receive instructions regarding the information it should contain and how to present it.

**Deadlines:** There are no deadlines.

**Note:** The foundation rarely supports deficit financing programs; ongoing operating expenses; capital projects; endowments; basic biomedical research; research on unapproved drug therapies or devices; conferences, symposia, publications, or media projects, unless they are integrally related to the foundation's program objectives or an outgrowth of one of its programs; international projects or institutions; or individuals.

## OTHER THINGS YOU SHOULD KNOW

The foundation generally supports projects reflecting the applicant's own interest, so long as it is related to the foundation's current areas of interest. The foundation also supports investigator-initiated projects devised in response to a foundation call for proposals and projects that are a part of the foundation's national programs.

**Foundation Publications:** annual report, brochure, newsletter, guidelines for grant applicants

## GRANTS ANALYSIS

Total Grants: \$98,150,073

Number of Grants: 412

Average Grant: \$238,228

Highest Grant: \$3,291,215

Typical Range: \$100,000 to \$1,000,000

Disclosure Period: 1989

## RECENT GRANTS

### Civic & Public Affairs

3,291,215 RWJ Property Holding Corporation, New Brunswick, NJ — property acquisition  
2,000,000 New Brunswick Development Corporation, NJ — redevelopment program

### Education

1,415,127 University of California, School of Medicine, Los Angeles, CA — postdoctoral fellowships for young physicians to develop research skills in non-biological disciplines relevant to medical care  
1,277,950 Yale University, School of Medicine, New Haven, CT — postdoctoral fellowships for young physicians to develop research skills in non-biological disciplines relevant to medical care

**GRANTS ANALYSIS**

Total Grants: \$874,450  
 Number of Grants: 40  
 Average Grant: \$21,861  
 Highest Grant: \$100,000  
 Typical Range: \$5,000 to \$50,000  
 Disclosure Period: 1988

**RECENT GRANTS**

**Arts & Humanities**

- 60,000 Birmingham Museum of Art, AL — second payment of 1987 grant
- 20,000 Alabama Symphony Orchestra, Birmingham, AL
- 5,000 Birmingham Children's Theatre, AL

**Civic & Public Affairs**

- 100,000 Birmingham Landmarks, AL
- 15,000 Lakeshore, Birmingham, AL
- 10,000 Ruffner Mountain Nature Center, Birmingham, AL
- 10,000 Partners in Neighborhood Growth

**Education**

- 100,000 Birmingham Southern, AL — last payment of 1987 grant
- 80,000 University of Alabama, Birmingham, AL — fourth payment of five part grant
- 40,000 Samford University, Birmingham, AL — third payment of five part grant
- 25,000 Southeastern Bible College, Birmingham, AL
- 25,000 Talladega College, Talladega, AL
- 10,000 Lawson State Community College, Birmingham, AL — final grant payment
- 10,000 Highlands Day School, Birmingham, AL
- 5,000 Birmingham Baptist Bible College, Birmingham, AL

**Health**

- 50,000 Eye Foundation, Birmingham, AL
- 50,000 Children's Hospital of Alabama, Birmingham, AL
- 20,000 Glenwood Mental Health Services, Birmingham, AL

**Religion**

- 10,000 Re-entry Ministries, Birmingham, AL

**Social Services**

- 50,000 Junior League of Birmingham, AL
- 30,000 Alabama Institute for the Deaf and Blind, Talladega, AL
- 25,000 Boy Scouts of America, Birmingham Area Council, AL
- 12,000 Birmingham Healthcare for the Homeless Coalition, AL
- 10,000 Birmingham Metropolitan Area, AL

**Milbank Memorial Fund**

**CONTACT**

Daniel M. Fox, Ph.D., President  
 Milbank Memorial Fund  
 1 East 75th Street  
 New York, New York 10021  
 (212) 570-4804

**FINANCIAL SUMMARY**

Recent Giving: \$251,414 (1989); \$454,925 (1988); \$748,890 (1987)  
 Assets: \$40,328,918 (1989); \$32,861,000 (1988); \$32,691,238 (1987)  
 Gifts Received: \$18,000 (1989)

**CONTRIBUTIONS SUMMARY**

Type of Foundation: special purpose and operating  
 Major Priority: health policy  
 Geographic Distribution: national  
 Grant Types: project and research

**DONOR INFORMATION**

The Milbank Memorial Fund was established in 1905 by the late Elizabeth Milbank Anderson in memory of her parents, Jeremiah and Elizabeth Lake Milbank. Mrs. Anderson made donations to the fund during her lifetime, and bequeathed more to it in her will. Mrs. Anderson came from a wealthy family that derived its fortune from the Borden Milk Company and financing of the Chicago, Milwaukee, and St. Paul railroad. She actively supported higher education for women, social services, and public health.

**FOUNDATION PHILOSOPHY**

The fund continues its donor's interest in public health. Since 1923, the fund has published the *Milbank Quarterly*. A new program, to operate in conjunction with this publication, has been initiated called the Milbank Health Policy Reviews. The program will commission work that will contribute to the debate on health issues. Its goal is to influence public policy by defining these issues more precisely and by evaluating options more critically.

**CONTRIBUTIONS ANALYSIS**

In 1988, the foundation solely funded public health and education programs for migrant farm workers.

**TYPICAL RECIPIENTS**

Civic & Public Affairs: nonprofit management  
 Education: colleges & universities and social sciences education  
 Health: health care cost containment and public health

**OFFICERS AND DIRECTORS**

Daniel M. Fox, PhD: pres  
 Samuel L. Milbank: chmn PHIL AFFIL vp, dir: Memton Fund  
 Francis Haas Musselman: vchmn B Utica NY 1925 ED Hamilton Coll AB 1950; Columbia Univ JD 1953 CURR EMPL atty, ptrn: Milbank Tweed Hadley & McCloy NONPR AFFIL trust: Hamilton Coll, Wadhams Hall Seminary Coll; fellow: Am Bar Fdn; mem: Am Bar Assn, Intl Bar Assn, Fed Bar Assn, NY Bar Assn, Nassau County Bar Assn, Assn Bar City NY, Am Judicature Soc, Am Law Inst, NY Law Inst PHIL AFFIL dir: Memton Fund  
 Robert H. Ebert, MD: dir B Minneapolis MN 1914 ED Univ Chicago BS 1936, MD 1942; Oxford Univ PhD 1939 CURR EMPL prof med: Harvard Univ; chmn bd: Harvard Community Health Plan NONPR AFFIL trust: Population Counc, Barnard Coll; chmn bd overseers: Dartmouth Med Sch; fellow: Am Coll Physicians, Am Pub Health Assn, Am Academy Arts Sciences; mem: Am Soc Clinical Investigation, Am Thoracic Soc, Am Assn Physicians, Am Med Assn, MA Med Soc PHIL AFFIL special adv: Commonwealth Fund; special adv pres: Johnson (Robert Wood) Fdn  
 Leroy E. Burney: dir  
 Peter Gottsegen: dir  
 Thomas E. Harvey: dir B Evanston IL 1941 ED Univ Notre Dame BA 1963, JD 1966 CURR EMPL dep adm: Veterans Admin NONPR AFFIL mem: White House Fellows Fdn, IL Bar Assn, IN Bar Assn, NY Bar Assn, DC Bar Assn  
 Jeremiah Milbank, Jr.: dir  
 Rosemary Anne Stevens, PhD: dir B Bourne England ED Oxford Univ BA 1957; Yale Univ MPH 1963, PhD 1968 CURR EMPL prof: Univ PA NONPR AFFIL mem health program adv comm: Off Tech Assessment US Congress; mem bd mgrs: Friends Hosp (Philadelphia);

tion; or invest in securities on a philanthropic basis. The foundation normally does not make grants for general support or endowments.  
**Foundation Publications:** annual report and brochures

**GRANTS ANALYSIS**

Total Grants: \$78,072,560  
 Number of Grants: 805  
 Average Grant: \$72,555\*  
 Highest Grant: \$1,200,000  
 Typical Range: \$5,000 to \$100,000  
 Disclosure Period: 1989  
 Note: The average grant figure excludes 40 grants totaling \$22,567,685.

**RECENT GRANTS**

**Arts & Humanities**

- 388,000 Carnegie Hall Society, New York, NY — to enable Carnegie Hall to administer the last in a series of international competitions for excellence in the performance of 20th-century American recital and concert music
- 350,000 Southeastern Center for Contemporary Art, Winston-Salem, NC — to enable the center to continue its awards in the visual arts program
- 300,000 Dance Theater Workshop, New York, NY — to continue support for its "Suitcase Fund," a program of reciprocal touring by artists and performing arts companies from the United States and abroad
- 285,000 Institute of International Education, New York, NY — to enable its arts international program to administer the fund
- 250,000 WGBH Educational Foundation, Boston, MA — to enhance public knowledge of Latin America through support for a prime-time public television series, entitled "The Other Americas," on the region's contemporary history

**Civic & Public Affairs**

- 800,000 Puerto Rican Legal Defense and Education Fund, New York, NY — to provide stable support for litigation activities in the field of civil rights, and to help the fund establish financial planning and management practices and initiate fund-raising strategies that will attract new donors
- 660,000 Joint Center for Political Studies, Washington, DC — to continue support for research and public policy analysis regarding issues of particular importance to black Americans, and for a special series of roundtable discussions on persistent poverty and the underclass
- 600,000 NAACP Special Contribution Fund, New York, NY — to continue support for employment litigation and affirmative action activities and to help the fund initiate new fund-raising strategies
- 450,000 Population Council, New York, NY — to help launch a program designed to integrate women's health and population policies in developing countries
- 450,000 Urban Institute, Washington, DC — to continue support for its policy research on the urban underclass and dissemination of the findings to policy makers, community leaders, and the media
- 400,000 Social Science Research Council, New York, NY — to advance understanding of agricultural performance in Africa through collaborative interdisciplinary research between African and U.S. scholars

**Education**

- 1,160,000 McMaster University, Hamilton, Canada — toward continuing support for the training of INCLIN fellows by the clinical epidemiology resource and training center
- 950,000 University of California, San Francisco, CA — to continue support for program to mobilize academic teaching and research resources in North America for the implementation of equitable, cost effective

- 725,000 Social Science Research Council, New York, NY — to develop a cohort of young scholars concerned with the study of persistent poverty and the underclass
- 700,000 University of Quebec, Canada — for use by its Institut Armand Frappier in continuing the transfer to Colombia of new technology for manufacturing veterinary and human rabies vaccines
- 625,000 Connecticut College, New London, CT — to continue the program of Rockefeller Foundation fellowships for foreign language teachers in the high schools
- 555,000 Cornell University, Ithaca, NY — to identify the agricultural books and journals most important for developing-country libraries
- 395,000 Rockefeller University, New York, NY — for the operation of the foundation's archives at the Rockefeller Archive Center

**International**

- 700,000 International Council for Research in Agroforestry, Nairobi, Kenya — to strengthen capacity for conducting, in collaboration with national scientists of Kenya and Malawi, farm evaluation of agroforestry practices that can help offset erosion and fertility exhaustion of soils in the two countries
- 700,000 World Health Organization, Geneva, Switzerland — to enable monitoring of health, safety, and acceptability issues of the NORPLANT contraceptive method as it comes into widespread use in developing countries
- 500,000 China National Center for Biotechnology Development, Beijing, China — in support of a comprehensive Chinese research network on rice biotechnology
- 450,000 Programa Latinoamericano de Capacitacion e Investigacion en Reproduccion Humana, Mexico City, Mexico — for its research and training program for Latin American scientists interested in the field of human reproduction
- 380,000 Catholic University of Chile, Santiago, Chile — for a research and training program organized by its reproductive and developmental biology unit and laboratory of endocrinology
- 350,000 World Health Organization, Geneva, Switzerland — to continue support for a special program aimed at expediting basic and developmental research on vaccines against selected Third World diseases
- 350,000 El Colegio de Mexico, Mexico City, Mexico — to continue support for the recently formed doctoral program at the center for demographic and urban development
- 350,000 African Economic Research Consortium Program, Nairobi, Kenya — to continue participation in a consortium of donors established to improve macroeconomic policy research and training in sub-Saharan Africa
- 300,000 International Center for Maize and Wheat Improvement, Mexico City, Mexico — to help maize researchers in Malawi take into account the economic forces affecting production of the crop as they set research priorities for maize improvement
- 300,000 International Centre for Insect Physiology and Ecology, Nairobi, Kenya — to continue support for its social science interface research unit
- 300,000 World Health Organization, Geneva, Switzerland — to continue a program to reduce the rate of maternal mortality in developing countries
- 300,000 Federal University of Minas Gerais, Belo Horizonte, Brazil — to strengthen the graduate training and research program on population and development at the center for regional planning and development
- 250,000 World Health Organization, Geneva, Switzerland — to continue support for applied research programs focused on immunostimulants and better vaccine delivery systems

budget), letter of endorsement from the head of the sponsoring organization, and proof of current tax-exempt status.

**Deadlines:** Applications may be submitted any time.

**Review Process:** Proposals are evaluated on their relevance to the foundation's current programs, the likelihood of the project's continued success after foundation support ceases, and the grantee's record of achievement in the proposed area of endeavor.

**Note:** No grants are made to individuals. The foundation does not fund medical research, endowments, general support, or construction or renovation projects.

**Foundation Publications:** annual report

## GRANTS ANALYSIS

Total Grants: \$3,849,954

Number of Grants: 53

Average Grant: \$72,641

Highest Grant: \$328,187

Typical Range: \$10,000 to \$100,000

Disclosure Period: fiscal year ending June 30, 1989

## RECENT GRANTS

### Civic & Public Affairs

60,000 National Executive Service Corps, New York, NY

### Education

275,000 University of Alabama, University, AL  
 224,739 Center for Policy and Education of the Harvard AIDS Institute, Cambridge, MA  
 168,070 Tuba City Unified School, AZ  
 163,646 Research Foundation City, University of New York, NY  
 100,000 Research Foundation, City University of New York, NY  
 97,677 Research Foundation, City University of New York, NY  
 89,340 Columbia University, School of Public Health, New York, NY  
 89,123 Herbert H. Lehman College, New York, NY  
 87,294 Associated Medical Schools of New York, NY  
 80,440 Association of American Medical Colleges, Washington, DC  
 75,000 Washington University, School of Medicine, St. Louis, MO  
 67,650 Yale University School of Medicine, New Haven, CT

### Health

328,187 Conference Appropriation — nursing  
 218,912 Harvard Community Health Plan Foundation, Cambridge, MA  
 190,338 Conference Appropriation — pediatrics and other purposes  
 150,000 Neurosciences Institute, New York, NY  
 100,000 Institute of Medicine, Cambridge, MA  
 93,333 Greater New York Hospital Foundation, NY  
 91,412 Bigel Institute of Health Policy  
 73,665 St. Luke's/Roosevelt Hospital Center, New York, NY  
 50,000 Association of Academic Health Centers, Washington, DC

### Science

109,203 Cold Spring Harbor Laboratory, Cold Spring Harbor, NY  
 100,000 New York Hall of Science, Corona, NY

## Mann (Ted) Foundation

### CONTACT

Esther Bergman  
 Secretary-Treasurer  
 Ted Mann Foundation  
 704 Hennepin Avenue, Room 202  
 Minneapolis, Minnesota 55403  
 (612) 333-2529

### FINANCIAL SUMMARY

**Recent Giving:** \$2,000,000 (fiscal 1990 est.); \$1,170,914 (fiscal 1989); \$863,686 (fiscal 1988); \$575,942 (fiscal 1987)

**Assets:** \$44,000,000 (fiscal 1990 est.); \$43,396,049 (fiscal year ending November 30, 1989); \$22,627,290 (fiscal 1988); \$20,137,461 (fiscal 1987)

**Gifts Received:** \$7,432,885 (fiscal 1989); \$920,000 (fiscal 1988); \$16,980,899 (fiscal 1987)

**Fiscal Note:** The foundation received gifts from Ted Mann, its president.

### CONTRIBUTIONS SUMMARY

**Type of Foundation:** general purpose

**Major Priority:** social services, education, health, and the arts

**Geographic Distribution:** no geographic restrictions

**Grant Types:** general support

### DONOR INFORMATION

The foundation was established in 1985, with funds contributed by Ted Mann, the foundation's president.

### FOUNDATION PHILOSOPHY

The foundation gives to broad purposes, with emphasis on educational organizations, health care, and youth welfare.

### CONTRIBUTIONS ANALYSIS

In fiscal 1989, social services received about 48% of giving. The Jewish Federation Council of Greater Los Angeles was the principal recipient; youth-related causes were also a priority. Education received about 30% of funding, with emphasis on higher education. Health received 17%, while educational institutions and organizations in Israel received 3%. The remainder of funding supported civic organizations, a temple, and a music center.

### TYPICAL RECIPIENTS

**Arts & Humanities:** cinema and music

**Education:** arts education and colleges & universities

**Health:** hospitals, medical research, pediatric health, and single disease health associations

**International:** foreign educational institutions and international organizations

**Religion:** religious organizations and synagogues

**Social Services:** child welfare, community service organizations, religious welfare, united funds, and youth organizations

- Minority Ed, Counc Foreign Rels, US Citizens Comm Monitor Helsinki Accords, Natl Academy Sciences *PHIL AFFIL* trust: Community Fdn Greater Washington
- Tom Johnson:** trust *CURR EMPL* chmn: Los Angeles Times *PHIL AFFIL* dir: Times Mirror Fdn
- William David Hopper:** trust *B* Ottawa Ontario Canada 1927 *ED* McGill Univ BS 1950; Cornell Univ PhD 1957 *CURR EMPL* sr vp (policy, planning, research), chmn (consultative group on Intl Agricultural Research); World Bank *NONPR AFFIL* vchmn bd trusts: Intl Fertilizer Development Ctr; trust, chmn exec comm: Population Council; mem coun: Inst Research on Pub Policy; mem: World Academy Arts & Sciences, Am Academy Arts & Sciences, Royal Agricultural Soc England, Intl Women's Health Coalition Group
- Harold Brown:** trust *B* New York NY 1927 *ED* Columbia Univ BA 1945, AM 1946, PhD 1949 *CURR EMPL* chmn: Foreign Policy Inst Johns Hopkins Sch Advanced Intl Studies *CORP AFFIL* dir: AMAX, CBS, IBM, Cummins Engine Co, Synergen Inc, Philip Morris Inc *NONPR AFFIL* mem: Natl Academy Engring, Am Physics Soc, Am Academy Arts & Sciences, Counc Foreign Rels, Natl Academy Sciences *PHIL AFFIL* dir: Beckman (Arnold & Mabel) Fdn
- Richard Hampton Jenrette:** trust *B* Raleigh NC 1929 *ED* Univ NC BA 1951; Harvard Univ MBA 1957 *CURR EMPL* pres, ceo: Equitable Investment Corp; chmn: Donaldson Lufkin & Jenrette Inc, Equitable Life Assurance Co *CORP AFFIL* chmn, dir: Equitable Life Ins Soc US; dir: Rose's Stores, News & Observer Publ Co, Advanced Micro Devices *NONPR AFFIL* dir: Bus Fdn NC, Historic Hudson Valley Restorations; mem: Securities Industry Assn, Inst Chartered Fin Analysts, NY Soc Security Analysts
- Frances FitzGerald:** trust *B* 1940 *ED* Radcliffe Coll 1962 *CURR EMPL* author
- Arthur Levitt, Jr.:** trust *B* Brooklyn NY 1d 1931 *ED* Williams Coll BA 1952 *CURR EMPL* chmn: Levitt Media Co *CORP AFFIL* trust: East NY Savings Bank *NONPR AFFIL* chmn: Am Bus Council; trust: Williams Coll; mem: NY St Counc Arts *PHIL AFFIL* pres: Winston (Norman & Rosita) Fdn; dir: Dole Fdn
- Alice Stone Ilchman:** trust *B* Cincinnati OH 1935 *ED* Mount Holyoke Coll BA 1957; Syracuse Univ MPA 1958; London Sch Econ PhD 1965 *CURR EMPL* pres: Sarah Lawrence Coll *NONPR AFFIL* mem bd adv: Univ Cape Town, South Africa Corp; mem bd dirs: NY Tel Co; mem: Smithsonian Council, Yonkers Emergency Fin Control Bd, Am Ditchley Fdn Program Comm, Intl Research & Exchange Bd, Natl Academy Pub Adm, NOW Legal Defense Ed Fund, Counc Foreign Rels *PHIL AFFIL* dir: Markle (John & Mary R) Fdn
- Karen Nicholson Horn:** trust *B* Los Angeles CA 1943 *ED* Pomona Coll BA 1965; Johns Hopkins Univ PhD 1971 *CURR EMPL* chmn, ceo: Bank One (Cleveland) *NONPR AFFIL* trust: Johns Hopkins Univ, Case Western Reserve Univ, Musical Arts Assn (Cleveland), Cleveland Tomorrow, Cleveland Roundtable, Un Way (Cleveland), Oberlin Coll *PHIL AFFIL* trust: Cleveland Clinic Fdn
- Alan Aida:** trust *B* New York NY 1936 *ED* Fordham Univ BS 1956 *CURR EMPL* actor, writer, dir *NONPR AFFIL* mem: Dirs Guild Am, Writers Guild Am, Screen Actors Guild Am
- Robert Clive Maynard:** trust *B* Brooklyn NY 1937 *ED* Harvard Univ Nieman Fellow 1966 *CURR EMPL* owner, editor, publ: Oakland Tribune (California); syndicated columnist: Universal Press Syndicate *CORP AFFIL* dir: Associated Press *NONPR AFFIL* mem natl bd govts: Media & Soc Seminars; trust: Pacific Sch Religion; dir: Ctr Law & Politics Marcus Foster Ed Inst, Bay Area Council, Newspaper Advertising Bur; mem western region adv bd: Am Press Inst; mem: Pulitzer Prize Bd, Am Newspaper Pubs Assn, Counc Foreign Rels, US Supreme Court Historical Soc *PHIL AFFIL* trust: Fdn Am Communications
- Henry G. Cisneros:** trust *B* San Antonio TX 1947 *ED* TX A&M Univ BA 1969 *CURR EMPL* Mayor: San Antonio TX *NONPR AFFIL* trust: City Pub Service Bd, City Water Bd; chmn: Fire & Police Pension Fund, Unite San Antonio; mem strategy coun: Natl Democratic Party; mem comm visual arts: TX A&M Univ; mem bus adv comm: Trinity Univ; mem: Twentieth Century Fund Ed Task Force *PHIL AFFIL* mem: Eisenhower Fdn
- Hugh B. Price:** vp
- Peggy Dulany:** trust *CURR EMPL* pres: Synergos Inst
- Daniel P. Garcia:** trust *B* Los Angeles CA 1947 *ED* Loyola Univ BBA 1970; Univ Southern CA MBA 1971; Univ CA (Los Angeles) JD 1974 *CURR EMPL* ptrn: Munger Tolles & Olson *NONPR AFFIL* dir: Mexican Am Legal Defense & Ed Fund
- Sally Ferris:** dir admin
- Ronald E. Goldsberry:** trust *CURR EMPL* gen mgr (plastic products div): Ford Motor Co
- Frank Karel, III:** vp (communications) *B* Orlando FL 1935 *ED* Univ FL BS 1961; NY Univ MBA 1983 *NONPR AFFIL* mem: Pub Rels Soc Am, Natl Assn Science Writers, Am Assn Advancement Science, Communications Network Philanthropy *PHIL AFFIL* vp (communications): Johnson (Robert Wood) Fdn
- Kenneth Prewitt:** sr vp *B* Alton IL 1936 *ED* Southern Methodist Univ BA 1958; Washington Univ (St Louis) MA 1959; Stanford Univ PhD 1963 *NONPR AFFIL* chmn gov bd: Intl Ctr Insect Physiology & Ecology; dir: Intl Research & Exchanges Bd, Washington Univ; fellow: Am Academy Arts & Sciences, Am Assn Advancement Science; dir: Ctr Advanced Study Behavioral Sciences; mem: Am Political Science Assn
- Joyce L. Moock:** assoc vp
- Jack R. Meyer:** treas, chief investment off
- Webb Trammell:** asst treas
- Vera Rajic:** asst compr
- Lynda Mullen:** secy
- James O. Gibson:** dir (equal opportunity)
- Sheldon Jerome Segal:** dir (population sciences)
- Scott B. Halstead:** acting dir (health sciences)
- Alberta Bean Arthurs:** dir (arts & humanities) *B* Framingham MA 1932 *ED* Wellesley Coll BA 1954; Bryn Mawr Coll PhD 1972 *CORP AFFIL* dir: Culbro Corp, Techo-Serve *NONPR AFFIL* mem: Counc Foreign Rels
- Robert W. Herdt:** dir (agricultural sciences)
- Roberto Celli:** dir (Bellagio Study & Conf Ctr)
- Joseph R. Bookmeyer:** mgr fellowship off

## APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** Grant requests and fellowship applications should be addressed to the director of the relevant program or to the foundation's secretary. To apply for a Bellagio residency or to use the conference facilities, write to the Bellagio Center Office, c/o Rockefeller Foundation, 1133 Avenue of the Americas, New York, NY 10036.

**Include Information On:** No special form is required for grant applications. They should, however, include a description of the proposed project or fellowship activity with clearly stated plans and objectives; comprehensive plan for total funding of the project during and after the proposed grant period; listing of the applicant's qualifications and accomplishments; and, if applicable, a description of the institutional setting.

**Deadlines:** There are no stated deadlines for submitting applications.

**Review Process:** The board of trustees, which meets in April, June, September, and December, sets program guidelines and financial policy and approves all appropriations. Proposals are evaluated on the following criteria: relevance of project to the foundation's programs; potential for contributing significantly to the well-being of mankind; extent of the applicant's efforts to secure funding from other sources; and the applicant's record of achievement.

**Note:** The foundation does not give or lend money for personal aid to individuals; appraise or subsidize cures or inventions; contribute to the establishment of local hospitals, churches, schools, libraries, or welfare agencies, or to their building or operating funds; finance any project involving private profit; support efforts to influence legisla-

**Social Services**

- 1,120,535 Minority Female Single Parent Program — development program for minority-group female single parents
- 600,000 Children's Defense Fund, Washington, DC — to assist the fund in launching the second phase of its adolescent pregnancy prevention project
- 582,190 San Antonio Cares, TX — to support the continued development and operation of planning and action projects dedicated to reducing persistent poverty
- 450,000 Boston Foundation, MA — to support the continued development and operation of planning and action projects dedicated to reducing persistent poverty
- 440,000 Boston Foundation, MA — for its community planning and action project, including extra translation costs in connection with its survey of the nature and extent of persistent poverty in Boston
- 400,000 Greater Washington Research Center, DC — to support the continued development and operation of planning and action projects dedicated to reducing persistent poverty

## Rockefeller (Winthrop) Foundation

**CONTACT**

Mahlon A. Martin, President  
Winthrop Rockefeller Foundation  
308 East Eighth Street  
Little Rock, Arkansas 72202  
(501) 376-6854

Note: Grant requests should be directed to Dianne Williams for Civic Affairs, Freeman McKindra for Economic Development, and Jacqueline Cox New for Education. Community Incentive grant requests should be sent to Freeman McKindra, and Program-Related Investments to Mahlon A. Martin.

**FINANCIAL SUMMARY**

Recent Giving: \$2,000,000 (1990 est.); \$2,103,560 (1989); \$2,188,527 (1988); \$1,635,970 (1987)

Assets: \$46,000,000 (1990 est.); \$56,889,286 (1989); \$46,294,747 (1988); \$45,929,682 (1987)

Gifts Received: \$517,500 (1987); \$920,000 (1986)

Fiscal Note: In 1987, the foundation received \$517,500 from a trust under the will of Winthrop Rockefeller.

**CONTRIBUTIONS SUMMARY**

Type of Foundation: general purpose  
Major Priority: economic development, civic affairs, and education  
Geographic Distribution: primarily Arkansas  
Grant Types: challenge, conference/seminar, department, general support, matching, project, and seed money

**DONOR INFORMATION**

The Winthrop Rockefeller Foundation is successor to the Rockwin Fund, which was established by Winthrop Rockefeller to support his charitable interests during his lifetime. Upon his death in 1973, Mr. Rockefeller bequeathed money to a charitable trust to be used for innovative purposes, and a foundation was established shortly thereafter.

Winthrop Rockefeller was governor of Arkansas from 1966 to 1970 and a grandson of John D. Rockefeller. He was Arkansas' first Republican governor since reconstruction, as well as a successful

cattle rancher and businessman. He was dedicated to improving educational and economic opportunities in Arkansas, and to improving relations among races.

**FOUNDATION PHILOSOPHY**

The underlying goal of the Winthrop Rockefeller Foundation is to improve the quality of life in Arkansas by creating an environment that makes development and improvement possible.

Improving the economic conditions of Arkansas will come from creating opportunity within the state. To support economic development, the foundation has chosen to focus on strengthening local economies; providing access to capital, management, and technical assistance for small businesses; strengthening agriculture; developing leadership; supporting organizations that can improve the economic status of Arkansas; and improving the economic status of women and minorities.

Enhancing the effectiveness of citizens and the institutions serving them is viewed as a method for improving the quality of life in Arkansas. In the area of civic affairs, the foundation supports efforts to improve the effectiveness of government and private service providers; to focus attention on and discussion over public policy issues; to identify and develop leaders at the state, local, and institutional levels; to encourage prudent long-range conservation; and to improve civic opportunities for minority and disadvantaged citizens. Improving the quality of education is another major focus. The foundation has made a long-term commitment to eliminate educational barriers by supporting efforts to restructure schools, encourage parental involvement, increase minority participation, and identify issues and problems. The foundation also supports organizations promoting literacy.

The foundation achieves its charitable purposes through several types of support. Major grants are made primarily in the areas of economic development, civic affairs, and education. Community incentive grants of up to \$10,000 are available for special assistance to community-based organizations for general operating support, construction funds, or equipment purchases. To be eligible for a community incentive grant, an organization must serve a minority or disadvantaged population, and must not be a previous grantee of the foundation. Mini-grants of up to \$2,000 are made at the discretion of the foundation president for technical assistance, organizational development, or program planning. Such grants also are made to educators. The foundation may directly invest its capital in projects related to its goals. These investments can be in the form of low-interest loans, equity, or other financing mechanisms.

The foundation often develops initiatives to address an area of concern, particularly in education, and supports or initiates in-house public policy projects focusing on important issues in economic development, civic affairs, or education.

**CONTRIBUTIONS ANALYSIS**

In 1989, approximately 51% of the foundation's funding went to educational concerns, while civic and public affairs organizations received 41%. Social service programs received about 5%, and the arts about 2%.

**TYPICAL RECIPIENTS**

*Arts & Humanities:* literary arts and music

*Civic & Public Affairs:* better government, business/free enterprise, economic development, economics, environmental affairs, ethnic/minority organizations, housing, nonprofit management, public policy, rural affairs, and urban & community affairs

*Education:* agricultural education, arts education, colleges & universities, education administration, education associations, elementary education, legal education, liberal arts education, literacy, minority education, public education (precollege), and science/technology education

## RECENT GRANTS

## Civic &amp; Public Affairs

- 4,087,131 National Academy of Sciences, Washington, DC — support for long-term program development to improve policymaking in health, agriculture, and education
- 4,000,000 Industrial Technology Institute, Ann Arbor, MI — to promote high technology development through joint efforts by state government, industry, labor, state universities, and private foundations
- 3,500,000 Michigan Biotechnology Institute, Lansing, MI — link university research in molecular biology with agricultural and forestry applications to improve Michigan's economy and create jobs

## Education

- 2,306,255 Tuskegee University, AL — to implement new programs and instructional approaches, and to renovate and expand facilities
- 1,973,143 Michigan State University, East Lansing, MI — expansion and renovation of the Kellogg center for continuing education
- 1,453,130 Agricultural School of the Humid Tropical Region, San Jose, Costa Rica — providing training to agriculturalists
- 1,000,000 University of Michigan, Ann Arbor, MI — improve education and scholastic excellence by helping the University bolster interdisciplinary scholarly activities
- 837,791 National Council of State Boards of Nursing, Chicago, IL — introduction of computer-based clinical simulation test to assure clinical competence
- 818,679 California State University, Long Beach, CA — expand opportunities for adult learners from applied community college programs through reentry into four-year institutions of higher education
- 770,950 Syracuse University, Syracuse, NY — making adult education library and archival collections more accessible
- 722,000 Junior Achievement, Colorado Springs, CO — to increase rural youth's knowledge of America's economic system
- 717,263 Eastern Michigan University, Ypsilanti, MI — to improve preschool education for disadvantaged children, involving teachers and parents in five Michigan school districts
- 651,220 Quest International, Granville, OH — to implement a model to help school staffs create a more positive school environment
- 576,852 Education Development Center, Newton, MA — improve professional health teams' decision-making capacity regarding cessation of treatment for terminally ill patients and field test results

## Health

- 525,000 Total Action Against Poverty in Roanoke Valley, VA — coordinating community services and strengthening the family environment to improve health care for children of low-income families
- 489,250 University of Minnesota, St. Paul, MN — improve people's nutritional status by developing educational programs in human nutrition
- 477,138 National League for Nursing, New York, NY — enhance accreditation standards for professional home health care providers
- 424,983 West Virginia University, Morgantown, WV — improve the health of women, children, and adolescents by linking the resources of state government, university, and local communities in a unified approach
- 416,832 Mountain Area Health Education Foundation, Chapel Hill, NC — provide a community-based health care network for rural communities
- 404,350 Hospital Research and Educational Trust, Chicago, IL — implementation of a community-oriented primary care model at rural sights
- 384,800 Greater Tampa Urban League, FL — to provide comprehensive health and social services and

culturally relevant health education to urban, black, adolescent males

- 383,950 National Black Women's Health Project, Atlanta, GA — provide coordinate health and social services, education, and career opportunities to black, adolescent women

## International

- 624,644 National Association of Partners of the Americas, Washington, DC — develop effective citizen leaders for grass-roots, community-level work in international development
- 482,800 National Association of Partners of the Americas, Washington, DC — develop effective citizen leaders for grass-roots, community-level work in inter-American development
- 475,000 International Fertilizer Development Center, Muscle Shoals, AL — to increase the supply of wholesome food for Africans by assisting with the establishment of an African fertilizer development center
- 439,532 School of Public Health of Mexico, Mexico City, Mexico — to establish educational programs for administrators of community-based health care services
- 416,300 Foundation for Agricultural Development, Quito, Ecuador — to introduce new agricultural production and processing technologies

## Social Services

- 1,340,000 Council of Michigan Foundations, Grand Haven, MI — help community foundations involve youth in activities that encourage philanthropy and volunteerism

Kemper (Enid and Crosby)  
Foundation

## CONTACT

Melanie Alm, Secretary  
Enid and Crosby Kemper Foundation  
P.O. Box 419226  
Kansas City, Missouri 64141  
(816) 556-7722

## FINANCIAL SUMMARY

Recent Giving: \$985,919 (1988); \$2,013,363 (1987); \$3,850,833 (1986)  
Assets: \$29,439,634 (1988); \$26,699,897 (1987); \$28,394,777 (1986)  
Gifts Received: \$5,000 (1987); \$345,004 (1985)

## CONTRIBUTIONS SUMMARY

Type of Foundation: family  
Major Priority: educational and cultural programs  
Geographic Distribution: primarily metropolitan Kansas City, MO  
Grant Types: general support

## DONOR INFORMATION

The Enid and Crosby Kemper Foundation was established in Missouri in 1972, with funds donated by Enid J. Kemper and R. Crosby Kemper, Sr. Mr. Kemper is also the donor of the R. C. Kemper Charitable Trust and Foundation. The Kempers are descendants of William T. Kemper (d. 1938), who was chairman of Commerce Trust Company. Today, grandsons James M. Kemper, Jr. is chairman of Commerce Bancshares and R. Crosby Kemper is chairman of United Missouri Bancshares.



## OFFICERS AND DIRECTORS

**Hugh O. Maclellan, Sr.:** chmn, trust *B Chattanooga TN 1912 ED Cornell Univ 1935 CURR EMPL* chmn fin & exec comms, dir: Provident Life & Accident Ins Co *CORP AFFIL* dir: Am Natl Bank & Trust Co *NONPR AFFIL* mem exec comm: Future Chattanooga Devel Corp *PHIL AFFIL* chmn: Maclellan (RJ) Charitable Trust  
**Hugh O. Maclellan, Jr.:** pres, treas, trust  
**Kathrina H. Maclellan:** vp, trust *PHIL AFFIL* pres, treas: Maclellan (Robert L & Kathrina H) Fdn  
**Thomas H. McCallie, III:** secy  
**Frank A. Brock:** trust *PHIL AFFIL* dir: Community Fdn Greater Chattanooga  
**G. Richard Hostetter:** trust  
**Dudley Porter, Jr.:** trust *B Paris TN 1915 ED Murray St Univ 1935; Cumberland Univ LLB 1936 CURR EMPL* coun: Chambliss Bahner Crutchfield Gaston & Irvine *NONPR AFFIL* trust: Hermitage Assn; mem: Am Bar Assn, TN Bar Assn, Chattanooga Bar Assn, Assn Life Ins Couns, Newcomen Soc, Nature Conservancy *PHIL AFFIL* trust: Maclellan (RJ) Charitable Trust

## APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** Proposal letters not more than two pages in length should be sent to the foundation's chairman.  
**Include Information On:** Proposals should include a recent financial statement of audit report, and a list of board members.  
**Note:** The foundation does not make grants to individuals.

## GRANTS ANALYSIS

Total Grants: \$5,476,092\*  
 Number of Grants: 105  
 Average Grant: \$52,153  
 Highest Grant: \$439,021  
 Typical Range: \$25,000 to \$125,000\*  
 Disclosure Period: 1988

**Note:** Total grants figure reflects total direct and indirect cash contributions. The foundation also made a non-cash contribution of \$3,645,667 to the Helen M. Tipton Charitable Trust, bringing total contributions to \$9,121,759. A number of minor grants (under \$500) were made for consulting services. The figure above reflects the range of grants directed to support institutions and organizations.

## RECENT GRANTS

### Civic & Public Affairs

100,000 River City Company, Chattanooga, TN — operating funds

### Education

300,000 McCallie School, Chattanooga, TN — operating funds  
 187,000 English Language Institute, San Dimas, CA — China-teacher campaign  
 150,000 Reformed Theological Seminary, Jackson, MS — world mission program  
 150,000 Trinity Episcopal School for Ministry, Ambridge, PA — capital fund drive  
 84,483 International Students, Colorado Springs, CO — operation friendship  
 75,000 Eastern European Seminary, Dallas, TX — translating and editing expense

### International

193,171 Partners International, San Jose, CA — purchase of land

### Religion

400,000 Inter-Varsity Christian Fellowship, Madison, WI — operating funds  
 200,000 Lausanne Committee, Charlotte, NC — consulting services world evangelization

192,000 Youth for Christ, Wheaton, IL — campus life and junior varsity ministry  
 175,000 Ligonier Ministries, Altamonte Springs, FL — expansion of Chicago and Los Angeles area operations  
 150,000 Living Bibles International, Naperville, IL — Italian Living New Testament  
 100,000 Foreign Mission Board of Southern Baptist Convention, Nashville, TN — global consultation on world evangelization  
 100,000 World Vision International, Monrovia, CA — MARC ministry

## Social Services

283,000 Prison Fellowship, Washington, DC — restorative justice  
 100,000 Siskin Memorial Foundation, Chattanooga, TN — rehabilitation center  
 83,102 Project 714, Chattanooga, TN — screen communication agency

## Macy (Josiah), Jr. Foundation

### CONTACT

Thomas Harry Meikle, Jr., MD, President  
 Josiah Macy, Jr. Foundation  
 44 East 64th Street  
 New York, New York 10021  
 (212) 486-2424

### FINANCIAL SUMMARY

**Recent Giving:** \$3,849,954 (fiscal 1989); \$3,046,521 (fiscal 1988); \$3,393,741 (fiscal 1987)  
**Assets:** \$90,787,065 (fiscal year ending June 30, 1989); \$83,269,016 (fiscal 1988); \$90,612,900 (fiscal 1987)

### CONTRIBUTIONS SUMMARY

**Type of Foundation:** general purpose  
**Major Priority:** health and medicine  
**Geographic Distribution:** no geographic restrictions  
**Grant Types:** conference/seminar and project

### DONOR INFORMATION

The donor, Mrs. Kate Macy Ladd (1863-1945), named the foundation in honor of her father. The Macy family made its fortune in the whaling industry, shipping (both coastal and transoceanic), and oil. Mrs. Ladd directed the foundation to devote its attention to the advancement of medicine and health in the United States and abroad.

### FOUNDATION PHILOSOPHY

Traditionally, the Macy Foundation has focused on medicine and health. This stems from Mrs. Ladd's personal interest in these areas. Her instructions, intended to guide the foundation's giving, were concerned with "fundamental aspects of health, of sickness, and of methods for the relief of suffering."

The foundation's interests currently are focused on conferences that explore critical issues in medical education and on projects that demonstrate new educational directions and evaluate their effectiveness. Intrinsic to these activities are efforts to inform and influence those organizations and agencies which have the leverage to effect needed changes. The foundation is currently assisting projects that recruit and retain medical students from underrepresented racial, ethnic, geographic, and socioeconomic backgrounds; develop longitudinally integrated programs to train significantly increased num-

bers of generalist physicians committed to the practice of primary health care; advance understanding of the real costs of medical education as a basis for developing a rational method of directly financing an integrated system of medical education; strengthen the education of physicians by instituting performance-based evaluations of students' and residents' competencies throughout their training; and promote the requirement of a period of community service for all medical school graduates as a condition for licensure.

## CONTRIBUTIONS ANALYSIS

In fiscal 1989, 51% of all funds went to higher educational institutions for medical, premedical, scientific, technological, and health education. Health institutions and hospitals received 39% of giving, scientific organizations, 8%, and civic groups, 2%. In terms of the foundation's main programs, minorities in medicine received 33% of grant funds, medical and premedical education received 29%, and biomedical education, 7%. The remainder was allocated to health care policy issues and to various other programs.

## TYPICAL RECIPIENTS

**Education:** colleges & universities, health & physical education, medical education, minority education, and science/technology education

**Health:** health care cost containment, health organizations, hospitals, medical training, nursing services, and outpatient health care delivery

**International:** international health care

**Science:** science exhibits & fairs and scientific institutes

## OFFICERS AND DIRECTORS

**Clarence F. Michalis:** chmn, dir, chmn exec comm, chmn fin comm B New York NY 1922 ED Harvard Univ BS 1943 CORP AFFIL trust: Seamans Bank Savings; dir: Allegheny Power System, Potomac Edison Co, Cheapside Dollar Fund Ltd, West PA Power Co, Monongahela Power Co NONPR AFFIL trust: Cooper Union

**Louis S. Auchincloss:** dir, mem exec comm B Lawrence NY 1917 ED Yale Univ 1939; Univ VA LLB 1941 NONPR AFFIL pres: Museum City NY; mem: Natl Inst Arts & Letters, Assn Bar City NY

**E. Virgil Conway:** dir, chmn audit comm, mem exec comm, mem fin comm B Southampton NY 1929 ED Colgate Univ BA 1951; Yale Univ LLB 1956 CURR EMPL chmn bd, pres, ceo, trust: Seamans Bank Savings CORP AFFIL dir: Union Pacific Corp, JP Stevens & Co, Natl Securities & Research Corp, Union Pacific Railroad; trust: Consolidated Edison Co NY, Atlantic Mutual Ins Co, Natl Bond Fund, Natl Stock Fund, Natl Growth Fund, Natl Balanced Fund, Natl Preferred Fund, Natl Total Income Fund, Natl Total Return Fund, Natl Securities NY Tax-Exempt Bond Fund, Natl Securities Strategic Allocation Fund NONPR AFFIL trust: Citizens Budget Comm; dir: Regional Planning Assn; mem: Savings Bank Assn NY, Natl Assn Mutual Savings Banks, Am Bar Assn, Assn Bar City NY, NY Chamber Commerce & Industry, Natl Counc Savings Insts

**Thomas Harry Meikle, Jr., MD:** pres, mem fin comm, mem exec comm B Troy PA ED Cornell Univ AB 1951, MD 1954 NONPR AFFIL mem: Am Physiology Soc, Soc Neurosciences

**Maxine E. Bleich:** vp

**Rina Forlini:** secy, treas

**Lawrence K. Altman, MD:** dir B Quincy MA 1937 ED Harvard Univ AB 1958; Tufts Univ MD 1962 CURR EMPL staff med correspondent: NY Times NONPR AFFIL fellow: Am Coll Physicians, Am Coll Epidemiology, NY Academy Medicine; mem: Inst Medicine/Natl Academy Sciences, Am Soc Tropical Medicine & Hygiene, Soc Epidemiological Research

**Harold Amos, PhD:** dir CURR EMPL chmn (div med sciences), prof (microbiology, molecular genetics): Harvard Medical Sch

**Alexander Gordon Bearn, MD:** dir B Surrey England 1923 ED Univ London BS 1946, MD 1951 CURR EMPL adjunct prof: Rockefeller Univ NONPR AFFIL chmn (div med sciences): Assembly Life Sciences; trust: Rockefeller Univ, Howard Hughes Med Inst; dir: Royal Soc

Medicine Fdn; mem bd science overseers: Jackson Lab Bar Harbor; mem: Inst Medicine Natl Academy Sciences, Am Philosophical Soc, Am Soc Clinical Investigation, Genetic Soc Am, Am Soc Biological Chemists, Assn Physicians Great Britain, Assn Am Physicians, Am Soc Human Genetics, Harvey Soc, Harveian Soc London, Med Research Soc Great Britain; fellow: Am Assn Advancement Science, Royal Coll Physicians London Edinburgh; editor: Am Journal Medicine; co-editor: Progress in Med Genetics; trust: Whitney (Helen Hay) Fdn

**Charles Baker Finch:** dir, mem audit comm B New York NY 1920 ED Yale Univ BA 1941, LLB 1943 CURR EMPL chmn, dir: Allegheny Power System CORP AFFIL dir: PA Power Co, Monogahela Power Co, Potomac Edison Co NONPR AFFIL mem: St Nicholas Soc City NY; trust: Cooper Union

**S. Parker Gilbert:** dir, mem fin comm CURR EMPL chmn: Morgan Stanley Group

**Patricia Albjerg Graham, PhD:** dir B Lafayette IN 1935 ED Purdue Univ BS 1955, MS 1957; Columbia Univ PhD 1964 CURR EMPL dean, Warren prof: Harvard Univ Grad Sch Ed CORP AFFIL trust: Northwestern Mutual Life NONPR AFFIL mem: Science Research Assocs, Natl Academy Ed, Am History Assn PHIL AFFIL dir: Spencer Fdn; dir: Johnson Fdn; dir: Carnegie Fdn Advancement Teaching

**Bernard W. Harleston, PhD:** dir B New York NY 1930 ED Howard Univ BS 1951; Univ Rochester PhD 1955 CURR EMPL pres: City Univ NY City Coll NONPR AFFIL trust: Cambridge Friends Sch; chmn: NY City Mayors Comm Science & Technology; mem adv councl bd trusts: Univ Rochester; mem minority higher ed adv councl: Commonwealth MA; fellow: MA Psychology Assn; mem: Am Psychology Assn, Assn Am Colls, Am Assn Advancement Science, Am Assn Univ Profs, NY City Mayors Comm Black New Yorkers, NY City Mayors Comm Homeless, NY City Mayors Comm Special Ed; mem bd: African Am Inst, NY Hall Science; visiting comm coll liberal arts: Univ Miami

**Lawrence S. Huntington:** dir, mem fin comm, mem audit comm B New York NY 1935 ED Harvard Univ BA 1957; NY Univ LLB 1964 CURR EMPL chmn, ceo, chmn exec comm, dir: Fiduciary Trust Co Intl NONPR AFFIL dir: World Wildlife Fund; chmn: Citizens Budget Comm

**John Jay Iselin:** dir

**David Lincoln Luke, III:** dir, mem exec comm B Tyrone PA 1923 ED Yale Univ AB 1945 CURR EMPL chmn, pres, ceo: Westvaco Corp CORP AFFIL dir: Clupak, BF Goodrich Co, Irving Trust Co, Irving Bank Corp, McGraw-Hill, Grumman Corp NONPR AFFIL mem: Am Paper Inst, Inst Paper Chemistry; trust: Cold Spring Harbor Lab; trust emeritus: Hotchkiss Sch

**Mary Patterson McPherson, PhD:** dir B Abington PA 1935 ED Smith Coll AB 1957; Univ DE MA 1960; Bryn Mawr Coll PhD 1969 CURR EMPL pres: Bryn Mawr Coll CORP AFFIL dir: Provident Natl Bank Philadelphia, Bell Telephone Co PA NONPR AFFIL mem bd dirs: Agnes Irwin Sch, Shipley Sch, Brookings Inst, Philadelphia Contributorship, Natl Humanities Ctr, Amherst Coll; mem: Soc Ancient Greek Philosophy, Am Philosophy Soc PHIL AFFIL dir: Carnegie Corp NY

**Walter N. Rothschild, Jr.:** dir, mem exec comm, mem fin comm, mem audit comm

**Nelson Macy, Jr.:** hon dir

**Lewis Thomas, MD:** hon dir B Flushing NY 1913 ED Princeton Univ BS 1933; Harvard Univ MD 1937 NONPR AFFIL pres emeritus: Mem Sloan-Kettering Cancer Ctr PHIL AFFIL dir: Lounsbery (Richard) Fdn; dir: Diamond (Aaron) Fdn

## APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** The foundation suggests sending a preliminary letter of inquiry. Correspondence should be addressed to the president. There are no special application forms.

**Include Information On:** Grant proposals should include the name of the sponsoring organization or institution, description of the project, names and qualifications of the persons in charge of the project, expected costs and duration of the project (including an itemized

Disclosure Period: 1988

**RECENT GRANTS****Civic & Public Affairs**

- 20,000 German Society of the City of New York, NY — for its social service program  
 20,000 Liederkranz Foundation, New York, NY — for its musical programs

**Education**

- 150,000 University of Kansas, Lawrence, KS — for the Max Kade language center  
 52,500 Indiana University, Institute of German Studies, Bloomington, IN — toward support of its graduate training and teaching program  
 32,850 University of California, San Francisco, CA — research and training in the field of cardiology, focusing on the studies of pathophysiology of alcoholic cardiomyopathy  
 32,850 University of California, Berkeley, CA — research and training in the field of structural mechanics, focusing on the studies of computational methods for non-linear large deformation problems  
 32,850 California Institute of Technology, Pasadena, CA — research and training in the field of organometallic chemistry  
 31,525 University of California Regents, Los Angeles, CA — research and training in the field of gastrointestinal research  
 31,525 University of California, Berkeley, CA — research and training in the field of biochemistry  
 31,400 Massachusetts Institute of Technology, Whitehead Institute for Biomedical Research, Cambridge, MA — research and training in the field of developmental biology  
 31,400 University of Colorado Foundation, Boulder, CO — research and training in the field of geology  
 31,150 Harvard University, Cambridge, MA — research and training in the field of atomic and molecular physics  
 30,700 Washington University School of Medicine, St. Louis, MO — research and training in the field of neurobiology  
 30,200 University of California, San Diego, CA — research and training in the field of marine biology  
 30,100 Foundation for Advanced Education in the Sciences, Bethesda, MD — research and training in the field of molecular oncology  
 29,800 University of California, San Francisco, CA — research and training in the field of theoretical and experimental neuroscience  
 25,900 University of Maryland, Baltimore, MD — research and training in the field of biochemistry, focusing on the studies of neurochemical and pharmacological studies of central seizures  
 25,900 Columbia University, New York, NY — research and training in the field of statistical human genetics  
 20,000 Middlebury College, VT — in support of the distinguished professorship program of the graduate language semester  
 20,000 German-American School Association, New York, NY  
 15,000 University of Pennsylvania, Philadelphia, PA — fellowship program for training of graduate teaching assistants  
 12,000 Franklin and Marshall College, Lancaster, PA — in support of the visiting faculty exchange professorship program in the field of foreign languages and literatures  
 10,000 University of Wisconsin Foundation, Madison, WI

**Health**

- 14,400 Harvard University, Brigham and Women's Hospital, Boston, MA — research and training in the field of cardiovascular research  
 10,100 Massachusetts General Hospital, Boston, MA — research and training in the field of photomedicine

**Kaiser (Henry J.) Family Foundation****CONTACT**

Karen Sparks  
 Program Officer and Grants Manager  
 Henry J. Kaiser Family Foundation  
 2400 Sand Hill Road  
 Menlo Park, California 94025  
 (415) 854-9400

**FINANCIAL SUMMARY**

Recent Giving: \$13,022,465 (1988); \$11,880,014 (1987); \$10,021,212 (1986)  
 Assets: \$373,847,507 (1988); \$354,413,428 (1987); \$359,265,215 (1986)

**CONTRIBUTIONS SUMMARY**

Type of Foundation: special purpose  
 Major Priority: medicine and health care  
 Geographic Distribution: national; some emphasis on California  
 Grant Types: conference/seminar, department, fellowship, general support, multiyear/continuing support, professorship, project, research, scholarship, and seed money

**DONOR INFORMATION**

The foundation was established in 1948 by industrialist Henry J. Kaiser (1882-1967) and his wife, Bess. Mr. Kaiser ran a successful construction business, and after World War II founded Kaiser Industries, which had interests in aluminum, steel, cement, gypsum, and chemicals. Mr. Kaiser had a lifelong interest in medicine and the improvement of health care for all Americans. He established a prepaid health care program for his employees in 1938, which has grown to become the Kaiser Permanente Medical Care Program.

**FOUNDATION PHILOSOPHY**

The foundation, following the example of its founder, works to improve health care for all Americans. In the past, the foundation's emphasis has been on the concept of comprehensive prepaid health care, general internal medicine training, health professions education, and research and analysis in health care policy. Recently, the foundation has supported activities aimed at improving the results of health care and enhancing patients' functioning in their everyday lives. It also has established the Health Promotion Program, to alert people to preventable illnesses and premature death. It also encourages cost-effectiveness in the provision of health care services through the promotion of health maintenance organizations (HMOs).

The foundation is funding development and health projects in South Africa. It also funds health and health-related services in the five-county San Francisco Bay Area.

**CONTRIBUTIONS ANALYSIS**

In 1988, the foundation gave 48% of its funding to education, most of which went to medical schools. Health received 31%, with a focus on hospitals and medical research. Social services received 9%. Civic and public affairs received 7%, and international organizations received the remainder.

## TYPICAL RECIPIENTS

**Civic & Public Affairs:** nonprofit management, philanthropic organizations, and public policy

**Education:** colleges & universities, health & physical education, medical education, minority education, and science/technology education

**Health:** geriatric health, health organizations, hospitals, medical research, nutrition & health maintenance, pediatric health, public health, and single disease health associations

**International:** international development/relief

**Social Services:** aged, child welfare, community service organizations, drugs & alcohol, family planning, family services, homes, and youth organizations

## OFFICERS AND DIRECTORS

**Edgar Fosburgh Kaiser, Jr.:** chmn, trust, fdr grandson *B* Portland OR 1942 *ED* Stanford Univ BA 1965; Harvard Univ MBA 1967 *CURR EMPL* chmn bd dirs, pres, ceo: Kaiser Resources *CORP AFFIL* dir: Bell Canada Enterprises Devel Corp, Canadair Ltd, BC Place Ltd *NONPR AFFIL* trust: Vancouver Gen Hosp, CA Inst Tech; mem bd dirs: Sadat Peace Fdn, Diefenbaker Meml Fdn, Univ CO Fdn; chmn: Kaiser Substance Abuse Fdn; fdr, mem adv comm: Denver Broncos Youth Fdn; Man in Motion World Tour; mem cooperation comm: Canada-Korea Bus Counc; mem Canadian comm: Pacific Basin Econ Counc; mem: Bus Counc Natl Issues, SRI Intl Counc; mem bd govts: Jr Achievement British Columbia, Bus Counc British Columbia; mem intl adv counc: Gov Dummer Academy, Salk Inst

**Drew Altman:** pres

**Alvin Richard Tarlov, MD:** trust *B* Norwalk CT 1929 *ED* Dartmouth Coll BA 1951; Univ Chicago MD 1956 *NONPR AFFIL* mem: Am Coll Physicians, Inst Medicine Natl Academy Sciences

**Joseph Anthony Califano, Jr.:** trust *B* New York NY 1931 *ED* Coll Holy Cross AB 1952; Harvard Univ LLB 1955 *CURR EMPL* ptrn: Dewey Ballantine Bushby Palmer & Wood *CORP AFFIL* dir: Chrysler Corp, Am Can Co, Automatic Data Processing, Primerica *NONPR AFFIL* chmn: Ctr Social Policy Middle East; trust: Urban Inst, 20th Century Fund; mem bd dirs seminars media & society: Georgetown Univ; mem: Am Bar Assn, Fed Bar Assn, DC Bar Assn, NY St Bar Assn, Am Judicature Soc; hon chmn: Children Alcoholics Fdn; dir: Am Fdn AIDS Research *PHIL AFFIL* secy, treas, trust: Iacocca Fdn

**Hale Champion:** trust *B* Coldwater MI 1922 *ED* Stanford Univ BA 1952 *CURR EMPL* exec dean: John F Kennedy Sch Govt Harvard Univ *NONPR AFFIL* trust, mem: Natl Academy Pub Admin

**Richard Pierce Cooley:** trust *B* Dallas TX 1923 *ED* Yale Univ BS 1944 *CURR EMPL* chmn, pres, ceo: SeaFirst Corp *CORP AFFIL* trust: Rand Corp; dir: Un Airlines, Allegis Corp, Howmet Turbine Components Corp, Burlington Northern, Pechiney Ugine Kuhlmann Corp, Bank Am Corp *NONPR AFFIL* trust: Children's Hosp San Francisco, CA Inst Technology; mem: Assn Reserve City Bankers, Smithsonian Inst Natl Assn Bd, CA Chamber Commerce

**Douglas A. Fraser:** trust *CURR EMPL* prof labor studies: Wayne St Univ

**Barbara C. Jordan:** trust *B* Houston TX 1936 *ED* TX Southern Univ BA 1956; Boston Univ JD 1959 *CURR EMPL* Lyndon B Johnson Centennial prof natl policy: Lyndon B Johnson Sch Publ Affairs Univ TX (Austin) *NONPR AFFIL* mem: UN Panel Multinational Corps South Africa & Namibia, Am Bar Assn, TX Bar Assn, MA Bar Assn, Houston Bar Assn, NAACP

**Henry M. Kaiser:** trust *CURR EMPL* dir: Harvest Ventures

**Kim J. Kaiser:** trust

**Edwin H. Morgens:** trust *CURR EMPL* chmn: Morgens Waterfall Vintiadis & Co

**Joan E. Morgenthau, MD:** trust *CURR EMPL* dir health services: Smith Coll; prof lecturer: Mt Sinai Sch Medicine City Univ NY

## APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** There is no official application form. Applicants should submit a preliminary letter.

**Include Information On:** Include a brief outline of the plan and objectives of the project, pertinent information about the sponsoring organization and the individuals to be involved, budget estimate, and a copy of the tax-exempt status letter.

**Deadlines:** Applicants may submit requests any time.

**Review Process:** The foundation replies as promptly as possible concerning the status of all requests.

**Note:** The foundation does not support the following: ongoing general operating expenses; indirect costs; construction, renovation, or equipment purchases; basic biomedical research; individuals; funds for legislation or activities that seek to influence the legislative process; international projects; and capital campaigns, annual appeals, or other fund-raising events.

**Foundation Publications:** annual report

## GRANTS ANALYSIS

Total Grants: \$13,022,465\*

Number of Grants: 152\*

Average Grant: \$85,674\*

Highest Grant: \$1,618,338

Typical Range: \$10,000 to \$100,000

Disclosure Period: 1988

Note: Figures do not include \$89,129 in matching gifts.

## RECENT GRANTS

### Civic & Public Affairs

- 390,000 Rand Corporation, Santa Monica, CA — for supplementary support for the Medical Outcomes Study
- 187,500 InterStudy, Excelsior, MN — continued support for the Health Systems Demographic Center
- 50,000 Northern California Grantmakers, San Francisco, CA — for AIDS Prevention and Community Care Initiative

### Education

- 1,618,338 Stanford University, Stanford, CA — for Health Promotion Resource Center
- 878,554 University of Washington, Seattle, WA — for evaluation of the Foundation's Health Promotion Program in the West
- 300,000 National Medical Fellowships, New York, NY — for Kaiser Merit Awards and need-based scholarships for minority medical students
- 225,000 Morehouse School of Medicine, Atlanta, GA — for development of a Health Promotion Resource Center
- 221,062 University of Washington, Seattle, WA — for evaluation of the Planetree Model Hospital Project
- 150,000 San Diego State University, San Diego, CA — for Project Salsa
- 30,000 University of California (San Francisco), Institute for Health and Aging, San Francisco, CA — for development of a long-term care policy agenda for California

### Health

- 530,099 National Academy of Sciences, Washington, DC — for guidelines on diet and health: implications and strategies for implementation
- 225,000 Advocacy Institute, Washington, DC — for smoking Control Advocacy Resource Center
- 209,603 Preventive Medicine Research Institute, Sausalito, CA — to study the effects of lifestyle changes in treating coronary heart disease
- 185,464 Boston Department of Health and Hospitals, Boston, MA — for the evaluation of the Violence Prevention Project

- 178,578 Allentown Hospital-Lehigh Valley Hospital Center, Allentown, PA — for Smoke Free Lehigh Valley Project
- 176,517 Children's Hospital of Philadelphia, Philadelphia, PA — for Philadelphia injury prevention, the Safe Block Project
- 158,965 George Washington University, National Health Policy Forum, Washington, DC — for Health Promotion Project
- 150,000 Healthnet New Mexico, Albuquerque, NM — for model program in statewide health promotion
- 150,000 Kaiser Foundation Health Plan of the Northwest, Portland, OR — for "Adopt a secondary school for health" project
- 150,000 San Francisco Department of Public Health, San Francisco, CA — for community and home injury prevention project for seniors
- 149,996 Colorado Department of Health, Denver, CO — for Action for Healthy People
- 148,964 North Bay Health Resources Center, Petaluma, CA — for a nutrition education program on dietary habits and risk factors for cancers
- 148,575 Indian Health Service-Wind River Health Promotion Project, St. Stephens, WY — for Wind River Indian Reservation health promotion program
- 131,591 Mental Health Services for Tuolumne County, Sonora, CA — for youth health promotion program

**International**

- 145,000 University of the Witwatersrand, Health Services Development Unit, Johannesburg, South Africa — for continuation of training for primary health personnel

**Social Services**

- 181,015 Boys Club of America, New York, NY — for substance abuse program
- 150,000 Girls Club of America, New York, NY — for adolescent pregnancy prevention program
- 150,000 Healthy Mothers, Healthy Babies, The Montana Coalition, Helena, MT — for Montana adolescent pregnancy prevention program
- 150,000 Mountain Community Health Choices, Park City, UT — for health promotion project to reduce substance abuse
- 150,000 Positive Images Emerging, San Diego, CA — for adolescent pregnancy prevention project

**Kaplan (J. M.) Fund****CONTACT**

Suzanne Davis  
Executive Director  
J. M. Kaplan Fund  
30 Rockefeller Plaza, Suite 4250  
New York, New York 10112  
(212) 767-0630

**FINANCIAL SUMMARY**

Recent Giving: \$6,908,000 (fiscal 1989 approx.); \$6,147,000 (fiscal 1988); \$5,827,000 (fiscal 1987)  
Assets: \$85,000,000 (fiscal 1989 approx.); \$77,913,169 (fiscal year ending November 30, 1988); \$75,132,609 (fiscal 1987)  
Gifts Received: \$6,243 (fiscal 1987)

**CONTRIBUTIONS SUMMARY**

Type of Foundation: family  
Major Priority: the arts, civil liberties, and human needs; programs in architecture and urban planning; and preservation and parks

Geographic Distribution: primarily New York State  
Grant Types: general support, operating expenses, project, and seed money

**DONOR INFORMATION**

Jacob Merrill Kaplan (1891-1987) established the fund in 1945 with proceeds from the Welch Grape Juice Company, which he headed for many years. In 1977, Mr. Kaplan transferred the presidency of the fund to his daughter, Joan K. Davidson. Mr. Kaplan worked imaginatively in responding to human need and the improvement of American social service institutions. Today, Mr. Kaplan's ideas and values govern the work of the fund, as they have for over forty years.

**FOUNDATION PHILOSOPHY**

In recent years, the fund has become increasingly involved in national efforts to protect the environment, to plan and develop cities, and to champion civil liberties and human rights. The fund, however, continues to focus most of its support on local nonprofit organizations, community grassroots efforts, and social policy interests in New York City.

Grants are made primarily in three program areas. Within the area categorized as land use, the fund is concerned with conservation; historic preservation; improving neighborhoods; enhancing public parks, farmlands, and open space; and efficient handling of nuclear weapons. Within the area termed civil liberties and human needs, the fund supports efforts to promote civil rights, ensure legal protection, provide basic public services, and promote human rights. The trust also funds a variety of cultural interests in its third program area.

**CONTRIBUTIONS ANALYSIS**

In fiscal 1988, the fund gave 39% of its contributions to civic and public affairs. Its major concern was environmental affairs. The arts received 32%, with a focus on historic preservation and restoration, but also included grants to various music and arts groups. Social services received 17%, while education received 11% of the giving.

**TYPICAL RECIPIENTS**

*Arts & Humanities:* history/historic preservation, libraries, literary arts, museums/galleries, music, and opera

*Civic & Public Affairs:* civil rights, environmental affairs, First Amendment issues, international affairs, philanthropic organizations, rural affairs, urban & community affairs, and zoos/botanical gardens

*Education:* colleges & universities

*Health:* health organizations

*Social Services:* food/clothing distribution, legal aid, and shelters/homelessness

**OFFICERS AND DIRECTORS**

Joan K. Davidson: pres, trust B New York NY 1927 ED Cornell Univ 1948; Bank Street Coll Ed 1949 NONPR AFFIL trust: Natl Comm Effective Congress, Natl Trust Historic Preservation  
Elizabeth K. Fonseca: vp, trust PHIL AFFIL vp, dir: Kaplan (Henry C) Fdn

Richard D. Kaplan: vp, trust

Mary E. Kaplan: vp, trust

John Matthew Davidson: secy, trust

Suzanne Davis: exec dir

Maurice Austin: trust PHIL AFFIL dir: Kaplan (Henry C) Fdn

Elizabeth Davidson: trust

Bradford Davidson: trust

Peter W. Davidson: trust

Bruno Fonseca: trust

Caio Fonseca: trust

Isabel Fonseca: trust

Quina Fonseca: trust

**Foundation Publications:** annual report, statement of policies & procedures

## GRANTS ANALYSIS

Total Grants: \$35,286,000  
 Number of Grants: 58  
 Average Grant: \$608,379  
 Highest Grant: N.Av.  
 Typical Range: \$100,000 to \$750,000  
 Disclosure Period: 1989

## RECENT GRANTS

### Arts & Humanities

Los Angeles Chamber Orchestra Society, CA — continued support of educational activities  
 Orange County Performing Arts Center, Costa Mesa, CA — for the endowment fund  
 Santa Barbara Museum of Natural History, CA — support for expanded education programs

### Education

Bucknell University, Lewisburg, PA — a gas chromatograph/mass spectrometer for the chemistry department  
 Fairfield University, CT — equipment for an applied physics program  
 Georgia Institute of Technology, Atlanta, GA — instruments for a manufacturing research center  
 Ithaca College, NY — support for a magnetic resonance spectrometer for the chemistry department  
 Johns Hopkins University, Baltimore, MD — equipment for a biophysical research on macro-molecular assemblies  
 Michigan State University, East Lansing, MI — instruments for an environmental laboratory  
 Northwestern University, Evanston, IL — support for a nuclear magnetic resonance spectrometer for biology research  
 Pennsylvania State University, University Park, PA — establishing a laboratory for fluid dynamics research in the mathematics department  
 Texas Christian University, Ft. Worth, TX — a scanning electron microscope and other equipment for biology and geology departments  
 Tufts University, Medford, MA — magnetometry equipment for the department of physics and astronomy  
 University of Arizona, Tucson, AZ — an electron microprobe and a mass spectrometer for geosciences research  
 University of California, Los Angeles, CA — an ion microprobe for research in isotope geochemistry  
 University of Colorado, Boulder, CO — equipment for the optoelectronic computing systems center  
 University of Texas, Austin, TX — a magnetic resonance imaging spectrometer for oil recovery research in the petroleum engineering department  
 Villanova University, Villanova, PA — equipment for an electron microscopy laboratory  
 Wellesley College, MA — support for an astronomy consortium of eight undergraduate colleges  
 Wesleyan University, Middletown, CT — equipment for several science departments  
 Massachusetts Institute of Technology, Cambridge, MA — further support for the existing W. M. Keck fellowship fund for graduate students in the biology department  
 Amherst College, MA — for developing an undergraduate curriculum in law, jurisprudence, and social thought  
 Loyola High School, Los Angeles, CA — for the endowment fund

### Health

Harvard University, Cambridge, MA — equipment and operations support for the department of biological chemistry and molecular pharmacology

Hereditary Disease Foundation, Santa Monica, CA — continued support for collection of a reference pedigree for mapping the human genome  
 Yale University, New Haven, CT — toward construction of the new center for molecular medicine  
 Huntington Memorial Hospital, Pasadena, CA — toward a new radiology wing

### Social Services

Children's Bureau of Los Angeles, CA — toward the purchase of a new headquarters building  
 Goodwill Industries of Southern California, Los Angeles, CA — purchase of six trucks for pick-up of donated goods  
 Los Angeles Regional Foodbank, CA — support for construction of new warehouse

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## Kellogg (W. K.) Foundation

### CONTACT

Nancy A. Sims  
 Executive Assistant, Programming  
 W. K. Kellogg Foundation  
 400 North Avenue  
 Battle Creek, Michigan 49017-3398  
 (616) 968-1611

### FINANCIAL SUMMARY

**Recent Giving:** \$106,948,094 (fiscal 1989); \$107,106,934 (fiscal 1988); \$88,979,208 (fiscal 1987)  
**Assets:** \$4,201,240,259 (fiscal year ending August 31, 1989); \$3,162,546,321 (fiscal 1988); \$3,581,473,230 (fiscal 1987)  
**Gifts Received:** \$92,614,094 (fiscal 1987)  
**Fiscal Note:** Gifts received are primarily from the W. K. Kellogg Foundation Trust.

### CONTRIBUTIONS SUMMARY

**Type of Foundation:** general purpose  
**Major Priority:** community-based, problem-focused health services; wholesome food supply; leadership; youth; and economic development in Michigan  
**Geographic Distribution:** international (primarily Latin America, the Caribbean, and Southern Africa) and national  
**Grant Types:** fellowship, matching, multiyear/continuing support, project, and seed money

### DONOR INFORMATION

The foundation was established in Battle Creek, Michigan, in 1930, by W. K. Kellogg. Mr. Kellogg was a successful businessman who pioneered the ready-to-eat breakfast cereal industry with the Kellogg Company. Mr. Kellogg was active in philanthropy until his death in 1951 at the age of 91.

### FOUNDATION PHILOSOPHY

The foundation follows Mr. Kellogg's commitment to the application of knowledge to the problems of people. The foundation's grant making is concentrated in the following areas: community-based, problem-focused health services; wholesome food supply; leadership; youth; and economic development in Michigan. The foundation also is conducting limited grant making in the following areas to determine whether these themes might become major parts of programming: rural America, water resources, management of information systems,

philanthropy and volunteerism, science education, and community colleges.

## CONTRIBUTIONS ANALYSIS

In 1989, based on the foundation's designated program areas, about 28% of funding went to community-based, problem-focused health services and to other health issues. About 12% each went to adult continuing education and youth. An additional 11% went to a special opportunity category, primarily supporting social services, civic organizations, and educational programs. The foundation states that grants in this area were made in response to "special programming opportunities" and that it is unlikely that such funding would be given otherwise. Another 11% of foundation funding went to emergent programming, primarily for Rural America Projects and for Philanthropy and Volunteerism. The remaining funds were given to Wholesome Food Supply, 10%; leadership, 8%; and economic development in Michigan, 7%.

## TYPICAL RECIPIENTS

**Arts & Humanities:** libraries and museums/galleries

**Civic & Public Affairs:** economic development, municipalities, non-profit management, public policy, rural affairs, urban & community affairs, and women's affairs

**Education:** agricultural education, arts education, business education, career/vocational education, colleges & universities, community & junior colleges, continuing education, economic education, education administration, education associations, education funds, elementary education, engineering education, faculty development, health & physical education, international exchange, international studies, journalism education, legal education, liberal arts education, literacy, medical education, minority education, preschool education, private education (precollege), public education (precollege), science/technology education, social sciences education, special education, and student aid

**Health:** emergency/ambulance services, geriatric health, health care cost containment, health funds, health organizations, hospices, hospitals, medical training, medical rehabilitation, medical research, mental health, nursing services, nutrition & health maintenance, outpatient health care delivery, pediatric health, public health, and single disease health associations

**International:** foreign educational institutions, international development/relief, international health care, and international organizations

**Science:** scientific institutes

**Social Services:** aged, animal protection, child welfare, community service organizations, delinquency & crime, disabled, employment/job training, family services, food/clothing distribution, recreation & athletics, religious welfare, united funds, volunteer services, and youth organizations

## OFFICERS AND DIRECTORS

**Russell George Mawby:** chmn bd, ceo B Grand Rapids MI 1928 ED MI St Univ BS 1949, PhD 1959; Purdue Univ MS 1951 CORP AFFIL dir: Kellogg Co, JM Smucker Co NONPR AFFIL mem: Natl Research Counc, Comm Agricultural Ed Secondary Schs; trust: Arabian Horse Trust, Starr Commonwealth Schs, Fdn Ctr; chmn improving philanthropy & increasing philanthropy comms: Counc MI Fdns

**Norman A. Brown:** pres, chief programming off NONPR AFFIL pres bd trusts: Agricultural Coll Humid Tropical Region Costa Rica; bd mem: MI St Univ Fdn, Calhoun County Chapter Am Red Cross, Independent Sector, One To One Fdn

**William W. Fritz:** vp (fin)

**Karen R. Hollenbeck:** vp (admin)

**Laura A. Davls:** vp (corporate affairs)

**Katherine L. Saigeon:** asst vp (fin)

**Shirley Dunlap Bowser:** trust NONPR AFFIL trust: OH St Univ, OH St Univ Hosp; mem bd: OH Pickaway County Planning Comm, 4-H Fdn

**Chris T. Christ:** trust B Battle Creek MI ED Albion Coll AB 1951; Univ MI JD 1954 CURR EMPL ptrn: Vandervoort Cooke McFree Christ Carpenter & Fisher PC NONPR AFFIL chmn: Battle Creek Health Systems; mem: Calhoun County Bar Assn, Am Bar Assn, Panel Arbitrators, Am Arbitration Assn; consultant: Albion Coll, Binda Fdn, Am Cancer Soc, North Avenue Women's Ctr PHIL AFFIL chmn: Battle Creek Community Fdn

**William Neill Hubbard, Jr.:** trust B Fairmont NC 1919 ED Columbia Univ AB 1942; NY Univ MD 1944 CORP AFFIL dir: Upjohn Co, First Am Bank Corp, Hoover Universal, Consumers Power Co NONPR AFFIL dir: Intl Fertility Research Program, Family Health Intl, Univ MI Devel Counc; mem: Harvey Soc, NY Academy Medicine, Soc Alumni Bellevue Hosp, MI Med Soc Clinical Pharmacology & Therapeutics, Inst Medicine/Natl Academy Sciences, Kalamazoo Academy Medicine, Am Soc Clinical Pharmacology & Therapeutics; trust: Columbia Univ; fellow: Am Coll Physicians; chmn visiting comm: Univ MI Medical Ctr PHIL AFFIL dir: Counc Library Resources

**Dorothy A. Johnson:** trust NONPR AFFIL trust: Grand Valley St Univ Fdn, Presbyterian Fdn; pres: Counc MI Fdns; dir: Fdn Ctr

**Robert L. Raun:** trust NONPR AFFIL trust: Univ NE Fdn; dir: NE Futures; mem: NE Water Mgmt Bd, NE Econ Devel Comm

**Howard F. Sims:** trust CURR EMPL architect NONPR AFFIL trust: Oakland Univ (MI); dir: Detroit Econ Growth Corp, Fdrs Soc Detroit Inst Arts, Un Fdn; mem exec bd: Detroit Area Counc Boy Scouts Am, Metro Youth Fdn

**Jonathan Taylor Walton:** trust B Evanston IL 1930 ED Dartmouth Coll BA 1952, MBA 1953 CURR EMPL exec vp: Natl Bank Detroit, NBD Bancorp NONPR AFFIL MI chmn: Un Negro Coll Fund; chmn: Greater Detroit Area Health Counc; trust: Endowment Fund Am Red Cross; dir: YMCA Metro Detroit, Franklin-Wright Nonprofit Housing Corp; mem: Assn Reserve City Bankers PHIL AFFIL trust: Comm Fdn Southeastern MI

**Wenda Weekes Moore:** trust CURR EMPL chmn bd dirs: CHART/WEDCO NONPR AFFIL trust: Wayside House; mem: Univ MN Bd Regents; dir: Univ MN Fdn

## APPLICATION AND REVIEW PROCEDURES

**Initial Contact:** There are no formal grant application forms. Organizations should send a one- to two-page pre-proposal letter.

**Include Information On:** Pre-proposal letters must describe the problem and plan for solution including project objectives, operational procedures, time schedule, and the personnel and financial resources available and needed.

**Deadlines:** There are no deadlines.

**Review Process:** Pre-proposal letters are given prompt consideration by the foundation. If priorities and resources permit consideration of the requested aid, the foundation will seek further information, including a more detailed proposal.

**Note:** The foundation does not make loans or provide grants for operational phases for established programs; capital facilities; equipment; conferences; publications, films, television, or radio programs, unless they are an integral part of the project; endowments or development campaigns; religious purposes; or to individuals, except for fellowships in specific areas of foundation programming. The foundation funds research only as part of a broader program of action to which assistance is provided, including investigation of the effects of the funded project's result.

**Foundation Publications:** annual report

## GRANTS ANALYSIS

Total Grants: \$107,106,934

Number of Grants: 781

Average Grant: \$137,141

Highest Grant: \$5,125,000

Typical Range: \$10,000 to \$200,000

Disclosure Period: fiscal year ending August 31, 1988

- 1,228,873 University of Pennsylvania, School of Medicine, Philadelphia, PA — postdoctoral fellowships for young physicians to develop research skills in non-biological disciplines relevant to medical care
- 1,176,812 University of North Carolina, School of Medicine, Chapel Hill, NC — postdoctoral fellowships for young physicians to develop research skills in non-biological disciplines relevant to medical care
- 1,118,896 University of Washington, School of Medicine, Seattle, WA — postdoctoral fellowships for young physicians to develop research skills in non-biological disciplines relevant to medical care

**Health**

- 2,197,584 Stanford University, School of Medicine, CA — national collaborative study of the infant health and development program
- 1,799,996 State of Connecticut, Office of Policy and Management, Hartford, CT — for the development of affordable long-term care insurance plans for the elderly
- 1,739,862 WGBH Educational Foundation, Boston, MA — support for PBS "AIDS Quarterly" series
- 1,702,182 Duke University Medical Center, Durham, NC — outcomes of coronary angioplasty versus bypass surgery
- 1,533,812 City of Baltimore, Department of Health, MD — support for community-wide projects to consolidate and expand services for people with chronic mental illness
- 1,396,300 State of Hawaii, Office of the Governor, Honolulu, HI — support for community-wide projects to consolidate and expand services for people with chronic mental illness
- 1,100,766 City of Philadelphia, Department of Public Health, PA — support for community-wide projects to consolidate and expand services for people with chronic mental illness
- 1,027,364 Health Research, Albany, NY — specialized comprehensive out-of-hospital health and supportive services for patients with AIDS and AIDS-related disorders
- 1,022,961 University of Minnesota, School of Public Health, Minneapolis, MN — evaluation of the hospital-based rural health care program
- 944,886 Mental Health Corporation of Denver, CO — support for community-wide projects to consolidate and expand services for people with chronic mental illness
- 828,708 Associated Catholic Charities of New Orleans, LA — specialized comprehensive out-of-hospital health and supportive services for patients with AIDS and AIDS-related disorders
- 705,953 Children's Hospital National Medical Center, Washington, DC — technical assistance and direction for the adolescent health care program
- 700,990 Nassau County Medical Center, East Meadow, NY — specialized comprehensive out-of-hospital health and supportive services for patients with AIDS and AIDS-related disorders
- 655,552 Seattle-King County Department of Public Health, Seattle, WA — specialized comprehensive out-of-hospital health and supportive services for patients with AIDS and AIDS-related disorders
- 523,610 University of California, Institute for Health Policy Studies, San Francisco, CA — technical assistance and direction for the AIDS health services program
- 490,096 UMDNJ - School of Osteopathic Medicine, Camden, NJ — innovative project to address health care needs
- 485,765 George Washington University, Washington, DC — technical assistance and direction for program on the care of critically ill hospitalized adults
- 465,810 West Texas Rural Health Providers, Lubbock, TX — to improve access, quality, and cost-efficiency of health services in rural hospitals

**Social Services**

- 3,000,000 Media-Advertising Partnership for a Drug-Free America, New York, NY — national media drug abuse prevention program
- 875,387 Georgetown University, School of Medicine, Washington, DC — evaluation of the supportive services program for older persons
- 724,070 Vanderbilt University, School of Medicine, Nashville, TN — technical assistance and direction for the community initiatives to reduce demand for illegal drugs and alcohol
- 699,986 Pasadena Hospital Association, Huntington Memorial Hospital, Pasadena, CA — pilot project to provide affordable medical and support services to people 65 years and older living at home

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## Johnson (Walter S.) Foundation

### CONTACT

Donna Terman  
 Executive Director  
 Walter S. Johnson Foundation  
 525 Middlefield Road, Suite 110  
 Menlo Park, California 94025  
 (415) 326-0485

### FINANCIAL SUMMARY

Recent Giving: \$2,400,000 (1990 est.); \$2,183,760 (1989); \$1,653,288 (1988); \$2,927,424 (1987)  
 Assets: \$52,000,000 (1990 est.); \$52,649,032 (1989); \$44,115,147 (1988); \$44,551,283 (1987)

### CONTRIBUTIONS SUMMARY

Type of Foundation: general purpose  
 Major Priority: education and social services  
 Geographic Distribution: northern California (San Francisco, San Mateo, Santa Clara, Alameda, and Contra Costa Counties) and Washoe County, NV  
 Grant Types: general support, multiyear/continuing support, project, research, and seed money

### DONOR INFORMATION

Walter S. Johnson was born in Saginaw, Michigan, in 1884, and moved to California as a young boy. After graduating from law school at the University of California and working as an attorney, he entered the firm of Tarter, Webster & Johnson, a wholesale lumber business. He later formed the American Box Corporation, which eventually became the American Forest Products Company. In 1933, he helped form the Friden Calculating Machine Company. As a philanthropist, Mr. Johnson was active in a variety of charitable organizations, especially youth groups and schools.

### FOUNDATION PHILOSOPHY

The foundation's giving program reflects the interests of Walter S. Johnson by focusing on education and social services. Working with social service agencies toward solving problems facing children, adolescents, and families is the primary foundation interest. The foundation gives highest priority to projects seeking to promote healthy social and emotional development, to prevent teenage pregnancy, to strengthen families, and to prevent drug and alcohol abuse.



mem bd overseers: Dartmouth Med Sch; mem: Inst Medicine Natl Academy Science, History Science Soc, Am Assn History Medicine  
 Allan T. Wenzel: dir CURR EMPL adv dir: Paine Webber  
 David P. Willis: vp  
 Sara C. Romano: secy, treas  
 Kathleen S. Andersen: asst secy  
 Scott V. Parris: asst secy

**APPLICATION AND REVIEW PROCEDURES**

**Initial Contact:** Applicants should send a proposal to the fund's president.

**Include Information On:** Proposals should include the name of the sponsoring agency or institute, description of the project, names and qualifications of the persons responsible for the project, expected cost and duration, itemized budget, IRS tax-exempt determination letter, and a letter of endorsement from the sponsoring organization.

**Review Process:** Proposals are reviewed, evaluated, and selected for recommendation to the board of directors, which meets four times a year.

**Note:** Grants are made only to tax-exempt institutions or agencies. No grants are made to individuals. The fund does not consider requests for endowment funds, scholarships, fellowships, general support, operating expenses, or construction or renovation projects. It customarily does not support conferences, seminars, or symposia of other organizations. It also does not fund annual campaigns, deficit financing, dissertation research, or sabbatical leave; nor does it make loans or provide matching funds.

**GRANTS ANALYSIS**

Total Grants: \$454,925  
 Number of Grants: N.Av.  
 Average Grant: N.Av.  
 Highest Grant: \$20,000  
 Typical Range: \$1,000 to \$20,000  
 Disclosure Period: 1988

**RECENT GRANTS**

**Civic & Public Affairs**

15,000 Farmworker Legal Services of New York, Rochester, NY — to support an effort to focus public attention upon pesticide exposure, and to increase funding for migrant health services

**Health**

20,000 California Rural Legal Assistance Foundation, Women's Pesticide Information Project, Sacramento, CA — to support educational efforts regarding pesticide exposure of women  
 18,000 Columbia Basin Health Association, Othello, WA — to support an expanded effort in pesticide education, as coordinated with The Work Group on Pesticide Health and Safety  
 13,228 Agricultural Workers' Health Centers, Stockton, CA — to support pesticide education and outreach to farmworkers in California  
 5,000 Fair Share Research and Education Fund, Portland, OR — to support the Migrant Health Care/Pesticides Project

**Monell (Ambrose) Foundation**

**CONTACT**

Harmon Duncombe  
 President and Treasurer  
 Ambrose Monell Foundation  
 30 Rockefeller Plaza, Room 3217  
 New York, New York 10112  
 (212) 586-0700

**FINANCIAL SUMMARY**

**Recent Giving:** \$5,693,500 (1988); \$3,860,500 (1987); \$3,688,500 (1986)  
**Assets:** \$120,686,432 (1988); \$107,012,443 (1987); \$96,441,256 (1986)

**CONTRIBUTIONS SUMMARY**

**Type of Foundation:** general purpose  
**Major Priority:** broad range of interests, with some focus on health, the arts, and education  
**Geographic Distribution:** national, with emphasis on the New York City metropolitan area  
**Grant Types:** capital, endowment, general support, multiyear/continuing support, and research

**DONOR INFORMATION**

The Ambrose Monell Foundation was established in 1952. Funds for its incorporation were donated by Mrs. Maude Monell Vellesen. Ambrose Monell, who died in 1921, served as president of International Nickel Company.

**FOUNDATION PHILOSOPHY**

The foundation was set up to help improve "the physical, mental, and moral condition of humanity throughout the world." It pursues this goal by supporting health, the arts, education, social services, science, and civic causes.

**CONTRIBUTIONS ANALYSIS**

In 1988, the foundation gave 32% of its funds to health organizations, and 21% to arts and humanities groups. Educational institutions received 20% of giving, while civic concerns accounted for 12%. Social services received 9% of funding, and the remainder supported the Monell Chemical Senses Center, a scientific organization.

**TYPICAL RECIPIENTS**

**Arts & Humanities:** arts centers, arts institutes, dance, libraries, museums/galleries, music, opera, performing arts, and public broadcasting  
**Civic & Public Affairs:** environmental affairs, international affairs, law & justice, and public policy  
**Education:** arts education, colleges & universities, community & junior colleges, economic education, education associations, education funds, health & physical education, medical education, minority education, private education (precollege), science/technology education, and special education

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- 40,000 Environmental Support Center, New York, NY — seed money for a center to strengthen state environmental organizations by providing coordinated fund raising and organizational assistance
- 40,000 National Center for Fair and Open Testing, Cambridge, MA — first installment of a two-year \$75,000 grant as general support for challenges to the misuse and overuse of standardized tests, particularly in the K through 12 setting
- 30,000 Center for the Study of Public Policy, Boston, MA — to document the environmental, health, and financial cost of military pollution and to launch a media and grassroots campaign to reduce it
- 30,000 American Civil Liberties Union Foundation of Virginia, Richmond, VA — support for the F. Palmer Weber Voting Rights Fund, which identifies and challenges discriminatory voting systems in Virginia and other Southern states
- 30,000 American Civil Liberties Union Foundation, New York, NY — second payment of a two-year grant totalling \$60,000 for the Women's Rights Project, which litigates to eliminate gender-based employment discrimination
- 30,000 New Ways to Work, San Francisco, CA — funding for the Equiflex Project, which advocates for flexible part-time, temporary, and shared jobs with benefits, as an alternative to the growing number of unprotected part-time jobs
- 30,000 Center on Budget and Policy Priorities, Washington, DC — funding for its efforts towards analysis and advocacy on public policy issues affecting low-income Americans
- 30,000 Institute for Public Policy Advocacy, Washington, DC — general support for efforts to education and advise activist groups in strategic public policy planning
- 30,000 Education Law Center, Newark, NJ — funding for litigation and advocacy to reform New Jersey's school financing system
- 30,000 Food Research and Action Center, Washington, DC — assistance to the child nutrition and fuel for excellence campaigns, aimed at ensuring that all children receive adequate nutrition, and at expanding the school breakfast program
- 30,000 Multicultural Education, Training and Advocacy (META) Project, Somerville, MA — funding for a national survey of the impact of education reform initiatives on linguistic minority children
- 25,000 Jobs with Peace, Los Angeles, CA — first installment of a two-year grant totalling \$45,000 for the "Child Care Not Warfare" campaign
- 25,000 Americans for Civic Participation, Washington, DC — funding for project VOTE!'s voter education and registration campaign, which aims to reverse the trend of decreasing citizen participation in the electoral process
- 25,000 Center for Women Policy Studies, Washington, DC — support for efforts to call attention to gender bias in the SAT and other standardized tests and to advocate for nonbiased alternatives
- 25,000 Alliance for Justice, Washington, DC — first installment of a two-year grant totalling \$45,000 as general support for public interest advocacy on behalf of the nonprofit sector
- 25,000 Association for Union Democracy, Brooklyn, NY — support for the Women's Project, which provides education and training for women workers and litigates on their behalf
- 25,000 Focus Project, Washington, DC — renewed support for OMB Watch, which monitors the initiatives of the Office of Management and Budget, and analyzes and disseminates its findings to nonprofit groups and the media in an effort to increase democratic participation in administrative governance
- 25,000 Public Citizen Foundation, Washington, DC — second payment of a two-year \$50,000 grant for work of the Open Government Project, which uses the Freedom of Information Act to help maintain citizen access to public information
- 25,000 Transactional Records Access Clearinghouse, Syracuse, NY — support for its use of the Freedom of Information Act and advanced computer technology to collect, analyze, and disseminate information on the performance of government agencies
- 20,000 Institute for Women's Policy Research, Washington, DC — general support for research and advocacy on issues affecting women at work and at home, and for efforts to ensure that women's research is relevant to current policy debates
- 20,000 Citizens for a Better Environment, San Francisco, CA — second payment of a two-year \$40,000 grant to support toxics and waste reduction work and the development of initiatives to enlarge the organization's membership base
- 20,000 Maine Audubon Society, Falmouth, ME — a development grant to reorganize and expand the society's fund-raising capability
- 20,000 Task Force on Children Out of School, Boston, MA — funding for the Massachusetts Advocacy Center's project on tracking and ability-grouping in the Boston public schools

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## Rockefeller Foundation

### CONTACT

Lynda Mullen, Secretary  
 Rockefeller Foundation  
 1133 Avenue of the Americas  
 New York, New York 10036  
 (212) 869-8500

### FINANCIAL SUMMARY

Recent Giving: \$78,072,560 (1989); \$64,465,444 (1988); \$60,761,191 (1987)  
 Assets: \$2,152,247,157 (1989); \$1,845,470,488 (1988); \$1,676,015,284 (1987)

### CONTRIBUTIONS SUMMARY

Type of Foundation: institutional  
 Major Priority: international science-based development in agriculture, health, and population; equal opportunity; and arts and humanities  
 Geographic Distribution: international and national  
 Grant Types: conference/seminar, department, fellowship, multi-year/continuing support, project, research, and seed money

### DONOR INFORMATION

The Rockefeller Foundation was established in 1913 by John Davison Rockefeller (1839-1937), founder of the Standard Oil Trust and the first billionaire in history. J.D. Rockefeller and his partners began their first refinery in 1863. By the early 1900s, Standard Oil Company controlled more than 80 percent of the country's refinery capacity. When the company was dissolved in 1911, Rockefeller became the major stockholder in several oil companies including the predecessors of Exxon, Chevron, Amoco, and Mobil. His son, John D. Rockefeller, Jr., was the primary recipient of most of his fortune. The foundation is now independent of the Rockefeller family; however, members of the family control the smaller Rockefeller Brothers Fund, established by John D. Rockefeller, Jr., and his children.

## FOUNDATION PHILOSOPHY

The foundation was established "to promote the well-being of mankind throughout the world," and is dedicated to identifying and attacking the underlying causes of human suffering and need at their source. The foundation carries out its mission through grants and fellowships to individuals and institutions in three areas: International Science-Based Development (in agriculture, health, population sciences, and global environment); Arts and Humanities; and Equal Opportunity, International Security, and School Reform.

The objective of the International Science-Based Development program, established in 1986, is to help reduce poverty, disease, malnutrition, unwanted pregnancy, and illiteracy through science and technology. The focus of the Agricultural Sciences program is improvement of crops through biotechnology; improvement of food production systems in sub-Saharan Africa; and encouragement of collaborative agricultural research projects, priorities, and policies among national and international institutions worldwide.

The Health Sciences program concentrates on vaccinological and pharmacological research and the development of cost-effective ways to treat and prevent the most serious health problems in developing nations. The Population Sciences program concentrates on scientific research in reproductive biology; developing new contraceptives; evaluating how available contraceptive methods can be changed to improve their acceptance, safety, and effectiveness; and studying the connection between fertility and social factors, such as the status of women. The Global Environmental program seeks to assist developing countries to advance environmentally sound development in their own countries and participate fully in international responses to environmental challenges. The foundation's Special Programming grants support broader, interdisciplinary programs involving agriculture, health, and population. The foundation also offers fellowships in science-based development, general fellowships, social science research fellowships, biotechnology career fellowships, and African dissertation internships.

Arts and Humanities funding supports (through grants and fellowships) artists, scholars, teachers, and organizations whose work advances international and intercultural understanding. Of particular interest is the interchange of arts and knowledge between developing countries and the United States, and increasing opportunities for scholarship, teaching, and artistic expression among ethnic populations in this country.

The Equal Opportunity program, established in 1983, is dedicated to assuring the full place of minorities in American life, through improving the lives of the persistently poor in U.S. cities and assuring basic rights for all minority groups.

The new International Security program will support steps which can lead to regimes of control, verification, and peacekeeping in a world where 15-20 powers have access to nuclear, chemical, biological, or ballistic technology.

The School Reform program seeks to improve the school performance of at-risk students. Using the methods of Yale University's Dr. James P. Comer, the program will support projects which seek to stress the importance of a child's psychological preparation for school and emphasize the collaboration of school staff and parents.

Other interests and initiatives include the Bellagio Study and Conference Center in Italy (which is maintained by the foundation for conferences and residencies for artists and scholars), and activities which do not fall exactly within the preceding categories. Recent examples include the investigation of changing gender roles and trends in the developing world, programs to strengthen the nonprofit sector, internships for minorities in international development in Africa and the Caribbean, and leadership development in South Africa.

## CONTRIBUTIONS ANALYSIS

In 1989, based on the foundation's designated areas of interest, Science-Based Development received about 53% of giving; Equal Opportunity, about 20%; Arts and Humanities, about 17%; Other

Issues and Initiatives, about 7%; School Reform, about 2%; and International Security, about 1%.

## TYPICAL RECIPIENTS

**Arts & Humanities:** arts associations, arts centers, arts festivals, arts institutes, cinema, community arts, dance, ethnic arts, literary arts, museums/galleries, music, performing arts, public broadcasting, and theater

**Civic & Public Affairs:** civil rights, economic development, economics, environmental affairs, ethnic/minority organizations, housing, international affairs, law & justice, nonprofit management, philanthropic organizations, public policy, rural affairs, urban & community affairs, and women's affairs

**Education:** agricultural education, arts education, colleges & universities, international exchange, literacy, medical education, minority education, science/technology education, and student aid

**Health:** health organizations, hospitals, medical research, medical training, pediatric health, public health, and single disease health associations

**International:** foreign educational institutions, international development/relief, international health care, and international organizations

**Science:** scientific institutes and scientific organizations

**Social Services:** family planning

## OFFICERS AND DIRECTORS

**John Robert Evans:** chmn bd trusts *B* Toronto Canada 1929 *ED* Univ Toronto MD 1952; Oxford Univ DPhil 1955 *CURR EMPL* chmn, ceo: Allelix Inc; prof (cardiology): Univ Toronto Med Sch *CORP AFFIL* dir: Defasco Inc, Canadian Corp Mgmt, Royal Bank Canada, Alcan Aluminum Ltd, Montreal Southern Inc, Torstar Ltd *NONPR AFFIL* chmn: African Med Research Fdn; fellow: Royal Coll Physicians (London), Royal Coll Physicians & Surgeons Canada  
**Peter C. Goldmark, Jr.:** pres, trust *CURR EMPL* sr vp: Times Mirror Co

**John Brademas:** trust *B* Mishawaka IN 1927 *ED* Harvard Univ BA 1949; Oxford Univ DPhil 1954 *CURR EMPL* pres: NY Univ *CORP AFFIL* chmn: Fed Reserve Bank NY; dir: NY Stock Exchange, RCA/NBC, Loew's Corp, Scholastic Inc *NONPR AFFIL* mem bd overseers: Harvard Univ; trust, mem adv coun: Univ Notre Dame Coll Arts & Letters; mem bd visitors: MA Inst Technology Dept Political Science; mem bd advs: Dumbarton Oaks Research Library & Collection, Woodrow Wilson Ctr Intl Scholars; mem: Natl Comm Student Fin Assistance, Natl Academy Sciences Comm Rels Univs & Govt; mem bd dirs: Am Coun Ed; mem central comm: World Counc Churches  
**Harry Woolf:** trust *B* New York NY 1923 *ED* Univ Chicago BS 1948, MA 1949; Cornell Univ PhD 1955 *CURR EMPL* research prof: Inst Advanced Study (Princeton NJ) *CORP AFFIL* trust, scientific adv: Cluster C Funds Merrill Lynch; mem bd dirs: Westmark Intl *NONPR AFFIL* adv coun dept comparative literature: Princeton Univ; mem bd govts: Tel-Aviv Univ; chmn, trust-at-large: Univs Research Assn; mem adv coun: Natl Science Fdn, John F Kennedy Inst Handicapped Children; mem adv panel: WGBH (NOVA); mem editorial bd: Interdisciplinary Science Reviews; mem: Intl Research & Exchanges Bd, History Science Soc, Am Academy Arts & Sciences, Am Philosophical Soc, Counc Foreign Rels; fellow: Am Assn Advancement Science, Academy Intl d'Histoire des Sciences *PHIL AFFIL* mem bd dirs: Alex Brown Mutual Funds

**Eleanor Holmes Norton:** trust *B* Washington DC 1937 *ED* Antioch Coll BA 1960, MA 1963; Yale Univ LLB 1964 *CURR EMPL* prof: Georgetown Univ Law Ctr *CORP AFFIL* affil: Pitney Bowes Corp *NONPR AFFIL* trust: Yale Corp; dir: A Philip Randolph Inst, Bethune Museum & Archives Natl Historic Site; affil: Ctr Natl Policy, Manpower Demonstration Research Corp, Martin Luther King Jr Ctr Social Change, Natl Black Leadership Roundtable, Natl Political Congress Black Women, Natl Urban Coalition, Southern Christian Leadership Conf; adv bd: Natl Women's Political Caucus, Women's Law & Policy Fellowship, Workplace Health Fund; chmn: Comm Future Women Workplace, Natl Adv Coun ACLU; mem: Am Coun Ed, Counc