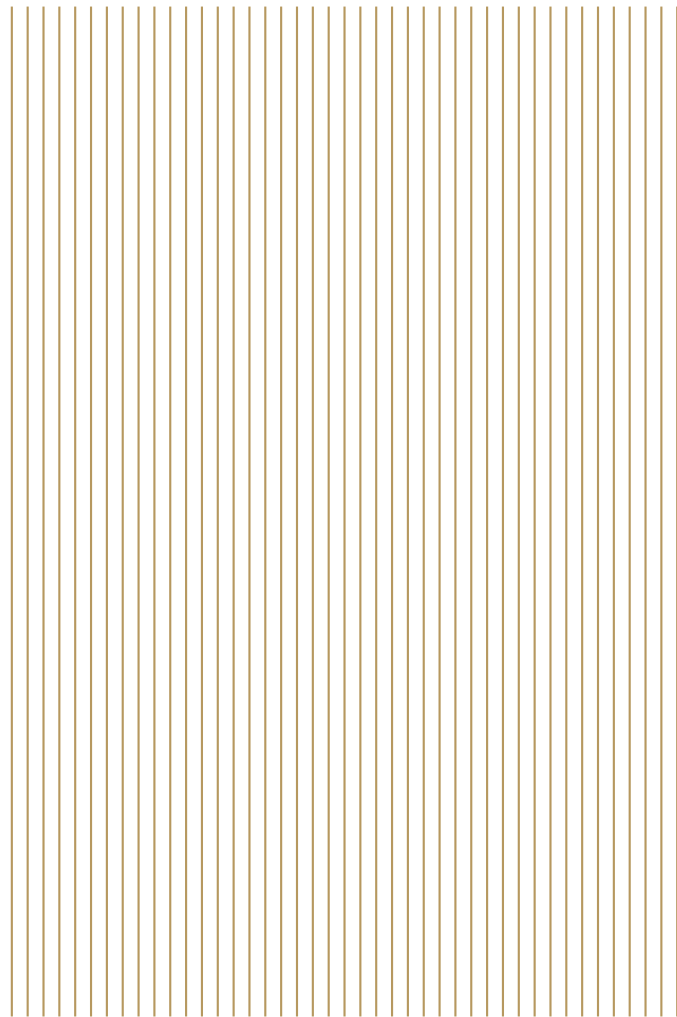
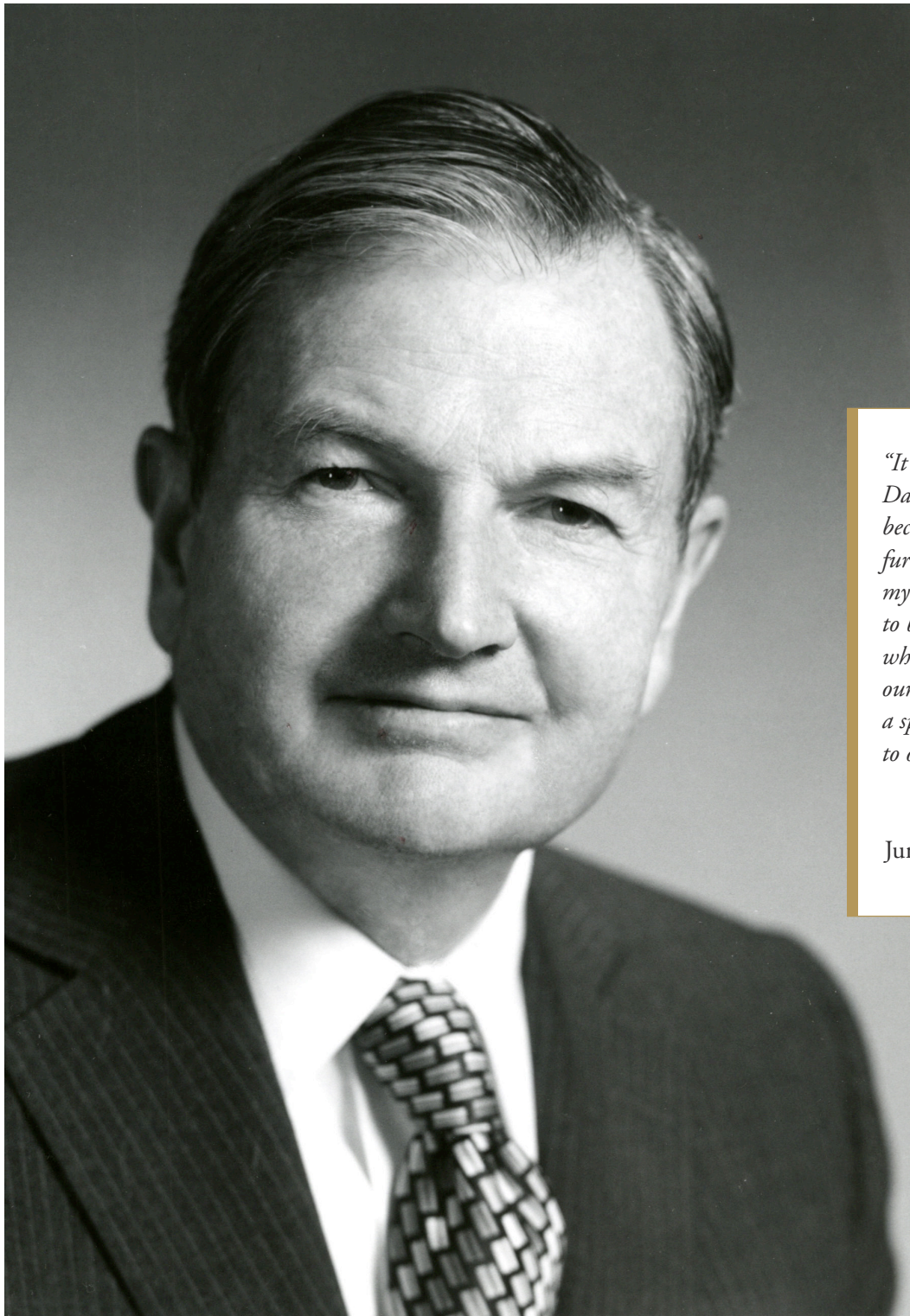

ANNUAL REPORT 2018



DAVID
ROCKEFELLER
FUND



"It is my sincere hope that the David Rockefeller Fund will become an effective vehicle to further the philanthropic goals of my family... Our family continues to be united in the belief that those who have benefited the most from our nation's economic system have a special responsibility to give back to our society in meaningful ways."

David Rockefeller
June 12, 1915 – March 20, 2017

HISTORY

The David Rockefeller Fund was established in 1989 by David Rockefeller and his wife, Peggy, to carry out their annual charitable giving in communities where they had homes outside New York City. In 2001, David Rockefeller expanded the Fund and invited his children, grandchildren, and their spouses to take a more active role in the Fund, with the idea of transferring to them the family's philanthropic legacy. In 2018, it was governed by a board of directors with 14 family members and two independent directors.

GUIDING PRINCIPLES

In all of its work, the Fund seeks to address the root causes of problems, working locally, nationally, and now globally and guided by the following principles:

FAMILY LEGACY

We seek to honor the philanthropic traditions and values exemplified by David and Peggy Rockefeller, recognizing the responsibility that we have to be active and engaged participants in our communities, as well as in the larger world.

RESPECT

We respect our grantees as equal partners in the work we do. Our general approach is to identify people and institutions doing important work and then to support them in ways they will find most meaningful, without imposing undue burdens on them.

RISK TAKING

We will not shy away from difficult social issues; indeed we believe that our greatest impact often results from taking on exactly those problems that more traditional funders tend to avoid.

FLEXIBILITY

We recognize that one of our particular strengths as a “next generation” family foundation is the ability to act quickly and be responsive to the real-time needs of our grantees.

LEVERAGE

As a small foundation committed to tackling big issues, we value collaboration and work to identify those opportunities where our family's tradition of philanthropy will help bring attention to difficult problems. We are committed to doing the greatest possible good with the resources we have, including the knowledge and networks of staff, fellows, and trustees.

SELF-EXAMINATION

Since we are committed both to taking risks and to achieving the greatest possible impact, we understand the importance of assessing our activities on a regular basis in the hope that our funding can make a demonstrable difference, both for the issues we care about and the nonprofit organizations we support.

VISION

The David Rockefeller Fund is a family foundation inspired by the vision and generosity of our founders, David and Peggy Rockefeller, to foster and embody a more just, creative, and flourishing world.

MISSION

We invest in catalytic ideas, people, efforts, and institutions working strategically toward ecological regeneration, justice system reform, and art for social impact.

2018 BOARD OF DIRECTORS & TEAM

DIRECTORS

The David Rockefeller Fund's Board membership rotates every year.

Peggy Dulany
Neva Goodwin
Daniel Growald
Eileen Growald
Paul Growald
Stephen Heintz
David Kaiser
Miranda Kaiser
Rebecca Lambert
Robert Parton
Michael Quattrone
Camilla Rockefeller
Clay Rockefeller
Susan Rockefeller
Manya Rubinstein
James Sligar

OFFICERS

Michael Quattrone, Chair*
Camilla Rockefeller, Vice Chair*
James Sligar, Treasurer
Miranda Kaiser, Secretary
Lukas Haynes, Executive Director

TEAM

Lukas Haynes, Executive Director
Lexi Fisher, Program Manager
Stephanie Burgos, Program Assistant
Laura Tinen, Spring Fellow
Grace Mastropasqua, Summer Intern
Moses McBride, Fall Fellow

*Camilla Rockefeller became the Board Chair in August 2018

GRANTMAKING PROGRAMS

In 2018, the David Rockefeller Fund had three long-standing, core program areas: Arts, Criminal Justice, and Environment.

The Arts Program focuses on cultivating, showcasing and disseminating the stories of innovative art for social change; Criminal Justice supports bold new ideas and policy initiatives for transforming U.S. detention and incarceration policies; and Environment supports new ideas, initiatives and policy breakthroughs in support of bipartisan U.S. climate leadership.

In addition to the program areas outlined above, the Fund underwrote a number of initiatives designed to encourage family members' individual philanthropic involvement and interests.

Grants listed in this report reflect grants awarded in 2018 even if some payments may have been made in other years.



Theatre of the Oppressed NYC (Arts)

*Detention Watch Network
(Justice)*

Photo Credit: Brandon Wu



ARTS

EMPHASIS

Cultivating, showcasing and disseminating innovative stories of art for social change.

GEOGRAPHIC FOCUS

National

The Arts funding strategy is to help cultivate, showcase, and disseminate the most compelling examples and stories of innovative art for social change. In doing so, the Fund aims to have a positive impact on a range of social problems while influencing the broader field of arts and culture philanthropy to try and draw greater attention and resources to “arts for social impact” from both private funding sources as well as public funds.

“Art is important because it expands how we look at and understand the world. It can make us think beyond our own experience, and often, in our appreciation, we find things that link us in a common humanity.”

- David Rockefeller

Awarded

A Blade of Grass

New York, NY

\$25,000

A Blade of Grass resources artists who demonstrate artistic excellence and serve as innovative conduits for social change. These funds support efforts to elevate the work of DR Fund Arts grantees, as well as spotlight the larger field of art for social impact as a way to showcase and disseminate the most compelling stories of art for social change.

Amplifier

Seattle, WA

\$25,000

Amplifier is a design lab that creates art to amplify the voices of grassroots movements. These funds support the #MyClimateHero campaign, an interactive comic art series that depicts heroes of the modern environmental justice movement and engages young people across the country in climate change advocacy.

Brave New Films

Culver City, CA

\$25,000

Brave New Films uses documentary film to give young people a voice in some of the most pressing issues of our time, such as mass incarceration, and gun violence. These funds support a partnership with Youth First Initiative on an animated film depicting youth justice in a way that is youth-centered.

ARTS (continued)

Awarded	
Chashama New York, NY	\$50,000 over 2 years
<p>Chashama's Bronx Community Artist Initiative enables artists living in affordable housing developments to provide free art programming for residents in exchange for studio space and teaching stipends. Fordham Bedford Housing Corporation is partnering with Chashama on this highly replicable initiative.</p>	
Gibney Dance New York, NY	\$50,000 over 2 years
<p>Gibney Dance is a multi-faceted dance company with two NYC locations. These funds support the development and expansion of the Community Action Hub, a dedicated physical space for social action dance programs.</p>	
Grantmakers in the Arts New York, NY	\$1,000
<p>Grantmakers in the Arts is a national association of arts and culture funders, and provides members with resources and leadership to support artists and arts organizations.</p>	
Hip Hop Caucus Washington, D.C.	\$20,000
<p>Hip Hop Caucus energizes and engages the Hip Hop community to build power and create change. These funds support groundbreaking work in both the criminal justice and environment sectors, through cultural expression using the arts.</p>	
Just Detention International Los Angeles, CA	\$25,000
<p>Just Detention International seeks to end sexual abuse in detention facilities. These funds support a collaboration with the New York State Department of Corrections and Community Supervision on therapeutic art workshops in two prisons, which will allow participants to earn "good time" toward sentence reduction.</p>	
The Public Theater New York, NY	\$20,000
<p>The Public Theater's Public Works program invites community members in NYC to join in the creation of ambitious works of participatory theater. These funds support the replication of the Public Works model nationally.</p>	

ARTS (continued)

Awarded

Theatre of the Oppressed NYC

New York, NY

\$20,000

Theatre of the Oppressed NYC partners with communities facing discrimination to inspire transformative action through theater. Funding supports the Legislative Theatre program, a venue for community members to brainstorm alternatives to real-life problems on stage and vote on solutions with policymakers present.

United Workers Association

Baltimore, MD

\$20,000

United Workers Association develops members and leaders across Maryland to transform community development in Baltimore from a trickle-down approach to a more equitable development model. These funds support the use of various art forms to visualize what it means to live with the threat of eviction and imagine new affordable housing programs.

Victory Gardens Theater

Chicago, IL

\$28,000

Victory Gardens Theater is a Chicago-based contemporary theater that places equal emphasis on producing new work and cultivating an inclusive theater community. These funds support social justice programming for five new productions.

YEARS Project, a project of Tides Foundation

New York, NY

\$25,000

The YEARS Project is a multi-platform story-telling, education, and communications effort designed to educate the public about climate change as one of the most critical issues of our time and stimulate collective action by the public, policymakers, and business leaders. These funds support short-form videos that expose what fossil fuel companies have long known about climate change.

CRIMINAL JUSTICE

EMPHASIS

Supporting bold new policy proposals and initiatives for transforming U.S. detention/incarceration policies.

GEOGRAPHIC FOCUS

National

The Criminal Justice program strategy is to support bold new initiatives for transforming U.S. detention/incarceration policies. The goals of transformative grants and advocacy are to ensure more humane and effective policies that dramatically reduce the numbers of those incarcerated in favor of alternatives for restorative, community justice that provide real healing to crime victims’ families and truly safer communities. This requires patient capital, creative risks, imaginative grants criteria, and compassion for all stakeholders in the justice system. It also requires data-driven analysis and investments in leadership development, grassroots empowerment, and smart organizing for effective policy advocacy.

“The criminal justice reform climate has progressed dramatically, due largely to putting the power to advocate in the hands of those who are closest to the issues.”

- Laura Tinen,
Justice Reform Advocate
and Former DR Fund
Fellow

Awarded

Abolitionist Law Center
Pittsburgh, PA

\$50,000 over two years

Abolitionist Law Center is a public interest law firm with the goal of abolishing class- and race-based mass incarceration. The organization employs a combination of casework, research, and storytelling in service of policy reforms that would apply juvenile life without parole sentencing reforms to 18 to 21 year-olds.

Campaign for Youth Justice
Washington, DC

\$35,000

The Campaign for Youth Justice is a national initiative focused on ending the practice of prosecuting, sentencing, and incarcerating youth under the age of 18 in the adult criminal justice system. These funds support collaboration with judges and prosecutors to explore what is needed to keep youth charged with violent crimes in the juvenile system.

Center for Court Innovation, a project of Fund for the City of New York
New York, NY

\$29,000

CRIMINAL JUSTICE (continued)

Awarded

The Center for Court Innovation creates operating programs to test new ideas and solve problems, performs original research, and provides expert assistance to justice reformers around the world. These funds support a convening to explore how more humane and cost effective European justice models can be replicated in the U.S.

Center for Popular Democracy

Brooklyn, NY

\$19,000

The Center for Popular Democracy is an advocacy group that promotes democratic reform and a pro-worker, pro-immigrant, racial and economic justice agenda. The Fund participates in a “One Percent for Democracy” tithe, since all three program areas benefit from a more representative, accountable democracy. Each year, the tithe is taken from a different program budget.

Community Justice Reform Coalition, a project of New Venture Fund

New York, NY

\$30,000

The Community Justice Reform Coalition is a national advocacy organization focused on addressing the intersection of gun violence prevention and criminal justice reform in urban communities of color. The organization aims to fill the leadership gap with advocates who are centering communities of color, confronting violence, and challenging the criminal justice system.

Detention Watch Network, a project of Tides Center

Washington, DC

\$25,000

Detention Watch Network seeks to limit the expansion of immigrant detention and to expose abuses within the system, with the ultimate goal of dismantling the immigrant family detention system. These funds support efforts to halt construction of new detention facilities, close existing ones, and monitor/publicize abuses.

Grassroots Leadership

Austin, TX

\$40,000

Grassroots Leadership advocates for some of the most progressive state and local policies and practices in the country, deep in the heart of Texas. This work promotes policies that transform the criminal justice and immigration systems, as well as mobilize those most impacted by incarceration and deportation.

Kids in Need of Defense

Washington, DC

\$20,000

Kids in Need of Defense provides pro bono representation for unaccompanied immigrant and refugee children in their deportation proceedings. In addition to legal services, the organization also engages in policy education and outreach, as well as provides reintegration support for children returning alone from the U.S. to their home countries.

CRIMINAL JUSTICE (continued)

Awarded

New York Youth Justice Initiative, a project of FJC

New York, NY

\$5,000

The New York Youth Justice Initiative is a network of foundation members working to amplify youth justice issues and campaigns in New York City. Current priorities include Raise the Age implementation and the transfer of youth off Rikers Island.

Prisoner Reentry Institute at John Jay College, a project of Research Foundation of CUNY

New York, NY

\$50,000

The DR Fund partners with the Prisoner Reentry Institute at John Jay College to administer a Criminal Justice Fellowship that provides formerly incarcerated individuals with experience in the field of philanthropy, as well as valuably informs the Fund's Criminal Justice program with the experiences of those most directly impacted.

Project on Government Oversight

Washington, DC

\$25,000

The Project on Government Oversight is a nonpartisan watchdog that champions good governance reforms. These funds support efforts to shine a spotlight on the financial connection between increased incarceration rates of immigrants and for-profit companies, the financial ties with contractors involved with border protection, and the consequences for people lost in the system.

Safe Passage Project

New York, NY

\$5,000

The Safe Passage Project is committed to finding and defending all undocumented children in NYC. The organization works with volunteer attorneys to provide pro bono legal representation to undocumented minors, including those separated from their families due to federal policies.

Youth First Initiative, a project of New Venture Fund

Washington, DC

\$30,000

The Youth First Initiative provides national coordination of state-based campaigns working to abolish youth prisons and reinvest the funds in community alternatives. These funds enabled Youth First to provide technical assistance to the existing seven state campaigns as well as to launch three new campaigns in 2019.

ENVIRONMENT

EMPHASIS

Generating bipartisan leadership on climate change at a federal level by supporting new ideas, initiatives, and policy breakthroughs.

GEOGRAPHIC FOCUS

National

In 2018, the Environment program funding strategy was to help generate bipartisan leadership on climate change at a federal level by supporting new ideas, initiatives, and outreach by trusted messengers. The program prioritized opportunities to build long-term, local capacity for organizing grassroots constituencies as well as national groups with a demonstrated track record of engaging members of Congress, including on the security impacts of climate change.

Funding decisions considered the alignment of goals with other allied groups; relative investment by other funders in critical but under-resourced geographic areas; and the availability of matching funds from other donors. Grant support for the “primary purpose” or charitable expenditures of 501(c)4 groups aimed to build long-term constituencies for bipartisan climate solutions and complement 501(c)3 efforts.

“The care of the Earth is our most ancient and most worthy, and after all our most pleasing responsibility. To cherish what remains of it and to foster its renewal is our only hope.”

- Wendell Berry

Awarded	
Center for Climate & Security, a project of Council on Strategic Risks Washington, DC	\$50,000
The Center for Climate & Security is a nonpartisan policy institute and the leading climate security resource in the country. These funds support efforts to build a bipartisan national security consensus about climate change impacts that translate into action by the federal government.	
Climate & Energy Funders Group, a project of the Consultative Group on Biological Diversity San Francisco, CA	\$5,000
The Climate & Energy Funders Group brings a diverse field of funders together to discuss and debate strategies to combat unmitigated climate change while building a clean energy economy.	

ENVIRONMENT (continued)

Awarded	
Confluence Philanthropy Oakland, CA	\$1,500
Confluence Philanthropy advances mission-aligned investing through annual conferences, webinars, trainings, and publications.	
Environmental and Energy Study Institute Washington, DC	\$25,000
Environmental and Energy Study Institute advances innovative policy solutions that promote a cleaner, more secure, and sustainable energy path. These funds support the organization's focus on the connection between national security, climate, and renewable energy as one of the levers most likely to influence climate policy.	
Environmental Grantmakers Association New York, NY	\$4,000
Environmental Grantmakers Association is a membership association that promotes effective environmental philanthropy by sharing knowledge, fostering debate, cultivating leadership, facilitating collaboration, and catalyzing action.	
Peace and Security Funders Group, a project of Fund for Constitutional Government Washington, DC	\$3,500
The Peace and Security Funders Group enhances the effectiveness of peace and security philanthropy through the exchange of information and ideas, fostering collaboration, and providing educational opportunities for members, including new risks and threats related to climate change and security.	
Protect Our Winters Action Fund Boulder, CO	\$50,000
Protect Our Winters Action Fund seeks to make action on climate change a top policy priority for the outdoor sports community. Funding supports the strictly charitable activities of the organization.	
republicEn, a project of George Mason University Fairfax, VA	\$40,000
republicEn seeks to support national leadership on climate and energy issues through the education of relatively conservative constituencies. This work is based on the belief that meaningful and durable action on climate change requires bipartisan coalitions at a state and national level.	

ENVIRONMENT (continued)

Awarded	
Sixteen Thirty Fund Washington, DC	\$100,000
Sixteen Thirty Fund serves as an incubator for social justice projects advocating for policies and supporting campaigns that tackle the biggest social issues of our time. Funding supports the strictly charitable activities of the Climate and Energy Fund.	
Sustainable Markets Foundation New York, NY	\$36,000
Sustainable Markets Foundation supports a broad spectrum of charitable, societal, and governmental functions, through research and public education efforts. These funds support an in-depth analysis of climate security communication to national leaders as an approach to encouraging more responsive national climate policy.	
Truman National Security Project Washington, DC	\$50,000
Truman National Security Project is a nationwide membership of leaders inspired to serve in the aftermath of 9/11, and committed to shaping and advocating for tough, smart security solutions. The organization mobilizes veterans and grassroots constituencies concerned about climate change, especially the impact on homeland and national security.	
YEARS Project, a project of Tides Foundation New York, NY	\$25,000
The YEARS Project is a multi-platform story-telling, education, and communications effort designed to educate the public about climate change as one of the most critical issues of our time and stimulate collective action by the public, policymakers, and business leaders. These funds support short-form videos that expose what fossil fuel companies have long known about climate change.	

Richard Rockefeller Climate Change Initiatives (2018-2023)

This trustee-initiated program is a 5-year, “sunsetting” set of grant-making initiatives approved by the DR Fund Board in November 2018. Named after a beloved former trustee, the main purpose of the initiatives is to support bold, urgent action to reduce and prevent greenhouse gas emissions as quickly as practitioners and policymakers can achieve such gains at scale.

Awarded	
Global Alliance for the Future of Food, a project of New Venture Fund Washington, DC	\$250,000
Our Children’s Trust Eugene, OR	\$25,000
Piper Fund, a project of Proteus Fund Amherst, MA	\$25,000
Salzburg Global Seminar Washington, DC	\$100,000

Growald Family Fund – DRF Initiative

This trustee-initiated program fosters collaboration with the Growald Family Fund and adds leverage to complementary climate change solution strategies. Fund staff investigate opportunities at the intersection of both foundations’ existing programs and draw on their respective program knowledge.

Awarded	
Center for Climate & Security, a project of Council on Strategic Risks Washington, DC	\$50,000

Board Chair Discretionary Grants

These grants allow the Board Chair, in consultation with the Executive Director, to seize timely opportunities to augment programmatic grantmaking. The discretionary funds allow the Board officer to learn about, and respond to, program opportunities that may be time-sensitive or beyond the available budget and to reinforce high-impact work in existing program areas.

	Awarded
Asia Society New York, NY	\$25,000
Carter Burden Network New York, NY	\$23,573
Men's Story Project, a project of Fractured Atlas New York, NY	\$25,000
Pachamama Alliance San Francisco, CA	\$15,000
Victory Gardens Theater Chicago, IL	\$10,000

Executive Director Discretionary Grants

This program is a flexible pool of funding approved by the Board to respond to urgent requests, unanticipated opportunities, or special needs. These grants may be used to respond, but are not limited, to: the emergence of a singular opportunity to influence public debate or action on a public policy issue relevant to the Fund's program areas; an unforeseen emergency need experienced by a Fund grantee; or an extraordinary funding opportunity identified by the Board or staff.

	Awarded
Bedford 2020 Coalition Bedford Hills, NY	\$1,500
Confluence Philanthropy New York, NY	\$1,500
#cut50, a project of Dream Corps Oakland, CA	\$25,000
Independent Diplomat New York, NY	\$25,000
JED Foundation New York, NY	\$1,000

	Awarded
National Center for Family Philanthropy Washington, DC	\$2,000
Pachamama Alliance San Francisco, CA	\$5,050
Philanthropy New York New York, NY	\$1,950
Pros and Cons, a project of John Howard Society of Canada Ontario, Canada	\$20,000
Protect Our Winters Boulder, CO	\$10,000
Victory Gardens Theater Chicago, IL	\$2,000

Micro-Grants

The Micro-Grants Committee consists of rotating family trustees from the board of the DR Fund. Staff distribute small or time-sensitive grant recommendations in between full board meetings for the approval of small grants. Grants are then disbursed promptly and administered as normal grants with reporting requirements proportional to their monetary size.

	Awarded
AgitArte Cambridge, MA	\$6,500
Artistic Freedom Initiative, a project of SDK Foundation Saddle River, NJ	\$6,500
Beyond the Box, a project of Urban Youth Alliance International Bronx, NY	\$6,500
Gulf of Maine Research Institute Portland, ME	\$5,000
Just Vision Washington, DC	\$5,000

Awarded**No Longer Empty**

New York, NY

\$4,000

Power Shift Network

Washington, DC

\$6,500

DR Memorial Grants

The following grant was made with funds donated to the David Rockefeller Fund in the wake of David Rockefeller's passing in March 2017. We are grateful and humbled by the outpouring of community support that made all DR Memorial grants possible in both 2017 and this final grant in 2018.

Awarded**Pollinator Partnership**

San Francisco, CA

\$48,000

FINANCIAL SUMMARY 2018

The average monthly asset values (unaudited) in 2018 were \$41.04M. Final audited asset value figures will be available in mid-July 2019.

Grants paid during 2018, including discretionary grants awarded by individual trustees, totaled \$1,964,671.

	# of Grants Paid	Amount Paid
Arts	18	\$440,000
Criminal Justice	15	\$438,000
Environment	14	\$440,000
Richard Rockefeller Climate Change Initiatives	2	\$50,000
Growald Family Fund – DRF Initiative	1	\$50,000
Board Chair Discretionary	5	\$98,573
Executive Director Discretionary	11	\$95,000
Micro-Grants	7	\$40,000
Other	16	\$313,098
Total	89	\$ 1,964,671

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Graphic Design Credit: Ashley Li