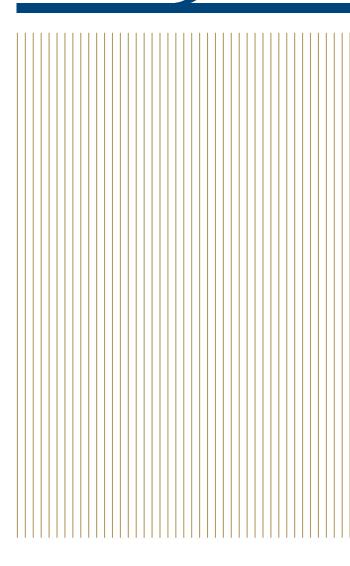
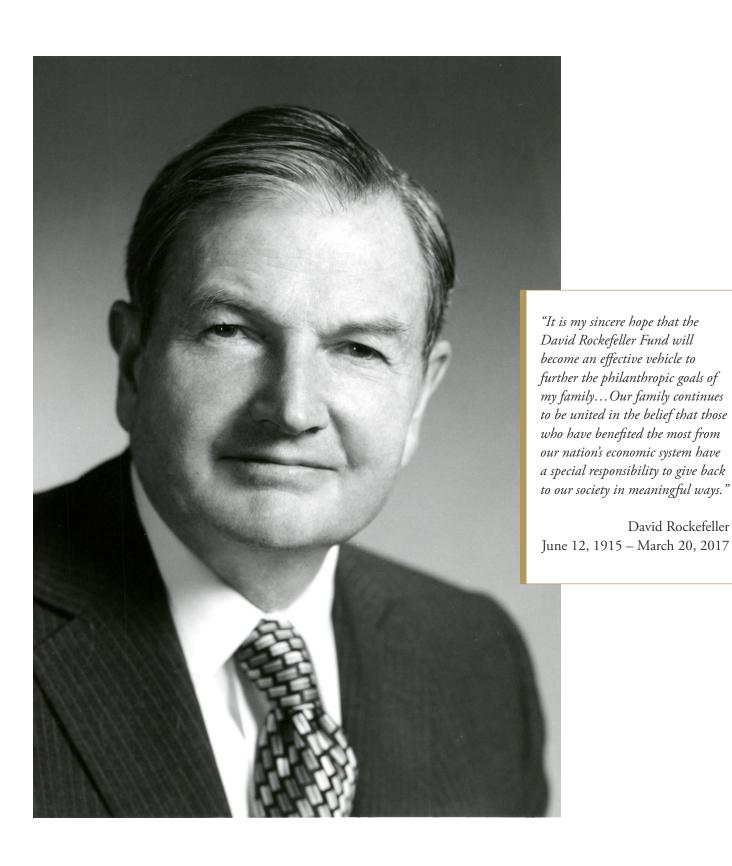
# ANNUAL REPORT 2019







David Rockefeller

## **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 2019, it was governed by a board of directors with 12 family members and three 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.

## **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.

#### **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.

## **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.

## **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.

### **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.

## 2019 BOARD OF DIRECTORS & TEAM

## **DIRECTORS**

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

Rosemary Corbett

Peggy Dulany

Nili Gilbert

Daniel Growald

Eileen Growald

Stephen Heintz

Miranda Kaiser

Gara LaMarche

Rebecca Lambert

Michael Quattrone

Camilla Rockefeller

Clay Rockefeller

David Rockefeller Jr.

Susan Rockefeller

Manya Rubinstein

## **OFFICERS**

Camilla Rockefeller, Chair Leah D'Angelo, Treasurer Lexi Fisher, Secretary Lukas Haynes, Executive Director

## **TEAM**

Lukas Haynes, Executive Director Lexi Fisher, Program Manager Stephanie Burgos, Program Assistant Kayode Oseni, Spring Fellow Aisha Radellant, Fall Fellow

## **FOREWARD**

The year 2019 was one of special significance as it marked the 30th anniversary of the David Rockefeller Fund and a year which found us implementing new grantmaking strategies in all of our program areas and initiatives.

To mark the anniversary milestone and document some of the lessons learned from the formative stages of the foundation's evolution, the staff commissioned a series of trustee and grant partner interviews. A link to video and narrative resources, entitled *Leading With Love and Gratitude*, can be found here.

For the first time, the foundation provided "primary purpose" charitable support to 501(c)(4) social welfare organizations in the arts and criminal justice programs and it continued to make grants to such organizations in the environment program.

For example, Americans for the Arts Action Fund was given grant support to enhance the arts sector at the federal, state, and local levels, ensuring that public policies support a thriving and innovative arts sector as part of more vibrant, livable, and sustainable communities throughout the United States.

In the foundation's criminal justice program, Florida Rights Restoration Coalition, a program fiscally sponsored by Tides Advocacy, is dedicated to educating citizens about the disenfranchisement and discrimination against people with criminal convictions.

In the environmental arena, Jolt Action, a Texas-based social welfare organization, is educating the Latinx community as its members tackle racial, economic, gender and climate change-related injustices in communities of color. Likewise, the DR Fund continued to provide support to Protect Our Winters Action Fund, a social welfare organization based in Colorado and dedicated to uniting the outdoor community of 50 million recreational and sports enthusiasts for nonpartisan solutions to the climate crisis.

Finally, thanks to a special trustee-led effort to invest \$5 million over 5 years in multi-purpose solutions to climate change, the Richard Rockefeller Climate Change Initiatives were supporting the efforts of Mighty Earth, a 501(c)(3) working across multiple continents, and a coalition of Texas-based non-profits organizing local communities to protect land, water and atmospheric resources from the toxic and greenhouse gas pollution of the fossil fuel industry.

These initiatives and grants are but a few examples of how the David Rockefeller Fund tries to provide flexible support for bold ideas, individuals and institutions working strategically toward ecological regeneration, justice system transformation and art for social impact. We welcome your feedback as we constantly re-examine our work on some of the most difficult issues of our time.

Sincerely,

Lukas Haynes, Executive Director

## **GRANTMAKING PROGRAMS**

In 2019, 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 2019 even if some payments may have been made in other years.



W. Haywood Burns Institute



Right: Hip Hop Caucus





## **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

## Americans for the Arts Action Fund

Washington, DC \$38,000

Americans for the Arts Action Fund is a 501(c)4 social-welfare organization working to mobilize one million citizen activists to enhance the arts sector at the federal, state, and local levels. This is the largest arts advocacy network in the country ensuring that public policies support a thriving arts sector as part of more vibrant, livable, and sustainable communities throughout the United States.

## Amplifier

Seattle, WA \$15,000

Amplifier is a design lab that creates and disseminates art to amplify the voices of grassroots social movements. This grant elevated the profile and expanded the reach of an animated video depicting a youth's response to the climate crisis.

#### **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, including mass incarceration, climate change, and gun violence. This grant supported a film series about youth organizing across the country and offered a guide for community advocacy and direct action.

## **ARTS** (continued)

Awarded

#### **Cultural Shed**

New York, NY \$50,000

The Shed is New York's newest major cultural institution and commissions original works of art across all disciplines. This grant supported DIS OBEY, a writing and performing arts program that harnesses the momentum of 21st century protest movements to foster civic engagement by young people of color.

#### Fountain House

New York, NY

\$50,000 over 2 years

Fountain House empowers people with mental health challenges to create art and achieve commercial success. This grant supports the replication of the "studio" model, which provides free space and resources to artists across New York City and associated residences around the world.

### Climate Chores, a project of Fractured Atlas

New York, NY

\$25,000

Climate Chores is a comedy podcast that aims to raise awareness about climate change and related sustainability practices in an entertaining and actionable way. Each episode functions as a way to unpack environmental responsibilities in a humorous, non-judgmental way and as education for an audience figuring out how to live with a lighter environmental impact.

#### Girl Be Heard

Brooklyn, NY

\$20,000

Girl Be Heard develops, amplifies, and celebrates the voices of young women through socially conscious theatre-making. This grant helped take performances directly to policymaking venues and supported advocacy for policy change.

#### Grantmakers in the Arts

New York, NY

\$27,000

Grantmakers in the Arts is a national association of arts and culture funders providing members with resources to support artists and arts organizations. This grant was for planning the 2020 annual conference in New York City.

#### **Hip Hop Caucus**

Washington, D.C.

\$20,000

Hip Hop Caucus energizes and engages the Hip Hop community to build power and drive social change. This grant supported the telling and sharing of stories to empower those on the frontlines of climate change impacts and advocacy.

## **ARTS** (continued)

**Awarded** 

## Upstart Co-Lab, a project of Rockefeller Philanthropy Advisors

New York, NY

\$75,000 over 3 years

Upstart Co-Lab is a national collaboration connecting artists with social entrepreneurs, impact investors, community banks, social enterprises, and sustainability-focused companies. The goal is to frame the "creative economy" as an impact investing opportunity, enabling investors to see more diverse opportunities in industries they may otherwise overlook.

## Rikers Public Memory Project, a project of Rutgers, the State University of New Jersey

Newark, NJ

\$15,000

On the heels of the success of the #CloseRikers policy campaign, the Rikers Public Memory Project memorializes the harm done by the institution as a way to make sure that those horrors are never repeated and to develop more just alternatives to punitive incarceration in the future.

#### **Sheherazade Initiatives**

New York, NY

\$50,000 over 2 years

Sheherazade is a participatory theater model that empowers migrant, refugee, and displaced populations around the world. This initiative offers enormous potential for scale and impact on one of the world's most pressing crises: migration.

#### Tribeca Film Institute

New York, NY

\$25,000

Tribeca Film Institute, an affiliate of the Tribeca Film Festival, was created to diversify the field of filmmakers and media artists and to empower them with resources to fully realize their work. This grant aimed to document and draw greater attention to an impactful film discussion series at a New York prison.

#### **Victory Gardens Theater**

Chicago, IL

\$40,000

Victory Gardens is a nationally recognized theater that places equal emphasis on producing new work by playwrights of color and cultivating an inclusive theater community. This grant supported the documentation and dissemination of the theater's social impacts at the intersection of the arts and civic engagement.

#### YEARS Project

New York, NY

\$25,000

The YEARS Project is a multi-platform storytelling, 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. This grant supported short-form videos that expose the ways in which fossil fuel companies have misled the public 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

## Council on Criminal Justice

Washington, DC \$75,000

The Council on Criminal Justice is a new network that will incubate policy ideas and foster policy debate about transformative solutions in a credible, nonpartisan manner. This grant supported the launch of the initiative, which is a significant opportunity to elevate the voices of formerly incarcerated leaders.

#### **Detention Watch Network**

Washington, DC \$30,000

Detention Watch Network seeks to limit the expansion of immigrant detention and to expose abuses across the country with the ultimate goal of dismantling the immigrant family detention system. This grant supported efforts to halt construction of new detention facilities, close existing ones, and publicize abuses.

## Canary Impact Fund, a project of Dream Corps

Oakland, CA \$100,000 over 2 years

## **CRIMINAL JUSTICE** (continued)

#### Awarded

Dream Corps works to close prison doors and unite people across racial, social, and partisan lines. This grant supports Canary Impact Fund, a participatory grantmaking initiative seeded by DR Fund trustees and dedicated to funding organizations and initiatives guided by input from people who are directly impacted by the issues they seek to address.

## New York Youth Justice Initiative, a project of FJC

New York, NY \$3,500

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.

## 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.

#### **Jewish Council for Public Affairs**

New York, NY

\$100,000 over 2 years

Jewish Council for Public Affairs has taken up the issue of mass incarceration among its 125 affiliate locations, with a focus on ending cash bail. This effort will incubate local programming with the long-term goal of raising awareness of the bail issue so that it becomes an ongoing priority for local organizations.

#### Neighborhood Funders Group

Oakland, CA

\$1,500

The Neighborhood Funders Group strengthens the capacity of philanthropy to understand and support community-based efforts to organize and improve the economic and social fabric of low-income urban neighborhoods and rural communities.

#### Project on Government Oversight

Washington, DC

\$25,000

The Project on Government Oversight is a nonpartisan watchdog that champions good governance reforms. This grant funded 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 detention system.

## **CRIMINAL JUSTICE** (continued)

Awarded

# Institute for Justice & Opportunity at John Jay College, a project of Research Foundation of CUNY New York, NY \$55,000

The DR Fund partners with the Institute for Justice & Opportunity (formerly the Prisoner Reentry Institute) at John Jay College to administer a Criminal Justice Fellowship. The fellowship provides returning citizens with experience in the field of philanthropy while elevating the voice and experience of those most directly impacted.

# Rikers Public Memory Project, a project of Rutgers, the State University of New Jersey Newark, NJ

\$15,000

On the heels of the success of the #CloseRikers policy campaign, the Rikers Public Memory Project memorializes the harm done by the institution as a way to make sure that those horrors are never repeated and to develop more just alternatives to punitive incarceration for the future.

## Florida Rights Restoration Coalition, a project of Tides Advocacy

San Francisco, CA

\$100,000 over 2 years

Florida Rights Restoration Coalition is a 501(c)4 social welfare organization comprised of returning citizens with the goal of ending disenfranchisement and discrimination against people with criminal convictions. This grant supports efforts to educate re-enfranchised individuals in Florida on their constitutional rights with the ultimate goal of transforming the state's criminal justice system.

## W. Haywood Burns Institute

Oakland, CA

\$30,000

The W. Haywood Burns Institute employs a community engagement model that aims to eliminate racial and ethnic disparities and improve life outcomes for people of color in the justice system. This grant supported expansion of the model to new communities, including Native Americans, and the development of a leadership program to empower directly-impacted people in providing assistance.

## **ENVIRONMENT**

## **EMPHASIS**

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

## **GEOGRAPHIC FOCUS**

National

In 2019, 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

## Climate & Energy Funders Group, a project of the Biodiversity Funders Group 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.

## Confluence Philanthropy

Oakland, CA

\$1,500

Confluence Philanthropy supports and promotes mission-aligned investing through annual conferences, webinars, trainings, and publications.

## **ENVIRONMENT** (continued)

**Awarded** 

## Center for Climate and Security, a project of the Council on Strategic Risks

Washington, DC

\$175,000 over 2 years

The Center for Climate and Security is a nonpartisan policy institute and the leading resource in the country on how climate change impacts national security. This grant supports efforts to build a bipartisan national security consensus about climate change impacts that will support actions by the federal government.

#### **Environmental Grantmakers Association**

New York, NY

\$5,000

Environmental Grantmakers Association is a membership organization that promotes effective environmental philanthropy by sharing knowledge, fostering debate, cultivating leadership, facilitating collaboration, and catalyzing action.

## Peace & Security Funders Group, a project of the 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 on the new risks and threats related to climate change and security.

## republicEn, a project of George Mason University Foundation

Fairfax, VA

\$50,000

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.

#### **Jackson Hole Center for Global Affairs**

Jackson, WY

\$40,000

Jackson Hole Center for Global Affairs is a bipartisan policy center focused on climate change solutions through partnerships. This grant supported a collaboration with the Center for Climate and Security to launch a bipartisan, action-oriented forum to discuss government policy and business actions that respond to the security risks of climate change.

#### **Jolt Action**

Austin, TX

\$50,000

Jolt Action is a Texas-based 501(c)4 social welfare organization that educates the Latinx community in Texas. Jolt Action supports its members in tackling racial, economic, gender and environmental/climate justice in communities of color.

## **ENVIRONMENT** (continued)

Awarded

#### **Protect Our Winters Action Fund**

Boulder, CO \$50,000

Protect Our Winters Action Fund is a 501(c)4 social welfare organization that seeks to make action on climate change a top priority for the outdoor recreational and sports community. The organization transforms the outdoor community's shared love of nature into ideas and individual behavior change to drive positive action on climate change.

### Sixteen Thirty Fund

Washington, DC \$150,000

Sixteen Thirty Fund serves as an incubator for social justice projects advocating for policies that tackle the biggest social issues of our time. This grant supported the strictly charitable activities of the Climate and Energy Fund and the Climate Equity Action Fund.

## Mosaic, a project of Windward Fund

Washington, DC

\$75,000 over 3 years

Mosaic is a new resource hub aimed at developing a more connected, effective, and inclusive environmental field. This initiative, co-generated by 90+ nonprofits and funders, strengthens the environment movement's infrastructure in light of industry efforts to rollback U.S. environmental protections.

#### **YEARS Project**

New York, NY \$25,000

The YEARS Project is a multi-platform storytelling, 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. This grant supported short-form videos that expose the ways in which fossil fuel companies have misled the public about climate change.

## **Executive Director Discretionary Grants**

The Executive Director Discretionary Grants program is a flexible pool of funding made available 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
Center for Popular Democracy	
Brooklyn, NY	\$26,000
Confluence Philanthropy	
Oakland, CA	\$1,500
JED Foundation	
New York, NY	\$7,000
Middle Collegiate Church	
New York, NY	\$5,000
National Center for Family Philanthropy	
Washington, DC	\$2,000
National Committee for Responsive Philanthropy	
Washington, DC	\$1,500
Philanthropy New York	
New York, NY	\$2,000
Sepsis Alliance	
San Diego, CA	\$45,000

## **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 offer an incentive to 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
Independent Diplomat	
New York, NY	\$35,000
Kiss the Ground	
Los Angeles, CA	\$25,000
Native Movement	
Fairbanks, AK	\$15,000
Pachamama Alliance	
San Francisco, CA	\$25,000

## **Micro-Grants**

The Micro-Grants Committee consists of rotating family trustees from the board of the DR Fund. Staff distribute time-sensitive grant proposals 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
Center for Popular Democracy	
Brooklyn, NY	\$5,000
Little Victor Productions, a project of Fractured Atlas	
New York, NY	\$3,000
Mayor's Fund to Advance New York City	
New York, NY	\$7,500
Men's Story Project, a project of Fractured Atlas	
New York, NY	\$10,000
Our Climate Education Fund	
Seattle, WA	\$8,000
Rattlestick Playwrights Theater	
New York, NY	\$10,000
Women's Earth Alliance, a project of Earth Island Institute	
Berkeley, CA	\$6,500

## Richard Rockefeller Climate Change Initiatives

The Richard Rockefeller Climate Change Initiatives are a 5-year, time-limited set of grant-making initiatives approved by the DR Fund board in November 2018. 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
\$100,000
\$50,000
\$25,000
\$34,000
\$25,000
\$25,000
\$21,000
\$1,000,000
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\$50,000
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\$125,000
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\$50,000

	Awarded
The Niskanen Center	
Washington, DC	\$25,000
<b>Tides Foundation</b> San Francisco, CA	\$20,000

## **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. DR 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

## **FINANCIAL SUMMARY 2019**

The average monthly asset values (unaudited) in 2019 were \$65,923,941. Final audited asset value figures will be available in fall 2020.

Grants paid during 2019, including discretionary grants awarded by individual trustees, totaled \$3,594,002.

	# of Grants Paid	Amount Paid
Arts	18	\$450,000
Criminal Justice	13	\$450,000
Environment	12	\$450,000
Richard Rockefeller Climate Change Initiatives	15	\$1,100,000
Growald Family Fund – DRF Initiative	1	\$50,000
Board Chair Discretionary	4	\$100,000
Executive Director Discretionary	9	\$90,000
Micro-Grants	7	\$50,000
Trustee Discretionary & Donor-Advised Fund	12	\$850,000
Other	6	\$4,002
Total	97	\$ 3,594,002

Contact Us: (p) 212-812-4300 (e) info@drfund.org

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