



LEADING WITH LOVE AND GRATITUDE:
THE DAVID ROCKEFELLER FUND AT 30



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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.



"Philanthropy is involved with basic innovations that transform society, not simply maintaining the status quo or filling basic social needs that were formerly the province of the private sector."

– DAVID ROCKEFELLER

PREFACE

WHEN MY GRANDPARENTS, DAVID AND PEGGY ROCKEFELLER, established the David Rockefeller Fund in 1989 as a tool of convenience for local giving to their home communities outside New York City, what future did they envision for it? Philanthropic impulse had long been our family tradition, yet in those earliest days did they imagine the depth and richness of engagement this new philanthropic entity would catalyze among their descendants over time?

Thirty years later, the Fund has grown in size and become common ground where David and Peggy's children gather around the board table with their own children, nieces and nephews to practice philanthropy, learn and teach, building and strengthening family bonds along the way. The DR Fund is now the key institution through which David and Peggy Rockefeller's unique strand of values and philanthropic practice is passed from one generation to the next. With regular rotation of family trustees, the DR Fund approaches its work with respect and thoughtful intention. Rooted in gratitude and leading with love, the ethos of my grandparents' lives as attentive participants in the world around them is embodied in the foundation's daily work.

Family was my grandfather's greatest joy. He faithfully attended board meetings until the time of his death in 2017 at age 101. We miss him around our board table, yet realize with appreciation the gift of time and opportunity he so readily shared through the years. His wisdom, humility and love anchor and inspire us. We are the beneficiaries of enduring tools that are helping to extend the traditions and values he and my grandmother lived with such dignity and integrity.

As the DR Fund marks its 30th year, we celebrate and honor David and Peggy's boundless love of family and the world by considering our evolution, both as family and foundation. We hope it informs and inspires future generations of our own family, and perhaps yours.

– CAMILLA ROCKEFELLER, *David Rockefeller Fund Board Chair, February 2020*



ORIGINS

THE DAVID ROCKEFELLER FUND BEGAN AS A mechanism for carrying out the annual charitable giving of David and Peggy Rockefeller to their home communities beyond New York City. For its first decade, the DR Fund grants consisted of modest gifts to local groups in Westchester (New York), Mt. Desert Island (Maine) and, after Peggy Rockefeller's death, Columbia County (New York). In addition to its philanthropic purpose, however, was the secondary goal of fostering interaction and collaboration across generations of David and Peggy's family.

A culture of giving has long been woven through generations of the much larger Rockefeller clan.

A portion of this philanthropic impulse is expressed today through a series of foundations created over 100-plus years. The Rockefeller Foundation is the oldest, founded in 1913 by John D. Rockefeller Sr., son John D. Rockefeller Jr., and JDR Sr.'s advisor Frederick Taylor Gates. Over a century later, the Rockefeller Foundation is a \$4 billion global philanthropy and operates as an organization independent of the family, although its recent practice is for one Rockefeller family member to serve on the board.

The Rockefeller Brothers Fund (RBF) was created in 1940 by David Rockefeller Sr. (DR) and his brothers – the sons of John D. Rockefeller Jr. – as a vehicle

through which they could more effectively share advice, research charitable activities and coordinate philanthropic efforts. Like the Rockefeller Foundation, RBF is global, with a \$1.25 billion dollar corpus. Members of the Rockefeller family comprise half of its board.

The Rockefeller Family Fund (RFF), begun by Martha, John, Laurance, Nelson, and DR, was founded in 1967. With assets of \$100 million in 2019, RFF is a nimble “philanthropic cousin” of the larger foundations, with a national focus, a willingness to support advocacy and cutting-edge strategies, and a mission to foster a more sustainable, just and participatory society. Historically comprised of direct descendants and spouses, a nonfamily member joined the RFF board for the first time in 2018.

The Growald Family Fund (GFF) was founded in 2007 by Eileen R. Growald (DR’s daughter) and her husband, Paul J. Growald. Its mission is to catalyze climate innovation and leadership through venture philanthropy, focusing on the transition to clean energy. GFF works mainly outside the U.S., with an emphasis on finance, diplomacy, movements, pollution and network leadership. GFF’s board is primarily Growald family members.

Rockefeller Philanthropy Advisors (RPA) is a non-profit philanthropy service with roots in the family commitment to thoughtful, effective philanthropy. RPA supports a range of donors and institutions in applying “practical and strategic approaches that have long been practiced by the Rockefeller family itself.” Since 2002, RPA has fostered more than \$3 billion in grantmaking worldwide. Rockefeller family members comprise half of the current RPA board.

Each of these expressions of philanthropy has grown since inception, with boards that reflect family and nonfamily membership to varying degrees. Widening the circle of discussion and decision-making as assets grew has enabled these foundations to incorporate more expansive knowledge, viewpoints and leadership in relation to each institution’s areas of intended impact.

As the smallest family foundation bearing the Rockefeller name, the DR Fund – with an endowment in January 2020 of \$68 million – was designed to create space for learning and giving by DR and Peggy’s direct descendants and their spouses. It offers anal-



ogous opportunities enjoyed previously by DR and Peggy’s children through their service on the Rockefeller Family Fund. Creating a philanthropic institution governed by their own growing family meant that, in addition to the core practice of philanthropy, their expression of values and culture could be given space to evolve with new generations.

“It reminded me of my service from age 21 to 34 on the Rockefeller Family Fund when I was the next generation, learning a huge amount from Bob Scrivner, who was the executive director.”

– PEGGY DULANY

People and families evolve over time, with inevitable growth, change and struggle. New paths are forged, others redirected; old paths are revisited and broadened. Long-standing traditions are honored, and new traditions established. The story of the DR Fund is much the same – one of evolution. Born of the practical and the possible, this family foundation – like the family itself – has evolved into a community of stewards and new donors that looks distinctly different from its earliest expression, yet is unmistakably tied to the values lived and practiced by founders David and Peggy: gratitude, connection, love and collaboration.



PLACE: 1989–2000

EARLY PRECEDENT FOR A “PERSONAL INTEREST” family foundation was set in 1938 by DR’s father, John D. Rockefeller Jr., when he established the Sealantic Fund. The name combined Seal Harbor and Pocantico – two places where the family had put down roots. Sealantic merged with the Rockefeller Brothers Fund in 1973, but for its 30 years, this foundation supported institutions and programs of personal interest to John D. Jr., including education in Christian theology, the conservation and restoration of historic sites, nursing schools, public health and broad public welfare.

Following that impulse, in 1989, the DR Fund was established with a \$3 million endowment. DR and

Peggy were 74 years old at the time, and the founding board included three siblings (DR and Peggy’s children, fourth-generation Rockefellers) and two in-laws. Additional nonfamily trustees in the Fund’s early days included Colin Campbell, Christopher Kennan, Richard Salomon and James Sligar. Campbell held the position of RBF president from 1988–2000 and brought his knowledge of the family and philanthropic experience to the mix. Salomon and Sligar were trusted advisors, akin to family members, who went on to play key roles including serving as DR’s estate executors.

The DR Fund’s original purpose was to support communities they cared about: places where they lived when

not in New York City. One of those treasured places was Mt. Desert Island in Maine, home of Acadia National Park, to which DR's father had given generously. A summer destination for DR's family from the time his father purchased a summer home in Seal Harbor in 1910, Mt. Desert Island became a place where different branches of the family worked in partnership with year-round residents, contributing time, land and money toward

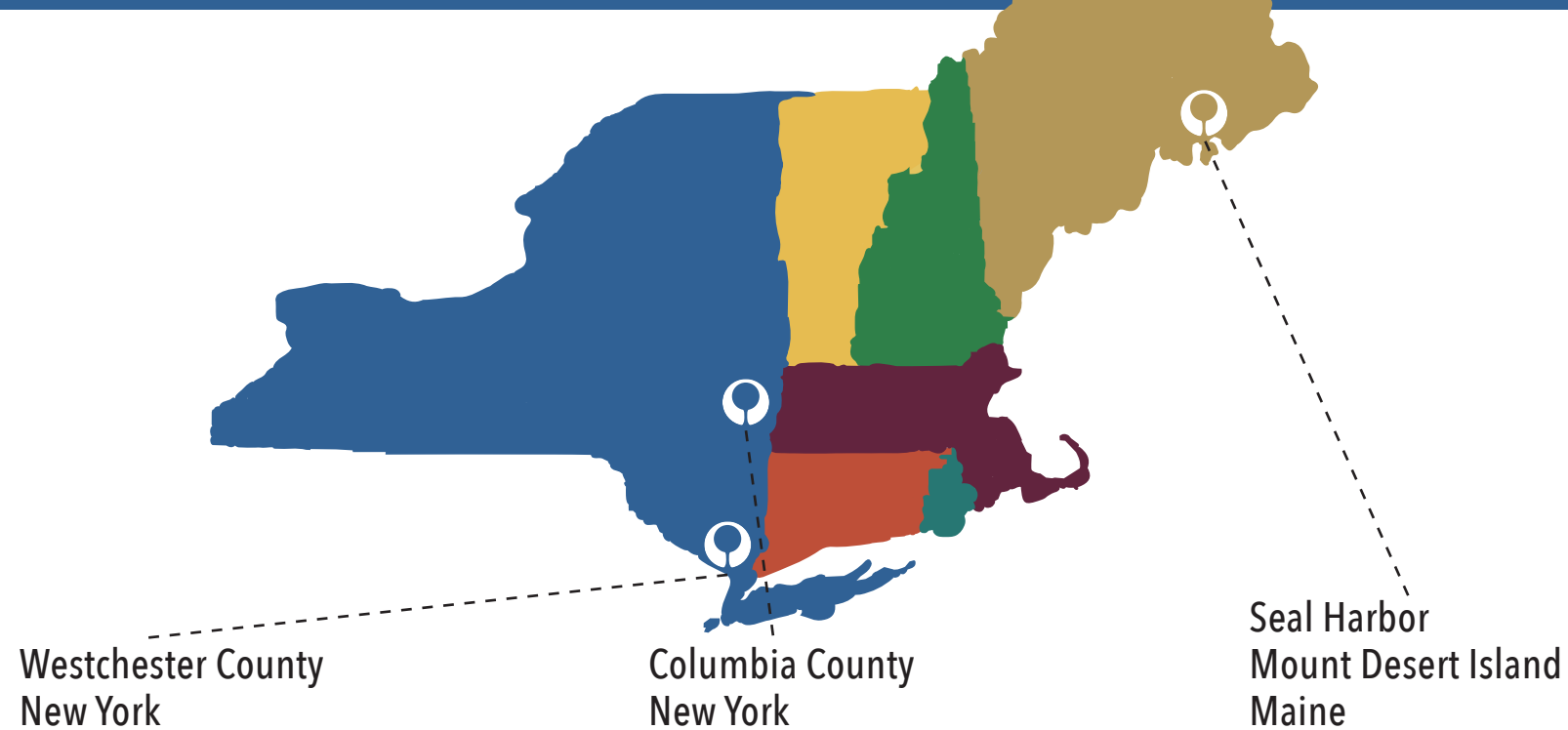
For its first decade, DR Fund grants reflected community needs. Libraries, fire departments, youth, civic groups, and arts all were among local causes supported. The list of community grants was thoughtfully drawn and "carefully curated," said former staff member Ayo Roach, who worked closely with DR for more than a decade in the early 2000s to implement the community grants program. Most grants were small – typically

"The community grants show how deeply invested David and Peggy were in the communities where they lived, and how much they cared. It's a large, purposeful list." – AYO ROACH

protection and preservation of this special island's natural and human ecology. The second home community where the DR Fund made early grants was Westchester County, with an emphasis on the Tarrytown area, where four generations of Rockefellers had resided. As in Maine, the family was well known locally as a good faith partner, interested in the health, economic well-being and common good of the surrounding community.

between \$1,000 and \$5,000, the majority on the lower end. Grantees were encouraged to use the Rockefeller name and imprimatur to leverage other support. More significant capital requests would regularly flow in from these grantees. DR would consider large requests separately, and if a grant was made, DR funded it personally rather than from the foundation. This approach ensured that the community grants program

COMMUNITY GRANTS



remained consistent and within budget each year, preserving the original purpose: small grants to community-rooted groups. The original annual grants budget of \$150,000 grew to more than \$200,000 during the foundation's early years.

Following Peggy's death at age 80 in 1996, DR added Columbia County as a third geographic region to honor and sustain Peggy's passion for preserving farmland, with an emphasis on the Livingston area. A few years earlier, David and Peggy had established an agreement with the American Farmland Trust and the Columbia County Land Conservancy to place under protection in perpetuity nearly 2,000 acres of their Hudson River Valley property. Community grants made to Livingston-area organizations reinforced that investment.

"Even though it is called the David Rockefeller Fund, it really has been inspired and supported by Peggy's involvement from the beginning." – PAUL GROWALD

With early grantmaking largely predetermined, there was little need for extensive board discussion

at meetings. Board members attended and approved dockets, and then grants were processed by DR's personal staff, which initially included Trix Smalley (1981-1990) followed by Marnie Pillsbury, who took the reins in 1991 and went on to serve as Executive Director of the DR Fund for nearly 25 years. In addition to her work to manage the DR Fund, Marnie was DR's trusted philanthropic advisor for the remainder of his long life, and an invaluable liaison to groups with which he was actively and passionately involved, such as the Council on Foreign Relations, Rockefeller University, and the Museum of Modern Art.

A strong philanthropic steward, Marnie helped the family navigate the organizational evolution from foundation as "administrative convenience" to durable family institution that expanded its original mission not only in relation to defined areas of giving but also as fifth-generation family members were brought into the philanthropic fold. Along the way, Marnie was joined by Clare Eastman (inception through 2008), Laura Hepler (1992-2004), Marianna Schaffer (2004-2015) and Ayo Roach (2005-2015).

"Marnie was fabulous. The job she originally signed up for as my grandfather's philanthropic advisor changed dramatically under her watch, involving lots of new thinking and learning. She enthusiastically embraced it all with a generosity of spirit that allowed us to devise impactful funding strategies as we undertook this new endeavor." – DAVID KAISER

Staff typically transitioned to the Fund from roles within the Rockefeller Family Office, carrying out work that ranged from behind-the-scenes operations (e.g., grant processing, tracking and compliance) to direct work with family members to explore and develop the three program areas. Staff members who worked with the family found them consistently curious, generous, open to learning, and exceedingly supportive of staff and the work they were doing.

In their earliest work (and in some cases, throughout their time with the Fund), staff responsibilities were split between the Rockefeller Family Office and DR Fund work. This pattern reflected both the family's

desire to work with smart, committed staff members who were already familiar with the Rockefeller family network, and the fact that, particularly in the early days, the work of the DR Fund did not require full-time assistance. The bifurcated staff structure was a logical solution to this part-time need, and the fluidity of this arrangement offered useful flexibility. As grantmaking expanded in the years that followed, so too did staff roles and responsibilities.

"Their work is very intentional – thoughtful and intentional. I really respect that." – LAURA HEPLER



"It's been 'home-grown.' The evolution happened within the family: As relationships changed, as David's own outlook on the world evolved."

- MARNIE PILLSBURY



FAMILY: 2001–2009

Adding Seats to the Table

As the Fund's first decade wound down, David Rockefeller Jr. (David Jr.), broached with his father the subject of bringing the next generation – DR's grandchildren – into the board mix. Using the Flora Family Foundation as an instructive guide, David Jr. proposed that opening the DR Fund to the fifth generation would position DR to share with his grandchildren in practical, tangible ways his and Peggy's philanthropic philosophy and practice. In 2001, this shift was made. The first grandchildren to become eligible and join the board were David Kaiser (Neva Goodwin's son), Michael Quattrone (Peggy Dulany's

son), and Rebecca Lambert (Richard Rockefeller's daughter). As a mechanism for more deeply engaging the fifth generation when this expansion occurred, a Family Interest grants program was established with three areas of concern: Arts and Education, Criminal Justice, and Environment.

These giving areas emerged organically from issues around which all three generations could find common ground and feel passionate. Investment in the environment was already intertwined with the family DNA, although specific environmental interests varied widely (e.g., the northern Rocky Mountains; oceans and fisheries; land and species conservation;

and sustainable agriculture). Arts had been historically supported by both DR and Peggy, and were generally acknowledged by family to be of intrinsic public value. Since arts programs in schools were significantly underfunded at the time, an arts education approach seemed a logical place to start. DR's daughter Neva and Neva's son David – the eldest of DR's grandchildren – made a compelling case for funding criminal justice

procedures and protocols, understanding their responsibilities as new board members, and familiarizing themselves with both the Fund's community grants and the new Family Interest issue areas were initial challenges. Smoothing the nascent grantmakers' learning curves were the friendly and knowledgeable staff whom they knew from the Rockefeller Family Office. Although the Family Interest

"I remember watching the fourth-generation family members and older cousins with more experience. As I listened to their more formulated ideas about the work the Fund was doing, I learned what mattered most to me."

– MICHAEL QUATTRONE

issues, given enormous need and little philanthropic investment. The family agreed criminal justice reform was an area they wished to learn more about and support.

Michael and Rebecca describe being in learning mode for their earliest board experience with the Fund – similar to cousins that followed in their footsteps as the years progressed. Acclimating to board

grantmaking programs introduced new facets and responsibilities to the staff's work, both fourth- and fifth-generation family members remember how patiently staff accommodated new needs, helping the family roll out entirely new programs while maintaining the historic community grants program.

"They did intergenerational right!" – LAURA HEPLER

To support the addition of Family Interest grants, DR committed additional resources (\$500,000 annually; occasionally more) to augment the 5% payout from the Fund's modest endowment, bringing the total grants budget to \$750,000 each year. A discretionary grants program for board members was added – with incentives for meeting attendance – along with a matching grants program for the grandchildren to encourage personal philanthropic giving in years when they were not serving on the board. DR was open to innovation – at granddaughter Rebecca Lambert's suggestion, the matching program extended to match volunteer time as well as dollars, further engaging younger family members who had fewer available resources. Even with these accommodations, some younger generation members were not entranced with the notion of DR Fund involvement. Miranda Kaiser, who traveled regularly with her grandfather after her grandmother's death, was one. "It felt so small . . . I wasn't sure it was going to be a real thing." She admits to being somewhat grumpy about having to serve, amidst other responsibilities and greater

Inaugural Family Interest Program Guidelines (2001)

Arts and Education

Grants focus on programs based in schools, with the rationale that the greatest number of young people can be reached, thereby impacting their school environments and surrounding communities. Programs are selected based on their ability to:

- Integrate the arts into academic lesson plans,
- Emphasize teacher training, and
- Impact the culture of the school as a whole.

Criminal Justice

The family is deeply involved in Rockefeller Drug Law reform, and grantmaking is focused on support for organizations:

- Advocating for reform of prison conditions and promoting alternatives to incarceration,
- Providing pre- and post-release services to prevent re-incarceration, and
- Recognizing and addressing the impact of incarceration on whole families and communities.

Environment

Areas of focus include the northern Rocky Mountains; oceans and fisheries; land and species conservation; and sustainable agriculture. Grants are made to organizations that:

- Emphasize the value of scientific and economic data to support policy positions,
- Build collaborations among diverse constituencies, helping to bring different voices to the decision-making process, and
- Seek to make environmental conservation part of a mainstream ethic.

interest in the work of other Rockefeller entities. Despite initial reluctance she found surprises, among them her grandfather's commitment to local giving. In their travels, she had become more familiar with DR's interest in international policy and his advocacy of good corporate citizenship, so it was eye-opening to learn that he also supported local communities. Moved by her grandfather's

The addition of grandchildren brought new energy to the undertaking. DR's children, who had been engaged in board service at multiple family institutions and fulfilled their DR Fund board service out of filial respect, were suddenly having dynamic new conversations with fifth-generation children, nieces, nephews, spouses, and their father. The creativity their father had brought to institutions he had

"There were some unintended consequences, socially, of the DR Fund, namely that we got to know especially some of our nieces and nephews much better, and got to know them as thinking, caring, activist people."

— DAVID ROCKEFELLER JR.

commitment to sharing with his grandchildren the value and joy of philanthropy, Miranda ultimately came to appreciate the opportunity of involvement with philanthropy and family through the DR Fund.

"There is comfort in coming to the board table and knowing that all the people around the room were my cousins." — MIRANDA KAISER

founded or worked with closely was now being expressed through the DR Fund in new ways, with a different set of grantees. For his part, DR was getting to know his grandchildren as the adults they were becoming, learning about their interests, concerns, and passions. Thus, the DR Fund became a wonderful new forum for family connection for nearly



two decades following the death of Peggy, David's wife of more than 55 years.

In the early days of the Family Interest program, roughly 50% of grants supported environmental work, with the other two areas receiving less. Discussions occasionally articulated a goal of dividing funding evenly across all three areas; however, this change did not come until years later, and then only after considerable discussion, research and creative reframing. Given modest grant dollars, the family sometimes discussed ways they could do more.

During a 2004 board meeting, for example, fourth-

generation member Neva Goodwin proposed that the Rockefeller family as a whole make some public call for a change in the drug laws dating to the administration of New York governor Nelson Rockefeller (DR's older brother) and suggested the possibility of writing a letter to a New York newspaper. Fifth-generation trustee Clay Rockefeller answered the call and, after confirming that his grandfather was comfortable with his doing so, drafted a letter in collaboration with relatives, Robert Gangi (then executive director of Correctional Association of New York) and a colleague. Discussion of the pros and cons of DR

signing the letter led to consensus that he should not, lest that overshadow the powerful message of broad family support. Ultimately, 37 family members signed the letter, which was published in *The New York Times* (“Fix the Rockefeller Drug Laws, Rockefellers Say,” June 4, 2005), affirming the idea very early on that the Fund could enable nonpartisan advocacy for charitable reforms by leveraging the name and net-

impact was formative for Clay, in his late twenties at the time.

Several of DR’s grandchildren have suggested that the public advocacy approach favored by their generation was a path he himself was less likely to take, preferring to work with leaders and policy makers more privately behind the scenes. Despite his less activist advocacy approach, DR never questioned

“With respect to advocacy, my father became increasingly flexible and ultimately very proud of the areas and approaches his grandchildren defined as the DR Fund evolved.” – EILEEN GROWALD

works of Rockefeller family trustees. During later board discussions related to drug law reform, family members strategized about productive roles they and the DR Fund could play to extend the reform effort.

A grant made to an advocacy organization to support staffing was supplemented through personal gifts by family members – including DR. Involvement in these advocacy efforts to maximize the DR Fund’s

his grandchildren’s direction or second-guessed their instincts as DR Fund trustees, a quality widely acknowledged as one more example of his exceptional generosity and open-hearted nature.

“I love my family, but everybody’s got their own stuff, and we all bring it to the table. So part of it is finding ways to let people continue to grow in this professional setting.” – CLAY ROCKEFELLER

“It was quite remarkable how hands off he was surrounding the strategies we devised to spend his money, and if I were in his position, I don’t know if I’d be able to do the same!” grandson David Kaiser observed with characteristic candor and humor. DR might share a personal experience in philanthropy and suggest ideas to consider; however, he made evident his admiration for the seriousness with which his grandchildren and children had taken on the work of philanthropy, wholly respecting their desire to forge their own institutional and individual pathways toward meaningful impact. As DR

looked on with curiosity, interest and pride, his grandchildren continued to learn and grow in their roles.

Staff recall that family members have always brought a noteworthy graciousness to the board table, taking time and care to express appreciation at each board meeting – gratitude to DR for making it possible for them to gather together in philanthropy; to staff for carrying out the research and background work that made their grantmaking more effective. The staff, for their part, felt great responsibility for representing the family in the field, a role they played with enthusiasm, diligence and respect, for

Sample of Early Family Interest Grants

Arts and Education

- Center for Arts Education
- DreamYard
- El Museo del Barrio
- Materials for the Arts
- Starfish Theatre Works
- Studio in a School
- Studio Museum in Harlem

Criminal Justice

- Center for Alternative Sentencing & Employment Services
- Center for Court Innovation
- Correctional Association of NY
- Just Detention International
- Osborne Association
- Women’s Prison Association

Environment

- Cape Cod Commercial Hook Fisherman’s Association
- Charles Darwin Foundation
- Island Institute
- Northwest Atlantic Marine Alliance
- Predator Conservation Alliance
- Scenic Hudson
- Yellowstone to Yukon Conservation Initiative

both the family's values and the grant seekers they sought to strengthen.

An early theme of board discussions, demonstrated by the letter-writing story above, was the imperative to leverage all available resources – including other Rockefeller philanthropies (the Brothers Fund, Family Fund, Philanthropy Advisors, and now the Growald Family Fund) and the Rockefeller name itself, which delivered its own level of validation and philanthropic gravitas. This theme continues today as reflected in David Jr.'s recent service as board chair of the Rockefeller Foundation (2010-2016) and regular consultations among all of these institutions' leaders,

conceived by Valerie Rockefeller and Lukas Haynes, current chair and executive director (respectively) of Rockefeller Brothers Fund and DR Fund.

Assessing Results

Five years into the new funding program, grants totaling \$1.8 million had been made to 59 organizations. Environment had received 45% of this funding, with the rest split nearly evenly between arts and criminal justice. Grant size ranged from \$10,000 to \$30,000, and many organizations were funded in consecutive years. By now, two common threads had emerged: 1) support for groups framing discussions in "collaborative" rather than "confrontational" ways,

and 2) commitment to bringing new voices to advocacy and policy tables. This analysis of grantmaking at the time coincided with the staff addition of Marianna Schaffer, who brought new perspectives and a strong community access lens to foundation discussions.

Over the next few years, additional fifth-generation family members began to take part in the "family business" of philanthropy through board service. Funding guidelines were honed to hew more closely with the family's evolving understanding of how their dollars could create the highest impact. During this same period, staff implemented the first dedicated grants management software system to replace an earlier worksheet structure, which had been in place since the DR Fund's inception. The DR Fund's 2007 annual report was also notable for providing the public a window into its grantmaking and guidelines for community grants (called the Citizenship Program) but not yet the Family Interest Program.

"We'd ask 'how can we lay bread crumbs that lead us to bigger ideas or ways of funding?'"

– MARIANNA SCHAFFER

The financial crisis of 2008 prompted a pause for the DR Fund, as it did for other U.S. grantmakers. No new groups were considered for funding, and dollars were directed primarily toward support for current grantees. Responsive to the crisis facing nonprofits at large, the foundation provided several emergency grants to past grantees. Indeed, a culture of responsiveness is a foundation theme that continues to take multiple forms. For example, four years after the 2008 financial crisis, in the wake of Hurricane Sandy, more than 650,000 New Yorkers lost power and a storm surge pushed water levels to record highs, resulting in devastated waterfront communities. The DR Fund made a number of emergency grants to current and former grantees to help them weather storm-related challenges.

The pause in new grantmaking created space for important reflection. Nearly ten years into the inclusion of fifth-generation members and initiation of the Family Interest Program, the board took time to consider: 1) how to be a constructive philanthropic partner amidst the fiscal ramifications of the financial crisis, and 2) overall grantmaking strategy. Other questions



included: Was the Fund achieving desired results, internally and externally? Were the three areas of concern sufficiently focused? Should other areas be considered? How might the Fund create more leverage for their grantees and funding issues? Perhaps just as important, were family members still energetically engaged?

To address these questions and dig deeper than semi-annual board meetings allowed, in June 2009 the foundation held its first board retreat at the Pocantico Conference Center adjacent to long-standing family property.

To devise and facilitate an effective retreat, Marnie Pillsbury turned to philanthropic advisor and strategist Debby Landesman, who collaborated with a planning committee that included fourth-generation “sib” Neva Goodwin (committee chair), Paul Growald, David Kaiser, Clay Rockefeller, Marnie Pillsbury and Marianna Schaffer. A pre-retreat survey of board members ensured that planned discussions would resonate for all. Overall retreat goals were identified: a) to reflect on the values, history and accomplishments of the DR Fund, with a special focus on the

Family Interest (FI) Program; b) to explore possible program directions and future grantmaking opportunities in the FI Program; and c) to consider ways to maximize the talents, time and interests of the David Rockefeller family in their involvement with the FI Program. Not overtly stated was a shared sense among fourth-generation members that the time had come to pass the torch of philanthropic strategy and responsibility from their own generation to the next.

“There is something wonderful about the sense of family but also the sense of adventure that we’re all learning together and getting to know each other in a deeper, more intellectual way.”

– SUSAN ROCKEFELLER

The retreat was attended by DR along with four fourth-generation members, seven fifth-generation members and three spouses/partners. The prevailing tenor at Pocantico was one of gratitude. Ahead of the retreat, DR had committed to doubling the FI grants budget (from \$500,000 to \$1 million), a mark of his confidence that this next-generation Rockefeller philanthropic



experiment was going well. To kick off the retreat, members of the fourth-generation reflected on the original impetus of the DR Fund. With 200-plus descendants of John D. Rockefeller Jr., fewer opportunities existed for family members to join the other family institution boards, gain philanthropic experience, and play a role in foundation stewardship. They discussed the importance of building in sufficient flexibility to accommodate changing interests of the family over time and considered patterns of impact from the FI program’s first years:

1) Collaboration with trusted colleagues who brought attention to “under the radar” work;

- 2) Leverage of grants at critical moments and providing credibility to interest other funders;
- 3) Sustained partnerships with organizations and investment in their longer-term goals;
- 4) Rapid response when opportunities or special needs arose.

With the help of individuals who brought different perspectives on philanthropy (Melissa Berman, Rockefeller Philanthropy Advisors, and Hildy Simmons, JP Morgan Corporate Philanthropy), family members discussed trends, leverage opportunities, risk-taking and the opportunity for smaller funders to play lead-

ership roles by supporting niche areas of impact. A series of full and small group discussions drew out ideas for current and potentially new funding areas. Family members were encouraged to consider external factors affecting the DR Fund’s ability to be an effective catalyst (e.g., the economic crisis). A series of agreements on grant areas emerged:

- Strong support for environment funding and a desire to focus funding for greater impact;
- Continued criminal justice funding and preference for increased focus on advocacy;
- Continued arts funding yet a lack of clarity around emphasis for maximum impact;

- Possible fourth program area around community and civic engagement.

With respect to overarching strategies the family agreed to:

- Prioritize advocacy and policy emphasis to try and address root causes of funded issues;
- Collaborate with the Rockefeller Family Fund and Rockefeller Brothers Fund, among others;
- Seek creative leverage that added value to supported organizations.

A post-retreat committee further shaped retreat findings into an actionable plan over the next several months. Neva Goodwin continued leadership of the

process at the board level and was joined by a suite of fifth-generation members, including Danny Growald, David Kaiser, Rebecca Lambert, Michael Quattrone and Clay Rockefeller.

“[DR] took immense pleasure from being with his family each time we gathered in purposeful partnership – in this case around a board table. His intention, that the work of the Fund enhance our closeness as a family, and engage my generation in strategic and wholehearted giving, has provided the DR Fund with a strong sense of internal mission.” – MICHAEL QUATTRONE

In 2010, a new DR Fund Program Plan was approved and activated. The plan articulated a set of Guiding Principles – which remain strongly observed today – and proposed a funding structure that formalized the distinctions between program grants (arts, criminal justice and environment), family grants (trustee discretionary grants, matching grants, team grants) and “citizenship” or community grants (which would eventually be phased out by DR and his staff).

The new program plan included explanations of

how the new approach differed from past approaches. Language of “uncrowded beaches,” which Melissa Berman had alluded to during the retreat, became a new way for the family to express its intention to fund areas where dollars were scarce and mainstream visibility was low.

Renewed commitment to advocacy and collaboration was stressed, as was openness to making somewhat larger grants than in the past. Proposed budgets allocated more resources to criminal justice and environment than the arts, reflecting two things: a somewhat lower prioritization for this program area expressed by trustees during retreat conversations, and less clarity about ways that arts grantmaking could best align with the new guiding principles. In conjunction with the roll-out of these new guidelines, several past grantees received closeout grants to acknowledge their important work and give them time to seek new sources of funding.

One more retreat outcome was the formation of a nominating committee to consider governance and planning issues. Neva Goodwin, David Jr. and Eileen Growald – all fourth-generation “sibs” – became that committee’s inaugural members.





"The DR Fund has been well-served by a new generation of board chairs and each has brought a uniquely constructive blend of talent and temperament."

– LUKAS HAYNES



EVOLUTION: 2010-2014

New Program Rollout

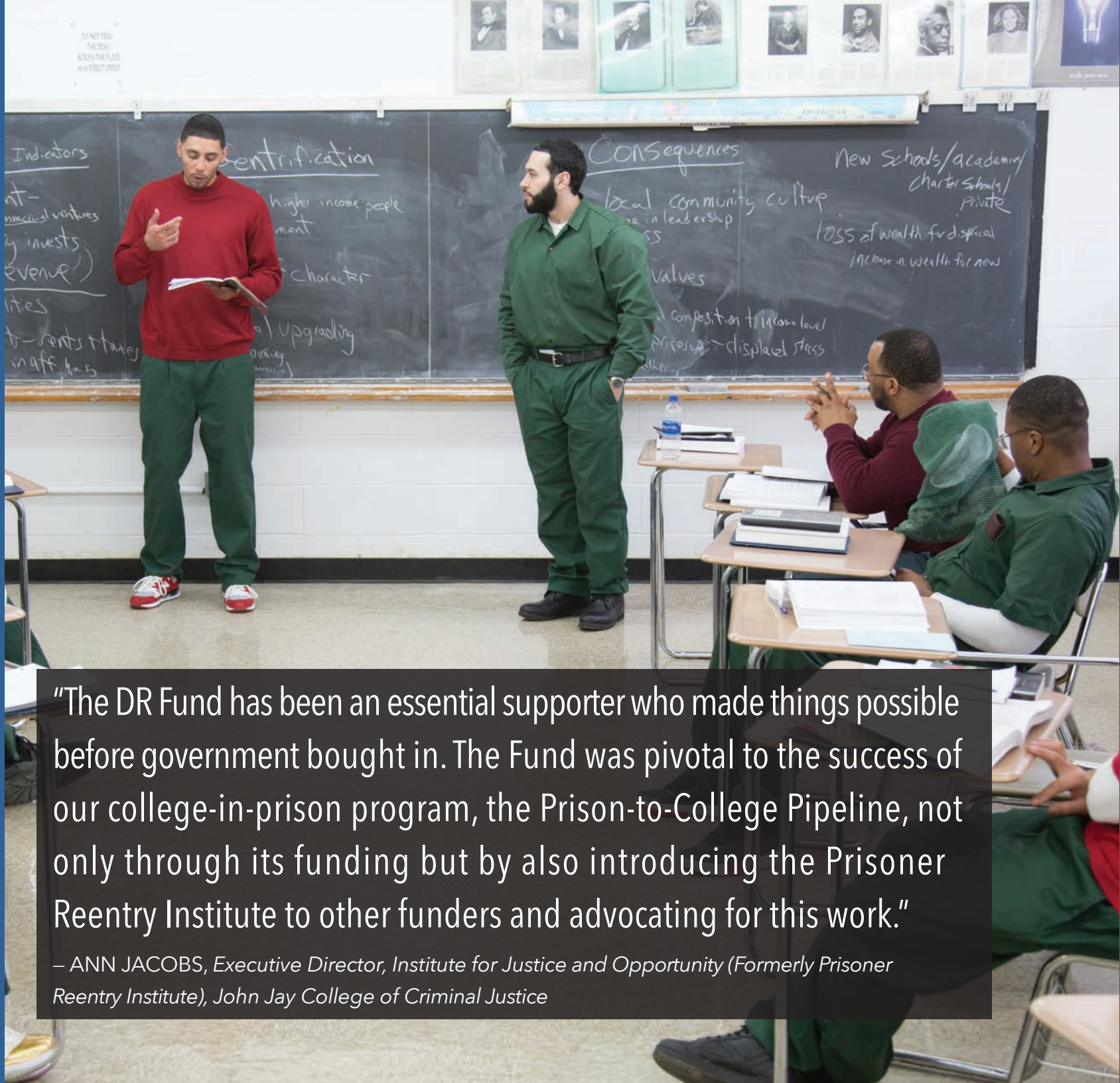
In December 2009, as the board reviewed and approved the revised program grants plan, other transitions were afoot. Longtime nonfamily trustee Colin Campbell, who had served since the founding of the Fund, retired from the board. And for the first time, a fifth-generation trustee was stepping into the board leadership role, taking over the reins from fourth-generation "sibs" who had been chairing meetings up to that point.

David Kaiser had spent much of the Fund's first decade of multigenerational grantmaking deeply engaged in the foundation's work and was the eldest

of DR's ten grandchildren. His active involvement and experience made him a logical candidate for this expanded role at a moment of change within the DR Fund's grantmaking program.

"This Fund has been in a process of rapid evolution for quite a while now. I think of the time when I was chair as one step along the way." – DAVID KAISER

With new guidelines in place, staff began identifying organizations capable of bringing those guidelines to life through effective work. New names began to appear on 2010 grant docket: The Kentucky Coalition (reducing coal use, redeveloping coal communities) and



"The DR Fund has been an essential supporter who made things possible before government bought in. The Fund was pivotal to the success of our college-in-prison program, the Prison-to-College Pipeline, not only through its funding but by also introducing the Prisoner Reentry Institute to other funders and advocating for this work."

— ANN JACOBS, Executive Director, Institute for Justice and Opportunity (Formerly Prisoner Reentry Institute), John Jay College of Criminal Justice

AT ONE TIME, COLLEGE PROGRAMS WERE WIDESPREAD IN NEW YORK STATE PRISONS, WITH 70 SUCH programs across the state. Elimination of federal Pell eligibility for incarcerated students in the mid-1990s was catastrophic, reducing the number of programs to just four. It was a time when individuals behind bars were still largely dehumanized, making public support and philanthropic dollars for such programs uncommon. In 2011, resources from the Fund made it possible for John Jay College to start the Prison-to-College Pipeline (P2CP) at Otisville Correctional Facility, a medium security prison in Orange County, NY.

As PRI's work evolved, so did the DR Fund's, moving more toward policy advocacy. In 2015-2016, with the Fund's support (this time with Ford Foundation joining in), PRI gathered information on the college in prison programs across the state. The resulting report, *Mapping the Landscape of Higher Education in NYS Prisons*, has informed a range of efforts to expand accessibility to quality college programs to people while they are incarcerated. The continuing evolution of the relationship between the two entities has led to the DRF-John Jay Fellowship, which combined classwork with professional development through part-time work at the DR Fund, creatively introducing to philanthropy individuals with lived experience of the criminal justice system.



the Center for Working Families (reducing consumption, increasing efficiency); Education Inside/Outside Coalition and John Jay College for Criminal Justice Prisoner Reentry Institute (reducing recidivism); Queens Museum and Studio Museum in Harlem (community arts access).

Process and Product

Until now, docket review had included detailed discussion about individual grantees. In 2011, this be-

gan to shift, and board members were encouraged to view dockets in their entirety.

they arose, the intention was for board members to take a longer view of, and across, giving areas, considering each portfolio as a whole to determine whether progress was being made on overarching goals and how current events helped or hindered progress.

The subject of program impact arose early, often reflecting the perennial tension between the advocacy and direct service strategies of different grant

“My grandfather was so human in his giving. He cared passionately about people at both ends – the givers as well as the receivers.” – MIRANDA KAISER

gan to shift, and board members were encouraged to view dockets in their entirety.

“As trust in staff evolved over time, we spent less precious board time on grants and dockets, moving to a consent agenda and focusing on bigger issues affecting program areas and foundation impact with the help of guest speakers.” – PEGGY DULANY

While questions about individual grant recommendations were always addressed by staff when

recipients. Almost immediately as the new funding guidelines went into effect, arts grants were debated. The arts program, as it stood, offered fewer advocacy opportunities than did environment and criminal justice, and this raised questions for some trustees about the most effective use of scant funding dollars. In the course of this conversation, several family members affirmed support for continued investment in the arts and, for the time being, the matter was settled.

For small family foundations with limited resources, the question of how to most effectively deploy resources is critical – and common. The answer usually evolves to correspond with an individual family’s sense of which goals can be accomplished. Since the DR Fund was viewing its work through multiple lenses – effective philanthropy together with family connection and philanthropic learning as explicit goals of the board – navigating this conversation required board members to value common ground in tandem with impact. Arts funding remained in the mix but continued to be the subject

of discussion and debate for the next several years. In conjunction with the new grant guidelines in 2010 came a new annual report format, which put forth publicly the DR Fund’s principles and program guidelines. With encouragement and gentle prodding from staff member Marianna Schaffer, a first website was developed. “If we want to be of service to our grantees, we must have public-facing components,” she argued, and, while the family’s general predisposition was that of low-profile civic engagement and public service, the board recognized the importance of transparency.

Sample Grants From 2010 (following 2009 retreat)

Arts

- Groove With Me
- Groundswell Community Mural Project
- Hip Hop Theater Festival
- The Public Theater

Criminal Justice

- The Fortune Society
- Common Ground
- FSG Social Impact Advisors
- John Jay College of Criminal Justice

Environment

- Center for Working Families
- Design Trust for Public Space
- El Puente
- Rockefeller Family Fund National Coal Program

Team Grants: An Experiment in Multigenerational Engagement

From 2010–2014, a Team Grants program brought together DR Fund board members and other trustees to work on areas of shared grantmaking interest. Small, intergenerational groups – teams – of at least three members, including at least one current board member, were invited to define a funding need, research it, and then develop a grant recommendation for presentation to the full board. Facets of existing program areas were eligible, but so were new areas of interest. Teams could draw on a budget of \$5,000–\$35,000 in grant support for identified projects. Over the years, funded areas included: commercial-free childhood, felony disenfranchisement, mode of care for post-traumatic stress disorder, and obesity reduction and healthy eating.

The initial mechanics of the program proposed that team members function almost as self-sufficient program officers, a structure that proved time-consuming for team members. A restructured process reduced family member time commitment but increased the staff's support time on the program. In 2015, a new iteration of collaborative grantmaking was piloted to replace Team Grants: micro-grants. This initiative has succeeded in seizing timely opportunities and fostering collaboration across generations while making staff support more sustainable. Read more about it on Page 57.

Expanding the Discussion and New Tools

Over the next few years, more voices were gradually added to the board table, and new forms of family engagement were introduced. Team Grants became opportunities for family members to collaborate on researching areas of interest for possible modest funding. Staff member Ayo Roach began presenting grant dockets that expanded the staff presence at the table. Occasional outside speakers brought fresh-from-the-field perspectives.

In 2012, testing a new approach, the DR Fund joined the Hive Digital Media Learning Fund with a grant investment of \$25,000. This funder collaborative aimed to put research into action in the emerging field of digital media and learning, with a focus on cultural institutions. From inception through 2017, when the donor collaborative decided to transfer leadership of the flourishing network to a single foundation, \$8.5 million in grants enabled 67 grant partners to support the development of innovative new educational projects. A modest initial investment, combined with

staff time and a commitment to field building, resulted in more effective strategies for the scale and spread of digital learning and more equitable access to learning opportunities.

During this period a new grantmaking category was designated, Delegated Authority (DA) grants, along with a flexible pool of money (\$50,000) to expedite staff response to urgent requests, unanticipated opportunities, or special needs. (This category blended earlier “Judicious Exception” and “Executive Director Spending Authority” grants.) Throughout this period, Stephen Heintz, a nonfamily trustee who joined the board after becoming Rockefeller Brothers Fund president (succeeding Colin Campbell), brought wisdom and a veteran's practice to the family's questions about philanthropic matters, large and small. For example, during one DA grants discussion, he shared his experience with the Rockefeller Brothers Fund, which had increased its DA amount to 70% of total grants budget in order to bring more flexibility to staff recommendations and to improve grantmaking efficiency.

Guiding 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 which more traditional funders tend to avoid.

LEVERAGE: As a small foundation committed to tackling big issues, we value collaboration and work to identify those grantmaking 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.

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 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 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 non-profit organizations we support.

* From the 2010 Annual Report; more or less unchanged today.

Evaluation

In early 2012, following two years of grants under the revised guidelines, the board asked staff to conduct a program review. They wanted to ensure that grant-making reflected the recently approved guiding principles and program priorities. Results led to a Program Review Task Force that dug deeper and proposed

Revisiting earlier conversations about budget allocations, discussion ensued about whether grants should be spread evenly across all three categories or weighted more toward criminal justice and environment, which some viewed as more impactful than the arts. Fifth-generation member Michael Quattrone became the lone voice arguing for equal allocation.

“It felt good to stand up for the arts – and terrible to be so soundly defeated. I realized I’d have to do some hard thinking to convince my more skeptical cousins that the arts were worth funding. I also figured if I could convince them the arts were worthy of support, I could convince anyone!”

– MICHAEL QUATTRONE

possible amendments to grant areas or approaches. In fall 2012, the board affirmed: 1) a commitment to the program areas and approaches, 2) a desire to streamline and focus language describing each program, and 3) emphasis on remaining open and flexible to compelling opportunities that may not fall squarely into the defined approaches.

With respect to impact, most family members agreed that the arts program lacked the clear direction or focus of the other two areas – even those who had earlier agreed that arts should remain in the funding mix. As evidence that no large family can ever entirely avoid contentious debates about philanthropic goals, some even suggested that the arts were not

sufficiently impactful or important to warrant grants from the Fund’s modest available resources.

A 2012 grant budget allocation was proposed that increased environment and criminal justice budgets by almost 20% while decreasing the arts budget about 10%. The net result meant the environment and criminal justice allocation totaled nearly 75% of the annual program grants budget, and the budget passed with Michael Quattrone’s dissenting vote. In practical terms, the decision amounted to a handful of fewer grants, yet the symbolic discounting of the arts concerned and motivated Michael, who realized that even with DR’s moral support he would need to make a stronger leadership case for a future arts program that would be viewed as compelling and urgent.

Michael volunteered to provide leadership for an arts program review and future board discussion of the role the arts could play toward achieving the DR Fund’s purpose and goals. This became a moment when the external mission of effective grantmaking bumped up against the internal mission of fostering consensus around the table. On the other hand, the additional



“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

The quote on today’s DR Fund website masthead for the arts program illustrates one of those moments when DR’s wisdom, experience and values coalesced to the benefit of his descendants. In the midst of a difficult board discussion about the purpose of an arts program, and why it was important, DR made this statement. It stopped everyone in their tracks and became a memorable illustration of the quiet, profound way that DR passed his philanthropic thinking to his grandchildren.



"There's a level of openness and inquisitiveness within the Fund's staff and board that helps A Blade of Grass reflect upon and improve the ways that we do our own work."

– DEBORAH FISHER, Executive Director, A Blade of Grass

THE FOUNDING PRINCIPLE OF A BLADE OF GRASS (ABOG) IS SIMPLE: SOCIALLY ENGAGED ART AND ARTISTS CAN work in many ways in the world. Yet activation of this simple principle proves challenging in a culture where art is often viewed as separate from "real-world issues." When ABOG and the DR Fund first joined forces, ABOG's greatest challenge was communicating the idea that socially engaged art is, in fact, "real" art, and that artists engaging in this work are social and cultural practitioners with a knack for creative problem solving and connecting dots. The mutually beneficial dialogue that began between the DR Fund and ABOG back in 2013 continues today. For example, early feedback that ABOG received from a DR Fund board member about the way they were using films helped ABOG see and present its work in a broader, more accessible context.

The earliest grants from the Fund, involving Marianna Schaffer and Michael Quattrone, in his new role as DR Fund board chair, supported an artist fellowship in criminal justice, an area of interest to the DR Fund but also an opportunity area where ABOG was seeing large numbers of artists applying. The fellowship enabled ABOG to elevate an issue and a sec-

tor that was rapidly evolving within social change practice. When the ABOG fellowships began, most criminal justice projects took place in prisons. Today, artists are working with communities along every step of the "school-to-prison" pipeline of impacted communities: record expungement, reentry, solitary confinement and jail abolition, reenacting historical protests against racial injustice, and more. The opportunity to work intensively in this area with DR Fund support has created openings to promote greater understanding around how systemic disenfranchisement and oppression works. The Fund's most recent support is helping ABOG consider how to place the work of arts organizations focused on social justice in a curatorial context that tells a stronger story about what this work is and why it matters. This goal is well aligned with the DR Fund's Arts program goal, and it is an exploration that will serve DR Fund grant partners – e.g., Theatre of the Oppressed NYC, Gibney Dance and Girl Be Heard – while supporting ABOG's goal of producing compelling content and language capable of making social practice work more understandable as "bona fide art" that holds demonstrable social and cultural value.



internal mission of “engaging and grooming the next generation” was well served. Michael realized he had an opening to facilitate thoughtful, honest discussion that could potentially lead the DR Fund to a stronger set of ideas around an arts program that felt compelling to the family and more aligned with the other giving areas.

In June 2013, the board convened at Stone Barns Center for Food and Agriculture, an 80-acre working farm established years earlier to honor the memory of Peggy Rockefeller and her strong support for farming and farmland preservation. At the meeting, Michael spoke passionately about the important role of arts in society and his desire to land upon an arts program that reflected

a shared vision for the arts. As the family talked together, they realized that the arts program felt different from the others. Arts grants had always been more “direct service” than advocacy, making the funding strategy inconsistent with the other areas, which felt less satisfying to trustees. The family wondered together whether arts could help shine light on social justice issues or help heal divisive societal rifts. They discussed ways that arts and culture were already helping to inspire and create change in disenfranchised communities. Michael was charged with exploring potential new expressions of the arts program that could align it with the spirit and approach of the other programs.

The meeting continued with an update from a Criminal Justice Task Force comprised of fifth-generation board members who had worked together to brainstorm possible new areas of focus for the criminal justice funding program. The discussion concluded, and fourth-generation “sib” Richard Rockefeller, who had long taken particular pleasure

in mentoring next-generation family members, expressed pride as both father and uncle in the high level of knowledge and interest held by the fifth generation in the Fund’s program areas. Later that day, as Richard and his sister Peggy walked together between meetings, a moment of sweet nostalgia passed between them as they realized that their children were ready to take on the work of the Fund. While fourth-generation family members would continue to mentor their younger peers, a genera-

tional shift was solidly underway. Grantees such as the Queens Museum, which was engaging deeply with its local community, and The Laundromat Project, which was helping artists serve as change agents in their communities, soon entered the mix. Michael’s investigations also led him to A Blade of Grass, an organization that nurtures the

“[DR] always loved to be surrounded by his family, and he loved hearing us take this work seriously. That never changed.” – DAVID KAISER

entire field of socially engaged art. A light went off, ideas crystallized, and a renewed arts program fusing arts and social impact goals emerged.

Board Evolution and Leadership

DR Fund bylaws stipulate renewable annual terms for board members, a useful mechanism for re-enlisting trustees into board service but a continuity challenge for the Fund’s staff and programs, since absences create gaps in program familiarity. To counter this and develop a deeper sense of inclusion, in ad-



dition to receiving all board mailings, trustees are encouraged to attend board meetings – whether actively serving or not – so that their understanding of, and exposure to, both external and internal developments can stay fresh. This approach has helped trustees maintain a sense of connection to the foundation between board rotations, not only to the grantmaking,

attended each and every meeting, even as he gradually transitioned out of official board rotation was David Rockefeller himself. According to staff members, past and present, he took abundant pleasure in seeing his family gather for each board meeting. He listened to the conversations, offered perspective – always gently – and watched his grandchildren mature into strategic

“For a number of years I needed a break from board service due to changes in my own life and a need to explore who I am as separate from the family and family legacy. It’s been fun rejoining and getting up to speed with the new staff and to reconnect with family.” – REBECCA LAMBERT

but also to family members. However, trustees take board service sabbaticals from time to time. So board chair David Kaiser devised and implemented a board rotation structure that codified increased fifth-generation engagement, established new term lengths, and brought clarity and coherence to the ebb and flow of board members on and off the board.

One noteworthy trustee, and benefactor, who

philanthropic thinkers. Over time, this process instilled in DR confidence that his grandchildren treated the DR Fund’s work with vigor and seriousness.

The first two fifth-generation board chairs tackled new questions and challenges that naturally arose with the evolution of the family foundation during their periods of leadership. David Kaiser’s tenure as board chair (2010-2013) coincided with the Fund’s first significant

honing of the program areas to increase and evaluate impact. Michael’s term (2014-2018) coincided with hiring a new executive director, relocating from the family office, celebrating DR’s 100th birthday, and planning for a more independent organization that could sustain itself even when DR was himself no longer at the table.

“Grandpa was a big convenor – he’d drag us all together and we’d have a wonderful time!”

– CAMILLA ROCKEFELLER

Early in her own term as board chair, Camilla Rockefeller is committed to supporting the highest level of work the staff can achieve and sustain while maximizing family involvement with the board work of the Fund and incorporating more diverse voices on the board.

Transitions

In his personal affairs, DR had long ago addressed the question of estate planning and major gifts to charitable institutions of lifelong devotion. This had included an endowment gift to the DR Fund, but well before his children and grandchil-

dren had demonstrated such energetic commitment to the evolving fifth generation family foundation.

The foundation staffing arrangement of the first 26 years also required some new strategic thought and financial management. Board member Jim Sligar, an estate attorney familiar with DR Fund bequests, explained to the board in early 2014, Michael’s first meeting as chair, that the DR Fund would soon become financially independent, and all costs would need to be borne by the foundation’s budget. This would require some separation from the family office, undergoing its own changes, and a viable financing structure to cover operating expenses. From the foundation’s earliest days, a portion of staff operating expenses had been paid personally by DR, an arrangement that reflected dual staff roles for the DR Fund and for DR’s personal philanthropy in the family office. By 2014, the decision had been made to relocate the DR Fund office to 475 Riverside Drive and seek cost-effective support in a shared space with the Rockefeller Brothers Fund and Rockefeller Family Fund.

Concurrent with these changes, DR had decided it was time to close out the Community program that had been making grants in his family's home communities since the Fund's inception. Staff member Ayo Roach supported DR in this effort, which was characteristically generous. A carefully crafted letter was sent to each grantee explaining that DR, approaching his 100th year, was terminating the 25-year-old program that had provided, for many institutions, continuous support since the DR Fund's founding. Each grantee received a final two-year, lump-sum gift paid personally by DR rather than out of the Fund's grants budget. Grantee responses to these final gifts were full of understanding and appreciation that mirrored the gratitude and respect they had been shown by DR and the Fund's staff throughout the long relationship.

The biggest change of all was yet to come. Marnie Pillsbury, who had steered the DR Fund ship with great sensitivity, philanthropic wisdom, and knowledge of DR's family, was retiring from her post as the foundation's longtime executive director. As a critical shift was taking place in the work of the Fund from third-

and fourth-generation to fifth-generation leadership, there was a sense, especially among younger family members, that a new executive leader could help them guide their future work. With this transition, the Fund would also have a full-time executive for the first time. During her years of executive leadership, Marnie had spent a portion of her time on the Fund and the balance on work specifically for DR's other substantial philanthropic interests. As David Kaiser handed the chair's gavel to Michael Quattrone, he told his cousin that the executive leadership decision was likely to be the most important of Michael's tenure.

"As a group, we had gotten really good at more linear decision-making. At the same time, I recognized that my grandfather had created this not just for learning and service, but also to bring the family closer together. My goal as Board Chair was to bring in the heart/emotion component in order to foster the bonding and joy of the process." – MICHAEL QUATTRONE

At his first board meeting as chair, Michael described his intention to collaboratively explore with

his board peers how the foundation's program areas and goals fit into the Fund's overarching mission – work subsequently undertaken with a new executive director at a board retreat in 2015. With cousin and former board chair David Kaiser's advice in mind, Michael hired a small executive search firm – Schall & Russo Planning Works – to help the board think ahead to the future. The trustees considered the philanthropic impact and leverage they sought, an exercise that fed directly into an executive director position description that would inform the future E.D.'s performance goals. Together with Schall & Russo, a search committee that included two fourth-generation and four fifth-generation members worked to vet candidates. A large field of prospective applicants was narrowed to 16, and top candidate Lukas Haynes joined the DR Fund as its second executive leader in January 2015. What set the new hire apart, as Michael describes it, was a spirit of enthusiasm alongside impressive preparation and a strong sense that Lukas would enter the work of this family foundation with humility, humanity, and heart.

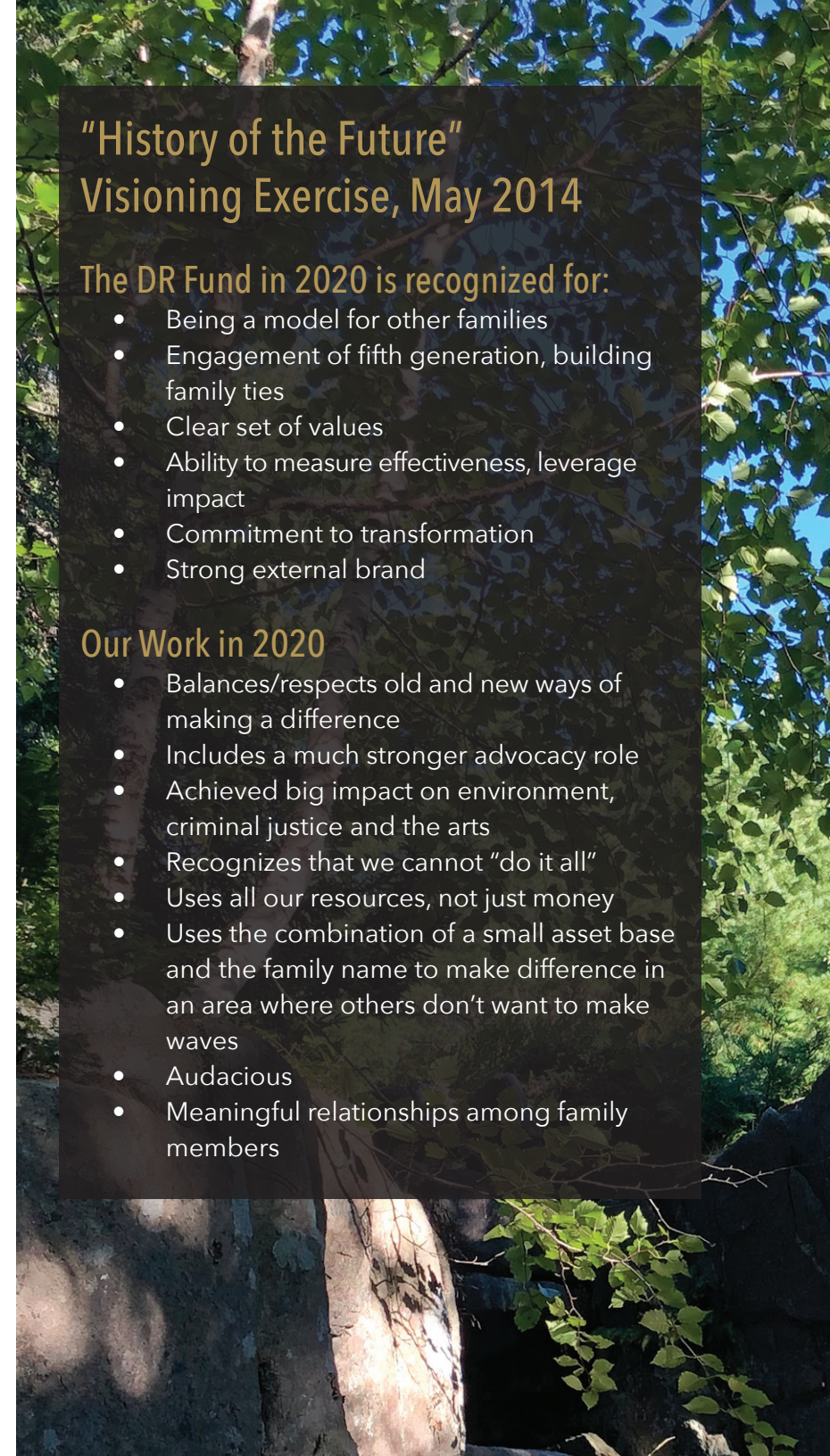
"History of the Future" Visioning Exercise, May 2014

The DR Fund in 2020 is recognized for:

- Being a model for other families
- Engagement of fifth generation, building family ties
- Clear set of values
- Ability to measure effectiveness, leverage impact
- Commitment to transformation
- Strong external brand

Our Work in 2020

- Balances/respects old and new ways of making a difference
- Includes a much stronger advocacy role
- Achieved big impact on environment, criminal justice and the arts
- Recognizes that we cannot "do it all"
- Uses all our resources, not just money
- Uses the combination of a small asset base and the family name to make difference in an area where others don't want to make waves
- Audacious
- Meaningful relationships among family members





“The excitement expanded as Lukas Haynes joined the Fund. Not only was he conversant in all three program areas, he was so good at thinking outside the box – and getting my generation and the next to do the same in considering what the possibilities were for relatively small amounts of money.” – PEGGY DULANY



GROWTH: 2015–2019

Leadership / Partnership

In his role as lead trustee on the search committee for the new executive director, Michael Quattrone was asked by Lukas Haynes during the interview process to describe his ideal working relationship with the incoming executive. Michael responded that he hoped to build a strong partnership, a framing that aptly captures the board chair-executive director dynamic that fruitfully followed. Both leaders describe the period from 2015–2018 as a productive partnership characterized by complementary roles, responsibilities and deep mutual respect. Michael was the chief liaison with board and family; Lukas generously shared 12 years of philan-

thropic knowledge and practice in ways that enhanced Michael’s philanthropic skill and leadership ability. Together, they led, learned, taught, and collaborated in ways that pushed the Fund into a formative new phase of independence and professional best practice – with deep gratitude and appreciation of all that David Rockefeller, Marnie Pillsbury, and other trustees and staff had done to create these opportunities.

Organizational Development

As Michael and Lukas embarked on their work together in 2015 – the year of DR’s 100th birthday – a critical shared goal was “preparing the ship for growth and change.” The first order of business was settling

details with the Fund's new landlord, Rockefeller Brothers Fund (RBF), for an arrangement of office space and back-end administrative support.

It made good sense to house the DR Fund at 475 Riverside Drive, a building that DR's father, John D. Rockefeller Jr., had helped finance in the late 1950s to encourage cooperative work among diverse religious groups and their nonprofit partners. Given the board's desire to leverage wisdom and collegial relationships with other Rockefeller philanthropies, colocation with RBF and Rockefeller Family Fund (RFF) proved both smart and cost-effective. The trustees had made this office space decision prior to the new

executive director's arrival but it was up to Lukas to execute a formal MOU when he arrived.

Marnie Pillsbury, along with Peter Johnson (David's biographer), provided invaluable collegial support to Lukas, helping to steep him in family history, operations and overall rhythm of change for the family and the Fund. A period of productive overlap with staff members Marianna Schaffer and Ayo Roach enabled the Fund to respectfully tie off community and some program grants until a new staffing structure began to emerge, one that included Lexi Fisher, who joined the Fund as program manager (2015) and program assistant Stephanie Burgos (2018). Overseen by the

new E.D., who had been empowered by the search committee to hire his own staff, this realigned staff and the addition of part-time, paid fellows and interns, allowed the Fund to move toward the family's vision for this new phase of the foundation's organizational life.

Early meetings between board members and the new E.D. surfaced shared goals and "ways of be-

Through these initial conversations, the family's experience of collaborative philanthropic practice was examined. There was excitement for ideas such as early-stage pilot grants to raise awareness and generate momentum for new grantees and new policy advocacy campaigns.

More overtly than ever, trustees discussed the value of leveraging both DR's name and family institution syner-

"What made all of my individual meetings so exciting was the curiosity and enthusiasm about experimenting with new approaches as a small, dynamic Fund that is willing to be creative, risk-tolerant and bold in its approach to next generation Rockefeller philanthropy." – LUKAS HAYNES

ing" within the family's philanthropy. Deep, leveraged impact was affirmed as a top priority, as was a desire to maintain high professional standards around governance and operations. Also important: fostering energized engagement of fifth-generation family members and thinking about how to put all of the Fund's assets to work, including the future endowment, trustees, and Lukas' own knowledge and field relationships.

gies. There was new appetite for tolerating risk, and even potential failure, in bold, strategic ways, and for considering larger grant investments when conditions warranted.

Of special importance in these first years of new leadership was strategically reintroducing the Fund to the public as a catalyst for its program areas and grantees, drawing attention of larger funders, major donors and other key influencers. Lukas' ability to con-



vene leaders underscored this potential. In spring 2015, Los Angeles mayor Eric Garcetti met with the board about climate change issues and engaged in a substantial policy discussion with David Rockefeller. At a later board meeting in 2016, White House National Security Council director Alice Hill would credit DR Fund grantees with informing a new White House Executive Order on climate change and national security. Both opportunities proved instructive and inspiring for the trustees, who quickly realized that the Fund's capacity for impact and thought leadership transcended its modest asset base.

Along with space and personnel transitions came other operational changes in areas of financial and family grants management. As Michael and Lukas prepared for future gifts from DR's Estate, bringing the Fund into full compliance with the highest sector standards around foundation operations and ethical conduct was an early priority. The family knew there was work to be done and had hired an E.D. who could quickly and systematically bring the Fund's governance policies up to "best practice." Field-based information supported this

process – e.g., Independent Sector's Principles for Good Governance and Ethical Practice – as did the supporting relationship of RBF, always an eager partner. The Fund had long benefited from a high standard of practice put in place by former staff; however, the foundation's small size and organizational scale had lent itself to fewer formal policies than many larger foundations typically have in place. Between 2015 and 2017, a range of internal governance policies were presented and authorized, from conflict of interest, "whistleblower," and payment authorizations, to a comprehensive personnel policy handbook. Beginning in 2015, a written Executive Director's Report accompanied each board meeting mailing, offering a new level of reporting on program direction, staff activity, and field analysis, and anchoring board discussions in field context that complemented board discussions and grant decisions.

A critical aspect of transition planning for the trustees – spearheaded by Michael and Lukas – was financial and may offer lessons for other families transitioning from a living donor to an endowed foundation. Accurate projection of the Fund's staffing

"As he got older, David began to see that, while his children and grandchildren were the physical embodiment of his genes and his wife's genes, the work of the Fund would be the philanthropic embodiment." – STEPHEN HEINTZ

and expenses was initially elusive, due in part to DR's practice of subsidizing operations and grantmaking through the years. It would take time and trust in the new leader to understand whether and how the full cost of operating a foundation with multiple programs and minimal staff could be cost-efficient and affordable, especially with great uncertainty about the timing and amounts of future endowment gifts.

David Rockefeller had long ago determined that a relatively modest bequest would flow to the DR Fund's endowment upon his death (\$15 million) and would combine with a Charitable Remainder Trust gift (approximately \$10 million) to be distributed in 2017. Without any formal details, however, Lukas initiated a frank discussion with Michael and Marnie, who was still advising DR, about the risk of a fiscal crisis and grantmaking disruption if there was a delay in settling a com-

plicated estate. This led DR to memorialize his intentions in a 2016 letter to ensure that the Fund would be positioned to advance its work from a place of financial certainty following his death. To Lukas and Michael's pleasant surprise, the letter also expressed the founder's satisfaction with their leadership direction of the Fund:

"I have been extremely pleased with the evolution of the David Rockefeller Fund over the last several years as a place where my family, especially younger family members, can learn about and participate together in carrying out important philanthropic projects. I have also been impressed with the leadership you have provided since you became Executive Director of the Fund."

DR had been providing \$1.25 million annually to underwrite the Fund's grantmaking and operations, "essentially the equivalent of an endowment draw of 5%" on the combined amount of the planned

bequest and trust remainder. With this letter, he pledged his estate to continue annual endowment equivalent amounts until those gifts were completed. This pledge and endorsement not only ensured continuity of funding, it gave Lukas room to discuss delicate financial/estate matters with the family, not always easy for executive leaders or grandchildren, and eventually paved the way toward increased generosity flowing to the Fund when the estate was ultimately settled. The discussions surrounding these delicate subjects underscored for fourth-generation family members the degree to which their father, David Rockefeller, was pleased by the Fund, and its

internal mission to bring younger generation members into the “family business” of philanthropy.

“David was very comfortable with what his children and grandchildren were doing and how they went about it.” – MARNIE PILLSBURY

Program Review

Always thoughtful and conscientious about impacts on grantees, the board supported the staff’s desire, during the executive transition, to maintain current grant funding throughout 2015. This gave the new staff time and space to gauge the lay of the land in each program area, tapping grantee knowledge and experience, while

engaging in honest discussion with grantees about the future. Trustees agreed with staff that program scope needed to narrow to pursue greater program impact, and with revised program criteria on the horizon, strong likelihood existed that some number of past grantees would no longer be eligible for funding. Candid and transparent discussions with existing grantees helped organizations plan ahead for that possibility.

The planning discussions of early 2015 led seamlessly to an October visioning retreat at the Pocantico Center¹. Since becoming chair, Michael had hoped to facilitate such a retreat; with Lukas in place, he had the ideal partner to carry it forward.

“I realized that the closeness of our family strengthened our work and that the work had also strengthened our closeness. This offered a real opportunity for these two things to be linked rather than at odds.”

– MICHAEL QUATTRONE

¹ When staff applied to Pocantico Center to use the conference venue for the 2015 retreat, Lukas Haynes informed David Rockefeller of the application. After learning about the purposes of the retreat and the pending application, DR responded graciously without any hint of expectation: “Well, I hope they look kindly on our application.” To Lukas, his response was a clear example of DR’s gracious humility and lack of any sense of entitlement given the Rockefeller family’s long ties to Pocantico as a former family property and now a nonprofit conference center.

2015 Visioning Retreat: Trustee Brainstorming





2015 Visioning Retreat

By now, fifth-generation members had taken part in this collaborative family endeavor long enough to formulate perspectives about the Fund’s work – and their individual roles in it. Michael envisioned these perspectives feeding directly into deeper discussions that connected values, new vision and mission statements, and staff’s approach to grantmaking. As the Fund entered a new phase, he hoped to encourage his trustee peers to bring their “full selves” to the retreat and speak freely from the heart.

“To take risks and listen deeply to one another as a

way to harvest a sense of connection and magic in our work,” remembers Michael. A conversation like this around a board table might feel forced or awkward; taking time for an overnight retreat provided the perfect backdrop. His goal was to emerge from these discussions with the necessary inputs for committee drafting of vision and mission statements stemming from the family’s lived philanthropic experience. Staff hoped these statements, rooted in family values and the long-standing guiding principles of the Fund, could help guide program directions for years to come. Together, Michael and Lukas structured

a retreat experience designed to bring out foundational values grounded in history and apply them to the challenges of the future.

“David had deep concern for the health of institutions. On the personal side, he genuinely cared for everyone who worked for him.” – PETER JOHNSON

To set the stage for reflection and unearth long-standing family philanthropy values, Lukas invited Peter Johnson, who had worked with DR on his memoir, to recap the history of the Rockefeller foundations, teasing out those family values most central to the first three generations of giving: engagement, collaboration, accountability, and a blending of values-informed passion and reason.

“I thought it might be useful to try and root a new vision and mission statement in a conversation with historical perspective. Rather than start a conversation about values from scratch, it was very constructive to have three generations of the family hear about, and discuss, the historical continuities. I think it also

gave the fifth-generation trustees more confidence in naming those values which felt most resonant for their generation and the world’s present challenges.”

– LUKAS HAYNES

Fourth-generation members then provided their perspective of coming to terms with the family tradition, observing that each of David’s children had created (or cocreated) change-oriented organizations that bridge divides.

A layer of commitments/values common to fourth-generation family members was named: fairness, equity, social justice, collaboration, empathy, reverence for the earth, authenticity, innovation. Distinguishing “underlying values” from “strategic principles” throughout the course of full and small group discussions, the following strategic principles were identified: leverage/scale, multiplier effect, flexibility, risk tolerance, convening/unexpected partnerships, maximizing good.

As values discussions deepened, members were encouraged to contemplate distinctions between the DR Fund’s approach and that of other Rockefeller



FAMILY PHILANTHROPIC EFFORTS

PASSIONATE ABOUT ENVIRONMENTAL ISSUES AND AN AVID SAILOR, David Rockefeller Jr. cofounded Sailors for the Sea in 2004. The world's leading conservation organization engaging, educating and activating the sailing and boating community toward healing the ocean, Sailors joined forces in 2018 with Oceana, a move designed to fortify Sailors' long-term sustainability and create new synergies for the international work of protecting and restoring the world's oceans.

"The work we do at Synergos is not directly relevant to the DR Fund, yet I see principles of bridging leadership in fifth-generation leaders as they coalesce consensus around the board table and consider how to create leverage and impact in our funding areas."

– PEGGY DULANY

With the help of regional land conservation organization Scenic Hudson, Abby Rockefeller purchased Old Mud Creek Farm in 2014. The following year, through the Foundation for Agricultural Integrity,

Abby went on to found Hudson Carbon, an agricultural research institute dedicated to the study of the carbon cycle in agricultural systems, concurrently establishing the Scenic Hudson Soil Lab at Old Mud Creek Farm. Having now established 12 long-term research sites across its 2,200 acres of organic grains, hay and pasture, Hudson Carbon is at the forefront of agricultural systems research in the region, and has forged partnerships to further this work on a global scale.

Eileen Growald and husband Paul

founded the Growald Family Fund (GFF) in 2007 after years of hands-on and modest grants to small activist organizations. In pursuit of increased leverage, they partnered with a strategic consultant to examine their passions and articulate their values, a process that resulted in a concentration on climate change and measurable impact. This work has occasionally led to mutually reinforcing collaborations with the DR Fund.

"The modeling was there: If you see a need, fill it."

– EILEEN GROWALD

Building on a commitment that began with her grandmother Abby Aldrich Rockefeller and continued with her mother, Peggy, Neva Goodwin took over annual design of the Abby Aldrich

Rockefeller Garden after her mother's death in 1996. After serving as a board chair of the Mount Desert Land and Garden Preserve from 1990–2018 (established as the Island Foundation by her parents in 1970), Neva shifted from a board chair role to overseeing the transition of Abby Garden management to the Garden Preserve.

Peggy Dulany has spent much of her adult life invested in building capacity among leaders through Synergos, a global organization founded to help solve complex issues around the world. Working across divides of ideology, philosophy and equity, Synergos advances the concept of bridging leadership, an approach geared toward building trust and collective action toward regenerative solutions around the world.

At a time when Médecins Sans Frontières/Doctors Without Borders (MSF) was unknown in the United States, Richard Rockefeller leveraged his knowledge, networks, experience and passion to spread word of their good work and establish a strong U.S. foothold. Together with his father, Richard hosted an MSF start-up team inside the offices of Rockefeller & Co. He later became involved with the Multidisciplinary Association for Psychedelic Studies (MAPS), advocating for effective treatment options for individuals with post-traumatic stress disorder through the use of psychedelics. After Richard's death in 2014, his children, Clay and Rebecca, raised \$500,000 in his memory to support clinical trials at MAPS.

"A common theme across my generation's work, where we are deeply invested, is that these efforts tend to take on a life of their own. The bigger it gets, the more time (and money) will be spent. Each of us in my generation has had to consider 'How much life energy and funds should I invest? Does this work need another vehicle or structure to thrive long term?' "

– DAVID ROCKEFELLER JR.

foundations, to consider the values embedded within existing grant programs, and to identify which values needed greater expression within the DR Fund’s work. Family members also spoke frankly about the sense of – and at times, weight of – family responsibility in connection with board service, and the importance of honoring family legacy while making contemporary work relevant to problems of the time.

What would engage fifth-generation members in the years to come, and what did these trustees hope to build for their own children? Fifth-generation members added to the discussion with ideas for heightening the sense of fun and creativity in the Fund’s work to engage and inspire while establishing a dynamic balance of passion and responsibility.

When small groups reported back to the full group, remarkable cohesion of thought emerged. Though the vocabulary sometimes differed, there was synchronicity in the essence. The list of common values included:

reverence	flourishing	collaboration
decency	(re)invention	opportunity
respect	meaning	strategic
regeneration	healing	long-view
connection	wholeness/unity	

Among the most inspiring moments of the 2015 retreat was when a senior trustee articulated his vision of the DR Fund eventually becoming a \$100 million foundation early in the twenty-first century while advancing its mission and expressing the powerful family values the retreat had surfaced. Both Michael and Lukas remember feeling energized by this expression of confidence by one of DR’s children, given their own questions at the time about DR’s estate planning.

As the retreat drew to a close, each participant briefly rendered in writing their vision of the Fund in 2040. When several of these descriptions were read aloud, David Rockefeller – father, grandfather, founder and benefactor – was visibly moved by his family’s descriptions of a more sustainable, just and flourishing world, and the potential, both as family and foundation, to play some modest part in achieving that vision.

Following the retreat, a fifth-generation drafting committee developed vision and mission statements.

It was the first time DR Fund trustees had taken the step of committing to a shared vision and mission not only to guide its work, but to define more clearly to

the public what the Fund was and what it hoped to accomplish in the world.

Michael Quattrone considered the retreat process and outcome a high point of his tenure as board chair and a meaningful first project to tackle in partnership with the new executive director. Staff felt it was a vital underpinning for many of the foundation’s operating principles and the staff/board relationship moving forward.

“I know how immensely proud my grandfather was of the DR Fund. You could see, at meetings, how thrilled he was to have family members and trusted colleagues gather to strategize on impactful grantmaking.”

– ARIANA ROCKEFELLER

“I love crafting the armature under which an organization works. It makes all the work clearer and more efficient, and it was a really interesting process to work on this with different generations.” – EILEEN GROWALD

The retreat’s success would also inform convening of a subsequent Maine retreat in 2018, when a board chair transition was formalized and staff engaged the

board on broader issues for discussion including: philanthropy in a time of U.S. partisanship, mission-aligned investing, and divestment from for-profit prison companies. Staff also identified the need to balance the foundation board work of fifth-generation parents with young families and the need for extended family time and space to reconnect with each other amidst busy lives from coast to coast.

Refining Program Scope and Guidelines

As expected, the 2015 staff review of grant programs, together with values thinking generated by the retreat and informed by the field experience that Lukas brought, led to a streamlined program scope. Lukas drew on his experience funding policy research/advocacy and seeking leverage from other funding

sources. In criminal justice, the Fund refined its approach to support “transformative ideas and advocacy” toward more humane and effective policies, especially reducing mass incarceration, and to fund work driven by justice system-impacted leaders. The arts program refined its focus to stress the “broad impact of arts initiatives on whole communities and/

impact and tapped Lukas’ knowledge and relationships to advocate publicly and with other donors.

Briefly described, the new guidelines that took effect in 2016 included:

- **ARTS:** Cultivating, showcasing, and disseminating the stories of innovative art for social change. e.g., *Theatre of the Oppressed*, *Girl Be Heard*,

“It’s been especially rewarding to see the Fund take on climate change by looking at niche opportunities. In a broad field, by focusing on the national security implications of climate change, the DR Fund has found clever ways to give grants to support smart organizations working in that field.”

– PAUL GROWALD

or policies” rather than just audiences or direct beneficiaries of artistic work. And the environment program was refocused to support strategies meant to generate bipartisan support for U.S. federal climate policy from new and novel angles, and began making a concurrent cluster of focused grants around climate and security impacts – previously underinvested – that offered added

NYC Office of Veteran’s Affairs (artist-in-residence integrated in the new department and to help replicate residencies in other NYC agencies)

- **CRIMINAL JUSTICE:** Supporting bold new ideas and policy proposals/initiatives for transforming U.S. detention/incarceration policy. e.g., *Youth First Initiative*, *Campaign for the Fair*

Sentencing of Youth, *JustLeadershipUSA’s “Close Rikers” campaign*

- **ENVIRONMENT (CLIMATE):** Supporting new ideas, initiatives, and policy breakthroughs in support of bipartisan U.S. climate leadership. e.g., *Center for Climate and Security*, *Jackson Hole Center for Global Affairs*, *Peace and Security Funders Group*

Perhaps most interesting about the revised approach were newly defined opportunity-based criteria, which became a useful lens for applying the values identified at the 2015 retreat across all three program areas. By funding bold new ideas or approaches, projects with potential scalability, collaboration and/or leverage opportunities, the Fund would activate and apply with intention its core values and strategic principles.

Board and staff agreed that achieving the greatest impact requires use of all available resources, an overarching philosophy that would strongly infuse their collective thinking going forward. Grants, networks, staff and board expertise, the DR Fund’s first social media platform (Twitter), and the ability to convene

and leverage partnerships were all to be deployed to maximum advantage. Willingness to act creatively in pursuit of goals also was viewed as a key ingredient for high impact, even if dollar amounts were small. Micro-grants became one new mechanism for injecting creativity and responsiveness into the process.

The micro-grants policy initiated in 2015 represented an evolution of the earlier Team Grants concept. Designed to engage trustees in collaborative, time-sensitive consideration of small but meaningful grants, a series of micro-grants has generated rapid response and great enthusiasm from board and staff alike – and is making a difference for grantees. Intergenerational committees of five trustees are convened virtually by staff to quickly weigh in on grant requests that range in size from \$2,500 to \$10,000. Committee members are selected for their particular interest in, or knowledge of, issues relating to each request. Prior responsiveness is another determinant of committee membership. A side benefit of the process is the chance for newer staff members to build experience with board members and grantees while deepening their understanding of the Fund’s programs.



"The staff of the DR Fund is incredibly thoughtful and creative in facilitating connections among organizations. On multiple occasions they have reached out to better understand how their support of another youth justice effort might positively impact our work. And they've been terrific about connecting Youth First to organizations we learned about from their tweets." – LIZ RYAN, *President & CEO, Youth First Initiative*

ACROSS THE COUNTRY, NEARLY 50,000 YOUTH (DISPROPORTIONATELY YOUTH OF COLOR) ARE INCARCERATED in youth prisons or confined in out-of-home placements. Many are warehoused in prisonlike, state-run youth prisons (also called "training schools"). In addition to many reports of abuses and inhumane conditions, these facilities cost the country more than \$5 billion per year. A national hub supporting state-based groups in 9 jurisdictions and collaborating with nearly 30 national organizations, Youth First works to reduce youth incarceration and invest in youth in their communities. Before Youth First, no nationally coordinated approach, advocacy plan, or communications effort existed among organizations fighting to abolish youth prisons. It can claim numerous victories in a few short years, from youth prisons already closed in three states with more states (and prison closures) on tap, to millions of dollars that have been redirected to community-based programs.

When the Public Welfare Foundation first brought Youth First to the DR Fund's attention, the Fund quickly came on board. Youth First president Liz Ryan views the Fund as a strong thought partner for their work. In two separate meetings with the board, she has been struck by the thoughtfulness of their questions and the climate of openness nurtured by the foundation. She is regularly encouraged to talk about what doesn't work as much as what does. As with other grantees, Fund staff have facilitated connections between Youth First and other foundations. A DR Fund staff member now serves on Youth First's advisory board, which supports direct relationships between coalition members and the Fund, and deepens staff's real-time understanding of the issues. Liz is struck as well by the Fund's targeted and strategic approach to social media. Despite its small staff, the Fund regularly promotes grantees through Twitter and pays attention to new developments, retweeting information that has expanded Youth First's own network both programmatically and philanthropically.



To ensure a thematic focus with limited resources, all thirty micro-grants have fallen within three core programs; many are cross-programmatic. Typical turnaround time from “request” to approval is 24 hours, and checks usually are out the door in one week – lightning speed in philanthropic circles. (One request was turned around in less than 24 hours, including issuing of the grant check.) Supporting experimental or unproven ideas

from the guidelines review: An explicit allocation of equal budgets to all three core program areas. In the context of a “New Strategic Approach” document, and to help reintroduce the DR Fund publicly, a three-year \$1 million recommitment to all three programs was announced. After defending arts funding with more or less success in previous years, Michael Quattrone, with a new executive partner, was finally

“This is a streamlined approach to not only keeping the family tradition of philanthropy alive but also to create a community and an ecosystem of ideas where we can benefit and learn from each other.” – SUSAN ROCKEFELLER

that hold enormous potential for catalytic effect, micro-grants not only serve the Fund’s internal goal of fostering familial collaboration, they are also having external impact and stimulating leverage in their fields, demonstrating that small amounts of money, deployed strategically at precisely the right moment, can result in remarkably high impacts.

Another important program decision emerged

able to convince the board to put all three programs on equal budget footing and, by extension, allocate staff time equally.

More subtly, this board decision also suggested a slight but significant board shift – and new deference – to executive staff leadership in reallocating budgets and staff time for maximum impact with limited resources. For the DR Fund, as with many small family foundations, the



• In 2017, a \$6,500 grant was made to support the (then) newly formed Youth First State Advocacy Fund (YFSAF), a pooled fund that directly resources state-based coalitions leading campaigns to close youth prisons and ensure reinvestment in communities. The Advocacy Fund enhances the work of Youth First, a DR Fund grantee; all coalitions that partner with Youth First are eligible for funding, and this modest seed support was intended to not only support critical state-based field work, but to add the DR Fund name and lend valuable credibility to attract other, larger funders. This proved to be the case – by July 2018, the YFSAF had welcomed three additional funders – Ford Foundation, Oak Foundation, and Art for Justice Fund – and raised more than \$2 million. This has already translated to \$760,000 directly serving the field through awards to state campaigns in Connecticut, New Jersey, Virginia, and Wisconsin.

• A 2018 micro-grant to Artistic Freedom Initiative helped leverage a recently launched artist residency program designed to house and nurture artists at risk, artists who are persecuted on the basis of political affiliation, ethnicity, religion, and/or gender; forcibly displaced; need a respite from dangerous situations; or are artists from countries experiencing active, violent conflict. An artist safety guide was developed to capture learnings of Initiative partners around housing, medical care, psychosocial support, immigration legal services, and professional development. The Fund’s micro-grant support rounded out funds needed to produce the guide. While full results are not yet in, the guide was publicly launched in fall 2019, sharing the safe haven model widely and facilitating cross-field collaboration and the continued growth of artist residencies for threatened artists.

• In 2019, the DR Fund made a \$6,500 grant to Women’s Earth Alliance (WEA) for its Grassroots Accelerator for Women Environmental Leaders program. This partnership between WEA and the Sierra Club supports a diverse group of female leaders from across the country to deepen their strategies for change, build alliances across movements, and scale solutions for environmental protection, health, and justice. Leaders are equipped with a holistic set of practical skills in entrepreneurship, leadership, advocacy, and environmental hands-on solutions. They design their own action plans and receive seed grants to grow their high-impact environmental initiatives. This support helped WEA fill a funding gap in order to provide seed grants to all participants, while aligning with the Fund’s broad interest in grassroots movement building.

process of gradually shifting key decision-making prerogatives, such as budgeting for program priorities, from a board of family trustees to nonfamily staff leaders took time. However, with demonstrated program impact the staff has earned the board's trust. The board, in turn, has given the chair and staff leadership greater latitude, for example over modest discretionary grantmaking funds.

To Michael and arts grant seekers who were paying attention, the move to balanced program budgets effectively affirmed the value of the arts as a constructive force for social impact, even social justice, while honoring the Fund's internal mission of engaging generations through common ground and interests.

"It feels like there's an energy that's been building these last couple of years at the Fund."

– MANYA RUBINSTEIN

Investment and Divestment

As the Fund's core grant programs evolved, so too did thinking about maximizing the good – and minimizing the harm – of its endowment investment strategy. In 2008, \$1 million of the Fund's endowment portfolio was

directed toward the social impact investment fund at Rockefeller & Co. (a separate commercial entity) called Libra Fund. Libra was overseen by Farha-Joyce Haboucha, then managing director of Rockefeller & Co. and also its director of sustainability and impact investing. A pioneer in impact investing, Joyce incorporated environmental, social and governance criteria into the investment process, with a view toward aligning investments with overall values without compromising performance. This approach appealed to board members as a way to minimize the potential harm of the endowment's investments while furthering their impact as a relatively early mission-aligned family foundation investor. Between 2008 and 2014, the DR Fund increased its commitment in sustainability and impact investments from 16% to 53%. During Libra investment discussions, DR's grandson Christopher Lindstrom regularly asked tough questions of Joyce and her team and encouraged the family to more progressively align its investment resources and practices with broader program intentions.

One set of holdings in its portfolio stood in direct opposition to the family's program goals on climate

change – fossil fuel industry investments – especially after 2015 when the Fund began to focus on U.S. federal policy. As early as 2003, individual trustees had taken part in shareholder activism at Exxon, cosponsoring a resolution at the company's annual shareholder meeting demanding that the company study the impact of climate change on its business. Though the resolution failed – and DR expressed skepticism about shareholder activism – the following year, several family members met with Exxon's head of investor relations. Still there was little to show for the engagement.

Two years later, DR himself had become concerned about the urgency of climate change and arranged for him and his daughter Neva Goodwin – who had cosponsored the shareholder resolution three years

earlier – to meet with Exxon's former CEO Lee Raymond and incoming CEO Rex Tillerson. Over lunch, Neva asked the executives why Exxon was not investing in clean, alternative energy. In summary, they answered that it had been tried, but did not work. The following year, Exxon earned the largest profit in U.S. corporate history – \$40 billion. The moment galvanized Rockefeller family members, twelve of whom agreed to take their objections with Exxon public. Three shareholder resolutions were announced along with a statement that Exxon needed to "reconnect with the forward-looking and entrepreneurial vision" of John D. Rockefeller when he embraced the shift from whale oil to petroleum. So too, the family argued, should Exxon innovate through pursuit of wind and solar

"My father became wonderfully open to change in all sorts of ways. He most cared that his children and grandchildren would be engaged in good philanthropy. If they had gone in a direction not in the spirit of his father and brothers, he would have spoken up, but being activist was not against the spirit of what he believed in." – NEVA GOODWIN



"All of the Fund's support in the climate and security area has essentially filled a gap. There are very few organizations doing this work – fewer than ever! – so the Fund's ability to step up and keep the dialogue, mobilization and policy work moving forward during hard times is especially striking." – FRANCESCO FEMIA, *cofounder, Center for Climate and Security, an institute at the Council on Strategic Risks*

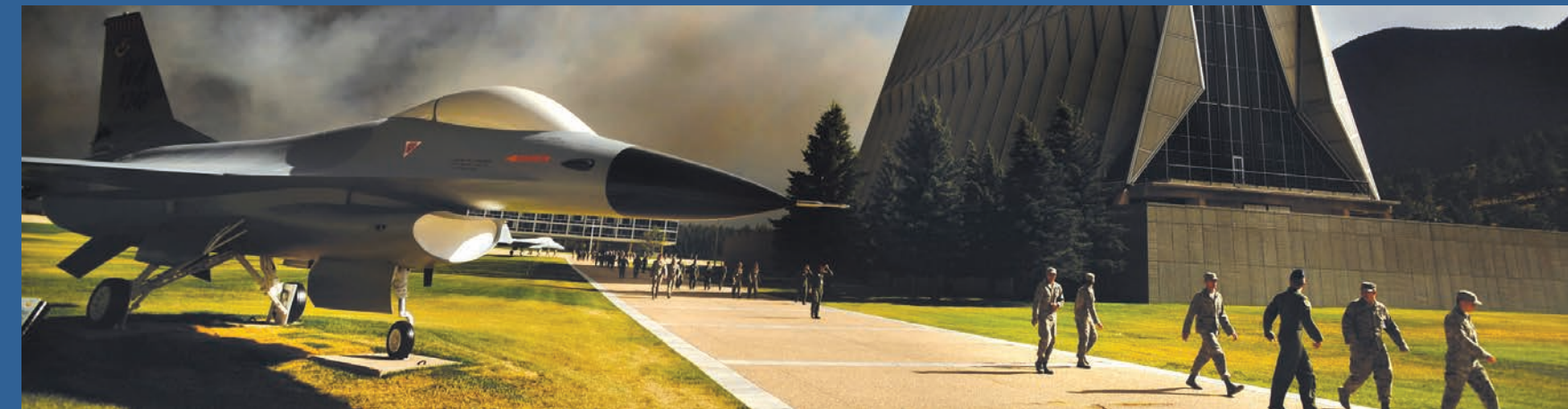
"To the admirals dealing with rising seas at the Norfolk Naval Station – the biggest in the world – this issue doesn't have blue or red identity; it is a simple act of physics they have to contend with." – LUKAS HAYNES

WHEN ASKED ABOUT THE DR FUND'S SUPPORT, WHICH BEGAN IN 2015, CENTER FOR CLIMATE AND Security (CCS) cofounder Francesco Femia responds with enthusiastic appreciation and quickly points out that the grants themselves paint just a fraction of the broader canvas of support that the Fund has provided. He suggests that the DR Fund has helped to: 1) mainstream the conversation about climate change as a threat to the U.S. homeland, to national security interests abroad, and to the "human security" of vulnerable populations; 2) generate policy impact at a national level in a political climate that prevents much from happening on national climate policy; and 3) brought additional resources and funders to the issue.

As recently as five years ago, the sense of urgency around climate change and security was limited to a few political

insiders in Washington – neither mainstream media nor middle-of-the road elected officials viewed security impacts as central to climate conversation or action. The work of CCS over the last several years – producing nonpartisan reports, mobilizing senior leaders, issuing recommendations signed by senior military intelligence and national security officials, and engaging a spectrum of players at different levels – has measurably moved the needle.

Further, since 2017 a majority Republican Congress, based in large part on analysis by CCS, has passed bipartisan laws: 1) stating that climate change presents a direct threat to U.S. security, and 2) calling on the U.S. military to identify the most threatened military bases. At the same time, CCS has successfully blocked attempts by the current administration to suppress climate science and non-partisan intelligence testimony to Congress.





ROCKEFELLER BROTHERS FUND: A JOURNEY TO DIVESTMENT

IN 2014, THE ROCKEFELLER BROTHERS FUND BECAME THE FIRST Rockefeller foundation to begin divestment from fossil fuel holdings. The journey toward divestment had begun, somewhat uncomfortably, more than ten years earlier when Stephen Heintz began asking: “Shouldn’t we manage our investments in a way that aligns more closely with our mission?” The historic answer to that question for foundations had been that maximum return on investment translates to increased dollars for grantmaking, necessitating a firewall between endowment management and philanthropic mission. Stephen argued that this approach amounted to leveraging a mere 5% of total assets, which seemed a disservice to the mission.

He began a conversation with the investment committee about how RBF might better leverage the existing asset of shareholder proxy voting. By not exercising these votes, the foundation was leaving a portion of available influence on the table. RBF dug into the types of proxies used in the funds they held and developed 30-page guidelines for their investment managers to use in exercising RBF’s votes. This process of learning took time and created space for discussion about many facets of investment. With proxy voting now aligned, RBF moved to the subject of impact investing (which centers around generating measurable social or environmental impact alongside financial return). The investment committee and board

decided to set aside 10% of its portfolio for such investing. As that experiment proved successful, they increased the set-aside allocation for this investment format to 20%.

The cumulative result of this gradual work was to ready both the investment committee and the board for a more comprehensive fossil fuel divestment discussion. The intervening decade created more fossil-free investment options as demand for such funds began to grow, and the RBF portfolio has outperformed its benchmarks in the five years since it made the decision to divest. Today, the RBF counts proxy voting, impact investing, and divestment among its Mission-Aligned Investing efforts.

energy. This public declaration represented an unusual shift for Rockefeller family members, who more often than not flew under the public radar.

As discussion and negotiation was taking place within the extended Rockefeller family, separate conversations were happening across other Rockefeller philanthropies about how to address fossil fuel investment holdings. For instance, in 2014, the Rockefeller

truth, fossil fuel divestment was the last major piece of a multi-phased journey begun during President Stephen Heintz’s first days at RBF. (See page 66.)

In 2014 DR Fund trustees directly confronted the question: Is total divestment in fossil fuels a viable option for the Fund? The question was not easily answered. The seed endowment was still very small and the future viability of the Fund as a self-sufficient,

“This is a complicated issue that can be contentious and contrary to conventional wisdom in the investment world. Moving ahead requires alignment from a set of diverse stakeholders.” – STEPHEN HEINTZ

Brothers Fund pledged to a two-step process to divest from fossil fuels and, by March 2019, RBF’s exposure to coal and tar sands had been reduced to less than 0.2 percent of total portfolio (down from 1.6% in April 2014 when its first comprehensive portfolio analysis was undertaken). Total fossil fuel exposure represented 1.2% of total portfolio in 2019 (down from 6.6% in April 2014, when the commitment was made). In

sustainable foundation was very much an open question. At the same time, investment in the fossil fuel industry was becoming increasingly uncomfortable for many, if not all, family members. As the original source of DR’s parents’ wealth, a minority considered public disputes with Exxon either ineffective or a form of “biting the hand” that quite literally fed the living donor. In short, full fossil fuel divestment appeared complicated

both institutionally and for individual trustees.

Encouraged by the sustained passion of fifth-generation trustees such as Christopher Lindstrom, Lukas organized or led a series of evolving conversations enabling the family to learn together. A critical convening brought together the investment committee chair of RBF, other progressive investment advisors, and the Rock. & Co. team led by David Harris and Joyce Haboucha. Gradually, it became clear that enough consensus on the DR Fund board existed to divest from fossil fuels, if it was deemed economically viable without enormous risks to future growth and income. Haboucha and her Rock. & Co. colleagues played a vital role in forging a path forward, developing a Libra Fossil Free global equity fund to bring to DR Fund and the broader market. This investment vehicle was the critical piece needed to complete the puzzle.

At the Pocantico-based family retreat in October 2015, Christopher spoke to the full group with strength and conviction; David Kaiser indicated his own carefully considered and critical support; and the family reached unanimous consensus on divesting

from fossil fuels, including natural gas, an important new frontier in divestment given the growing share of greenhouse gas emissions represented by the abundant U.S. fuel source. DR, though he might have chosen a slower path to divestment and reinvestment, raised no objections. Quite the opposite, he expressed pride at his children and grandchildren's ability to wrestle with difficult issues like this one respectfully, and to productive resolution. The next question was how best to accomplish this goal, and on what timeline.

"He always had an open mind to new ideas and novel approaches – adjusting to a changing world."

– MARNIE PILLSBURY

To hold its own feet to the fire, when the board voted to divest, they also established an investment committee to ensure that ongoing investment decisions were informed by independent investment professionals, and accountable to a focused committee of the board. At the strong urging of David Kaiser and other trustees, Lukas Haynes quickly began the process

of forming such a committee and with the generous encouragement of Stephen Heintz, DR Fund trustee Rosemary Corbett began to audit RBF investment committee meetings, bringing back best practices and discussion topics to the nascent DR Fund investment committee and full board.

The fossil fuel divest/invest story is one more

"I am proud to have initiated the DR Fund Divestment policy. Despite our modest size, it was a historic gesture. Looking to the future, there is more to do if we are serious about addressing the imminent threat, but divestment was an important first step." – CHRISTOPHER LINDSTROM

illustration of how the family is honoring and fulfilling both internal and external missions. The internal mission of fostering cohesion and strengthening family bonds requires attention, sensitivity and full-hearted engagement. Different styles, personalities, theories of change, and levels of risk tolerance made for a complicated mix. By taking time to learn, debate and discuss a potentially

divisive issue, a path forward can be forged. As to its external mission, establishing an investment policy and strategy that works in alignment with grant investments supports new conversations as well. Trustees have since discussed whether their portfolio is undermining its criminal justice goals with any holdings in for-profit prisons and detention

centers. After a subsequent portfolio examination revealed none, trustees quickly reached a new consensus and commitment to screen investments for such actors. On this and the fossil fuel divestment issue, the family's work to resolve disagreement on much-debated issues has ultimately laid the groundwork for more effectively addressing inevitable pressures that may arise in the days and years ahead.

Fellowship Program

In 2016-17, Lukas Haynes established a pathbreaking DR Fund fellowship program to complement the Fund's grants to the Prisoner Reentry Institute (PRI) at John Jay College of Criminal Justice. A long relationship with this CUNY-based institution was further leveraged to allow the DR Fund to align its own human resources policy with its values. Recognizing that a significant barrier to employment for returning citizens ("formerly incarcerated"² individuals) is lack of opportunities for supportive, preprofessional training, the Fund established a fellowship that enables two CUNY students recruited by John Jay PRI to serve as DRF-John Jay Fellows annually (one per semester). The fellowship serves multiple goals: part-time employment for students, grants administration experience, management mentorship and support, and a chance to bring perspectives of lived experience to the Fund's criminal justice work. Complementing their work experience, which initially included an independent study course (for credit), each fellowship culminates

in a presentation to the John Jay community and the DR Fund board of directors.

"Programs like this one, and for that matter the joint fellowship with A Blade of Grass that focused on artists supporting criminal justice reform, have raised our collective awareness of the long-term impact of penal system policies on people, families, and communities. It's also an example of the important role that 'strategic creativity' plays in our work: making the most of our limited resources and cross-pollinating our programs." – LUKAS HAYNES

In its first three years, participating fellows have enriched the Fund's work immeasurably. With varying majors from criminal justice to social thought and political science, DRF-John Jay Fellows are pursuing study and careers with intelligence and passion. Each is carving a unique and personal path toward greater justice and empowerment of marginalized individuals and communities.

² Formerly incarcerated is a widely used term that many impacted communities and reformers believe holds additional stigmatizing power for those re-entering society.



The fellowship program has brought a new level of "heart and humanity" to the Fund's criminal justice program by putting trustees in direct conversation with individuals who have been deeply and permanently affected by U.S. incarceration policies, including solitary confinement, in some cases, for decades. Moments of real-time learning occur during each fellowship term as daily realities of returning citizens surface in unexpected ways. Though the fellowship program is modest, it has deepened the DR Fund staff capacity and exposure. As of this writing, other criminal justice funders, including in

New York and California, are considering similar employment opportunities for returning citizens.

Widening and Deepening the Conversation

Over the years, speakers and guests had occasionally joined board meetings, shedding light on issues or discussing their work. Starting in 2015, this practice was incorporated as a standard feature of the board's learning and oversight of programs. Today, every board meeting serves as an opportunity to deepen trustee issue knowledge, learn about emerging leaders in the field, spark discussion and deepen board commitment to new and daring areas of

work. Guest speakers (and occasional artistic performers) bring fresh-from-the-field energy and excitement to the board table while supporting sustained trustee learning. The spring meeting might bring an organization that uses movement and dance with survivors of domestic violence (as Gibney Dance did at a Pocantico board meeting in 2016); the following fall might find speakers detailing challenges faced by nearly 50,000 young people in the nation's juvenile justice system (Youth First Initiative) or advocates describing how their work on the impacts of climate change on national security is building bipartisan consensus (Center for Climate and Security, Hoover Institution).

To enhance the sense of collegiality across institutions with Rockefeller roots, Lukas also decided to organize a "moveable feast" of board meetings deliberately located at various family institutions beyond the Fund's office. This approach allows younger family members to understand the family's connection to each institution, and enables all family members to get up to date on the current activities of each entity. Among institutions visited in these years were the

Pocantico Center, the Rockefeller Archive Center, International House, the new Rockefeller Family Office and Rockefeller University.

In June 2018, Mayor Eric Garcetti returned to speak to the board after profound shifts in U.S. climate policy had taken place at a federal level. The presentation from a leader with national stature also drew the interest of other Rockefeller family descendants of John D. Rockefeller Jr., including Valerie Rockefeller, chair of the RBF, and Lee Wasserman, head of RFF. Garcetti's presentation reminded the trustees that climate leadership could be found at a sub-federal level, as he had cofounded Climate Mayors (for bipartisan collaboration by U.S. mayors), and the importance of tracking leaders, especially those advancing the DR Fund's core program goals.

Garcetti had first spoken to the DR Fund board about climate solutions and urban sustainability initiatives in spring 2015 as an effort to bring field leaders into the boardroom to discuss policy trends. In a memorable exchange with David Rockefeller Sr., Garcetti had explained what the Los Angeles area was doing

to reduce global warming emissions. "I'll never forget that exchange with David Rockefeller," Mayor Garcetti recalled. "He drilled down quickly on how exactly we aimed to reduce emissions in the port and city of Los Angeles. His incisive intelligence was a wonder to behold." It was a prime example of how, even at the age of 100, DR modeled board engagement to his grandchildren, asking a U.S. leader to account for his policy aspirations even as he encouraged them.

Meaningful interaction between guest speakers and trustees has even led to a new collaborative grantmaking fund. In November 2018, a panel discussion with criminal justice reform advocates working in the field, including the DR Fund-John Jay Fellow, sparked a trustee to pledge \$50,000

toward a participatory grantmaking initiative. The subsequent Canary Impact Fund (CIF) operates independently in managing requests for small grants (\$5,000-\$10,000) from nonprofit programs and fledgling initiatives. All grant recipients are directed, operated, meaningfully informed or otherwise administered by justice involved individuals. A committee comprised of former fellows, professionals, advocates and practitioners who are themselves directly impacted by the justice system reviews requests, holds decision-making power and is responsible for evolving CIF's guidelines over time. DR Fund staff actively recruit philanthropic partners to expand this new pooled fund as well as extend further support when needed.

WHY CANARY? The inaugural committee identified the canary as a symbol of light, joy, intelligence, communication and healing. As domesticated beings, canaries are found more often in cages than in the wild. The founding committee of justice reform leaders are expressing through their grant distribution what they believe needs attention in order to improve society. Their hope – and the DR Fund's – is that the Canary Impact Fund can model a new way of practicing philanthropy that centers decision-making with people directly impacted by the issues the philanthropic dollars are designed to address.

"I can't overstate the importance and impact on the family and board of the DRF-John Jay fellowship and the Canary Project that followed. Hearing from these fellows has become a very meaningful, and often moving, highlight of each board meeting."

– MICHAEL QUATTRONE

Leverage in Action: "Punching Above Our Weight"

Leverage is one of those terms in philanthropy that everyone agrees is advantageous but which many struggle to define in measurable terms. Since 2010 when the Fund overtly instituted an "uncrowded beaches" strategy of funding underresourced organizations

and initiatives, the DR Fund has looked for ways to amplify its impact, in the face of limited grant dollars. As Michael and Lukas made increased leverage a plus factor criterion for grants, staff and board consider the potential to literally find more grant dollars with every grant. This approach is rarely guaranteed but it has frequently borne fruit, as in the following examples:

- Compelled by the opportunity to build broader commitment among funders to a fairer and more equitable arts ecosystem in New York City, the DR Fund became an inaugural supporter of the **NYC Cultural Agenda Fund** in 2014 with a

grant of \$25,000. Over four years, that modest gift helped catalyze a funder collaborative that made 89 grants totaling \$2.27 million to 67 groups. These grants informed New York City's first-ever Cultural Plan, created advocacy-focused partnerships across small arts groups, and contributed to research on the relationship between arts and culture, and social wellbeing.

- After Lukas described the **climate security funding strategy and grantees** to a former MacArthur Foundation colleague in 2015, in time the much larger foundation made a \$500,000 investment

in the very same strategy and grantee: substantial leverage for the initial DR Fund grant of \$25,000.

- With staff guidance, two sets of unrelated donors advised by a former foundation colleague made major commitments to **U.S. immigrant detention policy reform**: A total of \$400,000 in 2017 and \$450,000 in 2018. The grant recipient, Detention Watch Network, was a DR Fund grantee and national membership organization that brings together advocates from diverse backgrounds to unify strategy, build partnerships and strengthen the movement to end "family detention" and

RECENT BOARD MEETING SPEAKERS (through 2019)

2015

ARTS

- Loree Sutton, Mayor's Office of Veteran's Affairs
- Eddie Torres, NYC Cultural Affairs

CRIMINAL JUSTICE

- Glenn Martin, JustLeadershipUSA
- Liz Ryan, Youth First Initiative

ENVIRONMENT

- Drew Jones, Climate Interactive

2016

ARTS

- Gina Gibney, Amy Miller, Phyllistine Travis of Gibney Dance performance and talk-back
- Christine Tinsley, NYC Public Artist in Residence with the Department of Veteran's Services

ENVIRONMENT

- Francesco Femia, Center for Climate and Security
- Alice Hill, Hoover Institution

2017

ARTS

- Katie Dolcimascolo, Christiana Kallon, Jessica Morris, Laura Richmond, Kim Sykes, Girl Be Heard

CRIMINAL JUSTICE

- Steven Pacheco and Devon Simmons, DRF-John Jay Fellows

ENVIRONMENT

- Andrew Schulz, Arabella Advisors
- Roger Kim, Climate and Equity Fund

2018

ARTS

- Lovisa Stannow, Linda McFarlane, Just Detention International
- Meggan Gomez, Katy Rubin, Theatre of the Oppressed NYC

CRIMINAL JUSTICE

- Liz Ryan, Youth First Initiative
- Ryan Haygood, NJ Institute for Social Justice
- Tina Tinen, DRF-John Jay Fellow
- Leyla Martinez, Beyond the Box
- Roy Waterman, Jewish Council for Public Affairs
- Moses McBride, DRF-John Jay Fellow

ENVIRONMENT

- Gara LaMarche, Democracy Alliance

2019

ARTS

- Deborah Fisher, A Blade of Grass

CRIMINAL JUSTICE

- Kayode Oseni, DRF-John Jay Fellow
- Steven Pacheco, Vice Chair, Canary Impact Fund
- Aisha Radellant, DRF-John Jay Fellow

the separation of immigrant children from their families. The DR Fund's annual grants to this organization were \$50,000 during these years.

- In 2018, Michael and Lukas cultivated a partnership with Virgin Unite, the philanthropic arm of Richard Branson, to support (with

"In small but significant ways, we're moving from a more traditional top-down philanthropic model to one where the grantmaking is increasingly defined by collaboration and relationship building with grantees."

– CAMILLA ROCKEFELLER

\$25,000) **a national criminal justice convening that brought together unlikely allies** to identify breakthrough policies and implement new approaches to safety and rehabilitation. Beyond the grants, the two funders convened a group of powerful philanthropic peers, who have since committed more than \$2 million in support for this work.

Diversity, Equity and Inclusion (DEI)

In 2010, The Council on Foundations noted that diversity "includes but is not limited to differences of ethnicity, race, gender, sexual orientation and identification, age, class, economic circumstance, religion, ability, geography, and philosophy among other forms of human expression." The field of philanthropy

is no different from many professional sectors needing to do more to ensure that a range of voices and perspectives are informing their processes and decisions. Moving toward greater inclusion in a small family foundation context can be a special challenge, given its mission to educate and engage family members. The Fund has brought a similar level of creativity to DEI as it has to its grants program.

The arts and criminal justice funding programs have long had DEI threaded through their goals, and the DR Fund has found ways to weave greater DEI through its operations and strategy. There has always been an equal opportunity commitment to staff recruitment, and DR Fund staff is working to collect meaningful DEI data from its partners. The DRF–John Jay fellowship has diversified staff input, and a paid intern program, begun in 2015, was another opportunity to diversify internal perspectives.

Since the Fund began dedicating significant staff time to enhancing DEI efforts in 2016, diverse representation has increased dramatically across all areas – board directors, committees, staff, fellows, and interns. To take just one example, 75% of current investment committee members (8) are women, the result of intentional DEI recruitment focused on equity and opportunity in the underrepresented sectors of endowment management.

Board meeting speakers and presenters bring new voices to the table as well, and into direct conversation with trustees. As an expanded committee structure takes hold, opportunities arise to bring new people and perspectives into substantive work with the

Leverage in the Arts

Sometimes leverage compounds. The Fund first supported Theatre of the Oppressed NYC (TONYC) in 2016 in conjunction with their Legislative Theatre program, where actors write and produce original plays based on lived experiences, then act out solutions onstage in front of a carefully curated audience. Audiences then develop and vote on policy reforms with government representatives in the room. An "impact report" suggested and supported by the Fund documented and disseminated policy impacts that have resulted from the Legislative Theatre program. The following year, the Fund helped TONYC purchase new office space in the heart of the theater district for the remarkably low price of \$20,000, also acting as loan guarantor so that expedited space renovation would enable TONYC to begin capturing new revenue from a tenant. In 2018, Lukas presented alongside TONYC at a Grantmakers in the Arts conference on a panel that explored the power of the arts to influence public policy. TONYC's Legislative Theatre program was the case study that helped funders consider how documentation and dissemination of such efforts can influence both funding and political landscapes. In this example, all available assets were leveraged – grants, loan guarantees, staff ideas and advocacy and the DR Fund name – in service of a "bold social justice practitioner," helping that nonprofit grow its numbers in every area, document impacts, gain visibility in the funding community and secure a permanent home and revenue stream.

Fund. For example, when the investment committee expanded, Nili Gilbert of Matarin Capital brought new expertise to the mix. After joining the DR Fund board as one of four nonfamily members, she responded to staff encouragement to advocate with her knowledge and networks by testifying in a personal capacity before the U.S. House of Representatives Committee on Financial Services in May 2019 regarding the issue of data disclosure relating to human capital management (one of the central themes in sustainable investment practice).

Thoughts on Families, Generations and the Passage of Time

When David Kaiser was named board chair in 2010, he became David and Peggy Rockefeller's first grandson to take on this leadership role. Eight years later, when Camilla Rockefeller took over as board chair following Michael Quattrone's tenure, she became David and Peggy's first granddaughter in this role. For Camilla, the opportunity to observe a continuum of leaders – first her father as board chair, then her cousins David and Michael in that role, along with staff

members through the years – has provided a deep foundation for understanding and inhabiting her own leadership style. She describes her leadership as more art than science and views her role as one of conduit between the executive director and board, holder of a shared vision who recognizes the need to remain flexible in supporting consensus and cohesion across the family.

"As we have worked together through the years, there's an increased sense of comfort and respect."

– CAMILLA ROCKEFELLER

Although David Kaiser has shrugged off any special significance to the moment of his becoming chair, it does point to a generational shift. The two chairs that followed David also are from his generation. Ten years after the first board retreat in 2009, the Fund's quiet goal of more deeply engaging the fifth generation to prepare for future leadership has been achieved. As an ever-expanding number of future trustees enters the mix, the board nominating committee is refining



NEW PERSPECTIVES IN INVESTMENT MANAGEMENT

NILI GILBERT'S FIRST JOB, IN THE DEVELOPMENT DEPARTMENT AT Synergos raising money for bridging leadership work, got her thinking whether there could be ways to formalize the approach of attaching financial value to the work Synergos was engaged in. Over time, she realized that she wanted to find a platform for further exploring and activating these ideas. She wondered aloud to Synergos founder and DR's daughter Peggy Dulany whether it would be crazy to leave the nonprofit sector for business school. Peggy responded by saying that social change required allies in every sector. Since graduating from Columbia Business School, Nili has built her career on translating

between values-based conversations of social change and value-based conversations of capital allocation, applying bridging leadership concepts throughout. She is cofounder and portfolio manager of Matarin Capital, recognized as a performance and thought leader who regularly appears on CNBC and Bloomberg television to share insights. As chair of the Synergos investment committee for 13 years, Nili had a strong track record in overseeing the management of nonprofit investments. In anticipation of imminent investment portfolio growth, DR Fund board chair Michael Quattrone knew that trusted expertise would be needed on their newly formed investment committee and introduced Nili

to the Fund. During her chairing of the committee, which began in 2018, Nili has brought a breadth of new perspectives to the foundation's portfolio management and become a strong external advocate for mission-aligned investing. Her role with the foundation puts Nili in conversation with other industry professionals who are thinking about sustainable finance in the context of climate change, a result that will continue to improve the linkages between philanthropic and investment sectors working toward shared – but often disconnected – goals. Together with the committee, Nili is actively advancing the family's goal of using its reputation and brand to influence the investment industry as a whole.

CRIMINAL JUSTICE PROGRAM: A TRUSTEE'S PERSPECTIVE

I FIRST CAME TO KNOW OF THE DAVID ROCKEFELLER FUND IN 2011 through my partner, David Kaiser, who was then serving as chair. At that time, I was most interested in the criminal justice reform program area, and it remained a central area of interest for me during my own years of teaching in men's maximum security prisons throughout New York's Hudson Valley. It wasn't long before I came to appreciate the depth, ingenuity, and originality of the arts and environment program areas, as well, but I believe that in the years since my first acquaintance with the DR Fund, it is possibly the criminal justice reform docket that has evolved the most.

Although changing conditions of confinement within prisons is still a central focus of the program area, the scope of the program has expanded to encompass not just conditions within the jails and prisons to which far too many citizens, particularly citizens of color, have been consigned, but also within the swiftly growing immigrant detention

industry that overlaps with and relies on America's larger prison industrial complex. The welcome political turn to deincarceration in the United States, which is reliant on the growth of a new form of in-home confinement, may soon provide even more room for such expansive thinking.

In the meantime, in addition to widening the Fund's frame of reference so as to encompass the other carceral institutions and systems with which more conventional jails and prisons are entangled, the DR Fund has also led the way in transforming relations between grantors and grantees in this sector, opening the rarefied circle of philanthropic authority and power in successively larger circles to include those affected by the systems the Fund seeks to reform. This began with grantmaking to organizations led by people with previous justice system involvement and then to offering fellowships to students with conviction histories, in both ways encouraging those with experiential knowledge of the prison complex to direct the shape of reform and to

simultaneously gain insight into the philanthropic industry with which they must partner. The DR Fund did not stop there.

With the vision and generosity of staff and crucial trustees, the Fund supported the creation of The Canary Impact Fund, a grantmaking body entirely comprised of and directed by those with personal knowledge of the criminal justice system. This exceptional move signaled a transformation in the DR Fund's criminal justice reform docket and in the organization more broadly: a move away from top-down models of philanthropy and toward the kinds of partnerships that build power among disenfranchised communities rather than, however compassionately, acting for them.

These changes have answered the call for a new, more engaged, responsive, and democratic kind of philanthropy, and I am incredibly proud to have served as a trustee during this phase in the DR Fund's history.

– ROSEMARY CORBETT

guidelines for board member recruitment and engagement to foster the Fund's ongoing evolution.

The Fund has always included spouses, however the process for trustee eligibility, and even the mechanics of how the foundation operates once a new member has joined the board, haven't always been apparent. Trustee Manya Rubinstein's own experience finding her "sea legs" as a board member likely led directly to her current role in foundation governance, where she has helped create clearer processes – including an onboarding handbook for new trustees – and now chairs the nominating committee. At the same time, a spirit of growing inclusiveness and openness has informed these policies. In 2019, the board took the significant step of approving the eligibility of children of spouses' previous marriages to become trustees. The first of these children were elected to the board in November 2019 and welcomed for their own fresh perspectives on the mission and programs. The nominating committee is also considering the eligibility of long-term partners who have not chosen the legal path of marriage.

"I love the inclusiveness of the DR Fund, especially for in-laws. There was a real impulse on the part of DR to allow for intergenerational dialogue and to include a wider family lens." – SUSAN ROCKEFELLER

100TH BIRTHDAY

In June 2015 the family celebrated the 100th birthday of their father/grandfather and foundation cofounder. As a tribute, the Fund made a special grant to Socrates Sculpture Park to fund a "living sculpture" by site-specific artist Agnes Denes. A tribute to ecology and resilience, "The Living Pyramid" was a six-month participatory public artwork, enlivened by social and educational programs that encouraged environmental awareness, stewardship, activism and access for young people from the surrounding community. The installation paid tribute to David Rockefeller's long commitment to art, environment and civic participation in New York City and beyond. As significant as the grant marking DR's 100th birthday was his own example in visiting the site with Michael and Lukas and, despite his limited mobility, warmly engaging with the park's staff and

curators. Through this example, the staff and board were reminded of another key tenet of DR's own philanthropic investments: to give time, circulate within fields of interest, and acknowledge the work, especially of artists, in contributing to the "just, creative, and flourishing world" that the Fund's vision statement describes.

RICHARD ROCKEFELLER CLIMATE CHANGE INITIATIVES

There was much to celebrate that year, including exciting progress at the Fund. At the same time, the family held great sadness. One year earlier, they had suffered painful loss with the death of

fourth-generation "sib" Richard Rockefeller – son, husband, brother, uncle, father and grandfather. A family physician based in Maine, Richard was an engaged DR Fund trustee who regularly attended meetings during active and inactive periods of board service. He enjoyed being with family and serving as both connector and mentor to next generation trustees.

His deep commitment and strong voice of support for climate advocacy resonated through the years and, in 2018, translated into a significant new commitment made possible by his children – DR Fund trustees Clay and Rebecca – and father David, whose

legacy gifts enabled the Fund to be especially creative in seeking deeper program impact with a major initiative to address the climate crisis.

It had been their grandfather's wish that his children and heirs direct at least \$5 million of the charitable bequests from his estate, under their discretion, to the DR Fund. His children honored this request; however, Clay and Rebecca, moved by the

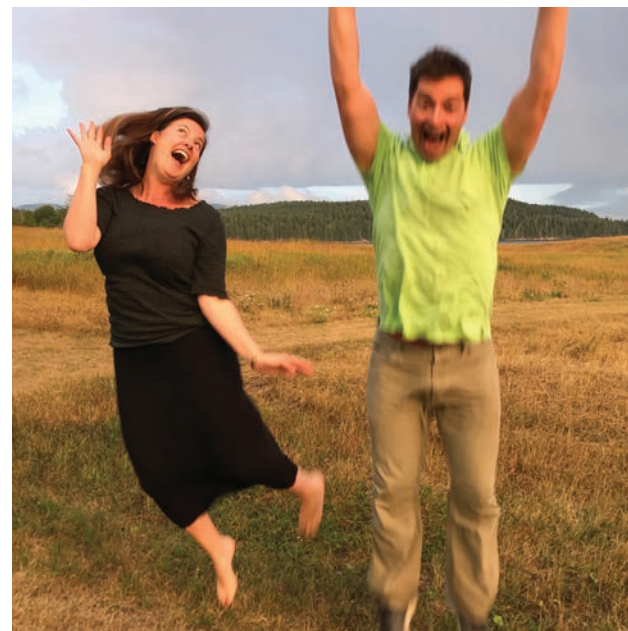
Given the Fund's guiding principles of tackling big issues and doing the greatest possible good, and Richard Rockefeller's legacy of climate change work across three Rockefeller foundations, the initiative was approved. Two different sets of funding streams began to flow quickly in 2018, identifying high-impact opportunities – in areas such as sustainable agriculture and food production and keeping U.S. fossil reserves

"This work has only grown to mean more over time. As I've gotten older, I've realized that we can have an effect on larger issues while remaining grounded on a local front." – CLAY ROCKEFELLER

emergency of climate disruption on future generations, proposed honoring their father and grandfather's legacy in a new way. Supported by Lukas and the staff, they asked the board if they could direct their portion of funds to a new initiative under the Fund's climate program and mandate a spend-down pace – \$5 million over 5 years – commensurate with the urgency of the climate crisis.

in the ground – to mitigate climate change effects and encourage other donors and trustees of family foundations to think urgently and boldly about what is needed to solve this problem at the scale and pace that the world's scientists have warned is necessary.

The Richard Rockefeller Climate Change Initiatives honor both Richard and David Rockefeller through a gift that prompts time-sensitive leverage, impact and



responsiveness in ways that the trustees hope will make a difference in the lives of their children, grandchildren, great-grandchildren and generations to come. It also represents a dramatic growth in the potential impact of the DR Fund in just four short years.

DR FUND – GROWALD FAMILY FUND

The Growald Family Fund (GFF), founded by Eileen and Paul Growald in 2007, focuses on climate change as the single most critical issue facing humanity today. GFF’s mission is to catalyze climate innovation and leadership through venture philanthropy, through the pursuit of two specific goals: 1) transform the electricity sector from coal to clean energy to be in line with the 1.5 degree pathway and 2) leverage the movement around electricity sector transformation for broader systemic change.

In September 2017, Eileen Growald committed a generous \$3 million gift to the DR Fund endowment with the goal of using the income to foster collaboration with the Growald Family Fund and “have higher leverage on the shared issue of climate change solutions.” This gift will enable the DR Fund to allocate a number of

special additional grants in this critical program area. As part of the collaboration, the executive directors of both foundations will confer periodically, fostering collaboration and investigation across the two institutions. This new initiative is a further expression of the family’s commitment to opportunity and leverage.

“It’s been a privilege to support the endowment of the DR Fund in ways that intersect with what we are doing at the Growald Family Fund.” – PAUL GROWALD

PUBLIC PROFILE

David Rockefeller’s descendants carry forward his abiding humility and graciousness and try to maintain a low public profile; at the same time, they recognize the power of the Rockefeller name in philanthropic circles. Honoring the Fund’s guiding principle of family legacy (“... recognizing the responsibility that we have to be active and engaged participants in our communities, as well as in the larger world”) fifth-generation members are beginning to embrace the idea of using their name and networks to leverage increased visibility for the Fund’s fields of



interest and grantees. Executive Director Lukas Haynes has observed that “the power and example of having a Rockefeller in the audience at any philanthropic gathering can’t be underestimated.”

Even as they wrestle with public personas, each fifth-generation trustee has stepped up in timely ways: Camilla Rockefeller gave a closing speech to a rapt Business Committee for the Arts audience when presenting a 2018 award in her grandfather’s name; Michael Quattrone did much the same when he

spoke about “values-based philanthropy” at a Global Philanthropists Circle Members Meeting in 2017 just months after his grandfather’s death. Miranda Kaiser took on the responsibility of DR Fund board secretary despite long distances to travel for board meetings. Ariana Rockefeller has been a prominent voice and traveling ambassador for her grandfather’s support of the arts and sciences. Chris Lindstrom was a strident public and private advocate for DR Fund divestment and special grants related to deforestation in the Am-

azon. Adam and Danny Growald have added their own distinctive voices to mission-aligned DR Fund investing and modeling their grandfather's philanthropic values.

As described, Rebecca Lambert and Clay Rockefeller have become more outspoken about the urgency of climate change, breaking old molds of practice. And the oldest of DR's grandchildren, David Kaiser, has been a determined and steadfast champion of eliminating sexual violence in jails and prisons and the most outspoken advocate of holding fossil fuel companies accountable for their knowledge of, and intentional discrediting of, climate change impacts and science.

With family encouragement, staff and fellows regularly attend and participate in meetings, panels and presentations that become opportunities to educate, inform, connect and advocate for the Fund's fields of interest. The list is long, and extends from philanthropic affinity groups (e.g., Climate and Energy Funders, Youth First Funders Collaborative, Grantmakers in the Arts, Environmental Grantmakers Association, the Giving Pledge) to field-based opportunities around specific

issues, to grantee-hosted events that galvanize awareness and support. All staff members and fellows participate in external meetings and events, which are understood as important touch points toward increased leverage and impact, particularly for a foundation like the Fund, with modest dollars and very ambitious program goals. This activation represents a much higher level of visibility than was the case in the early years and reflects the Fund's deep commitment to leverage and a belief that even a foundation with modest grant dollars can have "outsized" impact.

HISTORY OF THE FUTURE: REVISITED

In 2014, trustees cocreated a vision for the DR Fund's positioning in 2020 with the intention of using the details of that vision as tools for measuring the Fund's progress and the effectiveness of their new executive director. They aimed to bring in a leader who was also a deft facilitator, an individual capable of bringing strong networks to the table and strategically strengthening program areas, while respectfully challenging the DR Fund's status quo. They hoped to bring out the best in family and,



over time, to be recognized as a model for other families working to engage younger generations and leverage impact. They sought to demonstrate their institutional commitment to transformation through grantmaking and action. And, importantly, they wanted the Fund to play a stronger advocacy role, even as it balanced historic and new approaches to "making a difference." It is striking to observe five years later how many History of the Future objectives have been realized. Room remains for growth and

change even as structures capable of supporting sustained evolution continue to be constructed.

"Grandpa really instilled in us that our family has the most strength when working together toward the greater good." – ARIANA ROCKEFELLER

Extending David and Peggy's Legacy

David Rockefeller's death in March 2017 left an irreplaceable space in the family and around the board table, yet DR's solid planning and action through the years,

undertaken in collaboration with staff and family, has set the DR Fund in motion toward a sustainable future.

David and Peggy began the Fund with a particular set of intentions – grants to local communities where they had homes. The Fund has successfully navigated through new stages of development with the leadership of each successive board chair, executive director, and DR estate executors. Diligence and commitment toward these goals enabled the flow of work and resources to continue uninterrupted following DR's death. Since his tradition had been always to attend board meetings, that first meeting without him

offered a bittersweet chance for board and staff to remember and reflect together. Though there had been multiple public celebrations of DR's life, there had been little opportunity for family and staff to share in a more intimate way. Michael Quattrone, board chair at the time, opened up space for this reflection.

"He lived in gratitude and grace right to the end."

– DAVID ROCKEFELLER JR.

The DR Fund marked the year of DR's passing with media interviews about the family's philanthropy, including in *The New York Times* and *Inside Philan-*

thropy, and a series of memorial grants made possible by a generous outpouring of donations from family and friends whose lives DR had touched. Given large estate bequests to the institutions in which DR had invested most of his time and board service, staff chose a set of recipients where modest support could leverage new appreciation and recognition of DR's lasting contributions.

A grant to International House (IH) helped create a special publication and evening of oral history, "Celebrating Global Citizenship," and DR's commitment to international cooperation through IH programs. A David Rockefeller Partnership Award was created with Americans for the Arts to celebrate creative collaborations between businesses and nonprofit arts groups. The Pollinator Partnership created a new competitive grants program for educators inspired by DR's lifelong passion for insects and their ecological contributions. And Philanthropy NY created a David Rockefeller Award for board service, celebrating DR's lifelong gifts of time to nonprofit board service and philanthropy in the greater NY area.

All of these special grants highlighted a lifelong devotion in DR's personal philanthropy (arts, internationalism, environment, and board service) and connected the fifth generation to institutions they were less familiar with. Camilla and Ariana Rockefeller, for example, presented the first two Americans for the Arts awards.

As board chair and executive director, respectively, during a momentous time for the family, Michael praised Lukas' "year of hard work" in responding to media requests, helping to prepare trustees for interviews with journalists, managing a wide range of delicate estate-related issues, and negotiating memorial grant proposals.

"It was clearly a challenging time for the family. DR had been such a strong gravitational force, for so long, and his absence would be felt for a long time to come. As the media focused on the monetary value of estate bequests, we tried to emphasize the legacy of philanthropic values that DR inherited, embodied, and encouraged for future generations." – LUKAS HAYNES



From the perspective of both trustees and staff, the true honor will be evidenced in the family's continued commitment to "identifying the gaps," creating strategies to fill them, and then leveraging all available resources toward ensuring that these strategies succeed in stimulating positive change.

The effects of those strategies ripple out in myriad ways. Longtime executive director Marnie Pillsbury, in her role as chair of the Pocantico Committee, is helping to oversee creation and dedication of the David Rockefeller Center for the Creative Arts. This new public venue will adaptively reuse the long-dormant Orangerie building on the Pocantico grounds and will nurture the arts locally and globally with top-notch performances and exhibits, residencies for artists working across disciplines, and space for school and community cultural functions. Former staff member Marianna Schaffer is pressing forward positive social change through the arts at the Creative Capital Fund, while former staffer Ayo Roach supports the nonprofit ecosystem, advising philanthropists, nonprofits, and corporations on philanthropy and impact, leadership, and DEI strategy. And the John Jay

Fellows – past, present and future – will continue to add their unique blends of skill, interest and passion toward building justice in impacted communities.

"I hope my children see this work as the privilege that it is, taking it seriously and giving thought to how to maximize impact of the Fund. Intelligent, strategic philanthropic dollars are really precious things." – DAVID KAISER

David Rockefeller played a significant societal role quietly, and with enormous humility. His way of "being" and "doing" in the world has been instructive for so many in his orbit, family members, trustees, and staff among them. The long-standing practice of regularly expressing gratitude and leading with love has been fully absorbed and will continue to be expressed anew as new family members join the circle of DR Fund trustees in the years to come.

As Eileen Growald commented when considering the Fund's future: "I just look forward to seeing where this current generation and future generations take the Fund!" Or to quote Clay Rockefeller: "We're just getting started!"



"No individual contributed more to the commercial and civic life of New York City, over a longer period of time, than David Rockefeller. David set a new standard for what it means to be a leader in business, public service, and philanthropy." – MICHAEL BLOOMBERG, NYC Mayor (2002-2013)

AFTERWORD

ON BEHALF OF THE TRUSTEES, STAFF AND FELLOWS OF THE DAVID ROCKEFELLER FUND, it is my pleasure to thank Bethany Wall for the diligence, insightful dialogue, and generous care with which she undertook the research and writing for this project. We are indebted to Bethany for first imagining this 30th anniversary history project and also to Lizanne Hart and Everette Hamlette for helping to bring it forward in this publication (and related videos). The DR Fund's Lexi Fisher deserves special mention for her patient good will throughout a long and detailed process.

To the family members, trustees, current and former staff, and grantee partners who contributed time, knowledge, content and heart to this project: Thank you. This undertaking would not have been possible without your generous participation.

As I reflect on the recent history and remarkable growth of the Fund's endowment, initiatives, and impact, I return to the guiding principles that first drew me to the Fund and which will long inspire the Fund's work.

They begin with healthy reverence and respect for the family "business" and tradition of philanthropy as exemplified by David and Peggy Rockefeller and demonstrated through meaningful dialogue and partnership daily with the people and institutions carrying out the work.

Whenever I orient new staff and fellows to the DR Fund, I try to emphasize that neither our trustees nor our team would have the privilege and opportunity to utilize the Fund's assets without the talented civil society networks that make progress in our program areas possible. It is our obligation therefore to support these networks in ways that they will find most meaningful without imposing undue burdens.

While the Rockefeller family legacy includes being active and engaged participants in our communities, whether local, national or global, the Fund's guiding principles also include taking risks on new approaches, such as participatory grantmaking by frontline communities; new ideas, such as the outright abolition of

juvenile jails; and new, time-limited programs, such as the Richard Rockefeller Climate Change Initiatives. The Fund has long recognized that another distinctive feature of a family foundation is the ability to act quickly and responsively to emerging threats, opportunities, and/or the urgent needs of our grant partners.

The truth, for any foundation, is that no one institution has the resources, even fully maximized and leveraged, to make significant impact by itself. Solving any of the world's most difficult problems requires collaborative, long-term commitments from a multitude of foundations and donors. Always striving to be constructive, creative and even a little playful, we welcome new philanthropic partners. The trustees and staff welcome your comments and critiques on this publication as we endeavor to improve our practices in service of the Fund's mission and vision.

Thank you for taking an interest in our story. We look forward to learning about yours.

– LUKAS HAYNES, *David Rockefeller Fund Executive Director, February 2020*



APPENDIX 1: DR FUND COVID-19 EMERGENCY RESPONSE

In March 2020, as the novel coronavirus pandemic spread, prompting increasingly drastic actions and outcomes across the U.S., the DR Fund shared the following message with its myriad constituents and communities. It became one more expression of the Fund's enduring commitment to the guiding principles that drive its work.

Subject: A Message of Support from the DR Fund

Dear DR Fund partners and colleagues:

We write to send our warmest wishes of health and resilience to you and your families. Those of us at the DR Fund have been working to adapt to necessary public health measures and regain our footing during an unprecedented and uncertain time, and we also recognize the challenges facing all of you. As we continue to adjust to the impacts of COVID-19 personally and professionally, we want to reassure you that we are here to support you and your organization's work as best we can.

As a family foundation, we recognize that many of you are home with families, dividing work and personal responsibilities, and we strive to take a whole-self approach going forward.

This new reality is one that requires clear and candid communication from funders and donors, increased flexibility and adaptation. We encourage you to prioritize care for yourself, your loved ones and your communities above all else. If you find yourself alone while self-isolating, please consider us part of your virtual community and reach out to us if it is helpful.

This crisis has underscored the vast inequities, injustices, and disparities that we collectively strive to combat. We remain fully committed to this work, and to your critically important contributions to bringing about a more just, creative, and flourishing world. We are hopeful that this is also an opportunity for the field to emerge more resilient than ever. Here are some immediate actions that we hope will help facilitate your work. We will:

- Commit to maintaining our current programmatic funding levels through 2020.
- Change organizational project support to general operating support for maximum budget flexibility.
- Plan to provide almost exclusively general operating support for the remainder of 2020, where legally permissible.
- Expand our rapid-response micro-grants program to provide small, time-sensitive grants for organizations in need.
- Contribute to community-based emergency response funds in our three core program areas.
- Allow budget modifications and the appropriate reallocation of DRF grant funds as current COVID-19 related operating constraints require.
- Offer your organizations use of Blue Jeans video conferencing should it be helpful.
- We will not hold partners responsible if conferences, events, and other in-person project deliverables must be postponed/canceled.
- Reduce what we ask of partners, postponing reporting requirements, site visits, and other demands on their time.
- Remain as flexible as possible with reporting and proposal submission deadlines.
- Coordinate with other foundations to simplify due diligence/reporting processes for partners.
- Maintain lists of Arts, Criminal Justice, and Environment funder resources to share with grant partners, as needed.

In this uncharted territory, we are heartened by the outpouring of solidarity we have seen from all of you. Thank you for your dedication and perseverance in the face of uncertainty, public health concerns and adversity of all kinds.

Those of us here at the DR Fund believe we are all in this together and want to do our part to help our communities cope. Please feel free to share your questions, suggestions and concerns.

Sincerely,

The DR Fund Team



1989

David Rockefeller (DR) and his wife, Peggy, establish the David Rockefeller Fund (DR Fund) to support communities in Westchester County, New York, and Mt. Desert Island, Maine.



1996

The DR Fund expands to include Columbia County following Peggy Rockefeller's death.

2000

David Rockefeller Jr. encourages DR to expand the DR Fund Board using the Flora Family Fund as a model.



2001

DR agrees to expand the board to include his children, their spouses, and his grandchildren. The Family Interest Program is created and includes grantmaking in the areas of arts and education, criminal justice, and environment.

2008

\$1 million is invested in the Libra Fund (a social impact investment fund).

2009

DR increases his annual contribution to the DR Fund to \$1.25 million. A strategic planning retreat is held in June at Pocantico Conference Center with DR family members.



2010

David Kaiser becomes first member of the fifth generation to serve as board chair. The number of directors increases from 13 to 16. Additional staffing is added. New DR Fund website and newly branded logo go "live" for the first time. Team Grants Program is initiated to foster collaboration across generations.

2011

Impact Investment subcommittee is formed and recommendations are presented to the Board.

DR Fund increases its investment in Libra Fund to \$2.17 million (approximately 50% of the Fund's endowment value). Michael Quattrone chosen as the second fifth-generation board chair.

2013





2014

Planning for a future as an independent organization begins: tie-off grants are made in Community Grants Program; fifth-generation hires Schall & Russo Planning Works to help envision the future and search for a new executive director to replace Marnie Pillsbury, retiring after 20-plus years.



2015

Lukas Haynes joins the Fund as executive director. DR Fund moves to 475 Riverside Drive, joining Rockefeller Brothers Fund and Rockefeller Family Fund.

DR Fund marks DR's 100th birthday with a special centennial grant to Socrates Sculpture Park for Agnes Denes's "The Living Pyramid".



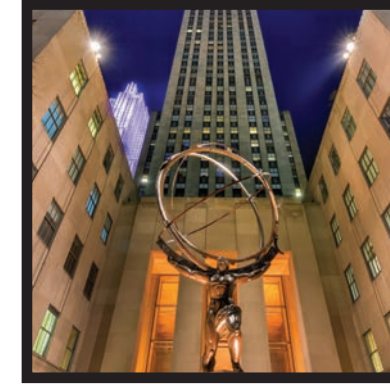
Core Arts, Criminal Justice and Environment program funding strategies reviewed and refined. Micro-grants program is created.

Pocantico Family Retreat, with DR present, produces Guiding Values, Strategic Principles, Fifth-Generation Aspirations, Trustee Visions for 2040, and a unanimous Board decision to divest from fossil fuel investments.

2016

DR Fund convenes divestment learning session with Rockefeller & Co., and a few months later it launches Libra Fossil Free Fund for all clients.

Board Investment Committee is created.



2017

Steven Pacheco, first DRF-John Jay Criminal Justice Fellow chosen in the Criminal Justice program.

The New York Times feature profiles DR philanthropy and the DR Fund as a model for transmitting intergenerational philanthropic values through a family foundation.

Board Nominating Committee created.

Board discusses the need for diversity, equity and inclusion across full enterprise.



2018

DR Fund endowment grows to \$30 million and hires third full-time staff member.

DR Fund completes special set of DR Memorial Grants.

Bartlett Island family retreat passes the chair gavel to Camilla Rockefeller and votes to screen out companies building/operating prisons and detention centers from endowment investments.



DR Fund endowment grows to \$65 million; Richard Rockefeller Climate Change Initiatives conceived as an urgent program to spend \$5 million over five years.



2019

DR Fund Investment Committee Chair Nili Gilbert testifies before the U.S. Congress.

Board votes to gradually expand nonfamily and family board membership.

DR Fund marks the 30th anniversary with plans to produce a narrative history and trustee video for a joint reception of family institutions and grantees.

APPENDIX 3: DR FUND HISTORY PROJECT CONTRIBUTORS

Michele Beckerman
Rockefeller Archive Center

Melissa Berman, President & CEO,
Rockefeller Philanthropy Advisors

Stephanie Burgos, Staff, DR Fund

Rosemary Corbett, Trustee, DR Fund

Peggy Dulany, Trustee, DR Fund

Francesco Femia, Cofounder,
Center for Climate and Security

Deborah Fisher, Executive Director,
A Blade of Grass

Lexi Fisher, Staff, DR Fund

Amy Fitch
Rockefeller Archive Center

Nili Gilbert, Trustee, DR Fund

Neva Goodwin, Trustee, DR Fund

Eileen Growald, Trustee, DR Fund

Paul Growald, Trustee, DR Fund

Louisa Hassenfelt
Rockefeller Family Office

Lukas Haynes, Executive Director,
DR Fund

Stephen Heintz, President,
Rockefeller Brothers Fund &
Trustee, DR Fund

Laura Hepler, Former Staff, DR Fund
Ann Jacobs, Executive Director,
Institute for Justice & Opportunity,
John Jay College of Criminal Justice

Peter Johnson, Rockefeller Family
Biographer & Historian

David Kaiser, Trustee, DR Fund

Miranda Kaiser, Trustee, DR Fund

Rebecca Lambert, Trustee, DR Fund

Debby Landesman
2009 Retreat Consultant

Christopher Lindstrom, Trustee,
DR Fund

Marnie Pillsbury, Former Executive
Director, DR Fund

Michael Quattrone, Trustee, DR Fund

Ayo Roach, Former Staff, DR Fund

Marguerite Robinson
Rockefeller Capital Management

Ariana Rockefeller, Trustee, DR Fund

Camilla Rockefeller, Chair, DR Fund

Clay Rockefeller, Trustee, DR Fund

David Rockefeller Jr., Trustee,
DR Fund

Maeve Rockefeller, Trustee, DR Fund

Susan Rockefeller, Trustee, DR Fund

Valerie Rockefeller, Chair,
Rockefeller Brothers Fund

Manya Rubinstein, Trustee, DR Fund

Liz Ryan, President & CEO,
Youth First Initiative

Marianna Schaffer, Former Staff,
DR Fund

James Sligar, Trustee, DR Fund

Lee Wasserman, Director,
Rockefeller Family Fund

Christine Weaver, Rockefeller Family
Office

Caitlin Werrell, Cofounder, Center for
Climate and Security

APPENDIX 4: COMMUNITY GRANTS TIE-OFF

(a) Letters to Community Grant Recipients (from board chair and executive director)

March 25, 2015

Dear Community Grantee:

I am writing to update you on the David Rockefeller Fund and the important changes that have occurred. As you know, Marnie Pillsbury has stepped down after 25 years and Lukas Haynes became Executive Director on January 20, working in the Fund's new offices.

Over the past 25 years, The David Rockefeller Fund has provided regular annual support to important community groups and organizations in Westchester and Columbia Counties in New York and Mount Desert Island in Maine totaling more than \$5 million.

My grandfather will celebrate his 100th birthday in June and this important milestone has prompted him and our family to review the Fund's programmatic priorities and future directions. It has been decided that after 25 years, the Community Grants program will not be continued after this year. We want you to know that this decision in no way reflects any concern about the importance of the work your organization is doing. It is a question of our efforts to balance our limited resources with the interests and priorities of a new generation of family members.

My grandfather and all of us are very mindful of the impact this may have on your organization and to make the transition easier, he has generously agreed to make a personal contribution as a final grant that is the equivalent of two (2) years of funding. We hope this will be helpful as you look for other sources of support for the good work you are doing.

With our best wishes,

Sincerely,

Michael Quattrone
Chair, The David Rockefeller Fund

April 16, 2015

Dear Grantee:

I am writing to follow-up on Michael Quattrone's March 25 letter about the David Rockefeller Fund's plans to discontinue the Community Grants program. As you know, David Rockefeller will be celebrating his 100th birthday in June and I have stepped down after 25 years as Executive Director.

To help with this transition, Mr. Rockefeller has generously agreed to make a personal contribution as a final grant to [organization] that is the equivalent of two years of funding. We hope these funds will help as you look for other sources of support for the important work you are doing. Accordingly, please find enclosed a check from Mr. Rockefeller.

On a personal note, I want you to know it has been a great pleasure to lead the Fund on behalf of David Rockefeller and his family since 1990. My colleague Ayo Roach and I have enjoyed working with you and feel proud of the work we have accomplished together as a small family foundation committed to the importance of strengthening communities. To that end, the Fund's Community Grants program has provided more than \$5 million in support to over 80 local organizations in Westchester and Columbia Counties in New York and Mount Desert Island in Maine.

In order to comply with the tax law, please acknowledge receipt of these funds by having the attached memorandum signed and returned in the enclosed envelope.

With our best wishes and hopes for your continuing success.

Sincerely,

Marnie S. Pillsbury

(b) Final Round of Community Grantees (2015)

MAINE

Abbe Museum
 Acadia Family Center
 Bar Harbor Fire Department
 Bar Harbor Food Pantry
 Bar Harbor Music Festival
 Boy Scouts of America-Katahdin Area Council
 College of the Atlantic
 College of the Atlantic-Summer Field Studies
 Community Health and Counseling Services
 Downeast Horizons
 Farnsworth Art Museum
 Friends of Acadia
 Friends of Acadia-Youth Conservation Corps
 Girl Scouts of Maine
 Great Harbor Maritime Museum
 H.O.M.E., Inc.
 Island Institute
 Kid's Corner Community Child Care
 Maine Coast Heritage Trust
 Maine Lighthouse Corporation
 Maine Medical Center
 Maine Public Broadcasting Network
 Maine Sea Coast Mission
 MDI Biological Laboratory
 Mount Desert Medical Center
 Mount Desert Fire & Rescue Association
 Mount Desert Island Hospital
 Mount Desert Island YMCA
 Mount Desert Nursery School and Daycare Center

Mount Desert Nursing Association
 Mount Desert Summer Chorale
 Mt. Desert Festival of Chamber Music
 Natural Resources Council of Maine
 Northeast Harbor Ambulance Service
 Northeast Harbor Library
 Portland Museum of Art
 Seal Harbor Library Association
 Seal Harbor Village Improvement Society
 The Jackson Laboratory
 The Nature Conservancy-Maine Chapter
 The Neighborhood House Club
 The Northeast Harbor Library Scholarship Program
 United Church of Christ Northeast of Harbor & Seal Harbor; Union Church and Abby Chapel
 Wendell Gilley Museum
 Westside Food Pantry
 Willowind Therapeutic Riding Center

WESTCHESTER COUNTY

Boy Scouts of America-Westchester Putnam
 Caramoor Center for Music and the Arts
 Family Services of Westchester
 Family YMCA at Tarrytown
 Food Bank for Westchester
 Friends of the Rockefeller State Park Preserve
 Girl Scouts Heart of the Hudson
 Hilltop Engine Co. No. 1
 Historic Hudson Valley
 Historical Society of the Tarrytowns

Kids' Club of Tarrytown & Sleepy Hollow
 Elizabeth Mascia Child Care Center
 Open Door Family Medical Center North Tarrytown
 Phelps Memorial Hospital Center
 Planned Parenthood Hudson Peconic
 Puppies Behind Bars
 Salvation Army of Greater New York
 Scenic Hudson
 Teatown Lake Reservation
 Union Church of Pocantico Hills
 United Way of the Tarrytowns
 Volunteer and Exempt Fireman's Association of Sleepy Hollow, NY
 Warner Library of the Tarrytowns
 Westchester Land Trust

COLUMBIA COUNTY

Churchtown Fire Company #1
 Columbia Land Conservancy Inc.
 Columbia-Greene Hospital Foundation
 Germantown Hose Company #1
 Germantown Library
 Livingston Free Library
 Livingston Pumper Company, No. 1, Inc.
 Mission Control Traveling Pantry
 Olana Partnership
 Taghkanic Fire Company No. 1, Inc.
 United Way of Columbia & Greene Counties
 Zion Community Food Pantry

APPENDIX 5: LIST OF DR ESTATE BENEFICIARY CHARITIES

American Farmland Trust, Inc.
 Washington, D.C.

Americas Society, Inc.
 New York, New York

Council on Foreign Relations
 New York, New York

The David Rockefeller Fund
 New York, New York

Harvard University
 Cambridge, Massachusetts

Maine Coast Heritage Trust, Inc.
 Brunswick, Maine

Mount Desert Land and Garden Preserve
 Seal Harbor, Maine

Museum of Modern Art
 New York, New York

Rockefeller Brothers Fund
 New York, New York

Rockefeller Family Fund
 New York, New York

The Rockefeller University
 New York, New York

Stone Barns Restoration Corporation
 Pocantico Hills, New York



APPENDIX 6: NATIONAL CENTER FOR FAMILY PHILANTHROPY

VOICES FROM THE FIELD: A Rockefeller Family Foundation Turns Over Some New Leaves

Over the past 18 months, the trustees and staff of the David Rockefeller Fund have embarked on a journey to engage a new generation of family trustees and reinvent a 25-year-old family foundation for a new century of philanthropic challenges. Along the way, we have been encouraged to share what we are learning and to start a dialogue with other small family foundations with shared aspirations. We're grateful to the National Center for Family Philanthropy for the invitation to share our progress with their network of giving families.

The board of the David Rockefeller Fund is comprised primarily of family trustees who rotate biannually from a pool of over two dozen family members. The Fund was created by David Rockefeller, 101, and his beloved late wife, Peggy, in 1989. Today it is chaired by Michael, a grandson of Mr. Rockefeller, and involves children, grandchildren, and spouses representing six different branches of his family.

One year ago, most of the trustees gathered at an informal retreat, at the former family estate and now, nonprofit, Pocantico Center to reflect on five generations of philanthropic tradition, and identify values that remain important to three generations of current trustees. We also began the process of drafting new vision and mission statements that will serve as a North Star for the Fund's ongoing work in the broad areas of environment, criminal justice, and the arts.

One of the successes of that retreat was for the youngest generation of trustees to hear from their parents about the learning curve of board service at a foundation. Discussion surfaced both the expectations and the uncertainties that most family members face, at one time or another, and shared aspirations for the family

foundation, which has no current plans to "spend down." Rather than honing in on a narrow set of values, the family identified various "clusters" of values, renewed their commitment to all three program areas of family interest, and formed a drafting committee for a new vision and mission statement.

One of the unexpected outcomes of the retreat was a signal from the older generation that after decades of foundation board service, in various capacities, they were pleased to play a more passive, but supportive, role as their children took over leadership of the board and key committees. They expressed pride and pleasure as a new generation took the reins of the Fund to usher its programs and activity into a new century of problems requiring sustained philanthropic attention.

MAXIMIZING OUR ASSETS

One material sign of that generational transition was the phasing out of trustee discretionary grants for the older generation in order to support more active learning, engagement, and travel reimbursement for their children and spouses. For the first time, we developed a trustee orientation manual setting expectations for a new generation of trustees. We are also considering ways to engage a fourth generation of even younger, great-grandchildren with volunteer opportunities or matching contributions.

All of these initiatives are part of an overall strategy of maximizing all of the assets of the foundation to leverage broader economic and social changes aligned with the Fund's mission and values. This means considering how both the endowment and annual grantmaking resources can be leveraged to maximize impact. It also

means taking advantage of the expertise of trustees and staff to develop grants, advise nonprofits and affinity groups, and support advocacy towards our charitable goals to the maximum extent allowable by law. For example, we have joined sign-on letters with other foundations; convened meetings; authored op-eds; spoken at conferences, webinars and retreats; and co-hosted funder and grantee briefings to advance learning and advocacy on program priorities.

Our review of grantmaking strategies, while we continued to make grants, has produced a renewed commitment to reforming the criminal justice system, supporting impactful art for social change, and generating bipartisan breakthroughs in the U.S. to address climate change. Our recent grants reflect new goals for leveraging limited grant dollars, including public-private pilot projects with agencies of city government; grants and advocacy alongside retired senior military leaders; and support for impacted grassroots communities demanding transformative policy reforms. We have seen success in each of these areas with grants as modest as \$8,000 to \$50,000.

We are also committed to proven grantmaking practices such as online applications, multi-year, general support grants (allowing overhead costs up to 20%), and a new Fund policy of reviewing unsolicited letters of grant inquiry. We are experimenting with new approaches, such as grant reporting in proportion to grant size; program advisory committees to diversify the inputs to staff decision-making; micro-grants approved by a board subcommittee in days or hours; and a revolving discretionary grants pool aligned with program priorities. The latter allows staff to seize timely opportunities aligned with program priorities and then replenish those funds once the trustees have confirmed their program relevance.

The micro-grants have allowed the Fund to become more responsive to timely, urgent needs, with even modest funds, and strengthened the working partnership of board and staff as trustees became more engaged in the Fund's work. We have found that the quick disbursement of modest \$2,000-\$8,000

grants adds enormous value when done quickly, especially to fledgling grassroots efforts with urgent needs and deserving of recognition and the attention of other funders.

Finally, the Fund is "up to code" with Independent Sector's landmark Principles for Good Governance and Ethical Practice. In this and in other ways, we want to be a model family foundation in maximizing our charitable mission. We also know there is always room to innovate and we aspire to learn from others who share our values and goals.

AN ALIGNMENT OF INTERNAL VALUES WITH EXTERNAL PURPOSE

As we imagine a new generation of foundation impact we remain grateful for those that established our institution's values and sought to pass them along. They have taught us that the key to longterm, philanthropic impact is an alignment of internal values and external purpose. David Rockefeller now sits around the board table with his children and adult grandchildren, taking pride in their commitment to volunteer board service in philanthropy.

He sees his family's philanthropic values carried forward into a new century and embodying the words he shared with the Giving Pledge in 2010:

"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."

If you share these values and want to collaborate or innovate in areas of common concern, we welcome dialogue with other family foundations with shared interests.

*Contributed by Lukas Haynes and Michael Quattrone
February 3, 2017*

CAPTIONS AND CREDITS

The extended family of David and Peggy Rockefeller and the many staff and fellows associated with the DR Fund have generously contributed photographs displayed throughout this book. The author and editors are grateful to all for these contributions, and for allowing us to use their images to tell the story of the Fund’s first thirty years.

PREFACE

Page vi: David Rockefeller by Mario R. Marino, Chase Manhattan Bank Photo Studio*

ORIGINS

Page viii: Peggy and David Rockefeller (1962) by Ted Palumbaum for *Time Magazine**

Page 3 (left): DR (c. 1918)*

Page 3 (center): DR with his mother Abby Aldrich Rockefeller (c. 1923)*

Page 3 (right): Peggy and David Rockefeller (1973) by Arthur Lavine, Chase Manhattan Bank Photo Studio*

PLACE

Page 4: DR with his family (1921)*

Page 7 (left): Columbia County, NY

Page 7 (center): Westchester County, NY

Page 7 (right): Seal Harbor, Mt. Desert Island, ME

FAMILY

Page 10: Sibs sailing; (c. 1958)*

Page 15 (left): David and David Jr. (1943)

Page 15 (center): David, Peggy and family (c. 1954)

Page 15 (right): David, Peggy and family (c. 1954)

Page 18 (left): David and Peggy collecting tree sap in Vermont (1973)

Page 18 (center): David, Peggy and family in Wyoming (1990)

Page 18 (right): Peggy and David Jr. in Alaska (1991)

Page 21 (left): Eileen and David Jr. in Acadia National Park (2017)

Page 21 (center): DR and the sibs in New Hampshire (2003)

Page 21 (right): DR and Neva react to announcement of 1,000-acre land donation made in conjunction with DR’s 100th birthday; by Dick Broom

Page 22 (left): DR Jr. and Richard

Page 22 (center): Sibs and spouses on a hike

Page 22 (right): Three family generations

EVOLUTION

Page 24: Fifth-generation members

Page 26: Prison-to-College Pipeline program, Otisville Correctional Facility; by Amber Gray

Page 27: Past DRF Fellow Kayode Oseni with DRF staff (left to right: Lukas, Lexi, Kayode, Stephanie)

Page 30: Mt. Desert Island, Maine

Page 33: DR in Rockefeller Center (1982)*

Page 34: Guests plant flowers chosen by incarcerated mothers in A Blade of Grass Fellow jackie sumell’s cell-sized garden bed as part of What It Takes to Be Free: Artists Respond to the Criminal Justice System, held at the Lower East Side Girls Club, New York; by Chris Green

Page 35: Jury members are sworn in during I Speak for the Trees: A Mock Trial, an ABOG event to test whether art copyright law could be used to legally halt construction of a natural gas pipeline, as proposed by Fellow Aviva Rahmani; Courtesy of RAVA Films

Page 36 (left): Opening night of Amplifier’s 2018 #MyClimateHero interactive exhibition in downtown Seattle, WA, featuring student artwork exhibited alongside world-renowned comic artists, large-scale color-in murals and panel discussion.

Page 36 (center): Girl Be Heard, afterschool company members at MS 88 (2018)

Page 36 (right): Community members dance at The Laundromat Project’s Field Day event at the Kelly Street Collaborative (2014); by Melissa Salas

Page 41: Mt. Desert Island, Maine

Page 42: DR Fund trustees at a retreat, at Rockefeller Brother Fund’s Pocantico Center (2015)

Page 44 (left): Ayo Roach, Marnie Pillsbury, Marianna Schaffer

Page 44 (center): Lukas Haynes, DR, Michael Quattrone, Marnie Pillsbury

Page 44 (right) DR’s first selfie (clockwise from top left: Lexi, Lukas, Michael, DR); Courtesy of Michael Quattrone

Pages 48 & 50: DR Fund trustee retreat at Pocantico (2015)

Page 52: Land and Garden Preserve; Synergos meetings in China

Page 58: Youth First and state partners

playing a big game of Rock, Paper, Scissors at their 2019 annual convening, held in Baltimore

Page 59: Youth First Youth Leaders Network members (2019)

Page 61: Artist Safety Hosting: A Discussion on Practice. Organized by the NYC Artist Safe Haven Residency Program. From Left to Right: Prerana Reddy, A Blade of Grass; Ashley Tucker, Artistic Freedom Initiative; Rashwan Abdelbaki, Artist; Frances Greenberg, ART OMI; Laura Raicovich, Lohman Museum of Art.

Page 64: Soldiers from the Florida National Guard’s Alpha Battery, 1-265th Air Defense Artillery, perform high-water search and rescue with members of the Coast Guard, St. Johns Fire Rescue, first responders, in Flagler Estates, Florida; by Ching Oettel/The National Guard/Flickr

Page 65: An ominous cloud of smoke from the Waldo Canyon Fire rises from the south behind the Air Force Academy’s Cadet Chapel as cadets head for a briefing on evacuation procedures, June 27, 2012; U.S. Air Force photo/ Carol Lawrence

Page 66: TebNad/Shutterstock.com

Page 71 (left): DRF-John Jay Fellow Aisha Radellant with DRF Staff (Lexi and Stephanie)

Page 71 (center): Inaugural DRF-John Jay Fellow Steven Pacheco

Page 71 (right): Trustees (Michael and Camilla) and Fellows (Steven and Devon)

Page 71 (center): Inaugural DRF-John Jay Fellow Steven Pacheco

Page 71 (right): Trustees (Michael and Camilla) and Fellows (Steven and Devon)

Page 77: Bar Harbor, Maine; Courtesy of Lukas Haynes

Page 79: Trustees Peggy Dulany and Nili Gilbert attend a Synergos meeting

Page 80: Ruslan Shugushev/ Shutterstock.com

Page 82: DR and members of his family

Page 85: DR and the sibs

Page 87: Labor Day Races, Mt. Desert Island

Page 88: Rockefeller Archive Center, Sleepy Hollow, NY*

Page 91: David Rockefeller by Mario R. Marino, Chase Manhattan Bank Photo Studio*

Page 93: DR and his extended family (c. 2016)

Page 98: Agnes Denes, “The Living Pyramid,” 2015, Socrates Sculpture Park; Courtesy of the Artist and Socrates Sculpture Park

Page 99: Felix Lipov/Shutterstock.com

Page 105 (left): Land and Garden Preserve

Page 105 (center): Sara Winter/ Shutterstock.com

Page 105 (right): Pocantico Retreat Center

* Images marked with an “*” are used courtesy of Rockefeller Archive Center.

The David Rockefeller Fund invests in catalytic ideas, people, efforts, and institutions working strategically toward ecological regeneration, justice system reform, and art for social impact.

